

## AN ABSTRACT OF THE THESIS OF

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Signature redacted for privacy.

Abstract approved: \_\_

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Using meta-ethnography, this thesis analyzes the literature on transformational leadership and related sources to identify the themes, patterns and connections that describe transformational leadership. These findings were combined with findings from an analysis of selected sources on adult learning theory and leadership training to establish the basis for a design for a leadership academy for community college professionals based on transformational leadership.

The problem addressed is the need for leadership training for community college professionals. The difference between leadership and management is defined. The emergence of transformational leadership as the dominant theory of leadership is described. The lack of leadership training for community college professionals is documented.

The research questions included: What leadership training design is most appropriate for training community college professionals? What do we know about transformational leadership? What content should be included in the design for the leadership academy? What format(s) is(are) most appropriate for the leadership academy? What form(s) of delivery is(are) most appropriate? What components of adult teaching and learning theory are relevant? What leadership issues are facing community college

professionals that would provide an appropriate context for leadership training activities?

What are the expected outcomes? How can these be measured?

The recommended design includes three, week-long intensive trainings over three years with interim follow-up and activities. The delivery methods include a wide variety of dialogue-rich and interactive processes that build self-knowledge, skills and awareness. Formative and summative assessments based on classroom research and other approaches are included. The content includes material related to the major themes that emerged from the meta-ethnographic analysis of transformational leadership: shared vision, communication, relationships, culture, leader actions, leader characteristics and leadership outcomes, as well as gender and diversity issues. The design recommends that the content be framed in the context of community college issues.

The methodology met identified criteria for qualitative research and was supplemented with triangulation with two expert reviewers.

**The Design for a Leadership Academy for Community College Professionals Based  
on Transformational Leadership**

**by**

**C. Dean Pielstick**

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# **The Design for a Leadership Academy for Community College Professionals Based on Transformational Leadership**

## **1. INTRODUCTION**

**We have decried the shortage of leaders possessing the qualities we want. Yet our society does little to identify and educate the best of our prospective leaders. (Clark & Clark, 1994, p. 159)**

### **Statement of the Problem**

The need for leadership in community colleges has never been greater. The need for leadership in general is a common theme in the literature on leadership (Clark & Clark, 1994; Barge, 1994; Conger, 1991; Gardner, 1990; Phillips, 1992; Bennis, 1989; Covey, 1990/1991; Kotter, 1988; Bennis & Nanus, 1985; and Burns, 1978). The literature also supports the need for leadership training. The need for leadership training ranked as one of two primary needs for training by the Western Center for Community College Professional Development at Oregon State University, Corvallis, Oregon, in its effort to help community colleges enhance their effectiveness (Western Center for Community College Professional Development, n.d.).

Issues affecting community colleges include (a) rapid changes in the social and economic structures of the communities they serve, (b) financial stress, (c) demands for accountability, and (d) pressure for educational reform, among others. To illustrate the issue involving educational reform, the State of Oregon has established a policy of

educational reform based on the Oregon Educational Act for the 21st Century (Oregon Department of Education, 1993). This policy is in many ways consistent with the national studies including *A Nation at Risk* (National Commission on Excellence in Education, 1983), the SCANS reports (Department of Labor, 1992) and *America's Choice: High Skills or Low Wages?* (Commission on the Skills of the American Workforce, 1990). It also addresses the need for reform raised by Dale Parnell in *The Neglected Majority* (1985).

Community colleges must change to accommodate these significant trends. This requires leadership. To learn to lead, community college professionals need leadership training.

### ***Leadership vs. Management***

One part of the problem for this thesis is that leadership is often confused with management. It is important to differentiate between leadership and management to clarify the statement of the problem. This is particularly relevant since much of the training marketed as leadership training consists of activities to develop management skills (Conger, 1992). This section discusses the nature of the differences between leadership and management in general.

Leadership and management are two different, but related, functions. They are not mutually exclusive. "Managers are people who do things right and leaders are people who do the right thing" (Bennis and Nanus, 1985, p. 21). Another way to look at it would be to say that leadership provides the "ends" and management the "means." Peter Drucker

described management as the efficiency of climbing the ladder and leadership as ensuring that the ladder is against the right wall.

Leadership is "the process of persuasion or example by which an individual (or leadership team) induces a group to pursue objectives held by the leader or shared by the leader and his or her followers," according to John Gardner (1990, p. 1). He listed nine tasks of leadership: 1) envisioning (shared) goals or the common good, 2) continuously affirming and regenerating values, 3) motivating, 4) managing, 5) achieving workable unity, including trust, 6) explaining and teaching, 7) serving as a symbol, 8) representing the group, and 9) pursuing personal and organizational renewal. The last task closely resembles Peter Senge's (1990) "learning organization."

Although Gardner included management as a part of leadership, most authors do not. The traditional functions of management—planning, budgeting, organizing, staffing, motivating, directing and controlling—do overlap with leadership, but focus more specifically on processes or means rather than ends. However, management does include concerns regarding mission, goals, communication, motivation and staff development, which are congruent with the functions of leadership. Those functions are creating a vision, articulating that vision (communication), building trust, and empowering others, as well as engaging in self-renewal, according to Bennis and Nanus (1985). This list closely parallels the findings of Gardner, particularly when noting that many of his nine tasks are part of the communication functions of a leader.

The difference between management and leadership is described in the classic article "Managers and Leaders: Are They Different?" by Abraham Zaleznik (1977) of the Harvard Graduate School of Business. Managers have impersonal commitments to goals.

On the other hand, leaders "seek out opportunities for change . . . to alter human, economic and political relationships" (p. 67), while remaining more separate from their environment.

Management is the process of "planning, budgeting, organizing and controlling some activity through the use of (more or less) scientific techniques and formal authority" (Kotter, 1988, p. 26), whereas leadership is "the process of moving a group (or groups) in some direction through mostly noncoercive means" (p. 5). *Effective* leadership "produces movement in the long-term best interests of the group(s)."

Leadership is a function of influence, according to Gary Yukl (1989). Similarly, "leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (Rost, 1991, p. 102).

Leadership provides meaning or purpose to a collective effort executed in the context of choice (Jacobs and Jaques, 1990). "Great leaders inspire their followers to believe, to expend more effort, and to accomplish great things that otherwise would not get done" (Clark and Clark, 1994, p. 22). The concept of principle-centered leadership, implying that there are preferred values associated with good leadership, was added by Stephen Covey (1990, 1991). This resembles John Gardner's (1990) "moral dimension."

"Leadership over human beings is exercised when persons with certain motives and purposes mobilize . . . institutional, political, psychological, and other resources so as to arouse, engage, and satisfy the motives of the followers," according to James MacGregor Burns (1978, p. 18) in his classic book, *Leadership*. *Transactional* leadership is "when one person takes the initiative in making contact with others for the purpose of an exchange of valued things . . . [which] could be economic or political or psychological

in nature" (p. 19). *Transformational* leadership is "when one or more persons *engage* with others in such a way that leaders and followers raise one another to higher levels of motivation and morality . . . and thus it has a transforming effect on both" (p. 20).

### *Leadership Theories*

The second part of the problem for this thesis is that the subject of "leadership" is too broad. There are many theories of leadership. Using one theoretical perspective provides a focus for effective training.

Theories of leadership in the 1930s and 1940s focused on the traits of recognized leaders, i.e., the universal trait theory (Barge, 1994). This theory held that leaders were characterized by such traits as intelligence, extroversion, integrity, emotional stability, and self-confidence. While subsequent studies have documented that these and other traits are not universal (Bennis & Nanus, 1985; Clark & Clark, 1994), there are those who still argue that such traits as "drive, motivation, honesty and integrity, self-confidence, cognitive ability, and knowledge of the business do matter for contemporary leaders" (Kirkpatrick & Locke, 1991).

In the 1950s, the Ohio State University leadership studies focused on leader behaviors, identifying two major components: (a) consideration (behaviors that signal trust, respect, warmth, and communication) and (b) initiation of structure (behaviors that facilitate accomplishment of a task or goal) (Clark & Clark, 1994; Barge, 1994).

Generally, studies have shown that leaders who rate high in both categories are more effective, including leaders in other cultures such as Japan. These behaviors were



measured by the Leader Behavior Description Questionnaire, which is still in wide use. Many training programs are based on these two dimensions, often in the form of Blake and Mouton's (1985) managerial grid theory.

Other researchers found that two dimensions did not provide adequate descriptions of leadership. Gary Yukl (1989), for example, found that the degree of participative leadership is distinct from consideration and initiation of structure. "Yukl asserts that survival of the institution as well as the ability to change in order to assure survival is high on the list of obligations of a leader" (Clark & Clark, p. 29).

Situational leadership theories were created to describe different leadership processes for different situations. Contingency theory tries to match the leader personality with a situation. It creates eight combinations of three factors: (a) leader-member relations, (b) task structure, and (c) position power (Fiedler, 1967). In spite of its wide use in industry, extensive studies have shown conflicting results (Barge, 1994). The nature of the task (structured vs. unstructured) and the extent of direction provided by the leader impact the satisfaction of followers, according to Robert House's (1971) Path-Goal Theory. However, about half of the studies of this theory provide contradictory conclusions (Schriesheim & Von Glinow, 1977). A third variation of situational leadership theory holds that leaders alter their style based on the follower's ability to perform a task and the individual's willingness or motivation to perform the task (Hershey and Blanchard, 1982). The leadership styles described are: (1) delegating, (2) participating, (3) selling, and (4) telling. Hershey and Blanchard's leadership theory includes a life-cycle component that seems intuitively accurate. In spite of its popularity, the research provides only limited support for part of the theory (Barge, 1994).

One widely recognized leader decision theory provides decision rules for leaders (Vroom & Yetton, 1973). It defines three leadership styles: (a) autocratic, (b) consultive, and (c) participative. Although there is support for this theory, there is some evidence that the leader's ability to manage conflict may be much more important (Tjosvold, Wedley, & Field, 1986).

The leader substitutes theory challenges the impact of leader behaviors on organizational outcomes (Kerr, 1977). Leader substitutes, based on subordinate, task and organizational characteristics, may counteract or enhance the leader's influence on a group. Substitutes that may reduce or neutralize leadership include: (a) ability, experience and training; (b) routine tasks; and (c) rigid, unbending rules and procedures.

Joseph Rost (1991) provided a detailed critical analysis of leadership theories arguing that nearly all of the leadership research on the theories described above was flawed in that it failed to adequately differentiate leadership from management. Most of this research and writing on the subject of leadership focused on the nature of the organizational and task structures, and the relationships between the leader and the followers, including such processes as decision making. Rost asserted that these theories more accurately describe components of management.

Transactional leadership, defined earlier as leadership based on an exchange between leader and follower (Burns, 1978), is also more closely aligned with management constructs than with those of leadership according to Rost (1991). However, he acknowledged that in personal conversations with Burns that he still contends that transactional leadership is distinct from management. However, Burns did not articulate those differences.

The theory of transformational leadership (Burns, 1978) changed the way the leadership was studied—and applied. Widely regarded by leadership scholars and professionals as a breakthrough conceptualization of leadership, Burns was awarded a Pulitzer Prize for his book. Transformational leadership, "when one or more persons *engage* with others in such a way that leaders and followers raise one another to higher levels of motivation and morality" (p. 20), is clearly distinguished from management. In addition, this theory has emerged as the most widely accepted theory of leadership during the past decade (Bryman, 1992). For these reasons, it was selected as the theoretical perspective for this study.

### ***Leadership Training***

The third part of the problem for this thesis is the lack of leadership training, in particular for community college professionals. As noted earlier, the training that is available primarily emphasizes management processes and/or focuses on other target audiences.

A management perspective is prevalent in such programs as the Institute for Academic Leadership Development, a training program for community college program chairpersons, deans and others sponsored by the National Community College Chair Academy. The Institute includes topics such as: conflict management, performance reviews, total quality management, active and cooperative learning techniques in the classroom, budgeting, teaching and learning, part-time faculty, faculty and staff development, curriculum development, ways to deal with stress, and cultural differences

(National Community College Chair Academy, n.d.). To its credit, the content of the program includes transformational leadership, but only as one small part. The highly regarded American Council on Education (ACE) Fellows Program focuses on administration, rather than leadership. Harvard's renowned Institute for Educational Management also focuses on management and costs \$5,900 per participant, a barrier to access for many community college professionals.

Several organizations offer training for selected audiences only. The Executive Leadership Institute, sponsored by the League for Innovation in the Community College, provides a nuts-and-bolts management training for prospective community college presidents. The National Institute for Leadership Development trains women from two- and four-year colleges and universities to help them advance in administrative positions. Phi Theta Kappa, the international honor society for 2-year colleges, supports a well-developed leadership course for students and community citizens. There are university programs such as the Community College Leadership Programs at the University of Texas at Austin and at Oregon State University that serve a related but distinctly different educational purpose than targeted training.

A conference format, while valuable, does not provide the in-depth training required to meet the need for leadership training. The League for Innovation sponsors the annual Leadership 2000 conference, which offers many short sessions on leadership and management topics.

Thus, the training opportunities currently available do not meet the *leadership* training needs of community college professionals, particularly with respect to

transformational leadership. Accordingly, there is a need for in-depth, transformational leadership training for community college professionals.

### Definitions

"Decades of academic analysis have given us more than 350 definitions of leadership" (Bennis & Nanus, 1985, p. 4). The purpose of this section is to provide clarification of how this and other key terms are defined for the purpose of this thesis.

**Leadership**—"the process of persuasion or example by which an individual (or leadership team) induces a group to pursue objectives held by the leader or shared by the leader and his or her followers" (Gardner, 1990, p. 1). This definition provides a broad, flexible approach that is generally consistent with those of other experts. Other leadership authors often cite this definition.

**Leadership training**—"identifying what needs improvement and then . . . demonstrating or helping the trainee . . . discover how to change his or her [leadership] perceptions, cognitions, attitudes and behavior" (Bass, 1990a, p. 818). The trainee must be provided opportunities to learn and demonstrate appropriate leadership and be given "feedback about the adequacy and effects of the trainee's efforts (Bass & Vaughan, 1966)" (cited in Bass, 1990a, p. 818).

**Management**—"planning, budgeting, organizing and controlling some activity through the use of (more or less) scientific techniques and formal authority" (John Kotter, 1988, p. 26).

**Professionals**—presidents, vice presidents, deans, directors, coordinators, faculty, and related exempt staff.

**Training**—"the systematic acquisition of skills, rules, concepts, or attitudes that result in improved performance in another environment" (Goldstein, 1993, p. 3). Training includes four basic steps: (1) assess the need for training, (2) design the program to meet the need, (3) deliver the training, and (4) evaluate the results (Eitington, 1989, p. xi).

**Transactional Leadership**—"when one person takes the initiative in making contact with others for the purpose of an exchange of valued things . . . [which] could be economic or political or psychological in nature" (Burns, 1978, p. 19).

**Transformational leadership**—"when one or more persons *engage* with others in such a way that leaders and followers raise one another to higher levels of motivation and morality . . . and thus it has a transforming effect on both" (p. 20). Burns' definition is moral, not moralistic (p. 455). This definition was selected as the classic definition originated by Burns and most often cited by other authors on transformational leadership. However, there is a body of literature that has emerged from transformational leadership that does not use that terminology.

### **Purpose of This Thesis**

The purpose of this thesis is to design a leadership academy for community college professionals based on transformational leadership. The design is based on the study of the research and other literature on transformational leadership, related adult

learning theory and leadership training, and current issues facing community college professionals, as the context for the training activities.

### **Questions to Be Addressed**

- What leadership training design is most appropriate for training community college professionals?
- What do we know about transformational leadership? What content should be included in the design for the leadership academy?
- What format(s) is(are) most appropriate for the leadership academy?
- What form(s) of delivery is(are) most appropriate? What components of adult teaching and learning theory are relevant?
- What leadership issues are facing community college professionals that would provide an appropriate context for leadership training activities?
- What are the expected outcomes? How can these be measured?

### **Research Limitations**

First, the research conducted for this thesis is limited to one form of qualitative methodology: meta-ethnography, a methodology designed to analyze multiple secondary sources (Noblit and Hare, 1988). Educational research is increasingly endorsing qualitative research methodologies (Bogden & Bilken, 1992). However, a single study is not definitive (Rosenthal, 1984/1991). Given the thousands of articles and hundreds of studies on leadership (Bass, 1990a), there are extensive resources for secondary research.

"The point to be made here is that not every study or research undertaking must begin with the collection of primary data (i.e., data originated by the researcher for the purpose of the investigation at hand)" (Stewart & Kamins, 1993, p. 1). As described in Chapter 3, meta-ethnography provides a qualitative methodology to analyze and synthesize the multiple sources on transformational leadership in order to design a leadership academy for community college professionals.

Second, while there are numerous theories of leadership, the leadership theory used for the design of this leadership academy is limited to transformational leadership. This includes material consistent with that theoretical framework from sources not identified with a specific theory and some material from other frameworks that are consistent with transformational leadership.

Third, since gender and multicultural diversity are not commonly addressed by the literature on transformational leadership, limited gender and multicultural considerations are included from related sources to enrich the analysis. However, neither the gender nor the multiculturalism issue was extensively researched for this project.

### **Organization of This Thesis**

This thesis is organized into five chapters:

Chapter 1, "Introduction," provides (a) a statement of the problem, (b) definitions, (c) the purpose of the study, (d) the questions to be addressed, and (e) the research limitations of the study.



Chapter 2, "Literature Review," reviews the literature on (a) transformational leadership, (b) gender and multicultural diversity considerations, (c) applicable adult learning theory and leadership, (d) applicable leadership training programs and research and (e) relevant leadership issues facing community college professionals. The literature for this study is the source of the data for the analysis.

Chapter 3, "Methodology," describes the qualitative methodology used for the research, including (a) meta-ethnography, (b) the rationale based on research traditions, (c) the procedures for data collection and selection and use of The Ethnograph™ software, and (d) the criteria for soundness of the research and recommendations, including triangulation of the recommendations with a group of experts.

Chapter 4, "Results of Meta-ethnographic Analysis," discusses the results of the analysis in terms of (a) transformational leadership, (b) adult learning theory and leadership training, (c) leadership issues facing community college professionals, and (d) soundness assessment.

Chapter 5, "Recommended Leadership Academy Design," provides the recommended design in terms of (a) format, (b) content, (c) processes and contexts, (d) training outcomes and measurements, (e) administrative structure issues, as well as (f) a review of the research questions, and (g) suggestions for further investigation.

## 2. LITERATURE REVIEW

### Introduction

This chapter provides a comprehensive review of the literature on transformational leadership. Theoretical, research, and professional opinion works have been included. In order to ensure comprehensiveness, a section was included on the general leadership literature that has evolved from transformational leadership theory and research. The literature on transformational leadership in community colleges and other educational institutions has been organized into separate sections from the general literature. In addition, sources on gender and cultural diversity have been included to enrich the review.

A review of literature on adult learning theory and leadership training provides sources for the learning framework in the leadership academy design. Theory, application of theory, delivery and format, model programs and evaluation are among the topics included.

The review began with electronic searches of key indices for keywords related to these areas. The indices were *ERIC*, *Education Index*, *Business Periodicals Index*, and *Social Science Index*. Keywords included variations on and combinations of: transformational, leadership, leader, change agent, community college, higher education, post-secondary, administration, research, theory, training, adult learning, staff development, issues, trends, and changes.

In addition, both *Dissertation Abstracts Online* and the Internet were searched. A Veronica search of Gopher files was used on the Internet for documents and files with the same set of keywords listed above. COMMCOLL and HORIZON-L listserves on the Internet were also used to help identify resources.

Books and articles were also located by using bibliographies from other books and articles on leadership. *Leadership Education 1994-1995: A Source Book* (Freeman, et al., 1994) contains an extensive bibliography of leadership documents, as well as listings of leadership courses and programs. *Bass and Stogdill's Leadership Handbook* (Bass, 1990a), includes an extensive literature review of approximately 7500 sources. These two books were particularly useful in identifying original sources.

The literature review is organized as follows: (a) the seminal work, *Leadership* (1978), by James MacGregor Burns provides the basic theoretical framework for this study and sets the stage for the rest of the review; (b) the major work of Bernard Bass and associates, who have led the field in researching transformational leadership, established a research framework for the review; (c) contributions by other authors regarding transformational leadership enhance this part of the review; (d) other literature that has evolved from the transformational leadership construct has been included to enhance the review with recent, related studies and thinking, even though it has not been identified as "transformational" leadership; (e) works on transformational leadership in community colleges illustrate how the construct has been applied toward the target audience of this thesis project; (f) literature on transformational leadership in schools, colleges and universities provide related applications of the theory in the field of education; (g) some

leadership literature regarding gender and multicultural diversity has been added to enrich this review; (h) adult learning theory literature from summary sources provides the learning framework for the design of the leadership academy; and (I) leadership training and other training and development sources enhance the learning perspective for the design. Within these topics the material generally follows a chronological format, except that multiple works by the same author are usually grouped together.

## **Transformational Leadership**

### *The Major Contributors*

#### **James MacGregor Burns**

Burns (1978), a social scientist and historian, provided the first definition of transformational leadership, which he juxtaposed to transactional leadership. Burns first describes *transactional* leadership as leadership which

... occurs when one person takes the initiative in making contact with others for the purpose of an exchange of valued things. The exchange could be economic or political or psychological in nature: a swap of goods or of one good for money; a trading of votes between candidate and citizen or between legislators; hospitality to another person in exchange for willingness to listen to one's troubles. Each party to the bargain is conscious of the power resources and attitudes of the other. Each person recognizes the other as a *person*. Their purposes are related, at least to the extent that the purposes stand within the bargaining process and can be advance by maintaining that process. ... The bargainers have no enduring purpose that holds them together. (pp. 19-20)

In contrast, he describes *transforming* leadership as leadership which

. . . occurs when one or more persons *engage* with others in such a way that leaders and followers raise one another to higher levels of motivation and morality. . . . Their purposes, which might have started out as separate but related, as in the case of transactional leadership, become fused. Power bases are linked not as counterweights but as mutual support for common purpose. Various names are used for such leadership, some of them derisory: elevating, mobilizing, inspiring, exalting, uplifting, preaching, exhorting, evangelizing. The relationship can be moralistic, of course. But transforming leadership ultimately becomes *moral* in that it raises the level of human conduct and ethical aspiration of both leader and led, and thus it has a transforming effect on both. Perhaps the best modern example is Gandhi, who aroused and elevated the hopes and demands of millions of Indians and whose life and personality were enhanced in the process. Transcending leadership is dynamic leadership in the sense that the leaders throw themselves into a relationship with followers who will feel 'elevated' by it and often become more active themselves, thereby creating new cadres of leaders. Transcending leadership is leadership *engagé*. Naked power-wielding can be neither transactional nor transforming; only leadership can be. (p. 20)

A strong assertion made throughout the text was the *moral* component of transformational leadership. "This last concept, *moral leadership*, concerns me the most" (p. 4). Burns describes moral leadership as

first, that leaders and led have a relationship not only of power but of mutual needs, aspirations, and values. . . . Moral leadership emerges from, and always returns to, the fundamental wants and needs, aspirations, and values of the followers. (p. 4)

This element is often missing, however, from other literature and research.

The moral dimension incorporates "compelling causes" (p. 34) guided by "near universal ethical principles of justice such as equality of human rights and respect for individual dignity" (p. 38). Moral leadership reflects end-values such as liberty, justice

and equality, as opposed to the modal values of transactional leadership, such as honesty, responsibility, fairness and honoring commitments. However, since the *means* must not corrupt the *ends*, the transformational leader advocates both through various means of consciousness-raising. This may include the need to instigate disenchantment with the status quo, provoking others to recognize the need for change.

Throughout the text, Burns described the continuous teaching and learning processes that characterize transformational leadership. "Ultimately education and leadership shade into each other to become almost inseparable, but only when both are defined as the reciprocal raising of levels of motivation rather than indoctrination or coercion" (p. 448).

Burns also repeatedly described transformational leadership as a relationship involving the *purpose* of both the leader and the followers. Purpose provides the motivation that enables the leader to mobilize the requisite resources to effect change that will "transcend the needs and ambitions of the individual" (p. 106), often asking "sacrifices *from* followers rather than merely promising them goods" (p. 455). Individuals, both leaders and followers, sacrifice personal benefits for the higher values associated with the common good.

Besides moral leadership, Burns identified five other types of transformational leadership: (a) intellectual leadership is characterized by conscious purpose, linking ends and means "analytically and creatively" (p. 163); (b) reform leadership accepts "the political and social structures within which they act" (p. 200) which often compromises reform efforts, but may provide the spirit to enable others to pursue the ends through

more transactional processes; (c) revolutionary leadership is passionate, even ruthless, and may compromise the means to achieve the ends, exploiting oppressed human wants and needs, discontent, and the failure of reform efforts; (d) heroic leadership usually emerges in a society "undergoing profound crisis" (p. 244) and is based on the personage of the leader, involving direct mass support of a dynamic, resourceful and responsive leader who "rebels against authority and tradition," but provides a symbolic solution; and (e) ideological leadership dedicated to "explicit goals that require substantial social change" (p. 248) to the exclusion of other wants and needs, often resulting in internal and external conflict with other needs and values.

Burns suggested four steps to exerting influence as a leader:

1. Clarify our own purpose or goal, including "*whether we are really trying to lead anyone but ourselves*" (p. 460).
2. Identify whom we are trying to lead; define the shared values, aspirations and goals of the group.
3. Describe the intended "*change that meets people's enduring needs*" (p. 461).
4. Assess the obstacles, the motivations of potential followers and rivals, and the power bases of each.

"The function of leadership is to *engage* followers, not merely to activate them, to commingle needs and aspirations and goals in a common enterprise, and in the process to make better citizens of both leaders and followers" (p. 461). And finally,

The most lasting and pervasive leadership of all is intangible and noninstitutional. It is the leadership of influence fostered by ideas

embodied in social or religious or artistic movements, in books, in great seminal documents, in the memory of great lives greatly lived. (pp. 454-455)

### **Bernard Bass and Associates**

In 1985 Bernard Bass constructed a modified model of transformational leadership that differed in three ways from the original construct of Burns. First, Bass noted that Burns' theory incorporated Maslow's hierarchy of needs and that one way the leader could motivate followers to do more than originally expected was to elevate the level of the perceived needs. The modification by Bass was simply adding "or expanding our portfolio of needs and wants" (p. 20).

The second change in the theory was the contention that "transformation" is independent of principles, values or morals, that is, even "bad" leaders may transform a society. He argued that the observed change is what is important, rather than the benefit to society. One consideration is that "good" and "bad" values and beliefs are not always held universally. Just one example of conflicting values in society regarding education is the demand for more and better services and, at the same time, lower taxes and tuition. Bass chose to ignore such issues by eliminating from the equation what may be the most significant component of Burns' theory, moral leadership.

Bryman (1992) pointed out that "this is a potentially risky argument in that it implies that transformational leadership may be identified by its effects" (p. 98). In addition "transformation by the leader of others, can easily be taken to imply



*organizational* transformation" (p. 161). Burns, on the other hand, placed the emphasis on transforming the process of leadership by elevating the purpose of the group.

The third difference was that Burns described transactional and transforming leadership as distinct from each other in a way that Bass considered to be bi-modal, i.e., as at opposite ends of a single continuum, although Burns did not describe them as mutually exclusive. Bass found that transformational leaders also do transactional leadership. In particular, transformational leaders also exhibit transactional leadership characteristics, although not all transactional leaders demonstrate transformational leadership characteristics (Waldman, Bass & Einstein, 1985).

Bass's (1985) theory of leadership evolved from his studies of leaders that asked hundreds of people to give descriptions of leaders. The behaviors and characteristics were then translated into questions. The resulting questionnaire was then administered to hundreds of additional people who were asked to respond in terms of great historical leaders. The responses were analyzed using factor analysis to produce a set of categories that define leadership (Sashkin & Rosenbach, 1993). The original resulting Multifactor Leadership Questionnaire (MLQ) included five factors. One factor, management-by-exception, was later divided into active and passive components (Hater & Bass, 1988). By 1990, a non-leadership factor, laissez-faire, had been added to the instrument (Yammarino & Bass, 1990b). In addition, inspiration was distinguished from charisma as a separate factor. The resulting *transformational* factors were defined as follows:

1. Charisma—"Provides vision and sense of mission, instills pride, gains respect and trust" (Bass, 1990b, p. 22).

2. Inspiration—"Communicates high expectations, uses symbols to focus efforts, expresses important purposes in simple ways."
3. Individualized consideration—"Gives personal attention, treats each employee individually, coaches, advises."
4. Intellectual stimulation—"Promotes intelligence, rationality, and careful problem solving."

The *transactional* factors were defined as:

1. Contingent reward—"Contracts exchange of rewards for effort, promises rewards for good performance, recognizes accomplishments."
2. Management-by-exception (active)—"Watches and searches for deviations from rules and standards, takes corrective action."
3. Management-by-exception (passive)—"Intervenes only if standards are not met."
4. Laissez-faire—"Abdicates responsibilities, avoids making decisions."

Reliability measures (coefficient alphas) for charisma tend to range from .82 to .94, for individual consideration from .84 to .87, and for intellectual stimulation from .78 to .89 (Gasper, 1992). Researchers using the MLQ consider the construct validity to be very good.

It is important to this review to fully describe the four transformational factors: charisma, inspiration, individualized consideration, and intellectual stimulation.

### *Charisma*

Bass developed this factor primarily from the work of Weber (cited in Bass, 1985) and House (1977). For House, the process was described as follows: "Imbued with self-confidence in their own competence, conviction in their own beliefs and ideals, and a strong need for power, charismatic leaders are highly motivated to influence their followers" (cited in Bass, 1990a, p. 40).

The personality characteristics of the charismatic leader from the works of Conger and Kanungo (1988) were listed as "highly sensitive to the needs of followers, strongly articulate, willing to take personal risks, agents of radical change, and idealistic in their vision of the future" (cited in Bass, 1990a, p. 189). In addition,

charismatic leaders are likely to display high levels of emotional expressiveness, self-confidence, self-determination, and freedom from internal conflict and are likely to have a strong conviction of the moral righteousness of their beliefs. (House, 1977; cited in Bass, 1990a, pp. 189-190)

Bass identified several characteristics of charismatic leaders: (a) expressive behavior, (b) self-confidence, (c) self-determination, (d) insight into the needs of followers, (e) freedom from internal conflict, (f) eloquence, and (g) high energy levels (pp. 190-192). Charisma, according to Bass (1990a) is "the most important and general component . . . of transformational leadership" (p.199). He also cited Zaleznick (1983) for asserting that charisma is what "distinguishes the ordinary manager from the true leader."

While the literature often cited the rise of charismatic leadership during periods of crisis, stress or transition (Bass, 1985), Bass also postulated that the charismatic may also

emerge through a sense of need created through a vision for change (Bass, 1990a). "The leaders provide these followers with an exhilarating mission . . . Boal and Bryson (1987, 1988) agree that visionary charismatics need no crisis" (p.187).

Burns (1978) expressed concern that the idea of charisma lacks a clear definition and is dependent on recognition of the followers, rather than a characteristic of the leadership phenomenon (pp. 243-244). Therefore, he used the concept of "heroic leadership" (pp. 244-248) as one form of transformational leadership, rather than, as Bass has done, an essential component of all transformational leadership. Interestingly, Bass has not documented this as one of the significant differences between his construct and that of Burns, as he has with the three other differences noted above.

Burns expressed his feelings about charismatic leadership in an interview with Doris Kearns Goodwin about his book, *Leadership*, when it was first published in 1978: "All things considered, I think we are tending toward charismatic, ephemeral, *superficial leadership* [emphasis added]" (p. 58). Later, in 1984, in a foreword to *Leadership: Multidisciplinary Perspectives* edited by Barbara Kellerman, he referred to it as "the 'gee whiz' aspects of the theory of charisma" (p. vii). Additional information on the charismatic perspective, which has emerged as a separate field of study within the broader subject of leadership, is provided below under the heading "Related Leadership Literature."

### ***Inspiration***

Inspirational leadership represented an emotional quality (Bass, 1985, p. 63), including the ability to create and articulate a compelling vision with the use of symbols and metaphors. One key was the Pygmalion effect, or self-fulfilling prophesy, i.e., the followers are inspired by the expectations of the leader through the compelling vision.

Followers of inspirational leaders identify with the goals and purposes of the leader (Downton, 1973; as cited in Bass, 1990a), whereas followers of charismatic leaders the extent to which followers of charismatic leaders identify with the leader (Bass, 1990a). Bass's original research was not able to substantiate a significant difference between inspirational and charismatic leadership (1985). Refinement of the MLQ later allowed differentiation of inspirational leadership as a separate factor (Sashkin & Rosenbach, 1993). More recently, Bass and Avolio (1993) used the term "idealized influence" (p. 51) as a descriptor in place of charisma and "inspirational motivation" (p. 52) as a separate factor.

### ***Individualized Consideration***

Bass (1985) described individualized consideration as "a matter of mentoring and individuation by the leader" (p. 97). The emphasis is on the individual contact and communication, including the unique or special needs of the particular follower. For example, he found that "there are particularly strong associations between

transformational leadership and consideration" (p. 525). He found that individual consideration "increases the satisfaction of subordinates and is increased by it" (p. 543).

#### Transformational leaders

tended to be friendly, informal, and close and treated subordinates as equals although they (the leaders) had more expertise. They gave advice, help and support and encouraged their subordinates' self-development. (Bass, 1985, p. 82)

Individual consideration includes being "considerate, empathetic, concerned, caring, and supportive" (p. 85). Transformational leaders often give challenging and developmental assignments and empower employees far down the line. Actions include expressions of appreciation for good work and frequent face-to-face or telephone interaction at all levels within the organization, and particularly *listening* for problems and personal needs.

One risk is the development of "in" and "out" groups. The leader must ensure that individual consideration is equitable throughout the organization in the long-run (pp. 94-97).

#### ***Intellectual Stimulation***

This factor was defined by Bass (1985) as "the arousal and change in followers of problem awareness and problem solving, of thought and imagination, and of beliefs and values" (p. 99). The emphasis is on stimulating strategic thinking and "the tasks of analysis, formulation, implementation, interpretation, and evaluation." The leader helps enable followers to see issues from a new perspective, facilitating a paradigm shift. Leaders may use task forces and delegate to stimulate analysis and problem solving.

Compared to transactional leaders,

transformational leaders are more likely to be proactive than reactive in their thinking; more creative, novel, and innovative in their ideas; more radical or reactionary than reforming or conservative in ideology; and less inhibited in their ideational search for solutions. (p.105)

As with the individualized consideration, professional development of followers can be an important component of intellectual stimulation. This may be augmented with the use of symbolic and ceremonial activities to alter motivational levels, values and beliefs.

### ***Research Findings***

While a transformational leader may be weak in one of these four factors, "these transformational factors tend to be intercorrelated" and "transformational leaders are likely to be higher rather than lower in [these] factors" (Bass, 1985, p. 114). In summary, Bass (1990a) postulated that

the [transformational] leader must be a person of strong conviction, determined, self-confident, and emotionally expressive and his or her followers must want to identify with the leader as a person, whether they are or are not in a crisis. (p. 220)

Bass (1985) included the results of several of his studies in *Leadership and Performance Beyond Expectations* that support the contentions of his theoretical construct as described above. In 1987, Bass, Avolio and Goodheim studied undergraduate business students with biographies of world-class leaders to confirm these findings.

Based on an analysis of subordinates' performance appraisals, transformational leaders generated more satisfaction among employees (Waldman, Bass and Einstein, 1987). Subordinates also try to model the transformational leadership behaviors of managers (Bass, Waldman, Avolio, and Bebb, 1987). However, the charisma factor does not always follow this pattern. First-line charismatic supervisors do not appear to expect or prefer charisma from their second-level supervisors.

The augmentation of transactional leadership by transformational leadership factors was confirmed by Hater and Bass (1988) and Waldman, Bass and Yammarino (1990). In addition, transformational leaders identified through the MLQ correlated with top performing managers identified from other sources.

Avolio and Bass (1988) found that contingent reward can be effective transactional leadership. Hater and Bass (1988) went further when they found that contingent reward augmented by charisma gives even higher correlations with effectiveness.

Bass and Avolio (1989) compared graphic scale rating and forced rankings for transformational and transactional leadership factors. The intercorrelations among the factor scores were reduced significantly, as expected, when using the force rankings. The study also provided support for the relationship between transformational leadership and two outcome measures: effectiveness and subordinate satisfaction with the leader. Yammarino and Bass (1990a) found that transformational leadership factors also correlated with measures of increased subordinate satisfaction, extra effort and effectiveness.



A question commonly raised in the leadership literature is whether the phenomenon is a dyad between the leader and a follower or the leader and the group. Yammarino and Bass (1990b) conducted a study using multiple levels of analysis: individuals, dyads within groups and groups. The analysis found that leader-follower relationships were based on perceived unique individual interactions with the leader, independent of the other followers, although the authors recommend numerous other considerations for additional study. Among them, the potential of single-source bias is a primary concern given that the "individual differences [accounted] for most of the variance and co-variance among the measures" (p. 993). In follow-up studies, Yammarino and Bass (1990a) and Avolio, Yammarino and Bass (1991) used Within and Between Analysis (WABA) to address this issue. Nevertheless, single-source data continue to be problematic (Gasper, 1992).

Initiation (clarifying the task, providing information and structuring the task) and consideration (being sociable, participative, pleasant and concerned about the group members) have been major factors for leadership research. Seltzer and Bass (1990) showed that transformational leadership augments initiation and consideration, i.e., explains more of the subordinate effectiveness, effort, and satisfaction than can be explained by initiation and consideration. In addition, they documented that "charisma operates at the leader-individual level rather than at the leader-group level" (p. 701), opposite of the general view.

Howell and Avolio (1993) assessed transformational leadership over a period of one year and found that the results were consistent with other studies of transformational

leadership based on the MLQ. In addition, they found that transformational leadership was associated with a higher internal locus of control and predicted higher levels of business-unit performance (as opposed to most studies that focus on individual performance). Finally, the study found that "transformational leaders do perform better in environments that are described by followers as *innovative*" (p. 900).

Bass and associates have used variations on the MLQ and quantitative analysis of the data for many studies. One methodological difficulty of these studies has been the use of convenience samples or defining the entire population as the representatives from the management group of a particular organization. This inhibits statistical generalization to the general population. However, since so many studies have been conducted at multiple organizational levels, in different countries, with multiple sources and multiple procedures, there is increased evidence of the validity of the results. The research, some of which is discussed below, has documented that "more or most successful and effective leadership was associated both qualitatively and quantitatively with transformational and active transactional leadership behavior" (Bass & Avolio, 1993, p. 57).

Another criticism has been the actual questions that go beyond assessing behaviors, particularly for the critical charisma dimension, and which include attitudinal questions. Bass and his associates have incorporated more observable leader behavior items in response to these criticisms (Bass & Avolio, 1990; Yammarino & Bass, 1990). A related criticism has been the use of questionnaires generally, as an adequate assessment of a complex phenomenon (Sashkin & Rosenbach, 1993).

Bass and Avolio (1993) noted that in spite of the extensive progress, much remained to be studied.

Not all of the behaviors and characteristics that could be associated with transformational leadership have been identified, or accurately measured if they have been identified. . . . Linkage[s] to other constructs such as personality, values and moral development [and other models such as the] vertical dyad linkage theory (Graen and Cashman, 1975) and the Dansereau et al. (1984) levels-of-analysis framework [remain to be investigated]. (p. 75)

Changes in leader and follower perceptions and behaviors related to the use of specific patterns of transformational and transactional leadership also require further study.

Longitudinal, nonprofit, community and many other studies are currently in progress.

### **Bennis and Nanus**

Another commonly referenced book is *Leaders* by Bennis and Nanus (1985).

They wrote about "the new leader . . . one who commits people to action, who converts followers into leaders, and who may convert leaders into agents of change" (p. 3). As discussed in Chapter 1, they defined managers as "*people who do things right* [and leaders as] *people who do the right thing*. . . . The difference may be summarized as activities of vision and judgment" (p. 21). The authors described transformative leadership as a process involving four strategies:

1. attention through vision—"vision animates, inspirits, transforms purpose into action" (p. 30)

2. meaning through communication—"the capacity to relate a compelling image of a desired state of affairs—the kind of image that induces enthusiasm and commitment in others" (p. 33)
3. trust through positioning—"knowing what is right and necessary" and being "tirelessly persistent" (p. 45)
4. deployment of self—positive self-regard (p. 55) and embracing positive goals (p. 71).

These strategies translate into empowerment and commitment. The leader enhances this phenomenon by articulating new values and philosophy, a new metaphor to create meaning and purpose. Transformative leaders "shape and elevate the motives and goals of followers . . . [to] achieve significant change that reflects the community of interests of both leaders and followers . . . in pursuit of a common goal" (p. 217).

Interestingly, Bennis and Nanus argued that few leaders—"damned few" (p. 223)—are charismatic. They postulated that

charisma is the result of effective leadership, not the other way around, and that those who are good at it are granted a certain amount of respect and even awe by their followers, which increases the bond of attraction between them. (p. 224)

In a subsequent article, Bennis (1988) wrote, "real leaders have in common a passion for the promises of life" (p. 21). He argued that leaders need a broad perspective, "a high sense of mission" (p. 25), and the ability for "absolute concentration" (p. 26). Leaders must live their values while understanding their followers. In his book, *Why Leaders Can't Lead*, Bennis (1990) characterized his work with "superleaders, people of

enormous and, in some cases, exquisite achievements in the arts, athletics, and public life, as well as industry" (p. 108):

1. "True leaders lead fully integrated lives, in which their careers and their personal lives fit seamlessly and harmoniously together."
2. "True leaders have never been [greedy], even for a moment. Their ambition, talent, and capacity to learn have served them, rather than enslaving them."
3. "By using their ambition, talent, and capacity, these leaders have identified their true calling, as it were, and fulfilled their own genius, their visions of excellence, through the application of passion, energy, and focus" (pp. 108-109).

Leaders must be willing to use their best qualities:

1. *Integrity*—"standards of moral and intellectual honesty" (p. 117)
2. *Dedication*—"a passionate belief in something" (p. 117)
3. *Magnanimity*—"being 'noble of mind and heart; generous in forgiving; above revenge or resentment'" (p. 118)
4. *Openness*—"a willingness to try new things and hear new ideas, however bizarre, a tolerance for ambiguity and change, and a rejection of any and all preconceived prejudices, biases, and stereotypes" (p. 119)

In 1993, Bennis (1993b) was even more focused when he wrote, "Leaders have a clear idea of what they want to do—personally and professionally—and the strength to persist in the face of setbacks, even failures. They know where they are going and why" (p.215). He also said that "the single defining quality of leaders is the capacity to create and realize a vision" (p. 216). In another article (Bennis, 1993a), he discussed how leadership leads to empowerment that is evident in four themes: (1) "*people feel*

*significant*" (p. 79), (2) *"learning and competence matter,"* (3) *"people are part of a community,"* and (4) *"work is exciting"* (p. 80).

His partner on the original book, Burt Nanus (1989) enhanced the original model with seven "megaskills" (pp. 82-97): (1) farsightedness, (2) mastery of change—a dynamic and flexible strategist, (3) organization design, (4) anticipatory lifelong learning, (5) initiative and client-based innovation, (6) mastery of interdependence and cooperation, and (7) high standards of integrity. In addition, he contributed a list of suggestions to develop the requisite skills:

1. *"Seek leadership responsibilities early and often"* (p. 116).
2. *"Find a mentor or role model."*
3. *"Develop farsightedness"* (p. 117).
4. *"Master the skills of interdependence."*
5. *"Become a 'world citizen.'"*
6. *"Develop personal character, integrity, and trust"* (p. 118).
7. *"Seek varied job assignments."*
8. *"Think like a researcher."*
9. *"Design your leadership job carefully"* (p. 119).
10. *"Have fun at what you do."*

In his second book, Nanus (1992) focused on building a powerful and transforming vision. Such visions have the following properties:

1. "They are appropriate for the organization and for the times" (p. 28).
2. "They set standards of excellence and reflect high ideals" (p. 29).
3. "They clarify purpose and direction."
4. "They inspire enthusiasm and encourage commitment."
5. "They are well articulated and easily understood."
6. "They reflect the uniqueness of the organization, its distinctive competence, what it stands for, and what it is able to achieve."
7. "They are ambitious."

To get started crafting such a vision, he suggested, (a) "learn everything you can about your institution, similar organizations, and your industry" (p. 38), (b) "bring your major constituencies...into the visioning process," (c) "keep a playful open mind as you explore the options for a new vision," (d) "encourage inputs from all your colleagues and subordinates," and (e) "don't disparage the previous leadership or its vision" (p. 39).

### **Kouzes and Posner**

Kouzes and Posner have also been frequently referenced in the literature on transformational leadership, although they did not directly attribute their work to Burns or other related theorists. Their approach began with a study in which they asked managers to describe in detail cases during which they were at their personal best as a leader. These were analyzed to identify patterns and to construct questions about leadership behaviors. They then administered the questionnaire to hundreds of managers, asking them to describe exceptional leaders they had known. The responses were subjected to factor

analysis that produced five clear factors (Sashkin & Rosenbach, 1993). This effort resulted in the Leadership Practices Inventory (LPI), which has been reworked as the LPI-Self and LPI-Other to incorporate multiple perspectives (Kouzes & Posner, 1990), as Bass and associates often do in their research. The test/retest reliabilities range from 93% to 96%.

In *The Leadership Challenge*, Kouzes and Posner (1987) described the five practices common to successful leaders (pp. 8-13; Sashkin & Rosenbach, 1993, pp. 92-93):

1. Challenging the process—searching for opportunities, experimenting, taking sensible risks
2. Inspiring a shared vision—construction of the vision and building support by articulating its common purpose
3. Enabling others to act—fostering collaboration, empowering followers and supporting personal and professional development of followers
4. Modeling the way—setting an example and helping followers make incremental progress toward the goals and vision, including the use of conventional management practices
5. Encouraging the heart—recognizing follower contributions, celebrating achievements, and displaying their own *love* for their products, people, customers and work

As part of their research, Kouzes and Posner identified four characteristics that most people (defined as over 51%) admire in leaders (Kouzes, 1994, n.a.):

1. Honest (87%)—truthful, has integrity, trustworthy, has character
2. Forward-looking (71%)—visionary, foresighted, concerned about the future, sense of direction



3. Inspiring (68%)—uplifting, enthusiastic, energetic, humorous, cheerful, positive about the future
4. Competent (58%)—capable, proficient, effective, efficient, professional, including expertise in leadership, i.e., "the ability to challenge, inspire, enable, model, and encourage" (Kouzes & Posner, 1987, p. 19).

Although the percentages vary slightly, they have since found that these same four characteristics emerge across many cultural and national boundaries.

The authors also described three criteria used by researchers to determine "the believability of communication" (p. 21): (a) trustworthiness, (b) expertise, and (c) dynamism. These correlate closely to honesty, competence, and inspiring, respectively. Jim Kouzes (1994) pointed out that forward-looking, or visionary, "distinguishes leaders from other credible people" and that "credibility is the foundation for leadership" (n.a.).

In a 1988 study, Kouzes and Posner found that the three dimensions of credibility correlate significantly with the five behavioral practices of leaders. "In behavioral terms, managers are more likely to be perceived by their subordinates as leaders when they are clear about their values and beliefs, are able to articulate them in an exciting and enthusiastic way to others, and consistently demonstrate by their own behavior what they expect of others" (p. 530), i.e., "walk the talk," "practice what you preach," "put up or shut up," and "put your money where your mouth is" (cited by Kouzes, 1994, n.a.). "Leaders must do what *we say we will do*—DWWSWWD" (Kouzes & Posner, 1993a, p. 47).

Kouzes and Posner (1993b) cited five basic actions that help build credibility: (1) "*know your constituents*" (p. 60)—build relationships, listen, (2) "*stand up for your*

*beliefs*"—know what you believe and stand for, while remaining open to others and new information, (3) "*speak with passion*"—communicate your enthusiasm, enrich the vision through stories, anecdotes and metaphors, (4) "*lead by example*"—"demonstrate to others what is important by how you spend your time, by the priorities on your agenda, by the questions you ask and the people you see," and (5) "*conquer yourself*" (p. 61)—self-confidence is required to lead.

### **Sashkin**

Sashkin (1989) defined visionary leadership as the ability to articulate a compelling long-range vision (10, 20 or more years) that "make[s] people want to buy into the leader's vision and help make it happen" (p. 46). Such leaders express, explain, extend and expand the vision. The vision itself must incorporate change, a goal, and center on people. To make the vision real, leaders articulate "a clear and brief statement of the vision . . . so that every person in the organization can express it" (p. 50). The organization must also develop policies, programs and commit resources to support the vision. Finally, the personal actions of the leader must communicate the vision.

These leader behaviors include (a) focusing attention on the vision, (b) listening, clarifying and giving feedback, (c) consistency in words and actions, (d) displaying respect for self and others, and (e) providing opportunities to share calculated risks and share in the rewards. "These leaders motivate by 'pulling' us along with them" (p. 52).

Sashkin and Rosenbach (1993) compared the work of Bass, Kouzes and Posner, and Bennis and Nanus to Sashkin's model of visionary leadership. They argued that

"Kouzes and Posner have taken a big step beyond Bass toward a much clearer behavioral explanation of transformational leadership" (p. 93). Sashkin, at about the same time as these other researchers, designed his Leader Behavior Questionnaire (LBQ) based initially on the work of Warren Bennis. Five categories were used to generate the LBQ (pp. 93-94):

1. *Clarity*—focusing attention on the vision, using metaphors and analogies
2. *Communication*—active listening, giving and receiving feedback
3. *Consistency*—establishing trust through consistent action, doing what you say
4. *Caring*—respect and concern for people, ensuring job security, remembering birthdays, learning and using names
5. *Creating opportunities*—empowering followers, providing resources and help to reduce risk so the follower can and will be successful.

The authors pointed out the similarity with the categories of Kouzes and Posner that were independently determined using different methodologies. This similarity "gives us confidence that these researchers are on to something, that the behaviors they've identified are real and important" (p. 94).

Sashkin, however, determined that there was more to transformational leadership than these five behavioral categories. His research "identified three specific personal characteristics that mark the differences among exceptional transformational leaders, average leaders, transactional leaders (managers), and nonleaders" (p. 95): (a) self-confidence—self-efficacy, internal locus of control (Bandura, 1977), (b) power—a high need for power (McClelland & Burnham, 1976) *used to empower others*, (c) vision—the

use of and guidance of others to use "cognitive power" (Jaques, 1991), i.e., to understand complex chains of cause-and-effect, to design a shared vision for the common good (Sashkin & Rosenbach, 1993, pp. 95-98). Sashkin and Rosenbach said that "transformational leaders teach followers to develop these characteristics for themselves, rather than simply using their own capabilities to do things *for* followers" (p. 98).

The importance of shaping the organizational culture by the leader was also considered by Sashkin (Parsons, 1960; Schein, 1992) regarding "Edgar H. Schein has said that the *only* important thing leaders do may well be constructing culture" (Sashkin & Rosenbach, 1993, p. 99). Sashkin characterizes culture as the shared *values*—determining right or wrong, good or bad—and shared *beliefs*—"what people expect to happen as a result of their actions." These, in turn, are used to deal with four fundamental organizational issues (p. 99):

1. "*Adaptation*—how people deal with external forces and the need to change"
2. "*Goal achievement*—the nature of organizational goals, how they are defined, and their importance"
3. "*Coordination*—how people work together to get the job done"
4. "*Shared values and beliefs*— . . . the degree to which people in the organization generally agree that these values and beliefs are important and should guide their actions."

Accordingly, transformational leaders teach followers (a) self-efficacy, (b) empowerment for the common good, (c) cognitive power to understand how complicated cause-and-effect chains work together as a system, and (d) a "clear, simple, value-based *philosophy*" (p. 101). Sashkin and Rosenbach also stated that

leaders empower others to define organizational *policies* and develop *programs* that are explicitly based on the values and beliefs contained in the philosophy that in fact put those values and beliefs into organizational action.

It is also important that "leaders inculcate values and beliefs through their own individual behaviors, their personal *practices*. . . . [to] demonstrate and illustrate the values and beliefs on which their visions are founded." Ordinary management activities are viewed as opportunities to inculcate those values.

The authors believe that transformational leadership represents a paradigm shift that goes beyond previous constructs of leadership as good management. They cited the work of Rost who posits that transformational leadership involves an interactive relationship between leaders and followers. However, they disagreed with him about the nature of the relative contributions. Sashkin and Rosenbach argued that while the relationship must be *equitable*, it is not *equal*. Leaders synthesize, articulate and extend purposes and construct conditions, in a way that enables followers to change, to realize their potential, and to be transformed into leaders themselves.

Based on these findings, Sashkin modified the LBQ to add five additional factors: (1) bottom-line leadership—self-confidence, (2) empowered leadership—power, (3) long-term leadership—vision, (4) organizational leadership, and (5) cultural leadership (p. 106). The result was a questionnaire that assesses leader behavior, personal characteristics and effects on organizational culture.

In 1992, Sashkin, et al. reported on several studies using quantitative and qualitative methods. The first study, using quantitative methods, compared results of

Sashkin's LDQ (Leader Description Questionnaire—an authorized version of Bass's MLQ) and Sashkin's LBQ on large samples from the same populations. The results showed a significant correlation between Bass's *charisma* construct and the three personal characteristics of the LBQ. Bass's *intellectual stimulation* was also found to match Sashkin's "creating opportunities." However, "individualized consideration" did not correlate significantly with "caring." They concluded that while the results did not support that "the instruments give a 'true' assessment of transformational leadership," they did "suggest that there is something real and constant that is 'there' and that is being measured" (p. 134).

The four other quantitative studies found that (1) "children in schools led by principals scoring high on the LBQ scored significantly higher on student outcome assessments" (p. 135), (2) "a strong web of relationships . . . between leadership variables and organizational culture measures" (p. 135) using LBQ and SCAQ (School Culture Assessment Questionnaire), (3) "strong and significant relationships between visionary leadership [LBQ] and district culture," as well as some weaker relationships "between the superintendent's leadership and student outcome measures at the building level," and (4) "programs led by high visionary leaders [LBQ] had stronger cultures, . . . significantly more culture-building activity, . . . especially oriented toward 'customers'" (p. 136).

Five case studies were also reported which identified six common themes. First, "each of the five principals had a clear notion of what the school stood for" (p. 137). Second, faculty were selected based "not only on skills and abilities, but also on values." Third, the principals used conflict "to communicate values." Fourth, each of the

principals "communicated their values consistently by the examples of their [daily] behaviors and actions." Fifth, these leaders used "stories of the history and successes of teachers and students" to express values and purpose (p. 139). And sixth, "ceremonies, traditions, rituals, and symbols" were used frequently to communicate values and build culture.

In the third part of the report, the authors reported on a long-term action-research study on a transformational leadership development program after the first three years as measured by the LDQ. The results showed significant increases for charisma and individualized consideration with lesser increases for intellectual stimulation and inspiration. Perceived unit effectiveness and "effectiveness in representing their units to higher authority" (p. 142) both increased significantly. While half of the subordinates were more satisfied with their leaders, the results were not significant. On the other hand, most were more satisfied with the leadership style as "more appropriate to getting the job done right."

### **Other Transformational Leadership Studies**

Transformational leadership has also been researched and commented on by others less directly connected to the primary theorists and researchers discussed above. Among the more notable ones, Tichy and Ulrich (1984) advocated the need for transformational leadership in the corporate environment. They described the dynamics of change as (a) a felt need for change, (b) unleashing of both positive and negative forces, (c) avoiding quick-fix solutions, and (d) transformational leadership.

Transformational leadership included (a) creation of a vision "congruent with the leader's and organization's philosophy and style" (pp. 63-64), (b) mobilization of commitment through dialogue and exchange, and (c) institutionalization of the change through a new culture, "alterations in communication, decision making, . . . problem-solving . . . [and] human resource systems" (p. 64). Of particular note was their description of the qualities of a transformational leader:

The transformational leader must possess a deep understanding, whether it be intuitive or learned, of organizations and their place both in society at large and in the lives of individuals. The ability to build a new institution requires the kind of political dialogue our founding fathers had when Jefferson, Hamilton, Adams, and others debated the issues of justice, equity, separation of powers, checks and balances, and freedom. (pp. 66-67)

Besides Burns (1978) and Bass (1985), another commonly referenced source on transformational leadership is *The Transformational Leader* by Tichy and Devanna (1986), a descriptive study of twelve CEOs. In it, the authors built on the ideas of the above referenced article. Transformational leadership was defined as

a behavior process capable of being learned and managed. It's a leadership process that is systematic, consisting of purposeful and organized search for changes, systematic analysis, and the capacity to move resources from areas of lesser to greater productivity . . . [for] strategic transformation. (p. viii)

The authors described five phases of organizational level transformation:

1. A trigger event
2. A felt need for change



3. Creation of a vision
4. Mobilization of commitment
5. Institutionalization of change

In addition, they added three phases that the individuals within the organization must traverse in order for the transformation to be effected:

1. Endings—"disengaging from the past, disidentification with its demands, disenchantment with its implications and disorientation as they learn new behaviors" (p.32)
2. Neutral zone—"taking the time and thought to gain perspective on both the ending . . . [and] a new beginning" (p. 33)
3. New beginnings—"rehearsal time will be needed before everyone learns their new lines and masters their new roles" (p. 33).

For those working from within the organization, they recommended (a) challenging the leader (leaders need to hear dissonant information), (b) building external networks with different views and concerns, (c) visiting other organizations to find benchmarks of excellence, and (d) building in review processes. It is also important that full information is available throughout the organization.

A key activity of the transformational leader is visioning. Tichy and Devanna outlined three principles: (1) frame the problem in a broad context, (2) collect informal and systematic data, and (3) focus on a few central issues.

Finally, the authors share their observations about the characteristics of transformational leaders:

1. "They identify themselves as change agents. . . . Their professional and personal image was to make a difference" (p. 271).
2. "They are courageous individuals. . . . prudent risk takers" (p. 271).
3. "They believe in people. . . . They work toward the empowerment of others" (p. 273).
4. "They are value-driven" (p. 274).
5. "They are life long learners. . . . able to talk about mistakes they had made. . . . as learning experiences" (p. 276).

6. "They have the ability to deal with complexity, ambiguity, and uncertainty . . . . capable of dealing with the cultural and political side of the organization [as well as] the technical side" (p. 279).
7. "They are visionaries. . . . able to dream, able to translate those dreams and images so that other people could share them" (p. 280).

In an early follow up study to Bass, Singer and Singer (1986) found that

subordinates with high needs for affiliation seem to favor charismatic leaders and leaders who provide individualised [sic] consideration. In addition, subordinates with high needs for conforming have a preference for leaders who provide intellectual stimulation. (p.779)

They also found a tendency for nonconformers not to seek encouragement from supervisors. Generally, the participants preferred transformational leaders to transactional leaders.

In another follow up study reported in 1990, Singer and Singer found that employees in a mechanistic organizational structure still preferred transformational leadership, contrary to expectations by Bass (1985). Furthermore, "transformational leader behavior is associated with higher levels of subordinate satisfaction and . . . the common preference for that style is reflected in reported levels of subordinate satisfaction" (p.395).

Kuhnert and Lewis (1987) postulated a connection between the use of transactional vs. transformational leadership based on a constructive/ developmental personality theory "outlined by Robert Kegan (1982)" (p.650). The theory was based on a sequential set of "patterns in the ways that people construct meaning during the course of their lives" (pp. 650-651), much as Piaget (1939/1954) did for childhood cognitive

development. (Stage 1 was not discussed.) At stage 2, the leaders would focus on personal goals and agendas, limiting themselves to lower-level transactional leadership techniques. Stage 3 leaders are able to consider the interests of both themselves and their followers to coordinate needs, support, expectations, and rewards characteristic of higher-order transactional (and some transformational) leadership. Stage 4 leaders, on the other hand, define themselves in terms of internal values that enable them to transcend transactional exchanges, sharing their beliefs, values and goals through transformational leadership. Although additional research is needed, personality development would be consistent with statements by both Burns (1978) and Bass (1990a).

Waldman (1987) described transformational leadership in much the same terms as Bass. He described antecedents that include self-confidence and conviction, a high need for achievement, and possibly "technical expertise, willingness to take risks, friendliness, concern for people, ability to communicate clearly or succinctly, sense of humor, and past accomplishments" (pp. 25-26). In addition, organizations that want to facilitate transformational leadership "value and reward innovation, change, development, and respect for individuals" (p. 26). He cautioned that transformational leadership, as an interactive process, is time-consuming, but can have significant payoffs.

In 1989, Lincoln argued for the need for more case studies and ethnographies on transformational leadership. Such studies would (a) "*demonstrate what transformational leadership looks like when it is enacted*," (b) provide "*insight into the personalities and characteristics of transformative individuals*," (c) "*demonstrate the struggles for*

*empowerment," and (d) "provide us with stories, narratives. and what is called 'verisimilitude', or a vicarious experience" (p. 177). Still, few have been published.*

In a review of the theory and research, Yukl (1989) noted that much of the research had been quantitative, particularly questionnaire based, with the inherent problems. While calling for more qualitative approaches, he noted the limitations and biases of those approaches as well. "We need to develop better research methods to deal with the complex nature of these processes" (p. 278). He also suggested such methods as "protocol analysis (Schweiger, 1983), stimulated recall (Burgoyne & Hodgson, 1984), realistic simulations (Kaplan, Lombardo, & Mazique, 1985), and detailed ethnographic analysis (Strong, 1984)."

Yukl differentiated transformational and charismatic leadership as separate, though possibly related, phenomena, in spite of the inclusion of charisma as a factor in Bass's model of transformational leadership. After cautioning about the conclusiveness of the research to date (1989), he summarized the findings as follows:

It is important for the leader to articulate a clear and appealing vision relevant to the needs and values of followers. Communication of this vision is facilitated by the leader's action, by what the leader attends to, and by the use of emotional appeals, symbols, metaphors, rituals, and dramatic staged events. The intellectual components of the vision appear important for influencing how followers interpret events and for persuading followers that the leader's strategy for attaining the vision is feasible. . . . A successful vision is more likely to be developed through a participative process than unilaterally. . . . Perhaps the unique contribution of the leader is to collect and integrate the components of a vision provided by followers, then make the vision come alive through persuasive articulation. (p. 273)

Yukl (1994) discussed the dilemma of current research on transformational leadership in relationship to charismatic leadership. Clearly there is considerable overlap. For example, both are considered visionary and lead by example and often share such characteristics as self-confidence, strong convictions, and speaking ability. They may both use symbols and metaphors to enhance their message. In addition, positive charismatics and transformational leaders pursue ideological goals.

However, charismatic leadership has its down side. It is difficult to predict results when people give too much power to a leader. Charismatic leaders develop their own mission and sell it to others, whereas the shared vision of the transformational leader is more likely to come from a participatory process and is more likely to be effective. Other more distinctive charismatic leader behaviors, compared to transformational leaders, include use of impression management, articulate a "vision that is highly discrepant from the status quo. . . . [and] act in unconventional ways to achieve the vision" (p. 322). Charismatics are more likely to "use personal power and persuasive appeals" than participatory processes to develop a consensus.

Yukl described the differences as follows:

The essence of charisma is being perceived as extraordinary by followers who are dependent on the leader for guidance and inspiration. The essence of transformational leadership is to empower followers to perform effectively by building their commitment to new values, developing their skills and confidence, and institutionalizing changes in the organization. These transformational processes appear more likely to reduce dependence and attribution of charisma to the leader than to increase it. Thus, it seems unlikely that a leader could be both transformational and highly charismatic at the same time. (p. 367)

He then noted that while "Bass (1985) proposed that charisma is a necessary component of transformational leadership, . . . the descriptive research suggests that most transformational leaders are not perceived as charismatic by followers" (p. 368).

In his evaluation of transactional and transformational leadership theory and research, Yukl (1994) pointed out that some important managerial behaviors have not been considered, e.g., "networking, planning, team building, and informing" (p. 367). However, he described guidelines for transformational leadership based on a convergence of findings from empirical research:

1. "Develop a clear and appealing vision" (p. 368).
2. "Develop a strategy for attaining the vision" (p. 369) with three or four clear themes.
3. "Articulate and promote the vision" (p. 370) using colorful, emotional language.
4. "Act confident and optimistic."
5. "Express confidence in followers."
6. "Use early success in small steps to build confidence" (p. 371).
7. "Celebrate successes."
8. "Use dramatic, symbolic actions to emphasize key values."
9. "Lead by example" (p. 372).
10. "Create, modify, or eliminate cultural forms" (p. 373).
11. "Use rites of transition to help people through the change."

In addition, Yukl identified several competencies that are becoming increasingly important: (a) cognitive complexity, (b) self-learning, (c) flexibility, (d) cultural sensitivity, (e) team leadership, (f) process advising, and (g) entrepreneurial ability (p. 405).

Clover (1990) found that while there were only marginal differences in performance of Air Force Academy squadrons under transformational leaders over transactional leaders, the subordinate perceptions stood in stark contrast between the two. Comments by subordinates led by transformational leaders were positive and enthusiastic whereas those by subordinates led by transactional leaders noted "frustration, decreased morale, perceived lack of integrity, self-serving behavior, lack of trust, inequity, poor interpersonal skills, lack of insight into others, and harsh arbitrary judgments" (p. 182).

In a study on transformational leadership, "Podsakoff, MacKenzie, Morrman, and Fetter (1990) found that the *impact of charisma* on organizational citizenship behavior could be best explained through its link with follower *trust in the leader* [emphasis added]" (cited in Howell & Avolio, 1993, p. 900).

In a study of Army generals, Jacobs and Jaques (1990) found that (a) while 15% of the three-star generals had visions of 20 years or more, 50% of the four-star generals reported such horizons and (b) higher level generals also showed more individual complexity.

To determine the longitudinal (one year) impacts of transformational leadership, Keller (1991) studied research and development groups and found that transformational leadership predicted better quality and performance. Specifically, transformational

leadership predicted better quality for research projects than development project, and predicted better performance for development projects than research projects, suggesting that task and context may be moderators. Keller also noted that the participants did not perceive a clear distinction between charismatic leadership and intellectual stimulation, in spite of the factor analysis differentiation.

Zorn (1991) incorporated communication theory into a study of transformational leadership. He stated that

leadership and organizational researchers outside the speech communication discipline tend to define communication in general, nonspecific terms. They focus on leader 'behavior' (e.g., consideration, initiating structure, participation) rather than on leaders' messages. (p.181)

On the other hand, authors on transformational leadership have incorporated the need for compelling vision, figurative language and messages that consider the perspective of the followers (Bass, 1985; Kouzes & Posner, 1987). Transformational leaders could "form cognitive impressions of their followers that are complex, abstract, and psychologically centered" (Zorn, 1991, p. 181). Furthermore, it appears that there may be a link to person-centered messages, i.e., those that "imply a recognition of the other as a unique person, and a sensitivity to the other's unique qualities, goals, feelings, and concerns" (p. 183).

In 1991, Zorn compiled a synthesis of much of the work on leadership, with an emphasis on transformational, charismatic and visionary leadership, which share many similarities. In so doing, he both (a) enhanced the constructs with additional new and previously neglected findings in an "extended model" (p. 27) and (b) highlighted



methodological concerns regarding leadership research. First, Zorn pointed out the need to be clear about the perspective being used, e.g., leader-centered vs. follower-centered and leadership outcomes vs. leader behavior. Bass, for example, has used mixed components, especially with his charismatic factor. Second, the use of questionnaires, particularly objective questionnaires, may be problematic when investigating a complex phenomenon. Concerns have been raised regarding what is actually being measured, single-source variance, variable differentiation, etc. Third, Zorn was concerned that *forcing* the transformational vs. transactional theory may lead to an overly simplistic, two-factor theory of leadership, as with earlier constructs, although all of the measures of transformational leadership have, in fact, included multiple factors.

To extend the construct of transformational leadership, he offered evidence from Boal and Bryson (1988) of two kinds of charismatics—crisis and visionary induced. He adds "at-a-distance-motivation" (pp.204-205) which emphasizes *both* leader behaviors *and* follower motivation effects. "Social contagion" (pp. 205-208)—"caught like a disease" (p. 205)—adds a follower-centered construct that further enriches the theory. Zorn also argued for the inclusion of an organizational culture component. "Indeed, those such as Sashkin contend that organizational culture is the primary action lever for the visionary leader" (p. 213).

Finally, one other concern expressed by Zorn was the lack of "attention to the two-way aspects of leader-follower relations that are very important in Burns's approach" (p. 189). Burns' (1978) definition of transforming leadership included "when one or more persons *engage* with others in such a way that leaders and followers raise one another to

higher levels of motivation and morality . . . and thus it has a transforming effect on both" (p. 20).

Another document, *Leadership for the Twenty-First Century* was written by Rost (1991) a student of Burns. In the foreword, Burns wrote:

I suggest that despite his intense and impressive concern about the role of values, ethics, and morality in transforming leadership, he underestimates the crucial importance of these variables. Even more I miss (and this reflects my own strong bias) a grasp of the role of great conflict in great leadership; Rost leans toward, or at least is tempted by, consensus procedures and goals that I believe erode such leadership. (p. xii)

Rost was critical of much of the leadership research, including transformational leadership studies. He criticized Bass for not having defined leadership. He was also concerned about the emphasis on charisma as the primary factor in transformational leadership. Rost stated, "My overall impression is that Burns' model of transformational leadership has been badly mishandled by most of the leadership scholars of the 1980s" (p.87). He argues that it had been "denuded of its moral essence" and "emotionalized."

Beyond his critique of leadership research, Rost added his own contributions. He argued that "leadership must be based on influence . . . using persuasion to have an impact on other people in a relationship" (p. 105). Most significantly, his approach was to define transforming leadership in terms of an active relationship to effect the common good. "Followers do not do followership, they do leadership. Both leaders and followers form one relationship that is leadership" (p. 109).

Van Eron and Burke (1992) studied communication patterns and cognitive style differences, subordinate and leader perceptual differences, and associations between

practices and climate. Using the Myers-Briggs Type Indicator®, transformational leaders were found to be intuitive (N) rather than sensing (S) and perceiving (P) rather than judging (J). The other two scales, extroversion (E) vs. introversion (I) and thinking (T) vs. feeling (F) were not significant. In comparing leadership practices and organizational climate, the results showed that "transformational leaders are more likely to communicate a vision and encourage subordinates to manage the details and thus provide *less* clarity [emphasis added]" (p. 161). In addition, "subordinates who believe that their leaders exhibit practices of transformational leaders tend to perceive more positive work climates" (p. 161). On the other hand, a variety of demographic variables such as years of experience, years with the company, years as a manager and organizational function were not significant. The age variable showed that "younger leaders may have a tendency toward transformational leadership disposition" (p. 161). The female gender sample, however, was too small for analysis.

Curphy (1992) in a condensed version of his doctoral dissertation reported that "leadership will only affect those performance indices which require *interdependent* effort; indices which require *independent* effort will be relatively insensitive to a leader's behaviors [emphasis added]" (p. 184). This finding seems to contradict other studies which support a dyadic relationship (see Deluga below). In addition, he found that performance improved over time and suggested that "studies concurrently collecting leadership and performance data may underestimate the long-term impact of leadership on organizational performance" (p. 184).

Deluga (1992) emphasized the dyadic nature of Bass' transformational leadership model. His findings support improved outcomes for transformational leadership and suggest that they may be primarily due to the dyadic nature of high-quality leader-member exchanges, including both individual consideration and charismatic factors. In addition, the findings support Burns' notion of mutual stimulation.

Transformational leaders may foster the formation of high-quality relationships and a sense of a common fate with individual subordinates while, in a social-exchange process, these subordinates strengthen and encourage the leader. (pp. 244-245)

The author suggested that "charisma and individual consideration could be the key factors by which transformational leadership merges with high quality leader-member exchanges." Seltzer and Bass (1990) have also suggested that "charisma operates at the dyadic level, rather than at a group-leader level" (Deluga, 1992, p. 245).

The emphasis on the personal interaction that emerges from much of the research using the Bass model raises a concern regarding its richness, particularly since the individualized consideration factor is dyadic by definition. If charisma is also dyadic, as supported by the above research, then only intellectual stimulation would remain to account for group-level processes and outcomes, which on face value seems unlikely. Further research on organizational culture may enhance our understanding of leader-group effects. This concern is consistent with those raised by Hunt (1991) as discussed above.

In a meta-analysis of the transformational leadership research, Gasper (1992) found that transformational leadership enhanced effectiveness, satisfaction and extra

effort and was preferred to transactional and laissez-faire leadership. "Higher levels of transformational leadership behavior are associated with higher levels of perceived leader effectiveness on the part of subordinates" (p. 95). There is also some evidence of "a cascading or falling dominoes effect" (p. 101), i.e., modeling the leader.

One concern raised by Gasper about the studies was the possible halo effect in the sampling, i.e., whether "subordinates wanting to make their leaders look good were more likely to participate" (p. 91). Other methodological concerns included (a) lack of instrumentation consistency (either using selected items or newer versions), (b) measurement of two or more constructs by one rater (single source variance), (c) "the order of application of the instrument for preferred versus actual demonstrated leadership" (p. 91), (d) whether other mediating variables may affect findings, and (e) the need for additional research on gender and culture.

House and Shamir (1993) offered a speculative theoretical integration of the theories of charismatic leadership, visionary leadership and transformational leadership (House, 1977; Bass, 1985; Bennis & Nanus, 1985; Conger & Kanungo, 1987; Sashkin, 1988). Their theory incorporates (a) visionary behavior, (b) image building, (c) empowering behaviors, (d) risk taking and self-sacrificial behavior, and (e) intellectual stimulation. Two other constructs included among these theories—(1) supportive leader behaviors, e.g., individualized consideration and (2) adaptive behavior, e.g., environmental sensitivities and transference to other situations—were used not only by transformational leaders, but also by transactional leaders, and were therefore not unique.

The theory asserts that:

leader behaviors activate motivational mechanisms that, in turn, affect self-concepts and further motivational mechanisms. These intervening variables and processes, in turn, have a strong positive impact on the behaviors and psychological states. . . . Heightened follower commitment, self-sacrifice, motivation, and performance, in turn, feed back on and sustain follower motivation and reinforce follower self-concepts. When observed by the leader, these follower responses further reinforce and therefore sustain the charismatic behaviors at a level appropriate for the mission. (p. 103)

Chemers (1993) offered another integrated theory that includes other constructs not related to transformational leadership. It views leadership as a multifaceted process organized around three major components: (1) image management—"[acting] in ways that are compatible with the prototypes held by relevant observers" (p. 297), (2) relationship development—providing direction and support, attributions by leaders and followers, and transactional or transformational exchanges (including cultural and value differences), and (3) resource utilization—optimizing the fit between the leader and the task, the situation and the environment. The ideal leader (a) manages "the impression of competent, trustworthy, and visionary leadership" (p. 304); (b) motivates "through vision, trustworthiness, and concern for followers"; and (c) engenders commitment and confidence "by a match of personality and situation."

### **Related Leadership Literature**

One challenge to selecting appropriate literature for inclusion in this review was the transition to the general acceptance of *transformational leadership* as "leadership." A

large body of leadership literature has evolved from the transformational leadership theory that is not specifically identified with that theory.

The kind of leadership that they claim to be talking about is in fact what Peters and Waterman, following Burns, had earlier called transforming leadership (Peters and Austin, 1985, p. 420), but now it is referred to simply as leadership" (Bryman, 1992, p. 96).

This section includes general leadership literature that emerged from or is consistent with transformational leadership theory.

Thomas Cronin (1982) discussed differences in leadership required for varying situations and contexts, noting that "leaders of thought are not always effective as leaders of action" (n.a.). After warning of the dangers of generalization, he stated,

Leaders are individuals who can help create options and opportunities—who can help clarify problems and choices, who can build morale and coalitions, who can inspire others and provide a vision of the possibilities and promise of a better community, a better America.

Qualities of leaders include "contagious self-confidence, unwarranted optimism, and incurable idealism." Leaders believe in "themselves and their purposes," refuse "to be overwhelmed and paralyzed by doubts," and are "willing to invent new rules and gamble on the future." He also described leadership as "a spiral upwards, a spiral of self-improvement, self-knowledge and seizing and creating opportunities so that a person can make things happen that would not otherwise have occurred." His key ingredients for successful leadership included:

1. "Leaders are people who know who they are and know where they are going."
2. "Selecting important problems and then mobilizing one's followers as well as one's self [sic] to tackle, solve and overcome these priority problems."
3. "Leaders have to provide the risk-taking, entrepreneurial imagination for their organizations and communities."
4. "Leaders need to have a sense of humor and a sense of proportion."
5. "Leaders have to be skilled mediators and negotiators, but they also have to be able to stir things up and encourage healthy and desired conflict."
6. "An effective leader must have integrity . . . perhaps the most central of leadership qualities."
7. "The leader has to have brains and breadth. In the future, even more so than in the past, only the really bright individuals will be leaders."

In 1984, Cronin added a list of leadership qualities (p. 28):

- Self-knowledge/self-confidence
- Vision, ability to infuse important, transcending values into an enterprise
- Intelligence, wisdom, judgment
- Learning/renewal
- Worldmindedness/a sense of history and breadth
- Coalition building/social architecture
- Morale-building/motivation
- Stamina, energy, tenacity, courage, enthusiasm
- Character, integrity/intellectual honesty
- Risk-taking/entrepreneurship
- An ability to communicate, persuade/listen



- Understanding the nature of power and authority
- An ability to concentrate on achieving goals and results
- A sense of humor, perspective, flexibility

In a conversation with Bill Leinbach (1993) Cronin stated that "the chief task of [the leader] is to unlock the positive forces in an organization. . . . The fundamental purpose of a leader is to define, defend and promote the crucial values that an organization is all about" (n.a.) The most important quality is "the ability to write, speak, to think clearly on your feet is extraordinarily important . . . the ability to listen is key . . . very key. . . . I think listening is more important than speaking." He also described the importance of "leadership conditioning." Much like being an athlete, leadership takes self-discipline, focus, and passion.

Although based on a management paradigm, Kotter (1982) found that general managers approached their jobs in very similar ways. Initially, they spent time creating an agenda—much of which may not be formally shared, building a network, and then getting the network to carry out the agenda. In 1988 he added to this with a study of effective leaders, who had

(1) a vision of what should be, a vision which takes into account the legitimate interests of all the people involved, (2) a strategy for achieving that vision, a strategy that recognizes all the broadly relevant environmental forces and organizational factors, (3) a cooperative network of resources, a coalition powerful enough to implement that strategy, and (4) a highly motivated group of key people in that network, a group committed to making that vision a reality. (p. 19)

These actions were supplemented with descriptions of the requirements for effective leadership (p. 30): (a) broad knowledge of the industry and the company, (b) a broad set of strong relationships in the firm and in the industry, (c) an excellent reputation and a strong track record in a broad set of activities, (d) a keen mind and strong interpersonal skills, (e) high integrity, and (f) a high energy level with a strong drive to lead.

Another of the themes found in transformational leadership is the importance of institutional culture. In her renowned book, *The Change Masters*, Rosabeth Moss Kanter identified important elements in creating a culture of innovation: (a) "*Encouragement of a culture of pride*" (p. 361), (b) "*Enlarged access to power tools for innovative problem solving*," (c) "*Improvement of lateral communication*" (p. 362), (d) "*Reduction of unnecessary layers of hierarchy*," and (e) "*Increased—and earlier— information about company plans*."

In 1984 Boleman and Deal proposed a theory of leadership practices from four frames of reference (cited in Boleman & Deal, 1991a, pp. 511-512; and cited in Bensimon, 1989, pp. 108-110):

1. *The structural frame*—characterized by a mechanistic hierarchy with authoritarian chain of command and structured management systems and decision-making tools.
2. *The human resources frame*—characterized by collegial relationships, use of empowerment, professional development, shared values, and consensus decision-making.
3. *The political frame*—characterized by conflict and competition that require bargaining, influence, negotiation, networking and coalition building to reach decisions.

4. *The symbolic frame*—characterized by organic structure with shared sense of mission, values and beliefs that provide means of interpretation for meaning where leaders act as facilitators or catalysts to decisions and actions.

The authors argued that a multi-frame perspective provides leaders with a wider array of tools with which to lead, depending on the situation.

Using the frame perspective, Bensimon (1989) studied thirty-two college and university presidents and found that thirteen had a single-frame reference (primarily structural or human resource), eleven had a paired-frame perspective (human resource/symbolic most common), and eight had a multi-frame orientation (human resource/political/symbolic dominated). New presidents (one to three years of experience) were more likely to have a single-frame reference.

In a study that compared higher education administrators, American school administrators and Singapore school administrators, Boleman and Deal (1991a) found that paired-frame was most common in all three groups. The human resource frame was most common among the two high school administrator groups while higher education administrators were most likely to use a political frame. The structural frame correlated with perceived managerial effectiveness, whereas the symbolic and political frames were correlated with perceived leader effectiveness.

Boleman and Deal (1991b) described effective leaders for each of the four frames as follows (p. 423):

- (a) *Structural*—a social architect that uses analysis and design to lead
- (b) *Human resource*—a catalyst or servant providing support and empowerment

- (c) *Political*—an advocate and coalition builder
- (d) *Symbolic*—a prophet or poet using inspiration and interpreting experience

The authors listed the research of Bennis and Nanus (1985) as human resource and symbolic in nature (Boleman and Deal, 1991b). Other research on transformational leadership is not included in the list. On the surface, that assessment would appear consistent with other descriptions of transformational leadership, while the structural and political frames appear more closely aligned with transactional leadership. However, the correlation of the symbolic and political frames with leader effectiveness (Boleman & Deal, 1991a) and only the structural frame with managerial effectiveness seems inconsistent. Yet, in 1992 Boleman and Deal stated that "the effective leader in the United States is oriented toward symbols, people, and politics" (p. 324); whereas "effectiveness as a manager is highly associated with a structural orientation" (p. 328).

Following a review of leadership studies, Boleman and Deal (1990a) concluded that "vision is the only characteristic of effective leadership that is universal in these reports" (p. 411), similar to the conclusion of other authors cited earlier.

Gardner (1987b) described the tasks of leadership as: (a) envisioning goals, (b) affirming values, (c) motivating, (d) managing, (e) achieving workable unity, (f) explaining—leader as teacher, (g) serving as a symbol, (h) representing the group, and (I) renewing (p. 17). The attributes, in varying degrees, found in effective leaders were (Gardner, 1990):

1. *"Physical vitality and stamina"* (p. 48)
2. *"Intelligence and judgement-in-action"* (p. 49)
3. *"Willingness (eagerness) to accept responsibilities"*
4. *"Task competence"* (p. 50)
5. *"Understanding of followers/constituents and their needs"*
6. *"Skill in dealing with people"* (p. 51)
7. *"Need to achieve"*
8. *"Capacity to motivate"*
9. *"Courage, resolution, steadiness"*
10. *"Capacity to win and hold trust"* (p. 52)
11. *"Capacity to manage, decide, set priorities"*
12. *"Confidence"* (p. 53)
13. *"Ascendance, dominance, assertiveness"*
14. *"Adaptability, flexibility of approach"*

Gardner also stressed the importance of communication. "There is probably no substitute for creating a culture . . . that favors easy two-way communication, in and out of channels, among all layers of the organization" (p. 86). Related skills needed by effective leaders include networking, conflict resolution, and coalition building. He also emphasized the need for individual and group renewal. *"The consideration leaders must never forget is that the key to renewal is the release of human energy and talent."* By being in touch with the mission, values and vision of the organization, individuals are often stimulated to greater achievement and sense of purpose. Participatory

organizational development processes facilitate communication and stretch and challenge individuals throughout the organization to enrich and strengthen it. Finally, Gardner addressed motivation, noting that we build meaning in our lives through our commitments, particularly to a higher purpose. "The world is moved by highly motivated people—people who believe very strongly or who want something very much" (p. 183).

Gardner (1987a) also pointed out the importance of the relationship between leaders and followers. "Leaders are almost never as much in charge as they are pictured to be, and followers almost never are as submissive as one might imagine" (p. 4). He argued that leaders must help followers grow, developing their judgement and becoming better contributors.

As described earlier in this chapter charisma has sometimes been identified with transformational leadership. Bass (1985) included charisma as one component of transformational leadership. Others (Bennis & Nanus, 1985; Kotter, 1990; Tichy & Devanna, 1990) did not consider charisma as important. Part of the confusion may be due to the similarity among some of the constructs.

Conger and Kanungo (1987, 1988) considered charisma as an attribution. However, they described the behaviors most likely to result in such attributions in four stages: (1) "*Sensing Opportunity and Formulating a Vision*" (Conger, 1989, p. 26), (2) "*Articulating the Vision*" (p. 29), (3) "*Building Trust in the Vision*" (p. 32), and (4) "*Achieving the Vision*" (p. 34), including role modeling and empowerment. The similarity to the transformational processes identified by Bennis and Nanus (1985) is particularly striking.

The similarities make the study of charisma relevant to the study of transformational leadership. However, there are also important differences. Bass (1985) noted, for example, that while charisma is an important component of transformational leadership, it is not sufficient to explain transformational leadership. Trice and Beyer (1990) differentiated them as follows: "charismatic leaders typically create new organizations (and hence new cultures) whereas transformational leaders are concerned to change existing organizations and their cultures" (Bryman, 1992, p. 105). Yukl (1989) noted that "transformational leaders seek to empower and elevate followers, whereas in charismatic leadership, the opposite sometimes occurs. That is, some charismatic leaders seek to keep followers weak and dependent" (p. 272).

Of particular note is the tendency of the followers of charismatic leaders to identify personally with the charismatic leader, whereas the followers of the transformational leader tend to identify with the shared vision and values articulated by the transformational leader. "With charismatic leadership, the focus is on an individual leader rather than on a leadership process" (p. 270).

Senge (1990) added to our knowledge of leadership the need for a systemic perspective, to create the *learning organization*. He advocates for *dialogue*—talking as a search for meaning, instead of *discussion*—talking *at* each other, to facilitate learning as a means to enhancing quality. His theory incorporated the ideas of the leader as teacher, the leader as steward (Greenleaf, 1977), and the process of building shared vision.

Lee (1991) stated, "According to most schools of thought, an effective leader provides a vision, inspires other to commit to that vision, and creates strategies that move

them toward the vision" (p. 27). However, he noted that organizations with effective leaders are those that also develop their followers. He pointed out that they are engaged in establishing the shared vision and values. Furthermore, he added that "they act a lot like leaders themselves" (p. 28). In order for the leader to align goals of the followers and the leader, the followers themselves must have their own goals. That is why organizations like Levi Strauss provide leadership training for all 31,000 employees. He cited Peter Block in his conclusion, "if you want a leader, look in the mirror" (p. 35).

The emphasis on vision, on the dramatic effects of leaders on motivation and effort of subordinates, and on the leaders as an instrument of change are central themes . . . in most discussions of transformational leadership. (Bryman, 1992, p. 111)

Using the metaphors of quantum physics—invisible fields, dissipative structures and chaos theory—Margaret Wheatly (1992) described how: (1) relationships are not just important to our understanding of reality, but that they are reality, (2) the quality of relationships determines the level and direction (positive or negative) of the energy in organizations, (3) change manifests in "small starts, surprises, unseen connections, quantum leaps" (p. 43) that can seldom be predicted, leading to dissipation and then to a new ordering, (4) gentle actions widely distributed over the web of activities and relationships that comprise the system will effect significant change, (5) vision, values, beliefs and ethics create meaning, "one of the most potent shapers of behavior in organizations, and in life" (p. 134), forming a pervasive field that will govern behavior when shared throughout the organization, (6) within the shared vision, values and beliefs



of the organization, "allow individuals in the system their random sometimes chaotic-looking meanderings" (p. 133), and (7) "the fuel of life is new information" (p. 105).

In interviews with 100 top leaders, McFarland, et al. (1994) confirmed the key importance of empowerment, vision and shared values to the new leadership. The most common shared values identified were (p. 129):

- Integrity and honesty
- Openness and trust
- Teamwork and mutual support
- Caring
- Openness to change
- Quality, service, and a customer focus
- Respect for the individual and for diversity
- Winning and being the best
- Innovation
- Personal accountability
- A "can-do" attitude
- Balance in life
- Community involvement and social responsibility

The most important themes that emerged from their study were: (a) everyone is a leader, (b) inspire the best in everyone, (c) understand the difference between leadership and management, (d) develop humanistic sensitivity—"courage hope, caring, heart, love,

compassion, listening, cooperation and service" (p. 203), (e) be holistic and well rounded, including wellness, reflection, and lifelong learning, and (f) master change. These leaders saw education as "a tremendous leadership challenge as we progress into the next century" (p. 257). The authors concluded by saying, "What remains is for each one of us to accept their empowering invitation to take more of a leadership role in our family, our school, our workplace, our community, our country and our civilization" (p. 343).

Clark and Clark (1994) identified leadership qualities for effecting change:

*Envisioning*—articulates a compelling vision, set high expectations, and models consistent behaviors; *Energizing*—demonstrates personal excitement, expresses personal excitement, and seeks finds, and uses success; *Enabling*—expresses personal support, empathizes, and evidences confidence in people. (pp. 37-38)

To achieve a well-articulated vision, the leader must (a) engage groups in setting goals, (b) provide feedback, and (c) give recognition for achievements. They state:

Leadership involves selling of the idea that more can be done, that what is being done is worthwhile, and that each individual will benefit if more is done. Leadership also involves gaining the trust of each person that fairness will prevail, that the individual will not be exploited, and that decisions will be made taking into account the interests of all. (p. 74)

### **Transformational Leadership in Community Colleges**

This section describes what we know about transformational leadership in community colleges. In a major study of community colleges, evidence of transformational leadership was found by Rouché, Baker, and Rose (1989). They identified five themes associated with transformational behavior:

1. "*VISION: a leader-conceptualized view of the future*" (p. 270)—shared with others, including a commitment to change and a future orientation.
2. "*INFLUENCE ORIENTATION: the process of shared attention to problems and understanding of roles to be played in resolution*" (p. 270)—open communication and delegation for empowerment to transcend self-interests and achieve individual potential.
3. "*PEOPLE ORIENTATION: the process of leader and follower interaction in which the team is considered a living system, focused on student success, and where the strengths of each team member are maximized*" (p. 271)—a passion and zeal for student access and success, sharedness, and value for others.
4. "*MOTIVATIONAL ORIENTATION: the process whereby the mass of the organization accepts a new vision and mission*" (p. 272)—performance and results, as well as staff development; motivate and excite followers to achieve the vision through creativity and innovation.
5. "*VALUES ORIENTATION: constitutes the moral fiber of the leader to include commitment, quality, integrity, trust, and respect through modeling*" (p. 272)—an ethical orientation with an emphasis on providing opportunities for education to anyone who chooses or values knowledge.

In addition, the authors pointed out that "vision" received the greatest emphasis and appeared to be "the catalytic component that enables leaders to implement successfully the remaining four transformational themes" (p. 104). Vision is commonly identified as a central theme in community college leadership research and literature (Cohen & Brawer, 1994; Bensimon, 1994; Richardson & Woverton, 1994; Moriarty, 1994), along with shared values and beliefs, and empowerment of faculty and staff.

The leader must be in touch with the values and motivations of the board of education, college staff and many other constituencies. This information is then synthesized into a shared vision consistent with the values and principles of the leader

and stakeholders. The leader must clarify and articulate this vision or picture of the preferable future of the college.

Several dissertations that examined community colleges and transformational leadership, primarily based on the Rouche, Baker and Rose (1989) construct, have been published. Based on the motivational model of David McClelland, a construct also used in Sashkin's (1989) theory of transformational leadership, Crowe (1990) found a high need for power, a secondary need for achievement and virtually no need for affiliation. When compared with chief executive officers in the private sector, similar needs were evidenced.

In a study of the succession of a transactional founding president by a transformational leader, Barber (1990) documented that the transformational leader reinforced the same culture as the previous transactional president. The new president used the established culture to moderate the effects of change. In addition, the dissertation identified a strong relationship between culture, leadership and organizational change.

In a study of seven transformational community college presidents, Hanne (1991) found that while the presidents used elements of transactional and situational leadership, as well as managerial factors, the primary factor in establishing their transformational leadership was empowerment of cabinet members.

Buckingham (1992) found that administrative teams in selected community colleges had also internalized complex visions involving excellence, comprehensive programs and delivery systems, as well as empowerment. Fifth, in a case study of a community college president and his administrative team, Perez-Greene (1993) found

that the president set the tone by clearly and consistently articulating the vision. The administrative team had internalized this vision as their own.

Retterer (1993) identified that teaching experience was significantly correlated with measures of both consideration and transformational leadership. In particular, teaching experience correlated positively with people orientation, among all of the five factors.

In describing community college leaders, Parnell (1988) posited that "a great leader is usually a great teacher" (p. 2). Community college leaders (a) establish high expectations and moral standards, (b) promote continuous formal and informal communication and staff renewal, and (c) engage in symbolic action. The leader is responsible for helping to remove barriers to achieve an internal sense of purpose throughout the community college.

In a study of presidents of ten highly successful community colleges, Duncan and Harlacher (1990) found the following personal characteristics were important, though not mandatory for future presidents (p. 40):

- Innate personality characteristics—self-confidence, ambition and drive, persistence, consistency, a sense of humor, and a positive orientation;
- Interpersonal traits—compassion, people orientation, friendliness, and sensitivity to the needs of different constituencies;
- Ethical/moral qualities—firmness, trustworthiness, integrity, and honesty;
- Intellectual traits—wisdom, superior judgment, independence of thought, intelligence, decisiveness, creativity, and innovation; and
- Physical qualities—stamina and high levels of energy.

In addition, the research found leadership competencies classified in five dimensions:

1. "Institutional Vision and Revitalization" (p. 41)—creating and articulating a shared vision, mission, values and goals; molding institutional culture; and "translating vision and purpose into pragmatic objectives, policies and procedures . . . not through executive directives, but through the executive's skill in posing strategic questions about the long-term impact of the impending decisions" (p. 42).
2. "Ethical Leadership"—modeling "moral leadership for society at large." Leaders must "walk their talk" and "stand for something." These future leaders must be "lovers of life, nature and humankind, givers and thanksgivers, and humble persons of soaring spirit" (p. 43).
3. "Institutional Empowerment and Transformation"—Future community college leaders will "govern by collaboration and coalition." They will have "the ability to empower faculty and management with authority, responsibility, and greater productivity . . . [showing their] faith and fortitude to let others lead." Twenty-first century leaders will establish "an environment which fosters innovation and creative problem solving" (p. 45).
4. "Political Leadership"—Complexity and diverse constituencies will require adroit skills in conflict resolution, political acuity and negotiation. Increasingly, leaders will be "representing the college persuasively before community audiences, taking an active leadership role in the community, and maintaining community coalitions to advance the cause of the institution" (p.46).
5. "Institutional Conceptualization and Survival"—Future leaders will need a global perspective, an understanding of demographic and economic trends, and, as critical thinkers, the ability to "conceptualize original solutions to complex problems." There will need to be time for reflective thinking "to contemplate future directions and decisions that will expedite those directions." Intuitively, presidents will need to know and operate within the "zones of acceptance of their various constituencies." And, finally, these future leaders must be prepared for crises by knowing for whom they speak, anticipating public reactions, and coalescing divergent views.

In a study of community college leadership teams, Chieffo (1991) found that role clarity, a clear vision on the part of the college president, and "inclusion in decision-making meetings with the president" (p. 21) all contributed to job satisfaction and organizational commitment.

Taking a critical theory perspective, Amey and Twombly (1992) assessed the literature on community college leadership and found it heavily biased toward the "philosopher-king and military hero even when behaviors associated with such leadership are viewed as inappropriate" (p. 147). They argued that "this pattern may have been critical in the early stages of birth and growth; however, it may be ineffective as a means of addressing organizational renewal" (pp. 132-133). The authors even stated that transformational leadership "implies that leadership originates from a 'single, highly visible individual' who then expresses it persuasively and powerfully, down to the faculty and out to the community (Bensimon, Neumann, and Birnbaum 1989, 74)" (p. 141). Note that neither the authors nor those cited by them considered the interactive, transforming effect on *both* the leader and the led that was articulated by Burns (1978).

On the other hand, these authors point out that the use of exclusory terms such as "*great man, pioneer, builder, commander, visionary*" (Amey & Twombly, 1992, p. 147) and their opposites, would be better replaced by inclusionary terms like "*empower, facilitate, collaborate, and educate*, and metaphors such as *weaver, cultivator, networker, and connector* to capture the essences of effective leadership."

In a study of community college presidents, deans, and students and faculty in a community college leadership doctoral program, Cooper, Pielstick and Poppe (in press)

found that community college leaders should have (a) a doctorate in education, (b) experience in a variety of positions, and (c) one or more mentors. Several respondents to the survey also noted that it helped to have strong parental support growing up. The knowledge, skills and sensitivities required of leaders included a variety of human relations and communications abilities. Good leaders know people, encourage staff renewal, engage in team building, empower others, trust others and inspire trust. They communicate effectively, are good listeners and use symbolic gestures. One respondent stated, "An effective leader has a passion for the mission of the institution, a vision for its future, and the ability to inspire similar commitment and enthusiasm in others" (n.a.). Leaders also address moral issues, exhibit honesty and integrity, and respect the dignity and worth of all people. Finally, from a more personal view, good leaders know themselves, engage in personal and professional growth, yet have a sense of humor, not taking themselves too seriously.

### **Transformational Leadership in Other Educational Organizations**

This section reviews the literature on transformational leadership in schools, colleges and universities in general. It provides additional information on transformational leadership in the field of education.

In one of their summary statements regarding leadership, Clark and Clark (1994) noted that "*transformational and charismatic leaders are seldom found among college and university presidents*" (p. 173). The reason given is that "few presidents attempt to engage faculty, students, and alumni in discussions about the long-range objectives



appropriate for their institution." Bass (1985) also postulated that "modern universities, particularly American public universities, . . . represent organizations in which transformational leadership is less likely to be seen" (pp. 159-160) due to the bureaucratic rules, faculty traditions, and political exchanges characteristic of a mechanistic organization. However, he did believe that highly endowed private universities might be an exception.

The evidence, however, contradicts this position. In fact, Singer and Singer (1990) found that "leaders in a mechanistic [i.e., bureaucratic] organization are somewhat more likely to exhibit transformational than transactional leadership" (Bryman, 1992, p. 158).

In a study of present and former presidents, Kamm (1982) collected 90 different qualities. These were categorized into personal and professional groupings. The personal qualities were: (a) capacity for hard work, (b) integrity, (c) courage, (d) interpersonal skills, (e) sense of humor, (f) perseverance, and (g) flexibility. The professional qualities included: (a) competency (including creative, imaginative and innovative, as well as good communication skills), (b) credentials (including scholarship, intelligence and experience), (c) vision, and (d) understanding and developing people and relationships (pp. 55-60). The author concludes with a position that "presidential leadership in its highest form" is "an endeavor where the mission is to help people *to be* and *to become* the best each is capable of being and becoming" (p. 147).

Hesburgh (1988) stated that "academic leadership is not the same as business or military leadership" (p. 5), presumably due to the unique characteristics of the education industry. As with so many others, his description began with vision: "There is no

leadership without vision." That vision must be clearly and enthusiastically articulated with "warmth of heart" (p. 6) and reiterated through "constant new expression." His description of his vision for the University of Notre Dame provided an excellent example of an academic vision:

When I first became president of the University of Notre Dame, I knew fundamentally that to have a great university, we needed a great faculty, a great student body, more than twice the academic facilities we did have, and a library six times greater. This could all be translated into a budget twenty times larger, with greatly increased faculty salaries and better fringe benefits; scholarships for more than half the students; better laboratories and more computers; more dormitories and dining facilities; better maintenance; a much larger power plant; and, above all, an endowment at least fifty times larger than what we had. (pp 6-7).

This vision incorporates the general ideal of "a great university," as well as specific goals that must be attained to achieve that vision.

The leader must select a team of "the most competent and [persuade] them to join in the exciting endeavor," then make them feel needed and give them a free rein without second guessing or interfering. "The campaign is conducted on many fronts" (p. 7). The leader encourages other leaders as they pursue current priorities; the leader persuades rather than orders. As difficulties are encountered, the leader "cannot afford to be discouraged when everyone else is." The leader must also have the courage to admit mistakes and give full credit for accomplishments. "The true leader often gets little praise along the way; he or she is too busy praising others," and is sensitive and caring about the well being of co-workers. Beyond persistence and humility, a sense of humor helps the

leader keep perspective. "Seeing what is comic, even in ourselves, is the best antidote to pomposity and pride" (p. 8)

Fisher and Tack (1988) identified five factors that are requisite for effective college leadership: (1) vision—"the ability to dream dreams that come true" (p. 2), (2) courage—"confident and unafraid to think differently . . . [and also] constantly stirring things up and encouraging people to try new things," (3) a take-charge attitude—"capitalize on the opportunities presented and even create a few," (4) commitment—"believe in the importance of higher education and the impact it can have on society at large . . . [and] willing to give all his or her time and energy to the achievement of the cause" (p. 3), and (5) personal style—a "positive attitude toward life [that will] excite you about your own potential, and make you want to work hard to achieve the dream in which they so strongly believe."

Daughdrill (1988) articulated four major ingredients essential to college or university leadership: (1) passion—"a love of the institution, its history, traditions, people, ideals, and values" (p. 82), (2) stewardship—"a personal philosophy about giving . . . that transcends fundraising" (p. 83), (3) vision—"a dream that is in some way ennobling, to state it precisely and repeatedly, and to interpret this vision to others who can achieve it by working together" (p. 84), and (4) courage—"shepherd to the dream, a passionate advocate for the common effort."

From another presidential perspective, Wright (1988) wrote that "presidents have to believe profoundly in the intrinsic value of their colleges" (p. 89). This belief is contagious and "will also sustain the president during difficult and frustrating times." In

addition, she argued that the president "must be a risk taker . . . , take a stand . . . , possess moral character, a sense of humor, a sincere affection for people and especially for students, a persona that sets him or her apart from others, the courage to be different, and a high level of energy."

In addition to knowing whether to respond to changes, a willingness to explore new territory, and a heavy dose of optimism, Hess (1988) stated that the academic leader must be willing to take risks. "While no leader should act out of ignorance, neither should one be immobilized because not all the information is in" (p. 96). Furthermore, he posited that "the president who teaches on a regular basis (if only one course every three or four semesters) proves—in a unique form of hand-on academic leadership—that the educational experience is central to the institution" (pp. 96-97). To this he adds, "the college president must have an extraordinary amount of self-control in budgeting time—not just for action, but also for reflection and planning; not just for the institution, but also for one's own human dimensions" (p. 97).

Magrath (1988) lists four rules to be an effective president:

1. *"Want but do not need the job"* (p. 100).
2. *"Believe in your positions."*
3. *"Be firm but flexible"* (p. 102)
4. *"Have a vision."*

He then added that "true leadership is shown by chief executives who—day in and day out, on issues large and small—exercise their best judgment, consistent with their own moral values" (p. 103).

Another theme found in the literature on transformational leadership in higher education is the importance of organizational culture. In a 1988 study Chaffee and Tierney concluded that several key tasks are important for leaders to be a catalyst for cultural change: (1) "*Find internal contradictions*" (p. 185)—listen, observe and ask probing questions to determine "where extra efforts are needed," (2) "*Develop a comparative awareness*" (p. 186)—visit other campuses to help avoid tunnel vision, (3) "*Clarify the identity of the institution*" (p. 187)—consider the mission, core values, structure, environment and resource allocation, (4) "*Communicate*" (p. 188)—"be aware of not only what he or she wishes to say or do, but also how institutional followers will interpret what the leader says and does" (p. 189), and (5) "*Act on multiple, changing fronts*" (p. 189) —(a) "*Treat every problem as if it had multiple solutions*," (b) "*Treat every solution as a fleeting solution*" (p. 190), (c) "*Look for consequences in unlikely places*, both when contemplating taking an action and after taking it," and (d) "*Beware of any solution that hurts people or undermines strong values. . . . We are not talking about good or bad intentions, we are talking about results. . . . We are not talking about organizational utopia, we are talking about human consideration.*"

Robert Birnbaum (1988b) has been critical of much of the leadership theory, particularly as it relates to colleges and universities. He has been particularly known for advocating the position that leadership may not be a true phenomenon, but an attribution.

"Leaders, then are people believed by followers to have caused events" (p. 144). He said that the primary roles of community college presidents, for example, "appear to be more symbolic than real" (p. 146).

Bensimon, et al. (1989) were highly critical of much of the higher education leadership literature, particularly that on transformational leadership. "Even though transformational leadership in higher education enjoys rhetorical support, it is an approach that in many ways may not be compatible with the ethos, values, and organizational features of colleges and universities" (p. 74). They considered transformational leadership most likely to emerge during an institutional crisis or in a small institution. The authors viewed transformational leadership as being imposed on the followers. "Leaders are seen as directing." They also asserted that "transformational leadership depends on radical change." These positions are not consistent with the other literature on transformational leadership, sources that these authors did not cite from either a theoretical or a research perspective.

Ironically, the authors were very supportive of symbolic leadership for higher education, particularly in the context of the Boleman and Deal (1984) four frames model (structural, human resource, political, and symbolic). The focus of the symbolic frame is on values and beliefs, a common sense of purpose, interpretive strategies, participatory and consultive processes, empowerment and sharing information also found in transformational leadership; but the authors did not recognize the similarity with transformational leadership theory. In addition, Bensimon, et al. (1988b) argued that the professional nature of faculty vs. administrative authority pre-empted transformational

leadership. "Indeed, the principles of shared governance assign considerable authority and discretion over academic decision making to the faculty" (p.74), as if they are incompatible with the shared vision, shared values and empowerment found in transformational leadership.

The authors did contribute an "integrated perspective" (pp. 64-66) for higher education leadership that incorporated two important concepts: (1) the value of "valu[ing] inconsistency and the paradoxical aspects" of colleges and universities, e.g., "bureaucratic and collegial systems" and "generalists and specialists" (p. 65) and (2) the value of "cognitive complexity," i.e., the ability of the leader to understand and attend to complex and competing needs simultaneously. In the context of the four frames perspective, "presidents who had been in office for at least five years and new presidents who had held at least one other presidency in the past were found to hold multiframe perspectives almost exclusively" (p. 66).

In an update of *How Colleges Work* (Birnbaum, 1988a), Birnbaum's (1992) *How Academic Leadership Works*, based on research of college presidents, offered ten very useful principles of good academic leadership that could apply at other levels within the college as well:

1. "Make a Good First Impression" (p. 172)—take time to get to know the institution, "learn how people communicate, what they mean by the language they use, and what dreams and visions they have."
2. "Listen with Respect, Be Open to Influence" (p. 175)—leaders earn an "added increment of influence . . . through respectful listening. . . . Willingness to be influenced was the single most frequently identified dimension used by constituents to assess their presidents" (pp. 175-176).

3. "Find a Balance for Governance" (p. 178)—"Governance systems are more than just structures for getting campus work done." They "evolve as unique reflections of institutional history, values, and accidental interactions."
4. "Avoid Simple Thinking" (p. 180)—Recognize the complexity and ambiguity and develop a "repertoire of behaviors and approaches" to use. "Exemplary presidents saw patterns, analyzed problems at a deep level, understood nuances, and were concerned about receiving feedback" (p. 181).
5. "Don't Emphasize the Bureaucratic Frame or Linear Strategies" (p. 181)—While policies and procedures cannot be neglected, "being observed as bureaucratic makes it particularly difficult . . . to influence the symbolic life of the campus . . . [and result in being] seen by faculty as insensitive to academic values." (p. 182).
6. "Emphasize Strong Values" (p. 183)—"Leadership is ultimately a moral act, because it involves interpretations of what an institution *should* do. . . . Values permit principled and consistent action."
7. "Focus on Strengths" (p. 185)—"A president's focus on strength can constantly reaffirm that things are good and getting better, and that working even harder in the common cause will be an exciting and joyous adventure." Less effective leaders "see their job as correcting problems." (p. 186).
8. "Encourage Leadership by Others" (p. 186)—"Leadership is not the act of one person, . . . [it is] distributed throughout an institution." Effective presidents use informal leaders and networks to make things happen.
9. "Check Your Own Performance" (p. 191)—"Most presidents believe they are more effective than average." Colleges are seen as more effective when the president actively engages in the search for information about their performance.
10. "Know When to Leave" (p. 193)—"Campus leadership positions are roles and not careers." Presidents should be prepared to leave when they are "no longer able to provide renewing leadership" (p. 194) or "they no longer have the support they need" (p. 193).

Critics often cite misstatements regarding the nature of transformational leadership in education. Foster (1989), for example, claimed that Burns "see[s] leadership as residing in an individual" (p. 42), whereas Burns (1978) posits it as an interactive



relationship; just as Foster argued that leadership resides in "the relationship between individuals" (p. 46). On the other hand, Foster did contribute the value of critique for leaders. "Leadership always has one face turned towards [sic] change, and change involves the critical assessment of current situations and an awareness of future possibilities" (p. 43). He considered that leadership must be: (a) critical, (b) transformative, (c) educative, and (d) ethical (pp. 50-56).

Another critic, Angus (1989) also assumed that vision is the purview of *the leader* in academic transformational leadership, as in previous theories, rather than the *shared vision* more characteristic of most transformational leadership literature. He also argued that the "new leadership" still sees "the leader [as the] formal leader" (p. 75). Much of the research has been on heads of organizations, although Bass (1985) and associates have studied a variety of subjects at many levels within an organization and found consistent results for transformational leaders. However, no studies were found for this literature review of strictly informal transformational leaders.

Although he did not propose the construct of the "philosopher-king," Codd (1989) made a case for the value of reflective thinking by academic leaders. He saw it as "a form of philosophy in action" that is "both reflective and active" (p. 157). Accordingly, the leader is "a person who embodies fundamental educational values" (p. 160). "This view of education requires that educational administration combine both an executive and a critical-reflective dimension," rejecting false dichotomies as "fact and value, observation and interpretation, practice and theory" (p. 176).

Tierney (1989), in a related article, discussed the use of symbolism by college presidents. He identified six categories of symbols: (1) metaphorical symbols—figures of speech that "provide participants with a portrait of how the organization functions" (p. 158), (2) physical symbols—"objects that are meant to mean something other than what they really are," such as giving faculty personal computers as a symbol of a new way of teaching, (3) communicative symbols—oral, written or nonverbal acts, e.g., "rub[bing] elbows with students and faculty on a regular basis" (p. 159) to illustrate their importance, (4) structural symbols—organizational structures, group membership and decision-making structures, often changed as a symbol of change itself, (5) personification symbols—"represent[ing] a message with an individual or group" (p. 162), e.g., appointing a woman to a key role to symbolize concern for women, and (6) ideational symbols—a distinctive idea that "serves as a unifying principle for the organization" (p. 163). The use of symbols must be consistent with our actions and the current, or intended, organizational culture. Symbolism is pervasive. "Virtually everything a leader does or says (or does not do or say) is capable of symbolic intent or interpretation" (p. 165).

To illustrate the interactive nature of transformational leadership in education, Watkins (1989) stated, "With such an ongoing, flowing dialectic of transformative human action, leaders become followers and followers become leaders in the ebb and flow of organizational interaction" (p. 28).

Internalization of the vision, making it a shared vision as it becomes internalized by followers, may be facilitated by impression management, the most important

component of which is credibility (Whisnant, 1990). Impression management consists of "the conceptualization others have of your values, beliefs, and ideals as they are projected via behavior, dress, mannerisms, and personal style" (p. 11).

Using the MLQ in a school setting, Kirby, King, and Paradise (1992) found that the charisma of school leaders was significantly correlated with staff satisfaction, while intellectual stimulation augmented satisfaction. Charisma and intellectual stimulation were significantly correlated with perceived leader effectiveness. They were critical of the single-subject bias and the ability of charisma to overwhelm other factors. They also pointed out that communication skills and the novelty of the vision can affect charisma, but are not measured by the MLQ. "Items purported to measure charisma appear to measure follower outcomes rather than leader characteristics or behaviors" (p. 306).

In the second study of school leaders included in the article, the authors conducted a qualitative analysis of transformational leadership using a constant comparative analysis of descriptions by subjects. They described "an event in which they had participated that best exemplified . . . [the] leadership" of a perceived "extraordinary leader in education with whom [the subjects] had worked" (p. 306). These leaders were people oriented, knowledgeable, had a positive outlook, enthusiasm, and commitment to "both the organization and the task at hand" (p. 307). They had the "ability to inspire extra effort" and "modeled attitudes and behaviors they expected of their staffs," while "challenging followers to grow and to achieve."

Other findings included that "the [school] leaders were viewed as challengers of the status quo, but they were never considered reckless in their change initiatives." To

effect change, these leaders first engaged those "viewed as most influential in the organization" (p. 308). They involved others in the process of "setting and achieving objectives." These leaders were also very effective at communicating their vision with slogans, acronyms, symbols, analogies and metaphors.

These extraordinary school leaders were also actively engaged in management processes, particularly providing the initial structure, such as providing resources, selecting key participants, planning a retreat, soliciting contributions, providing release time, and making initial appointments. "They were careful not to overdefine structure" (p. 309). The change effort was supported by providing opportunities for training and development, which was often perceived as a reward. However, extrinsic rewards were de-emphasized in favor of recognition and celebrations such as thank you notes, public and private acknowledgments, refreshments, parties, luncheons, and opportunities to engage in other projects.

Intellectual stimulation and individualized consideration were important in both studies of school leaders. "Better educated workers are less concerned with the personality of leaders and more influenced by the nature of the work itself and by opportunities for professional development" (p. 310). There was an emphasis on raising the expectations to higher purposes. Charisma, in these studies, appeared to be "the reflection of the leader commitment seen in followers. A leader's unshakable commitment to a vision may explain followers' emotional commitment to the leader."

This contrasts with a study by Silins (1992) which used the MLQ and found mixed results with the strongest relationship (although still weak) to school effects to be

with intellectual stimulation, individual consideration (both transformational), and contingent reward (a transactional component). The author found that "contingent reward is not uniquely related to either transformational or transactional leadership" (p. 329), contrary to the findings of Bass. Silins also suggested that leadership in schools operates more indirectly and that "the mediated effect is stronger than the direct effect" (p. 333).

Several studies of transformational leadership in schools were conducted by Leithwood (1992a). His key findings regarding transformational leaders in education are that they: (a) maintain a collaborative culture through collaborative goal setting, joint planning and active communication of cultural norms, values and beliefs; (b) value and foster teacher development, establish a shared mission with challenging growth goals, and provide opportunities to solve nonroutine problems; and (c) improve group problem solving by using staff meetings to engage in active listening, open discussion of alternatives for a broader perspective without preconceived solutions, change their own views when warranted, and remain calm and confident. Transformational leadership was found to improve attitudes toward school reform and instructional behavior.

In a related article, Leithwood (1992b) argued that old-style power relationships have been responsible for the failure of educational reform. He posited that this should be replaced with transformational leadership. "There is hope, optimism, and energy in a kind of leadership that facilitates redefinition of a people's mission and vision, renewal of their commitment, and restructuring of their systems for accomplishing goals" (p. 18).

Poplin (1992) articulated the importance of professional development for teachers to foster educational reforms. "A strong ethic of collective study can provide for the

commonalities and differences in the way humans grow and counter the intellectual starvation many teachers feel" (p. 11). She added that "change can only happen inside institutions where everyone is growing."

In describing of transformational leaders in schools, Mitchell and Tucker (1992) said that "they build relationships and help followers develop goals and identify strategies for their accomplishment" (p. 32). They also build staff skills and cultural beliefs, values and norms for common meaning. To be effective, teaching talent needs to be "integrated into cohesive, coordinated activity" (p. 34) with staff working together toward common goals. "The important thing is to solicit full engagement and release energy."

Sergiovanni (1992) identified several key leadership principles that relate transformational leadership to schools (p. 305): (a) "The substance of leadership in education is teaching and learning," (b) "Teachers and principals are motivated as much, if not more, by altruism, commitment to ideals, and a desire to do good as [they are] by self-interest," and (c) "Leadership is most powerful when it is idea based." Sergiovanni called this "idea-based leadership" (p. 311) and continued to state, "Not only is idea-based leadership morally defensible, but if Krug, Maehr et al., Weiss et al., and Bolman and Deal are right, it seems to work better" (p. 311).

Designing [a strategy] out from ideal, values, purposes, and commitments is more effective than designing down from objectives and work structures that emerge from bureaucratic rules, political mandates, or 'what research says'" (p. 305).

Wilcox and Ebbs (1992) brought the consideration of ethics into the discussion of leaders in higher education, noting that "leadership becomes 'ethical' by serving the

common good, by being responsive and caring of constituents, and by working within a framework of shared beliefs concerning standards of acceptable behavior" (p. 27). In particular, it is critical to note the specific contextual nature of higher education, i.e., the expectation of shared governance. After describing several models of governance (bureaucratic, collegial, political, and symbolic), the authors pointed out that "leaders who use an integrated approach to governance that employs more than one organizational model might be more skillful in fulfilling the numerous and often conflicting expectations of their position (Bensimon, Neumann, and Birnbaum 1989)" (p. 32). However, they also noted that "faculty responds more positively to a leader who joins them in dialogue about ways to shape and realize a vision rather than one who imposes a vision on them (Grant 1988)" (pp. 32-33).

The authors identified three practices of leadership that "appear to energize individuals to uncommon commitment and to raise their level of ethical aspiration" (p. 33): (1) "*Creating the vision: The mission statement*" (p. 33), (2) "*Empowering others: Collaboration and trust*" (p. 35), and (3) "*Modeling the way: Integrative solutions*" (p. 36). These were supplemented with ethical decision making, for which they identify five principles considered as "particularly relevant for higher education" (p. 39), namely: (1) "*Respecting autonomy*" (p. 39)—"the rights of individuals to make their own decisions, even if they seem to be mistaken, as long as the actions do not infringe on the welfare of others," (2) "*Doing no harm*"—"nonmaleficence, refers to both psychological and physical harm," (3) "*Benefiting others*"—"beneficence, . . . actively promote the

health and welfare of others," (4) *Being just*" (p. 40)—"treat individuals fairly," and (5) *"Being faithful"*—"keeping promises, and being truthful and respectful."

In a more recent article, Wilcox and Ebbs (1993) noted that "rethinking and revisioning an institution's mission statement can afford a critically important opportunity to discuss its essential values, to discover what tensions might exist among the stated aspirations and those in practice" (p. 38). The shared values that emerge from this process add meaning and significance for employees. In addition, "leaders who are clear about their values and whose behavior consistently reflects their values make a significant difference in an organization" (p. 39). They also recommended the use of strategic planning to engage staff and students in "work[ing] collaboratively and constructively with conflicts in values."

Duignan and Macpherson (1993) proposed a theory of educative leadership that is value-driven involving a balanced integration of three realms: (1) the realm of ideas—the core values about what is morally right, important and significant, (2) the realm of culture (people)—"the ideals, beliefs, shared meanings, and expectations and their embodiment in symbolic devices, such as myths, rituals, ceremonies, stories, legends, jargon, customs, habits, and traditions" (p. 21), and (3) the realm of things—"managerial and evaluative activities in order to relate scarce and valuable inputs (e.g., resources) to valued outcomes in the areas of learning, teaching, and leading" (p. 24). Two key processes incorporated into the theory are "double-loop learning" (p. 14), or reflective learning, and "touchstone" (p. 25), "the extent to which it supports the development of learning and teaching."



Double-loop learning has been elaborated upon by Argyris (1993) as a method to facilitate "leading-learning" (p. 5).

In a summary of the leadership literature as it relates to education, Taylor (1994) noted the trend toward synthesis of leadership theories with transformational leadership as the core. Value-added leadership (Sergiovanni, 1990) reflects Burns' moral dimension. Barth (1988), Dwyer (1984), and Snyder et al. (1992) described a community of leaders involving culture, collaboration, sharing and empowerment that is also closely aligned with transformational leadership.

### **Gender and Multicultural Diversity Effects on Leadership**

In *Megatrends 2000*, Naisbitt and Aburdene (1990) concluded that women moving into leadership roles is one of the ten major trends of the 1990s. They argued that "it is no longer an advantage to have been socialized as a male" (p. 217). Noting that women have taken two-thirds of the new jobs over the past two decades and are starting new businesses at twice the rate of men, "women have reached a critical mass in virtually all the white-collar professions" (p. 223). Women now represent the typical information worker and increasingly fulfill leadership roles. The authors say that as leaders, "men and women are equally capable of inspiring commitment and bringing out the best in people" (p. 219).

Rouche, et al. (1989) found that women and minorities were under represented among transformational leaders in community colleges in about the same proportion as in all American college and university CEOs, i.e., about 10 percent. However, those who

were represented "can and do exhibit leadership capabilities and skills that will conform to our transformational leadership model" (p. 275).

McFarland, et al. (1994) interviewed 100 top leaders and found that "now is the time to avail ourselves of the unique contributions of women and diverse people—to bring them into greater positions of authority and to effectively empower and educate them to take leadership roles" (p. 225). Generally, the data on gender differences is mixed and "taken as a whole, no clear pattern of differences emerges" (p. 89).

However, there have been a few studies regarding gender or multicultural diversity and transformational leadership (Bass, 1990a; Hackman, et al., 1992). In the few studies conducted, there were few differences between men and women transformational leaders, although when a difference was found, the women tended to score higher on transformational leadership scales. For example, Avolio & Bass (1989) found that females scored higher in emotional expressiveness and were seen as more charismatic than comparable males. Young (1990) found little difference between gender and leadership style. Rosener (1990; cited in Gasper, 1992) found that "women were more likely to motivate others by transforming their self-interests to be congruent with organizational goals" (p. 116). In addition, the women's "use of power was based more on charisma, work record, and personal power versus transactional sources." Hackman, et al. (1992) found a weak positive correlation for both genders and transformational leadership, with a slightly stronger correlation for women. However, the individual factors had mixed correlation differences leading the authors to conclude that

"transformational leadership requires a gender balance" (p. 318). Taylor (1994) cites several studies regarding women which "show negligible evidence of differences" (p. 15).

Gillett-Karam (1988) compared groups of men and women (twenty-one each) transformational community college presidents. An item analysis found that the women scored higher in (a) taking risks (vision), (b) caring and respect for others (people orientation), (c) acting collaboratively (influence orientation), and (d) openness and trust (values orientation). The men scored higher in (a) rewarding others (people orientation) and (b) acting positively (influence orientation). Note that both men and women scored high in people orientation, just in different factors.

Jill Blackmore (1989) is among those who have argued the feminist perspective. She was critical of "the emphasis on individualism, hierarchical relationships, bureaucratic rationality and abstract moral principles" (p. 94). In its place she argued for a "multi-dimensional and multi-directional" perspective that included "a relational view of morality . . . [that is] rational within given contexts." She also suggested that leadership is educative. Her conception of leadership is based on empowerment of "the individual *and* the group" (p. 123), much like that of Burns (1978).

In *The Female Advantage*, Helgesen (1990) described female leaders as, among other characteristics, maintaining a complex web of relationships, focusing on the big picture, viewing their own identities as complex and multi-faceted, and scheduling time for sharing information. The women in her study tended to talk about the "web of connections which emphasizes empowerment, affirms relationships, seeks ways to strengthen human bonds, simplifies communications and gives means an equal value with

ends" (p. 52). In addition, they used the perspective of *voice*, instead of vision. Voice is shared interaction. In addition, she argued that the female view is that "one strengthens oneself by strengthening others" (p. 233). The women studied were also skilled listeners and negotiators, with a "gift for collaborative agreement and . . . concern with fostering relationships" (p. 249).

Eagly and Johnson (1990) conducted a meta-analysis on leadership style (interpersonally oriented or task-oriented) and gender differences. While no differences were found, women did tend to use a more democratic or participative style, whereas men were more autocratic or directive. Eagly and Karau (1991), in a meta-analysis on the emergence of male and female leaders in initially leaderless groups, found that males tended to emerge as leaders more often than females, particularly in short-term groups and in groups carrying out tasks requiring less complex social interaction. In a third meta-analysis, Eagly, et al. (1992) found that female school principals were slightly more task-oriented and that there was no difference on interpersonally oriented style. Females were also more democratic or participative and less autocratic or directive than males.

Boleman and Deal (1991a) found that men and women in comparable positions were more alike than different in their frames perspective (structural, human resource, political, and symbolic), as well as their perceived effectiveness as managers and leaders. However, in 1992 they found that American women school administrators scored higher than men on each of their four frames model of leadership, although the differences were not large.

Astin and Leland (1991) identified three themes that emerged from a study of women leaders, both with and without positions of authority. They lead by: (1) collective action—"by inspiring people to form a vision, by networking, and by having people come together to accomplish change" (p. 157), (2) passionate commitment—inspired by "an acute awareness of injustices in our society. . . . many of them took advantage of or created opportunities to solve problems or to make a difference" (p. 157), and (3) consistent performance—including (a) identifying a problem, developing a network, and working to transform the system, (b) emphasizing values, "listening to and empowering others, and doing one's homework" (p. 158), and (c) "rely[ing] on self-awareness and on interpersonal and communication skills" (p. 158).

They also identified several personal qualities of these women leaders: high energy, risk taking, perseverance, intelligence, personal awareness, confidence, and support from friends, family and/or others. Positional leaders also exhibited assertiveness and determination.

Clark and Clark (1994) stated:

*Women seeking advancement reportedly prefer to describe power as energy, not control. A leader does not have to exercise power over others but instead can mobilize power and engage in leadership activities that empower others. These leaders use their position to influence and develop networks that can become powerful agents of change. (p. 178).*

Compared to the research on transformational leadership and gender, "the research on minorities . . . is even scantier" (Rose, 1992, p. 90). Cross-cultural studies have documented differences due to meanings associated with different cultural contexts.

"The implications of this finding for minorities and for our understanding of the phenomenon of leadership are still unclear." Bass (1990a) suggests that social needs and inequities of minorities may lead to a greater emphasis on transformational leadership, although little is currently known. However, significant cultural differences have been found between transformational leaders in different countries that may also manifest among different cultures within America.

In a study reported in 1990, Singer and Singer found that while cultural differences (New Zealand and Taiwan) exert situational constraints on leader behavior, there is a common preference for transformational leadership.

Clark and Clark (1994) noted that in spite of differences, some behaviors do not vary with cultures. "Talking sympathetically with a subordinate who suffers personal difficulties is seen as considerate in all cultures; talking frequently about work progress is seen as task centered in all cultures" (p. 151).

## **Applicable Adult Learning Theory for Leadership Training**

### ***Introduction***

Can leadership be taught? Nearly every author in the field believes that it can. However, there has been an increasing recognition of certain characteristics that enhance one's likelihood of becoming a successful leader. Gardner (1987a) stated, "Roughly 90 percent of it can be taught. But the 10 percent that cannot be taught may make a very large difference" (p. 8). To illustrate, he wrote that "every outstanding leader I have ever

known has had exceptional physical energy, exceptional stamina." But the 90 percent includes, for example, the ability to communicate effectively. This section considers the characteristics of adult learning theory that apply to leadership training and what has been learned about how to conduct leadership training effectively.

Thomas Cronin stated that "leaders are people who are constantly learning" (Leinbach, 1993, p. 1). They stimulate individual and organizational renewal including "walking the talk," by engaging in intellectual and physical renewal regularly, or as Stephen Covey (1989) says, "sharpening the saw."

Participants in a week-long leadership development program (conducted by AT&T) showed an average 15 percent increase in leadership behaviors (as measured on the LPI-Other) ten months following the program. Qualitative analyses revealed even more dramatic changes in leadership practices as reported to company officials by both participants and their subordinates. (Kouzes & Posner, 1990, p. 214)

Sashkin, et al. (1992) reported that 30 months after an initial 3-day seminar, participants were rated by subordinates as demonstrating (a) lower scores for laissez-faire leadership, (b) no change in transactional leadership, (c) increased scores in all scales of transformational leadership—particularly charisma, (d) improved perceived effectiveness, and (e) more subordinate satisfaction—although not statistically significant.

Given this and other evidence that leadership can be taught, what is known about adult learning theory that would apply to leadership training. The following parts of this section reflect an overview of the theory and its application.

### *Theory*

Merriam and Caffarella (1991) provided an exceptional overview of adult learning theory. They summarized the efforts of researchers and theorists into four components: "(1) self-direction or autonomy as a characteristic or goal of adult learning; (2) breadth and depth of life experiences as content or triggers to learning; (3) reflection or self-conscious monitoring of changes taking place; and (4) action or another expression of learning that has occurred" (pp. 264-265).

Perhaps the best known theory of adult learning is Knowles (1980) andragogy, which was based on five characteristics of adult learners (cited in Merriam & Caffarella, 1991, p. 249):

1. As a person matures, his or her self-concept moves from that of a dependent personality toward on of a self-directing human being.
2. An adult accumulates a growing reservoir of experience, which is a rich resource for learning.
3. The readiness of an adult to learn is closely related to the developmental tasks as his or her social role.
4. There is a change in time perspective as people mature—from future application of knowledge to immediacy of application. Thus an adult is more problem-centered than subject-centered in learning (Knowles, 1980, pp. 44-45).
5. Adults are motivated to learn by internal factors rather than external ones (Knowles, 1984, p. 12).



The authors also asserted that "perhaps a wedding of Jarvis's model, which does account for all types of learning, with aspects of Mezirow's theory would best reflect our understanding of learning in adulthood" (p. 313).

Jarvis's model defined nine learning responses forming a hierarchy of three sets of three responses. "The first three are nonlearning responses, the second three are nonreflective learning, and the final three are reflective learning" (p.257). The second three responses are: "preconscious, practice, [and] memorization." The final three responses are: "contemplation, reflective practice, and experimental learning."

Mezirow's theory deals with changing our perceptions to understand meanings.

Critically reflecting upon our lives, becoming aware of "*why* we attach the meanings we do to reality, especially to our roles and relationships . . . may be the most significant distinguishing characteristics of adult learning." (Mezirow, 1981, p. 11; cited in Merriam & Caffarella, 1991, p. 261)

In a summary of adult learning theory that applies to leadership training, Murphy and Hallinger (1987) listed the following factors:

- Emphasis on the active role of the learner
- Focus on learning that is job related and useful
- Underscoring the importance of self-directed learning
- Stress on informal learning and professional socialization
- Emphasis on application of learning content
- Modeling of teaching and learning principles
- Employment of a nonremedial perspective in training

- Provision of regular feedback during training
- Focus on meeting an array of participant needs
- Creation of an environment of trust and respect (p. 264)

### *Application of Theory*

Our understanding and application of these constructs have been elaborated by several other researchers, theorists and practitioners. Some of the most widely recognized are cited in this part of the literature review.

Self-directed learning is an important consideration for adult learners. One approach was articulated by Malcom Knowles (1983) in the form of "learning contracts . . . [to answer] many of the problems that we were running into in helping adults organize and structure their self-directed learning" (p. 89). The learner is allowed "to state the objectives in terms that are meaningful to him [or her], and to use a variety of forms."

"Pike's Laws of Adult Learning" (Pike, 1989) also provided some practical foundation principles for effective training: (a) "acknowledge, honor, and celebrate" (p. 3) the experience that we, as adults, bring to our training programs, (b) let the group suggest data rather than presenting it, then fill in the gaps, (c) "learning is directly proportional to the amount of fun you have" (p. 4), (d) "learning hasn't taken place until behavior has changed. . . . [until you] have the emotional conviction that comes from personal experience" (pp. 4-5), and (e) "ultimately what matters is what . . . [participants] teach others to do" (p. 5).

Stephen Brookfield (1990) provided some practical guidelines for "skillful teaching," among them:

1. "Teaching and learning are such complex processes, and teachers and learners are such complex beings, that no model of practice or pedagogical approach will apply in all settings" (p. 197)
2. "Try to do as much research as you can on your students' backgrounds—their cultural values and allegiances; their experiences; their expectations; their language; and their most pressing concerns, problems, and dilemmas" (p. 199)
3. Make "a concerted effort to understand how students are experiencing learning. . . . try to make your practice more responsive to these features" (p. 200)
4. "Use a diversity of materials and methods in your practice" to address alternative learning style preferences and "broaden their repertoires"
5. Take advantage of "true teachable moments—those times when an unexpected event excites the interest and energy of a group in a way that had not been planned" (pp. 203-204)
6. "Don't evaluate only by students' satisfaction. . . . much of the relevance of classroom activities is not appreciated by students until much later when they find themselves in contexts where what happened in the classroom suddenly fits the new situation" (p. 206-207).

David Kolb's work on learning styles suggested that "complete learning involves modes that are concrete (experiencing) and abstract (conceptualizing), active (experimenting) and passive (observing)" (Strange, 1992).

Another effective approach is the use of collaborative learning.

Students learn best when they are actively involved in the process. The researchers report that, regardless of the subject matter, students working in small groups learn more of what is taught and retain it longer than when the same content is presented in other instructional formats. (p. 147)

Collaborative learning can take place in (a) "ad hoc temporary clusterings of students within a single class session," (b) "formal learning groups . . . established to complete a specific task," or (c) "study teams . . . (usually existing over the course of a semester) . . . to provide members with support, encouragement, and assistance in completing course requirements and assignments" (p. 148).

"Adults enter the academy 'experience-rich and theory-poor,' in contrast to younger students" (Greenberg, et al., 1980; cited in Tarule, 1992). Adults usually have lived in dialog-rich environments, where dialogue is used to create meaning. "For adults . . . dialogue has become an indispensable component in learning" (Tarule, 1992, p. 17). However, "dialogue-rich classrooms . . . become 'messy.' Dialogue is not linear" (p. 18).

Reflective thinking or judgment is a hallmark of an educated person (King, 1992). Critical, creative and reflective thinking are key processes in educational reform (Oregon Department of Education, 1995). Other concepts include contextual learning or applied academics, learning to learn, collaborative learning, and active learning.

Conger (1993a) stated, "We do know from research that the more levels of an individual (emotional, imaginative, cognitive, and behavioral) a learning experience engages, the more powerful the learning will be" (p. 29). In addition, Conger (1993b) added the need for training to include reinforcement, such as coaching or process advising, in order for transference of the learning to the work environment. For example, he noted that "vision is far more difficult to train, particularly in a one-shot program" (p. 56). He also advocated for pre-course contact.

The participant must do tangible homework, critically and objectively analyzing his or her situation before the first day of class. . . . The participant must articulate their sense of purpose, their life experiences to date, and their current work situation, as well as fill out certain feedback instruments. (p. 57)

Thomas Angelo (1994) described three key assumptions underlying faculty development, that apply equally well to other community college professionals:

1. "True higher learning is transformative and not merely additive,. . . [i.e.,] students actively transform the continuously added knowledge and skills into personally meaningful and useful learning, and in so doing, transform the ways they learn, understand, think, and act." (p. 117)
2. "The central purpose . . . should be to help teachers improve the quality of higher learning in their classrooms."
3. "Development programs must shift their focus to become transformative learning experiences in order to accomplish their purpose and realize their promise."

## **Applicable Leadership Training Programs and Research**

### ***Introduction***

Given the mysteries of human development, the role of luck, and the many paths to failure, we shall never succeed in devising a program of training that will with certainty turn a promising youngster into a leader. We can, however, produce a substantial cadre of young *potential* leaders from which the next generation of leaders will emerge." (Gardner, 1990, p. 162)

Furthermore, "leadership development is a process that extends over many years. . . .

[and] calls for repeated assessments and repeated opportunities for training" (p. 171).

The emphasis on leadership *training* may be differentiated from *education*.

Training is a targeted exposure toward immediate, or near term, applicability, whereas education is a broad exposure to multiple dimensions and perspectives, but often with uncertain applicability (Hunt, 1991). Kotter (1988) noted the trend toward increasing use of concentrated trainings in an apparent acknowledgment that "such training constitutes a better way to learn the fundamentals . . . than traditional methods" (p. 35).

Leaders who wish to enhance leadership development among staff must also allow developing leaders to take reasonable risks without penalties. "Feldman suggests that, instead of penalties for being wrong, there be penalties only for refusing to learn" (Feldman, 1986; cited by Hunt, 1991, p. 258).

Another concern was that some organizations *appear* to support leadership training, when in reality they prefer managers (Conger, 1993b). Gardner (1990) adds:

The first requirement is that supervisors not squelch potential leaders or drive them out of the organization. The second requirement is that they provide challenge. Promising future leaders are apt to be both restless and marketable. They are not given to prolonged loitering in an unchallenging environment. They do not produce a confrontation, they just leave; and top management does not even know the event occurred. No organization can afford such losses. (p. 173)

### ***Delivery and Format***

Gardner (1987b) outlines a broad program for leadership development in community colleges. It consists of (a) a broad liberal arts education, (b) early exposure to many constituencies, and (c) opportunities to lead and associate with other leaders,

including role models and mentors. He also argues that leadership development is a lifetime process. Some leaders emerge early, but others only in their mature years. Leadership development should involve "a great many men and women" (p. 21) as leaders not only emerge at different times in their lives, but are also needed at all levels and across a vast range of community involvement.

Conger and Kanungo (1988) proposed a model that includes: (a) skills in critical evaluation, problem detection and context identification, (b) visioning and planning skills, (c) communication and interpersonal sensitivity skills, (d) impression management skills that include modeling exemplary behavior, and (e) empowering skills (cited in Hunt, 1991; and cited in Bryman, 1992).

The ideal program would begin with a conceptual overview, then provide feedback on where participants stand relative to the skills associated with the conceptual model of leadership. This would be followed by skill building, for skills that are teachable. The skills that are more complex (and therefore less amenable to being taught) would be the focus of awareness building, with the idea that participants could find long-term opportunities to develop these skills back at the office. Feedback would reappear after preliminary skill building to assess how well individuals have learned and understood the skills, and this would be followed by more skill building. Personal growth experiences would be used along the way as powerful opportunities for reflection on two levels: to help managers determine their own desires to lead, and to free participants of ineffective behaviors. . . . In any program, there should be elements of artistry, adventure, and personal risk taking. . . . Programs that provide a challenging "rite of passage" have an enormous symbolic advantage over other more mundane educational experiences. This element must somehow be incorporated into all training experiences. (Conger, 1992, p. 53)

Bass (1990a) conducted training based on initial assessment with the MLQ by participants, subordinates and peers, or in some cases supervisors. Individual and group

sessions were used to review the results and explore the reasons for differences and similarities. Workshops included changing organizational design and culture, serving as a mentor to others, enhancing intellectual stimulation through creativity exercises, and designing personal action plans to improve participant leadership. Notably, Bass included the components of transactional leadership in these trainings, unlike most transformational leadership training, but consistent with his findings that transformational leaders use factors from both constructs.

Whatever the education or training effort, its effectiveness in improving leadership performance depends first on identifying what needs improvement and then on demonstrating or helping the trainee or student discover how to change his or her perceptions, cognition, attitudes, and behavior. Experiences must be provided in which the trainee can exhibit the appropriate leadership and instructors, observers, and other trainees can give the trainee feedback about the adequacy and effects of the trainee's efforts. (Bass & Vaughan, 1966; cited in Bass, 1990a, p. 817-818)

Since leaders are action oriented, leadership training should emphasize action rather than theory. There must also be an opportunity for reflection (Bass, 1990a). Role playing, particularly with videotaping for feedback, is one popular method of emphasizing active learning. Another is behavioral modeling in which participants view model behaviors on a video tape and then role play to learn the behaviors. In a reversal of that approach, the group trainer may *appear* to abdicate the leadership role, creating a vacuum and an opportunity to learn by doing and through feedback from participant-observers or other trainers. Other approaches specific to transformational leadership training have included exercises in the development of shared visions and planning strategies for implementation.



Bass also said that "transformational leadership education is not a substitute for situational or transactional leadership training" (p. 845). He argued that transformational leadership training will augment transactional and situational leadership training.

However, he also noted that

as Burns (1978) suggested . . . transformational leadership. . . . must be a joint search for truth by the teacher and the students in which the students are moved 'to higher stages of moral reasoning and hence to higher levels of principled judgement' (p. 449). (cited in Bass, 1990a, p 845)

"For too long, leadership development has been mainly a matter of skill development.

But leadership—particularly transformational leadership—should be regarded as an art and a science" (Bass, 1990b, p, 30).

In a study of the behavioral competencies of outstanding community college presidents and executive administrators, Roe (1989) found that the executive administrators did not exhibit transformational behaviors as frequently nor did they spend as much time as the exceptional presidents. She argued that using transformational skills and behaviors as benchmarks would enhance leadership training.

Jaques proposed an approach based on developing increasingly "complex cognitive maps (i.e., capacity to comprehend increased complexity, understand indirect cause-effect relations, and combine logical with intuitive learning and other necessary 'equipment' over time" (Jacobs and Jaques, 1987; cited in Hunt, 1991, p. 261). Jaques found "substantial correlations between initial complexity assessment and predicted subsequent hierarchical position at time of follow-up" (p. 262). Furthermore, "only some

people will be inclined toward activities leading to increasing cognitive complexity," for which the "NT" (intuitive-thinking) may be related. Finally, Jaques advocated for opportunities that include coaching, mentoring, career counseling, sabbaticals and "frequent focused training courses."

Morton (1990) stated that "leadership begins with self-knowledge" (p. 3). To facilitate such learning, he suggested four exercises: (1) "writing one-page memos" (p. 4) in response to a book or article in terms of one's own experience, reaction, an application; (2) "making oral presentations" five minutes in length on video tape for feedback; (3) "listening" exercises; and (4) "asking questions" (p. 5) to learn and to understand. Morton also included "ethics" as an underlying theme. He offered several specific activities for leadership training:

1. "Reading and discussing a wide variety of materials, from Machiavelli's *The Prince* to Martin Luther King, Jr.'s letter from Birmingham's City Jail" to begin questioning "our own beliefs and values" (p. 5-6)
2. Setting an example "by the way he [or she] conducts himself [or herself] and treats students
3. Doing a "genogram . . . a psychological family tree of the patterns and problems that have been handed down from one generation to another" (p. 6), including taped interviews of parents, grandparents, aunts, uncles, and siblings
4. Calling on "our own experience and not hiding behind some other authority," particularly as case studies from the participants' experience
5. Drawing a "lifeline as a graph with its highs and lows going back as far as you can remember. . . . [making] notes indicating why the experience was a high or low for you. . . . [and] analyzing the notes . . . [for] patterns in your life" (p. 7) as they may continue unless behavior is changed in some way. This last exercise (from Kouzes and Posner, 1987) facilitates understanding of "what motivates you, what you care about, and what you want in life."

One challenge to all forms of training is "the difficulty of changing behavior, sustaining the change, and so forth" (Hunt, 1991, p. 251). It is therefore important to consider some form of sustained support for transfer and application, whether as coaching from a supervisor, mentor, peer, or trainer. Several authors have stressed the need for lifelong learning for successful leadership. Early job challenge, variety of jobs, increased job scope, special projects, exposure to role models, self-initiated activities and growth from negative experiences appear to help leadership development (Hunt, 1991, p. 257). Blum, et al. (1987) also suggested holding participants accountable for carrying out new knowledge and skills.

The importance of feedback for transfer of the training to the job was also noted by Bass (1990a). Post session debriefing, a daily behavioral checklist, progress reviews and consultation with trainers, alumni groups, encouragement from immediate supervisors, reward for improvement and follow-up training all facilitate the transfer.

Kirby, King and Paradise (1992) found that "skills in educating and challenging followers should be major considerations in leadership training" (p. 310). Gary Yukl (1994) suggested that the skills targeted for training include technical, conceptual and interpersonal skills. He recommended that this be followed by mentoring and project-based action learning. One striking recommendation is that job assignments ought to be selected for leadership development potential rather than the traditional approach to selecting staff based on a good match between skills and job requirements.

There are some noteworthy problems that must be considered in the design of leadership training. Yukl (1994) pointed out the increasing isolation at higher levels

within an organization as a barrier to receiving feedback. There is also a risk of overconfidence or superiority that may cause high level participants to "ignore or discount criticism from others who are not so successful," as well as a reluctance by subordinates to "risk offending them" (p. 458).

In a summary of the literature on leadership and leadership training, Clark and Clark (1994) listed several relevant findings:

1. *"Leadership training programs that use behavior modeling are extremely effective"* (p. 175).
2. Among the most widely used and innovative teaching methods used in college and university courses are: "journal keeping; oral and written exposition; instruments for self- and other-ratings; observation and critical analysis of meetings and organizational processes; and interviewing persons in leadership positions" (p. 176). Other teaching methods included: brief lecturettes, discussions, case reviews, videotapes, exercises, projects—including shadowing a leader, an individual critical incident log, and a team summary observational report (p. 104).
3. *"Leadership training programs that include follow-up training and evaluation and do not rely on single-event training exposure increase the applicability of seminar training to the work setting* (p. 104)."*"Teaching and training spread over time, with certain projects assigned for application on the job . . . are gaining wider acceptance"* (p. 119).
4. Mentoring, informal coaching and tutoring programs are very beneficial to reinforce training.
5. *"Subordinate descriptions are most useful in identifying leadership qualities. However, they do not identify all qualities that are critical"* (p. 172). *"Individuals are poor judges of their own leadership abilities"* (p. 162).
6. Feedback is critical and is best provided by "well-trained professional persons who observe you in action" (p. 91).
7. "Make the organization exciting. Exceptional performance produces a 'high' within a group that leads to even greater achievement. . . . *Building a shared*

*vision* is. . . a force in people's hearts, a force of impressive power. Few, if any, forces in human affairs are as powerful as a shared vision" (p. 167).

Based on a survey of community college leaders and educators, Cooper, Pielstick and Poppe (in press) proposed a training curriculum content of human resource skills, communication skills, leadership theory and practice, strategic planning and ethics.

Advice on leadership development by the participants cited in the study included:

- Be trained by those you aspire to join.
- Gain experience, up close to a proven leader.
- Assume that you are always in the process of becoming
- Take as many opportunities to lead as possible
- Get involved in projects that force you to stretch your awareness and abilities.

The training methodologies recommended included case studies, internships, mentors and the use of novels and plays to illustrate the content.

### *Selected Model Programs*

The annual WACUBO (Western Association of College and University Business Officers) Business Management Institute at Santa Barbara, in its thirty-ninth year in 1995, was selected for the basic structure for the leadership academy due to its (a) week-long intense training and (b) multi-session (four-year) format. Students take core courses and select from an array of electives during the first two years of the program. The third year has a major focus on communication and actual higher education case studies that

are discussed in small groups. The fourth year is delivered in a conference format with a theme that stresses emerging issues in higher education. The sessions are more in-depth, supplemented with a case study analysis and small group participation. The program also includes some special events and national speakers, as well as some entertainment and free time.

The cost for early registration was \$495 for years one & two, and \$595 for years three & four in 1994 (WACUBO, 1994), which includes materials, refreshments, and lunches. Lodging costs were \$225 per person for double occupancy and \$325 for single occupancy, including breakfasts and dinners. Additional nights and meals were available for \$55. The institute is held on the University of California, Santa Barbara, campus.

McElroy and Stark (1992) proposed a three level model: (1) transformational leadership for lower level managers, (2) situational and contingency (conditional) leadership, as well as transactional leadership, for middle level managers, and (4) transformational, conditional, and transactional leadership for top managers. In addition, they recommend consideration of an "organization's reward system, climate, type of work and characteristics of subordinates" (p. 251).

Green and McDade (1994) also followed a multi-level training format by position level: board members, presidents, senior administrators, academic deans and mid-level administrators, administrative managers and professional staff, department chairs, and faculty. While the specific training needs are by level, they are identified within five major categories: (1) "*Envisioning a Future*" (p. 27), (2) "*Shaping and Interpreting Values and Culture*" (p. 28), (3) "*Managing and Decision Making*" (p. 29), (4) "*Working*

*With People,*" and (5) "*Understanding Oneself*" (p. 30). Their handbook provides descriptions of each category for each position level.

The *Phi Theta Kappa/W.K. Kellogg Foundation Leadership Development Project* (Phi Theta Kappa, n.d.-a) provides an overview of a well designed leadership development training program for community college students and the community. The program begins with an introductory module—"Self-Knowledge: Understanding Your Personal Leadership Philosophy"—and includes eleven skill building modules (p. 1):

1. Conceiving and Articulating a Vision
2. Using Logic and Creativity in Decision Making
3. Servant Leadership: Leading by Serving
4. Leadership Ethics
5. Building Trust
6. Empowering Others
7. Resolving Conflict
8. Leader as Changemaker
9. Leading with Goals
10. Getting Control of Time
11. Situational Leadership

In addition, there are three capstone modules available for independent study: (1) "Phi Theta Kappa Honors Study Topic," (2) "Writing a Leadership Journal," and (3) "Five-Year Leadership Plan." The program is unique in its use of writings from "the

Great Books" that include historical, philosophical, and multi-cultural readings. The program includes five pedagogical approaches (Phi Theta Kappa, n.d.-b):

- Integration of the liberal arts and humanities into leadership development
- Use of film to enhance awareness of leadership skills
- Shared analysis approach to classic leadership cases
- Use of experiential activities in leadership development
- Discussion-based leadership learning

Faculty for the program must participate in a training program to become certified, agree to provide at least two training sessions per year over three years, provide progress reports, and cooperate in followup refinement and evaluation.

### *Evaluation*

The final topic for this section highlights the need for an evaluation component in leadership training programs.

Classroom assessment (Cross, 1988; Cross & Angelo, 1988; Angelo & Cross, 1993) is being used by "thousands of faculty members (Cross, 1994, p. 148) to "maximize learning through frequent assessment of how well students meet the goals of instruction" (p. 149). These techniques include three primary categories of assessment: (1) "course-related knowledge and skills"; (2) "learner attitudes, values, and self-awareness"; and (3) "learner reactions to instruction" (p. 149).



Davis (1993) pointed out that these fast feedback techniques "require modest effort, are easy to carry out, and use little class time" (p. 346). She provided three general strategies for using fast feedback: (1) "Decide what you want to assess," (2) "Schedule fast feedback at time appropriate to the course," and (3) "Use different techniques throughout the semester" (p. 346). Sample techniques included (a) passing out 3" x 5" cards and asking some quick questions for feedback such as "what is going well in the course and what needs to be improved or changed," (b) "ask[ing] students to complete a brief informal questionnaire," or (c) asking "a colleague or staff member to conduct an oral evaluation with your students during the last ten or fifteen minutes of class" (p. 347).

Other tools for participant evaluation, particularly for followup assessment, include "educational platforms" (Barnett, et al., 1992, p. 74)— position papers describing [leadership] beliefs, values and philosophies—and "portfolios" which may include sample documents and reflective papers.

Tichy and Devanna (1986) identified several leadership workshop outcomes that could serve as evidence of training impact: (a) personal impact, including how participants "changed the way they deal with other people, including members of their family" (p. 176), (b) deals negotiated with other managers, (c) activities to motivate subordinates to change, (d) new stories, myths and rituals, (e) pressure to change the system, (f) collegial bonding experiences, (g) leadership visions or agendas, and (h) pressure to change the human resources systems.

Evaluation provides feedback to further improve the quality of the learning experience and the planned outcomes. This process completes the circle of planning, delivery and evaluation.

### **3. METHODOLOGY**

#### **Introduction**

The purpose of this thesis was to design a leadership academy for community college professionals based on transformational leadership. It used the research and expertise found in the literature and related sources on transformational leadership, leadership training, adult learning theory, and issues facing community college professionals.

A research methodology was needed that would facilitate the design of the leadership academy. To accomplish this, the methodology needed to engage in an analysis and synthesis of the research and related literature. In addition, the research design needed to identify the patterns and connections that describe transformational leadership and leadership training.

This chapter provides (a) an overview of the relevant research traditions in the field of education, (b) the rationale for the selection of the research methodology for this study, (c) the procedures used for the methodology, and (d) the criteria of soundness for the analysis.

#### **Overview of the Relevant Research Traditions**

The research traditions in the field of education include quantitative and qualitative methodologies. This overview begins with a brief comparison of quantitative

and qualitative research, then elaborates on the qualitative traditions which are more relevant to this study.

Quantitative research uses relatively large samples, randomly selected from the population being studied, to facilitate generalization to that population. The primary challenges for quantitative research are the difficulties of (a) selecting a random sample from a large population and (b) controlling the hundreds of potential variables when investigating even the small groups of people characteristic of an educational setting. Large scale sampling can also be very expensive.

One quantitative methodology with potential for this study, meta-analysis, is used for cross-study analysis (Glass, 1976; Glass, McGaw & Smith, 1981; Wachter & Straf, 1990; Rosenthal, 1991; Light & Pillemer, 1989; Cooper, 1989). However, it is limited to comparable quantitative studies. The nature of the variables, their definitions and measurement may not allow direct comparison, although there is disagreement about the degree to which studies must be comparable to apply meta-analytical techniques (Wachter & Straf, 1990). Another limitation is that this approach can include only other *quantitative* studies. This excludes qualitative research, theoretical literature, and other professional expertise. Consequently, meta-analysis was not considered as an appropriate methodology for this study.

Increasingly, educational research uses qualitative designs (Bogdan & Biklen, 1992; Borg, Gall & Gall, 1993; Lancy, 1993; Miles & Huberman, 1994; Strauss & Corbin, 1990). Qualitative research generally focuses on very small samples or a single case with the intent to investigate the sample or case very thoroughly to "uncover[s]

patterns, themes and categories, . . . a creative process that requires making carefully considered judgements about what is really significant and meaningful in the data" (Patton, 1980, p.313). Because the documentation of such investigations is generally extensive, qualitative research has been described as "thick" (Geertz, 1973; Denzin, 1978).

Qualitative research is interpretive, a translation of studies into the world view of the analyst. All qualitative research is but interpretations of interpretations, according to Geertz (1973). One might add that qualitative research is *an* interpretation, not *the* interpretation. Qualitative research involves idiomatic translation, i.e., one that translates the meaning of the text in a way that "the audience . . . finds useful and insightful" (p. 76). And, "increasingly in our utilitarian culture, that audience will be one of practitioners of some sort" (Noblit and Hare, 1988, p. 76). Even science is finding that research involves a more interpretive understanding of phenomena than previously believed (Wheatly, 1992). The principle objection to qualitative methods is the lack of measures for reliability and validity (Lincoln & Guba, 1985; Miles & Huberman, 1994).

Several authors (Wolcott, 1982; Tesch, 1990; Miles and Huberman, 1994) have identified similar lists of two-dozen or so qualitative research traditions. Tesch (1990) provided particularly clear and simple descriptions of twenty-seven qualitative research traditions. Among them, five have particular relevance to this study: ethnography, grounded theory, naturalistic inquiry, phenomenography, and hermeneutics. These are described as follows:

1. *Ethnography* provides a holistic, descriptive exploration of the beliefs and practices of a group, culture or community (pp. 66-67).
2. *Grounded theory* uses a constant comparative technique to sort information into categories, identify the properties of the categories, and define the relationships between categories (p. 64).
3. *Naturalistic inquiry* includes a focus "on understanding the meaning the people under study give to their experiences" (pp. 50-51). It is "much like ethnography," but encourages "more procedural diversity" (p. 67).
4. *Phenomenography* studies how people explain or understand the phenomena around them (p. 65) [such as leadership] and is usually based on quotations (p. 92) and contextual analysis (p.51).
5. *Hermeneutics* applies interpretive methodologies to text as data (p. 68).

While some authors describe these traditions as being distinct (Lincoln & Guba, 1985; Strauss & Corbin, 1990), the trend is toward a generic integration of these traditions. For example, ethnography, grounded theory, naturalistic inquiry, and other terms are often used interchangeably to describe qualitative research (Miles & Huberman, 1994; Noblit & Hare, 1988; Tesch, 1990). In the unified approach, the qualitative researcher acts as a *bricoleur* that produces a "pieced-together, close-knit set of practices that provide solutions to a problem in a concrete situation. [The result] changes and takes new forms as different tools, methods, and techniques are added to the puzzle" (Denzin and Lincoln, 1994, p. 2).

A unified approach to qualitative research involves the following characteristics (Bogden and Biklen, 1992, pp. 29-33):

1. Qualitative research has the natural setting as the direct source of data and the researcher is the key instrument.

2. Qualitative research is descriptive.
3. Qualitative researchers are concerned with process rather than simply with outcomes or products.
4. Qualitative researchers analyze their data inductively.
5. "Meaning" is of essential concern to the qualitative approach.

Although collectively there is a considerable range of methodological specifics among the different traditions of qualitative research, most have considerable overlap (Tesch, 1990). "The world of research is not tidy enough to provide us with a neat one-to-one correspondence between research interests and analysis procedures" (p. 77). Ten principles and practices common to all but the extremes within the range of qualitative traditions are:

1. "Analysis is not the last phase in the research process; it is concurrent with data collection or cyclic" (p. 95).
2. "The analysis process is systematic and comprehensive, but not rigid."
3. "Attending to data includes a reflective activity that results in a set of analytical notes that guide the process."
4. "Data are 'segmented', i.e., divided into relevant and meaningful 'units', yet the connection to the whole is maintained."
5. "The data segments are categorized according to the organizing system that is predominantly derived from the data themselves" (p. 96).
6. "The main intellectual tool is comparison."
7. "Categories for sorting segments are tentative and preliminary in the beginning; they remain flexible."
8. "Manipulating qualitative data during analysis is an eclectic activity; there is no one 'right' way."

9. "The procedures are neither 'scientific' nor 'mechanistic'; qualitative analysis is 'intellectual craftsmanship' (Mills, 1959)."
10. "The result of the analysis is some type of higher-level synthesis" (p. 97).

She concludes that "if a researcher adheres to the principles (which, mind you, include the injunction to be creative) and commits no logical or ethical errors, her/his work will qualify as scholarly qualitative data analysis as it is defined today" (p. 97).

Tesch summarizes her approach with the following metaphor:

Think of a painter's palette. There are certain basic colors. They can be mixed to form an unending variety of shades. Every individual researcher could do a study of a unique "shade". Just because someone has given her/his shade a name and written about it or even defined how it differs from other shades . . . does not mean that it is an established type of research that now has to be used exactly that way by other researchers, keeping each of its tenets intact. (p. 71)

While most qualitative research focuses on direct acquisition of information from original sources, secondary sources often supplement that information. Secondary sources are considered legitimate sources of research for a variety of purposes. Advantages to secondary research include the time and cost to collect original data and integrate or synthesize information from multiple sources (Stewart and Kamins, 1993). "The point to be made here is that not every study or research undertaking must begin with the collection of primary data (i.e., data originated by the researcher for the purpose of the investigation at hand)" (Stewart & Kamins, 1993, p. 1).



Both technical and non-technical literature provide sources of data for qualitative analyses (Strauss and Corbin, 1990). "In fact, one form of qualitative research is the analysis of theoretical or philosophical statements and writing per se" (p.52).

In addition, "the social sciences [including the study of leadership] have recently undergone a huge increase in the amount of research being conducted" (Cooper, 1989, p. 11). Interpretive research conducted to synthesize the relevant information regarding a particular problem or theoretical framework can help our understanding of this large volume of information, while providing professionals with practical assistance based on the accumulated knowledge.

A qualitative research methodology that can be used to integrate the findings of multiple sources and methods of research is meta-ethnography. *Meta-ethnography* provides a way to conduct an interpretive synthesis of qualitative research and other secondary sources, as a counterpart to meta-analysis for quantitative research (Noblit and Hare, 1988).

Our approach to synthesizing qualitative studies has two primary applications. First, students and researchers are perennially involved in conducting and writing literature reviews. Our meta-ethnographic approach enables a rigorous procedure for deriving substantive interpretations about any set of ethnographic or interpretive studies. . . . A meta-ethnography can be considered a complete study in itself. [Meta-ethnography] compares and analyzes texts, creating new interpretations in the process. It is much more than what we usually mean by a literature review. (p. 9)

As an example of meta-ethnography, multiple secondary sources on qualitative research methodologies were analyzed for the research Tesch (1990) conducted for her book on those methodologies:

I have studied quite extensively the analysis descriptions that researchers and methodologists have supplied in their publications. In fact, I conducted what could be called a qualitative analysis of texts that describe qualitative analysis principles and procedures. I applied to the texts some of the same procedures described earlier in this chapter. From the moment I began to review the texts I took notes, tentatively derived categories, excerpted relevant portions, periodically scanned again the whole book or article to make sure I did not misinterpret the excerpts, continually compared excerpts from one text to those of others, refined my categories, collapsed or discarded some of them . . . , played around with ideas about how to arrange and how to express my "results", and then spent a lot of time finding a "generalized" way of characterizing each item (category) succinctly. (p. 95)

This meta-ethnography provides a synthesis of extensive multiple sources with utilitarian value to educational research practitioners, a good model for this thesis.

### **Rationale**

This section explains the selection of the research methodology used for this study (meta-ethnography) and additional features added to enhance the soundness of the methodology.

Meta-ethnography evolved from the qualitative research traditions described in the previous section. As an interpretive methodology, meta-ethnography is not limited to synthesizing strictly comparable studies as meta-analysis is. Meta-ethnography may be used to synthesize information regarding a phenomenon, e.g., transformational

leadership, that has been extensively described in a variety of other sources including quantitative studies, qualitative studies, and professional expertise. Thus, meta-ethnography provides the methodology to analyze and synthesize the variety of research and other sources of literature on transformational leadership, leadership training, adult learning theory, and issues facing community college professionals. For these same reasons, this methodology was selected as the most appropriate to conduct the research to support the design for the leadership academy for this study.

Additional features were added to enhance the soundness of the methodology: (a) *specially designed software* eased the management of large volumes of text-based data associated with meta-ethnographic research; (b) the *constant comparative technique* facilitated knowing when the subject areas have been thoroughly studied; (c) extensive *triangulation* due to the multi-study approach, provided one of the most effective approaches in dealing with the issue of transferability; (d) the *criteria of soundness* reduced the likelihood of erroneous interpretations; and (e) an *expert panel* for peer review of the results provided an additional level of confidence in those results.

### Procedures

This section describes the data collection procedures, the selection of the specialty software used to help with the analysis, the use of the software, and the interpretive analysis.

### *Data Collection*

The literature on transformational leadership, leadership training, and adult learning theory used in the literature review in Chapter 2 provided the sources of data for this study. After being identified by title, abstract, or reference, the documents were retrieved from local bookstores, libraries, or inter-library loan and reviewed for relevance to this study. To retain access to the original context of the text, the relevant documents were either purchased or copied. In addition, relevant source documents from the Internet were printed to supplement the published documents.

### *Software Selection*

Specialty software for qualitative analysis has been developed to facilitate the coding and sorting processes used by this methodology. "Today qualitative researchers type their notes on word processors and many use one of the effective software packages . . . to mechanically sort the paragraphs upon paragraphs of data produced in a qualitative study" (Bogden & Bilken, 1992, p. 27). Primarily, the software serves to manage the text data from the study. This management process includes storing, coding, memoing, linking, searching, retrieving, and in some cases displaying data and graphics, conceptualizing, or developing theory (Miles & Weitzman, 1994).

Code-and-retrieve software, designed to replace the hang files or index cards of traditional approaches, is one category of specialty software for qualitative research (Richards & Richards, 1994). Multiple coding eliminates the need for duplication and

cut-and-paste processes. Code-and-retrieve software may also allow "memoing," the process of making notes about the coding and analysis process. Codes can easily be modified, added or deleted as necessary.

Several code-and-retrieve software packages are available: ATLAS/ti, HyperQual, Kwalitan, MAX, NUDIST, QUALPRO, and The Ethnograph. These software packages were evaluated based on coding, search and retrieval, memoing and user friendly categories listed in Miles and Huberman (1994, p. 316). See Table 3.1.

HyperQual, MAX, NUDIST and QUALPRO were eliminated because they did not perform or were weak in one or more of these functions. Three packages remained: ATLAS/ti, Kwalitan, and The Ethnograph. To select the most appropriate of the three software packages remaining, additional references were checked (Bogdan & Biklen, 1992; Denzin & Lincoln, 1994; Miles & Huberman, 1994; Tesch, 1990). Only Miles and Huberman provided a comparison of features as described in Table 3.1.

Kwalitan was listed only in Miles and Huberman. While the features were evaluated for inclusion in a summary chart, no discussion of the features or usage was provided. No other references to this software were identified.

ATLAS/ti was included by Miles and Huberman as code-and-retrieve, theory builder, and conceptual network builder software. Denzin & Lincoln (1994), while recognizing the code-and-retrieve functions of ATLAS/ti, described it as being designed primarily for constructing "semantic networks" and applying semantic network techniques (p. 459), not the methodology proposed for this study. Bogdan and Biklen

**Table 3.1** Comparison of code and retrieve software for DOS or Windows

Package	Coding	Search & Retrieval	Memoing	User Friendliness	Total
<b>ATLAS/ti</b>	<b>1</b>	<b>.5</b>	<b>1</b>	<b>1</b>	<b>3.5</b>
HyperQual	1	0	1	.5	DQ
<b>Kwalitan</b>	<b>1</b>	<b>.5</b>	<b>1</b>	<b>1</b>	<b>3.5</b>
MAX	1	0	n.a.	.5	DQ
NUDIST	1	1	n.a.	0	DQ
QUALPRO	1	.5	0	1	DQ
<b>The Ethnograph</b>	<b>1</b>	<b>.5</b>	<b>1</b>	<b>.5</b>	<b>3.0</b>

Adapted from Miles and Huberman (1994, p. 316).

Note: n.a. = not available

DQ = disqualified for one or more weak areas or n.a.

(1992) list, but do not discuss, ATLAS. Thus, while this software will handle code-and-retrieve functions, it was not designed primarily for this use.

The Ethnograph is the most referenced code-and-retrieve software. It is the least expensive, yet highly regarded (Miles & Huberman, 1994). "The first available and best-known example of this type of software is The Ethnograph (Seidel & Clark, 1984)" (p. 453). The Ethnograph's design helps the process of identifying the patterns, themes and categories across large volumes of text-based data. The software design encourages frequent interaction with the user. "You have to be extremely hasty to leave an error uncorrected in The Ethnograph. . . . It's a mother hen program" (Tesch, 1990, p. 252). It also features immediate, automatic saving of every code entry. The Ethnograph was the only code-and-retrieve software selected for discussion by Denzin and Lincoln (1994).

Based on the overwhelming support for this software for code-and-retrieve purposes, it was selected to assist with the analysis for this study.

### *Software Use*

Separate files were created for each of the following leadership literature groups, organized to reflect the major sources on transformational leadership, other general sources, sources specific to education, then related and supporting sources:

- James MacGregor Burns
- Bernard Bass and associates
- Kouzes and Posner
- Bennis and Nanus
- Sashkin
- Other transformational leadership studies
- Transformational leadership in community colleges and other educational organizations
- Related leadership literature
- Gender and multicultural diversity effects on leadership

Each literature group or file provided a separate iteration in the meta-analysis. The files were combined into a "catalog" to enable cross-file analysis. In addition, the literature on applicable adult learning theory and leadership training programs and research were combined into a single file for that part of the analysis.

The first step in creating a file was keying the text into a word processor, using specific margins and tabs. Illustrative passages of text were selected and keyed into a word processor in the format required for conversion to the qualitative analysis software selected for this project. References were included to identify the original source documents in case it was necessary to review the passage in its original context. The text was "converted" by saving it as an ASCII file. Each file was loaded into The Ethnograph and the lines of text were numbered. The modified file was then printed for "open coding."

The content of each line or set of lines (segment) of a passage was assigned a code to identify keywords, concepts, and impressions, i.e., the emic or descriptive characteristics of the passages. Up to 12 codewords per segment could be applied to the text. These codewords could overlap up to 7 levels and/or could be nested as subcategories. This gave the researcher considerable flexibility. These codes were then entered into The Ethnograph, marking the text with the codewords. The process could be interrupted any time and continued later. The results were printed for verification and correction. See Figure 3.1 for a sample coded page of text.

Segments were sorted and retrieved by codewords, including boolean logic. Each search provided summary information and references to (a) the source of each segment, (b) coded identifiers, and (c) nested and overlapped segments. Results were reviewed on screen or paper. To ensure that the referenced text was consistent within each code, segments with the same code were compared. Emerging nuances of interpretation of the



Burns, JM (1978) Leadership		1		
#-TRNSACTL	#-TRNSFORM			
	"I will identify two basic types of	3	-#	
	leadership: the *transactional* and the	4		
\$-TRNSACTL	\$-EXCHANGE			
	*transforming*. The relations of most	5	-#-\$	
	leaders and followers are	6		
	*transactional*--leaders approach	7		
	followers with an eye to exchanging one	8		
	thing for another: jobs for votes, or	9		
	subsidies for campaign	10		
#-TRNSFORM				
	contributions...*Transforming*	11	-#-\$	
	leadership, while more complex, is more	12		
\$-MOTIVES	\$-NEEDS \$-ENGAGE *-ELEVATE			
	potent. But, beyond that, the	13	-\$	-*
	transforming leader looks for potential	14		
	motives in followers, seeks to satisfy	15		
	higher needs, and engages the full	16		
%-RELATNSHP	%-FOLLWR2LDR %-MORAL LDR			
	person of the follower. The result of	17	-\$-%-*	
	transforming leadership is a	18		
	relationship of mutual stimulation and	19		
	elevation that converts followers into	20		
	leaders and may convert leaders into	21		
	moral agents." (p. 4)	22	-#	-%
#-MORAL LDR	\$-RELATNSHP \$-POWER \$-NEEDS			
	This last concept, *moral leadership*,	24	-#-\$	
	concerns me the most. By this term I	25		
	mean, first, that leaders and led have	26		
	a relationship not only of power but of	27		
	mutual needs, aspirations, and vlaues;	28	-\$	
\$-CHOICES				
	second, that in responding to leaders,	29	-\$	
	followers have adequate knowledge of	30		
	alternative leaders and programs and	31		
	the capacity to choose among those	32		
%-COMMITTMNT				
	alternatives; and, third, that leaders	33	-\$-%	
	take responsibility for their	34		
	commitments--if they promise certain	35		
	kinds of economic, social, and	36		
	political change, they assume	37		
	leadership in the bringing about of	38		
\$-MORAL LDR				
	that change. Moral leadership is not	39	-#-\$-%	
	mere preaching, or the uttering of	40		
	pieties, or the insistence on social	41		
#-MORAL LDR	#-NEEDS #-WANTS #-VALUES			
	conformity. Moral leadership emerges	42	-#-\$	
	form, and always returns to, the	43		
	fundamental wants and needs,	44		
	aspirations, and values of the	45		

Figure 3.1 Sample coded page of text.

text were used to make modifications to the codes. The software also generated lists of codes and frequency counts. See Figure 3.2 for a sample code list.

This study used the constant comparative technique (Strauss & Corbin, 1990) to assess the results of each iteration of the leadership analysis. Each set of additional source documents was loaded into The Ethnograph and saved as a separate file. The text in the file was then printed and coded. The codes were keyed into The Ethnograph and the results were listed. The code list was compared to the previous listing(s) for similarities and differences in patterns, themes, clusters and frequencies. To ensure consistency within each codeword, text segments were compared by code and changes were made as necessary to improve the coding scheme. Comparisons were also made to have "internal convergence and external divergence (Guba, 1978)," i.e., internally consistent, but distinct from each other—not mutually exclusive and collectively exhaustive (Marshall & Rossman, 1989, p. 116).

"Axial coding" was added to document relationships or "linkages" between categories (Strauss & Corbin, 1990). The etic or metacognitive reflection on the information was recorded on the printouts or in a journal to track what was learned, additional thoughts, possible implications, and other questions regarding contradictions and surprises identified (Miles & Huberman, 1994; Strauss & Corbin, 1990).

FREQUENCY List of codewords used in coding BURNS 3/5/1995 21:48

N CODEWORD	N CODEWORD	N CODEWORD	N CODEWORD
17 NEEDS	17 VALUES	15 MORAL LDR	12 MOTIVES
11 POWER	11 PURPOSE	10 CONFLICT	8 GOALS
7 TRNSFORM	6 COLLECTIVE	6 ENGAGE	6 TRNSACTL
6 RELATNSHP	6 ELEVATE	5 RESOURCES	4 ENDS
4 ASPIRATION	4 HIGHER	4 LINKED	4 CHANGE
3 TRANSCEND	3 MOBILIZE	3 LEADERSHIP	3 MEANS
3 WANTS	3 TEACH	2 ESTEEM	2 SHARED
2 OWN GOALS	2 JUSTICE	2 RESPONSIBL	2 LEARN
2 INTELLECT	2 FLEXIBLE	2 EXPLOIT	2 AWARENESS
2 SLF-ACTUAL	2 INFLUENCE	2 EXCHANGE	2 COMMON
2 LISTEN	2 ETHICAL	2 DYNAMIC	2 CHOICES
1 COSTS	1 TIME	1 OWN NEEDS	1 PERCEPTION
1 HONESTY	1 CITIZENS	1 LINCOLN	1 UNIFYING
1 DUALISM	1 IDEOLGCL L	1 SWALLOWED	1 TEST
1 RESOURCEFL	1 RESPONSIVE	1 REBEL	1 MEDIA
1 OPINION	1 TYPES	1 OBJECTIVES	1 OWN PURPOS
1 CONTROL	1 PURPOSEFUL	1 CAUSATIVE	1 DISSENT
1 WHOLISTIC	1 FULLFUNCT	1 LIVES	1 NONINSTITU
1 IDEAS	1 INTANGIBLE	1 PERVASIVE	1 BOOKS
1 LEADERS	1 COMMITMENT	1 CLARIFY	1 FOLLOWERS
1 OBSTACLES	1 FAIR	1 HOW TO LD	1 PRINCIPLES
1 EDUCATION	1 SACRIFICES	1 LIBERTY	1 EQUALITY
1 SOC RESPON	1 SOC LDRSHP	1 CONTRADICT	1 CHG BEHAV
1 DIGNITY	1 EMPATHY	1 OPEN-MIND	1 PERCEIVE
1 AMBITION	1 SELF	1 STATUS	1 INCITE
1 DEF:	1 PURPOSES	1 CONSTRAINT	1 FOLLWR2LDR
1 COMMITTMNT	1 MUTUAL	1 CHARISMA	1 NAKED PWR
1 NO PURPOSE	1 NO ENGAGE	1 BARGAINING	1 BE LED
1 HEROIC LDR	1 PERSONAGE	1 DISCONTENT	1 CRUEL
1 COMMITTED	1 MASS SUPRT	1 COMPASSION	1 COMPETENCE
1 CRISIS	1 DRCT SUPRT	1 SYMBOLIC	1 RUTHLESS
1 OJT	1 SUCCESS	1 REFORM LDR	1 CATALYST
1 CLARIFIED	1 FROM TOP	1 EGALITARIA	1 PASSION
1 REVOLUTION	1 CONSCIENCE		

Figure 3.2 Sample code list.

While the constant comparative technique looks for the coding scheme to stabilize, there are no specific guidelines, other than professional judgement, to determine what is considered as stability (Bogden & Biklen, 1992). For this study, the overall pattern of codes was considered as having achieved stability after a total of three iterations with less than a 5% code change (addition or reassignment) between iterations. No attempt was made to identify a single "core category" to which all other categories relate as required by grounded theory (Strauss & Corbin, 1990). Codes that did not relate to others within the coding scheme were eliminated through "selective coding."

Chapter 4 describes the findings from the analysis. The findings are organized by the major themes that emerged regarding transformational leadership and the primary components of teaching, learning and training for leadership. Collectively, these themes and components include findings related to all of the components of curriculum design as described by Stark and Lowther (1986) in *Designing the Learning Plan: A Review of*

1. Content—"knowledge, skills and attitudes to be learned"
2. Context—"subject matter in which to embed educational activities"
3. Plan—"educational activities, including sequencing"
4. Advance assessment—"previous backgrounds and skills of the learners"
5. Administrative structures—"materials, sources, tools, and settings"
6. Evaluation—"evaluating the learning"
7. Feedback—"revising items 1 through 5 in light of the result of 6"

Similarly, the findings provide the information needed for the contents of a design specification as defined by Johnson and Foa (1989), in *Instructional Design: New Alternatives for Effective Education and Training*: (a) summary of needs, (b) course goals, (c) content description, (d) course description (format), (e) implementation requirements (administrative structures), and (f) evaluation plan.

In Chapter 5, the findings are reorganized in the form of recommendations for the design of the leadership academy. These recommendations are organized in terms of format; content, delivery and context, including goals and sequencing of activities; outcomes and measurements; and administrative structural issues, which incorporate the all of the design components identified above.

### **Criteria of Soundness**

The traditional standards of sampling, reliability, and validity regarding quantitative research do not apply to qualitative research. In their place, researchers have established various "criteria of soundness" (Marshall & Rossman, 1989, p. 144) to help establish the trustworthiness of the study. Three lists of criteria are presented and synthesized into the criteria for this study.

One source includes four criteria of soundness: (1) credibility, (2) transferability or external validity, (3) dependability, and (4) confirmability (Lincoln and Guba, 1985, p. 290). Utilization/application/action orientation, a fifth criterion, was added to this list by Miles and Huberman (1994). These five criteria are described below:

1. *Credibility* shows "that the inquiry was conducted in such a manner as to ensure that the subject was accurately identified and described" (Marshall & Rossman, 1989, p. 145). This includes "an in-depth description showing the complexities of variables and interactions."
2. *Transferability* refers to the generalizability of the findings. Lincoln and Guba place this responsibility on those who make the transfer, i.e., generalization. The lack of transferability is a major weakness of qualitative research (Marshall & Rossman, 1989). Documenting the theoretical constructs of the research so that others can decide whether it can be transferred strengthens the transferability. Triangulation with multiple sources of data provides another approach to strengthen transferability.
3. *Dependability* requires accounting for dynamic changes in the phenomenon of study, design, or methodology as appropriate.
4. *Confirmability* reflects the degree of objectivity. The researcher must acknowledge biases and control for them in the interpretation of the data. Possibilities include (a) using a "devil's advocate," (b) searching for negative cases, (c) checking and rechecking data, (d) testing rival hypotheses, and (e) conducting an audit of the study.
5. *Utilization/application/action orientation* suggests whether the findings have value for practitioners.

A second set of criteria of soundness is recommended by Marshall (1985; cited by Marshall & Rossman, 1989):

- (1) Data collection methods are explicit.
- (2) Data are used to document analytical constructs.
- (3) Negative instances of the findings are displayed and accounted for.
- (4) Biases are discussed, including biases of interest . . . and theoretical biases and assumptions.
- (5) Strategies for data collection and analysis are made public.
- (6) Field decisions altering strategies or substantive focus are documented.
- (7) Competing hypotheses are presented and discussed.
- (8) Data are preserved.
- (9) Participants' truthfulness is assessed.
- (10) Theoretical significance and generalizability are made explicit. (p. 148)

Although directed at the collection of primary data, a third useful set of criteria of soundness is suggested by Miles and Huberman (1994):

1. "Checking for representativeness" (p. 263)
  - a. "Increasing the number of cases" (p. 265)
  - b. "Looking purposively for contrasting cases (negative, extreme, countervailing)"
  - c. "Sorting the cases systematically . . . and fill out weakly sampled case reports"
  - d. "Sampling randomly within the total universe of people and phenomena under study"
2. "Checking for researcher effects"
  - a. "Avoiding biases stemming from researcher effects on the site" (p. 266)
  - b. "Avoiding biases stemming from the effects of the site on the researcher"
3. "Triangulating"
4. "Weighing the evidence" (p. 267)
  - a. Evidence from some sources is better than others due to expertise or ability to articulate.
  - b. Circumstances of data collection may be stronger or weaker.
  - c. Data quality may be stronger due to validation efforts such as 1-3.
5. "Checking the meaning of outliers" (p. 269)
6. "Using extreme cases" (p. 270)
7. "Following up surprises"
8. "Looking for negative evidence" (p. 271)
9. "Making if-then tests"

10. "Ruling out spurious relations" (p.272)
11. "Replicating a finding" (p. 273)
12. "Checking out rival explanations" (p. 274)
13. "Getting feedback from informants" (p. 275)

These three sets of criteria of soundness include considerable overlap. Many of the criteria listed above were relevant to this study and helped to assess the results. Exceptions included those approaches involving primary research: assessing participants' truthfulness, following up on weakly sampled cases, sampling, avoiding "site effects," and following up with the primary sources. Although data and notes have been retained, replicating or auditing the study was not feasible for this thesis. The remaining criteria were merged into a single criteria of soundness list. The synthesized list followed the initial set of criteria, augmented with additional questions from the other two lists as follows:

*Credibility* shows "that the inquiry was conducted in such a manner as to ensure that the subject was accurately identified and described" (Marshall & Rossman, 1989, p. 145). Did the methodology provide these assurances? Was the inquiry representative? Were the findings triangulated?

*Transferability* refers to the generalizability of the findings. Lincoln and Guba (1985) place this responsibility on those who make the transfer, i.e., generalization. Were the theoretical significance and generalizability made explicit? Were the findings triangulated with multiple sources of data? Do the findings represent a large number of cases?

*Dependability* requires accounting for dynamic changes in the phenomenon of study, design, or methodology as appropriate. Were changes documented? Were the findings triangulated? Was the evidence from some sources is better than others due to expertise or ability to articulate?



*Confirmability* reflects the degree of objectivity. Did the researcher acknowledge biases of interest, theoretical biases and assumptions and control for them in the interpretation of the data? Were the data collection and analysis methods made explicit? Were the data checked and rechecked? Were the data preserved? Were negative instances of the findings displayed and accounted for? Were extreme cases included? Was the meaning of outliers checked? Were surprises followed up? Were competing hypotheses or rival explanations presented and discussed?

*Utilization/application/action orientation* suggests whether the findings have value for practitioners. Do the findings have value for practitioners?

The results of the soundness assessment follow the discussion of the findings in Chapter 4.

Triangulation provided the primary technique used for ensuring the soundness of this study. Triangulation was accomplished through the use of multiple studies, multiple types of sources, and a review of the findings by two experts. The reviewers were selected for recognized expertise as a leader or for expertise in the field of leadership training:

Dr. Betty Duvall—Community College Liaison, U.S. Department of Education.

Dr. Ron Daugherty—Executive Director, Western Center for Community College Professional Development.

The results of the reactions from these experts are summarized in Chapter 4 as part of the assessment of soundness.

Chapter 4 describes the findings from the analysis of the literature on transformational leadership, adult learning theory and leadership training, and issues facing community college professionals. It also discusses the soundness assessment, including the reactions of the expert panel.

#### 4. FINDINGS FROM META-ETHNOGRAPHIC ANALYSIS

##### Introduction

This chapter discusses the findings from the analysis following the meta-ethnographic methodology described in Chapter 3. The initial emic coding was completed, with comparisons and code modifications made with each iteration of the analysis. The code list was compared with the previous listing(s) for similarities and differences in patterns, themes, clusters and frequencies. To ensure consistency within each codeword, text segments were compared by code. Changes were made as necessary to improve the coding scheme. Axial coding of relationships and etic coding of reflections on the data were added in order to track what was learned, and add thoughts, possible implications, and questions regarding contradictions and surprises identified (Miles & Huberman, 1994; Strauss & Corbin, 1990).

The meta-ethnographic methodology produces an interpretation of the phenomena being studied. For this thesis, two primary phenomena were analyzed using this methodology: (1) transformational leadership and (2) adult learning theory combined with leadership training. The patterns and relationships that emerged from the analysis are discussed in this chapter. This chapter also provides an assessment of the soundness of the analysis based on the guidelines provided in Chapter 3.

### **Transformational Leadership: A Profile**

A constant comparative technique was incorporated into the meta-ethnographic methodology as described in Chapter 3. This technique looks for stabilization of the coding scheme (Bogden & Biklen, 1992). For the analysis of transformational leadership, the overall pattern of codes was considered as having achieved stability after a total of three iterations with less than a 5% code change between iterations in the cumulative number of codes. Following this criterion, the transformational leadership analysis achieved stabilization after nine iterations, as illustrated in Table 4.1. One hundred and sixty sources had been included in the analysis at the point of stabilization.

Beyond stabilization of the coding, five additional iterations of pattern analysis (axial and etic coding) were completed. The pattern of descriptors that resulted from the analysis produced a "profile" of transformational leadership. The profile includes seven major themes with several components within each theme. Components were further defined with codewords that provide descriptors of that particular component. Occasionally, the descriptors fit into additional clusters within a component.

The "internal convergence and external divergence" (Guba, 1978; cited by Marshall & Rossman, 1989, p. 116) of the themes and categories are not necessarily mutually exclusive nor collectively exhaustive. Identified connections between the major themes help describe the integration of these themes into the profile of transformational leadership. The connections may be general or specific.

**Table 4.1** Measures of Stabilization with the Constant Comparative Technique

Data sets	Cumulative codes	Percent change
James MacGregor Burns	102	n.a.
Bass & associates	148	45.1%
Bennis & Nanus	173	16.9%
Kouzes & Posner	188	8.7%
Sashkin	196	<b>4.3%</b>
Other transformational leadership studies	213	8.7%
Transformational leadership in community colleges and other educational organizations	229	7.5%
Related leadership literature	231	<b>0.9%</b>
Gender and multi-cultural diversity effects on leadership	236	<b>2.2%</b>

*Note.* A criterion of three iterations with less than a 5.0% change in the cumulative number of codes was used to establish stability.

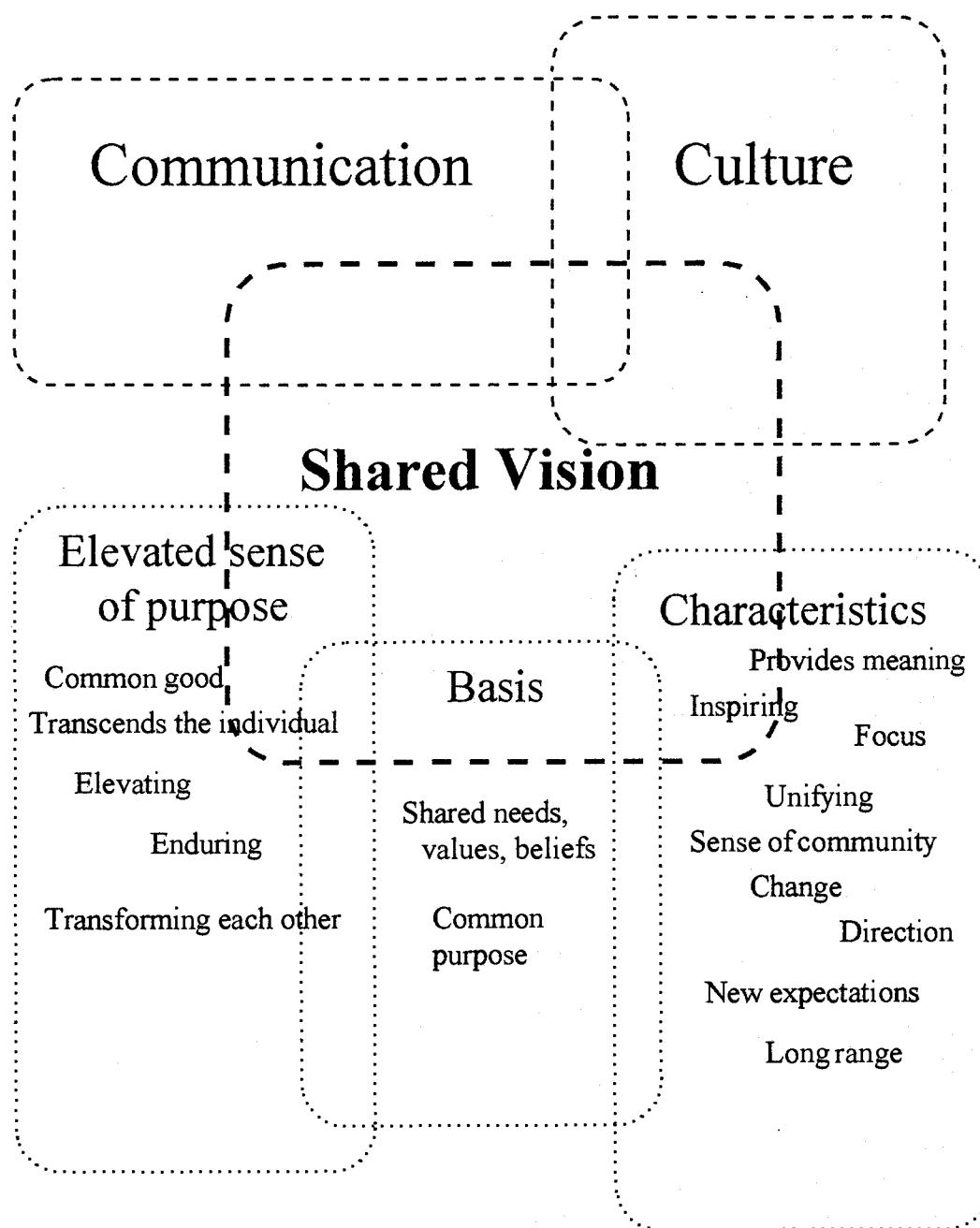
Seven major themes emerged from the analysis: (1) shared vision, (2) communication, (3) relationships, (4) culture, (5) leader actions, (6) leader characteristics, and (7) outcomes. In addition, gender and cultural diversity findings are discussed separately. Each theme is described with elaboration in terms of the categories, clusters and descriptors related to that theme. Connections to other themes and contradicting

findings are also documented. The theme descriptions are supplemented with figures; and selected sources are cited for illustrative purposes only.

### *Shared Vision*

Shared vision emerged as the touchstone theme of transformational leadership. Vision is the most common distinguishing characteristic identified with leadership overall, and transformational leadership specifically. "The single defining quality of leaders is the capacity to create and realize a vision" (Bennis, 1993b, p. 216). Ninety-one of the sources referenced vision as a part of the phenomena of transformational leadership. Some feminist literature has described a similar characteristic as *voice*, placing particular emphasis on the shared aspect of this theme, "one strengthens oneself by strengthening others" (Helgesen, 1990, p. 233). The shared vision is related to, but distinct from, the mission of the college, which is defined in terms that answer the question, "What business are we in?" Figure 4.1 illustrates the categories, descriptors and other themes related to shared vision.

The elevated sense of *purpose* for an organization under transformational leadership is characterized as moral (doing the right thing) or the *common good*. Transformational leaders "shape and elevate the motives and goals of followers. . . . [to] achieve significant change that reflects the community of interests of both leaders and followers . . . in pursuit of a common goal" (Bennis & Nanus, 1985, p. 217). Burns (1978) stated that "such leadership occurs when one or more persons *engage* with others in such a way that leaders and followers raise one another to higher levels of motivation



**Figure 4.1** Shared vision theme categories, descriptors and related themes.

and morality” (p. 20). Such a higher purpose transcends the individual. It is elevating, enduring and transforming. Both the leader and the led elevate their sense of purpose to one that is more enduring, thus transforming each other. The leader does not impose, but may initiate, the vision. Eighty-six of the ninety-one sources that referenced vision directly or indirectly referred to an elevated sense of purpose.

Thirty-four of the sources used for this analysis indicated that the *basis* for shared vision derives from shared needs, values, beliefs and purpose(s) of the leader and the followers. “Moral leadership emerges from, and always returns to, the fundamental wants and needs, aspiration, and values of the followers” (Burns, 1978, p. 4). Vision, values, beliefs and ethics create meaning and form “one of the most potent shapers of behavior in organizations, and in life” (Wheatly, 1992, p. 134). The shared values and beliefs form the core of the organizational culture. Thus, this theme has an important relationship to the shaping culture theme.

Several *characteristics* are ascribed to shared vision, as derived from 31 of the sources used in this analysis. It provides meaning for the employees and other stakeholders. It is inspiring and often exciting, motivating individuals to extra effort to achieve the vision. “[Vision] inspire[s] enthusiasm and encourage[s] commitment” (Nanus, 1992, p. 29). The shared nature of the vision is unifying, creating a sense of community. Another characteristic of this theme is change or adaptation.

“Transformational leadership depends on radical change” (Bensimon, et al., 1989, p. 74). The shared vision provides direction and focuses attention on the proposed changes. The changes are described as opportunities, possibilities or potentialities, that “working even

harder in the common cause will be an exciting and joyous adventure” (Birnbaum, 1992, p. 185). The shared vision helps clarify new expectations for both leaders and followers. Individuals expect to make a difference, to create reform, to innovate. Transformational visions are long-range, often 10 to 20 years, and may incorporate specific goals or key issues. Having a limited number of issues helps provide focus and set priorities. However, the goals or issues may also permit the college to articulate a multi-directional, but related, vision of the future. While most authors posit that the vision helps clarify direction, Van Eron and Burke (1992) found that “transformational leaders are more likely to communicate a vision and encourage subordinates to manage the details and thus provide *less* clarity [emphasis added]” (p. 61).

The need to articulate the shared vision is closely related to the communication theme. The vision is first developed through dialogue. It must be repeatedly articulated in many forms. In addition, when participants engage each other in establishing and achieving a shared vision, the dynamic nature of the process may result in an evolution of the vision as times and circumstances change. However, the enduring nature of higher purpose and shared values provides a stable foundation to assess the need for and direction of changing the vision.

### *Communication*

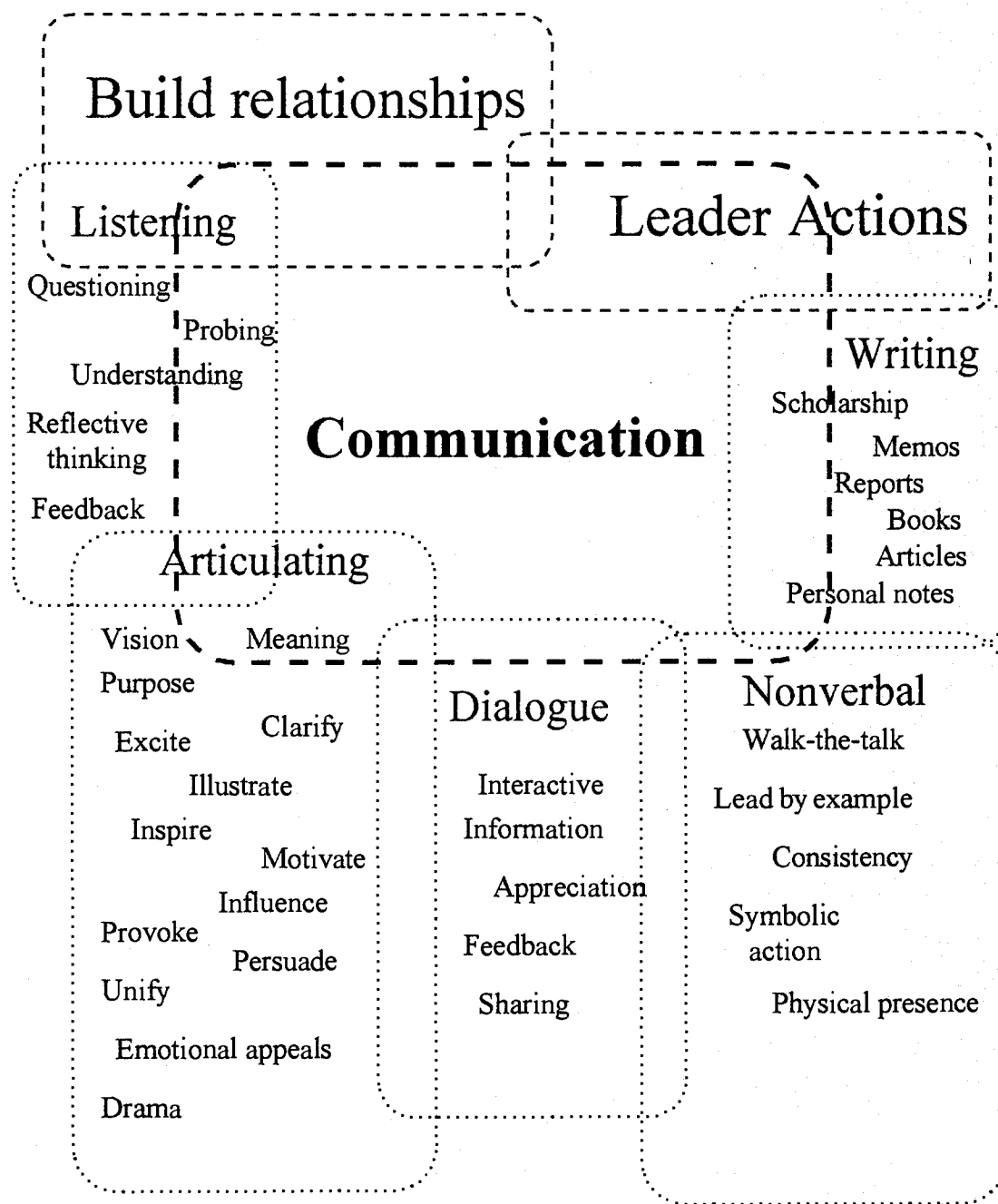
The communication theme focuses on sharing the vision, providing meaning and purpose. Communication regarding the vision is used to excite, inspire, motivate and unify both followers and leaders. The communication is a two-way sharing that facilitates



the process of elevating the moral purpose of the shared vision, building relationships, and shaping the culture of the organization. Seventy-five of the one hundred and sixty sources supported the importance of communication in the phenomenon of transformational leadership. Figure 4.2 illustrates the categories, descriptors and other themes related to communication.

Twenty-one of those sources indicated that *listening* is the most important component of communication for transformational leaders. "The ability to listen is key . . . very key. . . . I think listening is more important than speaking" (Cronin, 1993; cited by Leinbach, 1993, n.a.) "Listen with respect, be open to influence" (Birnbaum, 1992, p. 175). "Willingness to be influenced was the single most frequently identified dimension used by constituents to assess their presidents" (p. 175-176). This involves asking questions and probing to understand each other. Reflective thinking and feedback may augment listening to enhance understanding. As stated by Steven Covey (1989), "Seek first to understand, then to be understood" (p. 235).

An important role of the transformational leader is to *articulate* the shared vision, values, and beliefs of the college repeatedly, as identified in 45 of the sources. "In behavioral terms, managers are more likely to be perceived by their subordinates as leaders when they are clear about their values and beliefs, are able to articulate them in an exciting and enthusiastic way to others" (Kouzes & Posner, 1988, p. 530). The skilled leader inspires followers, provides encouragement and enhances motivation. Transformational leaders have "the capacity to relate a compelling image of a desired state of affairs—the kind of image that induces enthusiasm and commitment in others"



**Figure 4.2** Communication theme categories, descriptors and related themes.

(Bennis & Nanus, 1985, p. 33). Followers are mobilized to action. Transformational leaders clarify and illustrate the vision, values and beliefs by using metaphors, analogies, stories, ceremonies, celebrations, rituals and traditions. They “communicate high expectation, use symbols to focus efforts, express important purposes in simple ways” (Bass, 1990b, p. 22). Emotional appeals and a sense of drama may be added to help provoke, influence and persuade others. “Communication of this vision is facilitated by the leader’s action, by what the leader attends to, and by the use of emotional appeals, symbols, metaphors, ritual, and dramatic staged events” (Yukl, 1989, p. 273). “The world is moved by highly motivated people—people who believe very strongly or who want something very much” (Gardner, 1990, p. 183). Transformational leaders often use ideas and ideals to augment the communication. All these techniques help build and reinforce group norms to help shape the culture of the organization in support of the shared vision.

Twenty of the sources described this communication as a *dialogue*, an interactive exchange between leaders and followers. “The ability to build a new institution requires the kind of political dialogue our founding fathers had when Jefferson, Hamilton, Adams, and others debated the issues of justice, equity, separation of powers, checks and balances, and freedom” (Tichey & Ulrich, 1984, pp. 66-67). “Faculty respond more to a leader who joins them in dialogue about ways to shape and realize a vision rather than one who imposes a vision on them (Grant, 1988)” (Bensimon, et al., 1998, pp. 32-33). Leaders provide information, give feedback, and show appreciation. They also receive feedback, information and even criticism from others. “Exemplary presidents saw patterns, analyzed problems at a deep level, understood nuances, and were concerned about

receiving feedback" (Birnbaum, 1992, p. 180). The dialogue is a mutual exchange and sharing of ideas and issues. "There is probably no substitute for creating a culture . . . that favors easy two-way communication, in and out of channels, among all layers of the organization" (Gardner, 1990, p. 86). Yet the skilled leader weaves the higher purpose and vision into the exchange. Open dialogue also helps leaders and followers build relationships, which is another major theme in these findings.

While oral communication is the most frequent form used by transformational leaders, they also communicate in *writing*, although only four sources directly referenced this form of communication. "The ability to write, speak, to think clearly on your feet is extraordinarily important" (Cronin, 1993; cited by Leinbach, 1993, n.a.). Academic scholarship, such as books and articles, provides a highly regarded means of written communication. "The most lasting and pervasive leadership of all is intangible and noninstitutional. It is the leadership of influence fostered by ideas embodied in social or religious or artistic movements, in books, in great seminal documents, in the memory of great lives greatly lived" (Burns, 1978, pp. 454-455). Memos and reports are also used to help articulate or reinforce the shared vision and values. Personal notes provide a way to recognize individual acts and achievements.

Clichés such as "action speaks louder than words" illustrate the power of *nonverbal* communication, a form of communication indicated in 23 of the sources used in the analysis. Transformational leaders "consistently demonstrate by their won behavior what they expect of others" (Kouzes & Posner, 1988, p. 530). They "walk-the-talk" and "lead by example," according to 12 of the sources. "Leaders must do what we say we will

do” (Kouzes & Posner, 1993a, p. 47). These leaders are very aware that their actions are closely watched and interpreted for consistency with the spoken word. Consistency helps build trust. Symbolic actions, referenced by 14 sources, are frequently used to make a point. Every action by the leader is subject to symbolic interpretation by followers.

“Virtually everything a leader does or says (or does not do or say) is capable of symbolic intent or interpretation” (Tierney, 1989, p. 165). The leader also communicates through physical presence. She or he represents the group whenever attending a meeting or social function. Management by wandering around (MBWA) is another form of communication through physical presence, although it is usually used as a way to engage in informal and personal dialogue with others in the college. Nonverbal forms of communication are closely related to the actions theme discussed below.

### *Relationships*

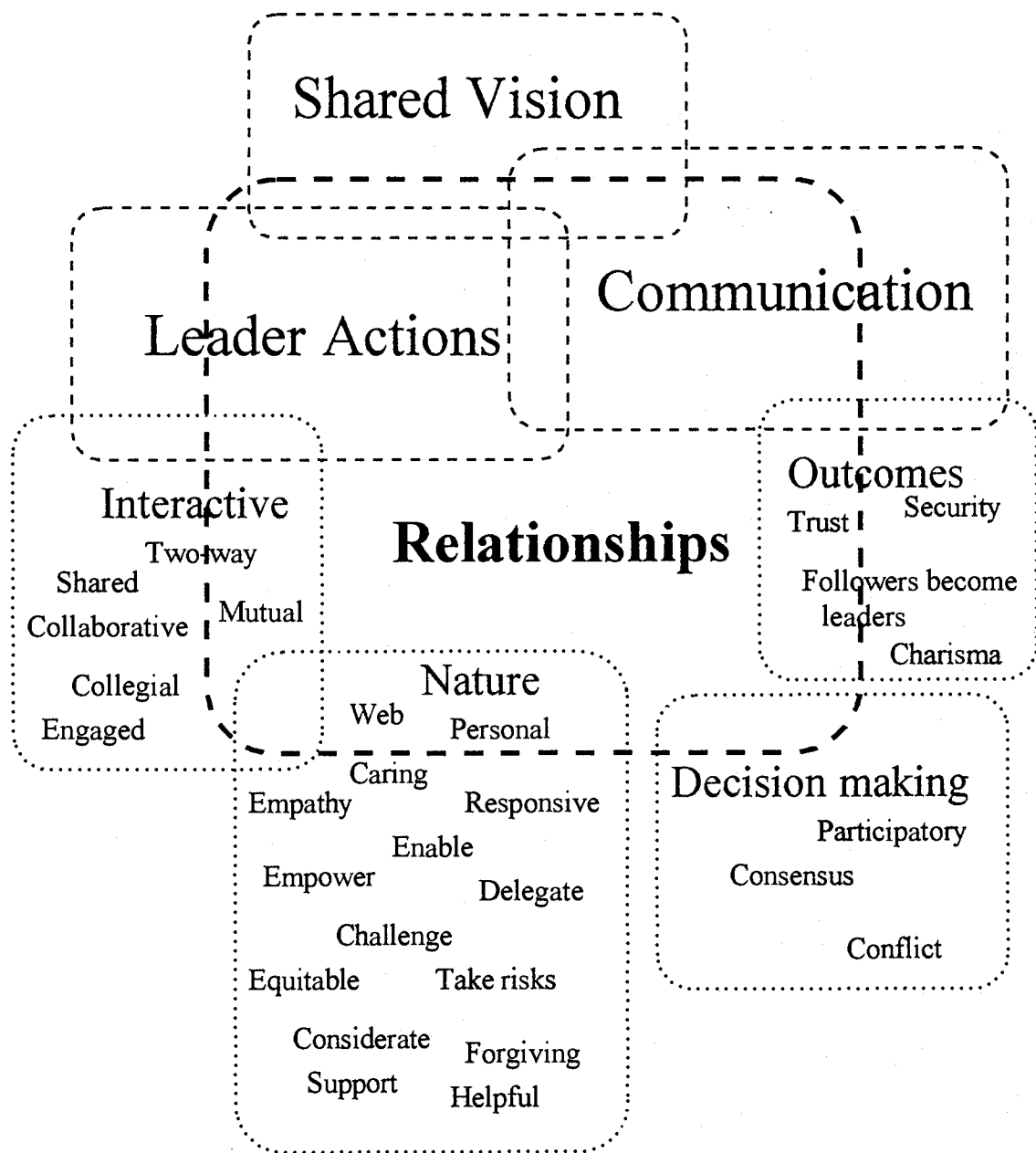
The relationships theme, found in 98 of the sources used in the analysis, reflects the interactive, mutual and shared nature of transformational leadership.

“Transformational leaders may foster the formation of high-quality relationships and a sense of a common fate with individual subordinates while, in a social-exchange process, these subordinates strengthen and encourage the leader” (Deluga, 1992, pp. 244-245). A web of relationships makes it possible to communicate and to effect the shared vision and to shape the culture that supports the vision. Shared values are important to the nature of the relationships and facilitate achievement of the vision. “The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers

into leaders and may convert leaders into moral agents" (Burns, 1978, p. 4). Figure 4.3 illustrates the categories, descriptors and other themes related to the relationships theme.

Descriptors of these *interactive* relationships include: shared, two-way, mutual, collaborative, and collegial. "There is probably no substitute for creating a culture . . . that favors easy two-way communication, in and out of channels, among all layers of the organization" (Gardner, 1990, p. 86). Transformational leaders "tended to be friendly, informal, and close and treated subordinates as equals although they (the leaders) had more expertise. They gave advice, help and support and encouraged their subordinates' self-development" (Bass, 1985, p. 82). Transformational leadership clearly involves a relationship in which the leaders and followers are fully engaged with each other in achieving the shared vision of the organization, as documented in 43 of the sources. "With such an ongoing, flowing dialectic of transformative human action, leaders become followers and followers become leaders in the ebb and flow of organizational interaction" (Watkins, 1989, p. 28). "Followers do not do followership. they do leadership. Both leaders and followers form one relationship that is leadership" (Rost, 1991, p. 109).

Sixty-two of the sources described the *nature* of the leader-followers relationship. "There are particularly strong associations between transformational leadership and consideration" (Bass, 1985, p. 525). It is sincere, personable and caring. The leader "gives personal attention, treats each employee individually, coaches, advises" (Bass, 1990b, p. 22). Transformational leaders are responsive to the needs and interests of others. They are "considerate, empathetic, concerned, caring, and supportive" (Bass, 1985, p. 85). Transformational leaders enable and empower followers. They practice "fostering



**Figure 4.3** Relationships theme categories, descriptors and related themes.

collaboration, empowering followers and supporting personal and professional development of followers” (Kouzes & Posner, 1987, p. 10). These leaders delegate and challenge followers. The mutual relationship is equitable and considerate, showing genuine concern for others. Transformational leaders provide support, and they are helpful to others, including coaching and teaching. In addition, because they challenge followers to stretch and take reasonable risks, these leaders are forgiving when efforts do not succeed as expected.

*Decision making* with transformational leaders, according to 17 of the sources, is most likely to involve participatory processes to arrive at a consensus. “These leaders motivate by ‘pulling’ us along with them” (Sashkin, 1989, p. 52). They “promote intelligence, rationality, and careful problem solving” (Bass, 1990b, p. 22). Only Burns (1991) expressed concern that consensus de-escalated the role and importance of conflict in transformational leadership.

Several *outcomes* have been identified with the relationships formed through transformational leadership, as indicated in 43 sources. “Heightened follower commitment, self-sacrifice, motivation, and performance, in turn, feed back on and sustain follower motivation and reinforce follower self-concepts” (House, 1993, p. 103). Transformational leadership “provides vision and sense of mission, instills pride, gains respect and trust” (Bass, 1990b, p. 22). “Transformational leader behavior is associated with higher levels of subordinate satisfaction” (Bass, 1985, p. 395). These relationships provide security for participants and build trust between leaders and followers. Followers become leaders.



Charisma, a major component of Bass' theory of transformational leadership was identified in 25 sources, mostly those of Bass and associates. Charisma is "the most important and general component . . . of transformational leadership" (Bass, 1990a, p. 199). The charismatic leader from the works of Conger and Kanungo (1988) were listed as "highly sensitive to the needs of followers, strongly articulate, willing to take personal risks, agents of radical change, and idealistic in their vision of the future" (cited in Bass, 1990a, p. 189). Charisma may be attributed to the leader by followers. "The focus is on an individual leader rather than on a leadership process" (Yukl, 1989, p. 270). Charisma among transformational leaders, however, is controversial (Burns, 1978; Bass, 1985). Six sources contradicted the phenomenon of charisma as a factor in transformational leadership. "The descriptive research suggests that most transformational leaders are not perceived as charismatic by followers" (Yukl, 1994, p. 368). "In charismatic leadership, the opposite sometimes occurs. That is, some charismatic leaders seek to keep followers weak and dependent" (Yukl, 1989, p. 272). Multiple forms of charisma, in addition to varying definitions, compound this controversy. Identification with the leader, rather than identification with the shared purpose or vision, appears as the most likely explanation of this phenomenon (Yukl, 1994). Charisma is discussed further in Chapter 5.

### *Culture*

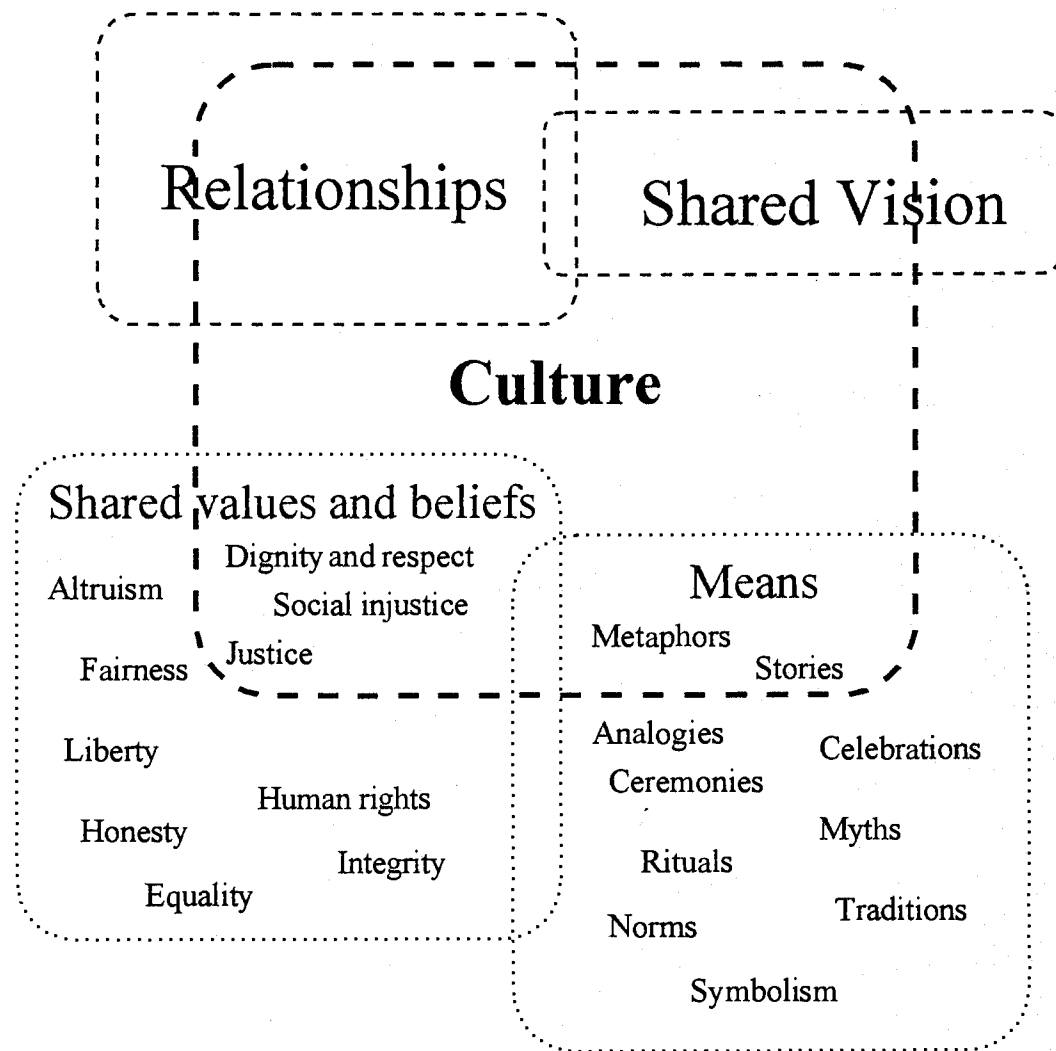
The culture theme, identified in 61 sources, represents the shared values and beliefs of the organization. "Edgar H. Schein has said that the *only* important thing

leaders do may well be constructing culture” (Sashkin & Rosenbach, 1993, p. 99).

Shaping culture contributes to building relationships and internalizing commitment to the shared vision. “Leaders who are clear about their values—and whose behavior consistently reflects their values—make a significant difference in an organization” (Wilcox & Ebbs, 1993, March, p. 39). Supporting values and beliefs become socialized into the group. Figure 4.4 illustrates the categories, descriptors and other themes related to culture.

*Shared values and beliefs* form the essence of organizational culture. “Values permit principled and consistent action” (Birnbaum, 1992, p. 183). Some key values identified with transformational leaders are: treating people with dignity and respect, dealing with social injustice, altruism, fairness, justice, liberty, human rights, honesty, integrity and equality. “Leaders empower others to define organizational *policies* and develop *programs* that are explicitly based on the values and beliefs contained in the philosophy that in fact put those values and beliefs into organizational action” (Sashkin & Rosenbach, 1993, p. 101).

The primary *means* of shaping culture is through communication, including symbolic action, described above. “The ideals, beliefs, shared meanings, and expectations and their embodiment in symbolic devices, such as myths, rituals, ceremonies, stories, legends, jargon, customs, habits, and traditions” (Duignan and Macpherson, 1993, p. 21) are used to shape organizational culture. “Leaders inculcate values and beliefs through their own individual behaviors, their personal *practices*. . . . [to] demonstrate and illustrate the values and beliefs on which their visions are founded” (Sashkin &



**Figure 4.4** Culture theme categories, descriptors and related themes.

Rosenbach, 1993, p. 101). As followers participate in these processes, the values and beliefs are reinforced and institutionalized. Just as all actions of a leader are subject to symbolic interpretation by followers, all actions potentially affect the shape of the organizational culture.

### *Leader Actions*

Leaders conduct themselves and even communicate through their actions. These actions help build relationships and shape culture. Combined with communication, these actions form the act of leading. Figure 4.5 illustrates the categories, descriptors, and themes related to leader actions.

Transformational leaders *build trust* through their actions, “knowing what is right and necessary” and being “tirelessly persistent” (Bennis & Nanus, 1985, p. 45).

“Walking-the-talk,” role modeling and setting an example describe the consistency of actions critical to building trust among followers. “Demonstrate to others what is important by how you spend your time, by the priorities on your agenda, by the questions you ask and the people you see” (Kouzes & Posner, 1993b, p. 60). In addition, these leaders trust followers. The trust of followers must be earned. Trusting them first builds credibility and leads to trust of the leader. “Leadership also involves gaining the trust of each person that fairness will prevail, that the individual will not be exploited, and that decisions will be made taking into account the interests of all” (Clark & Clark, 1994, p. 74). Twenty-seven sources referenced these actions used to build trust.

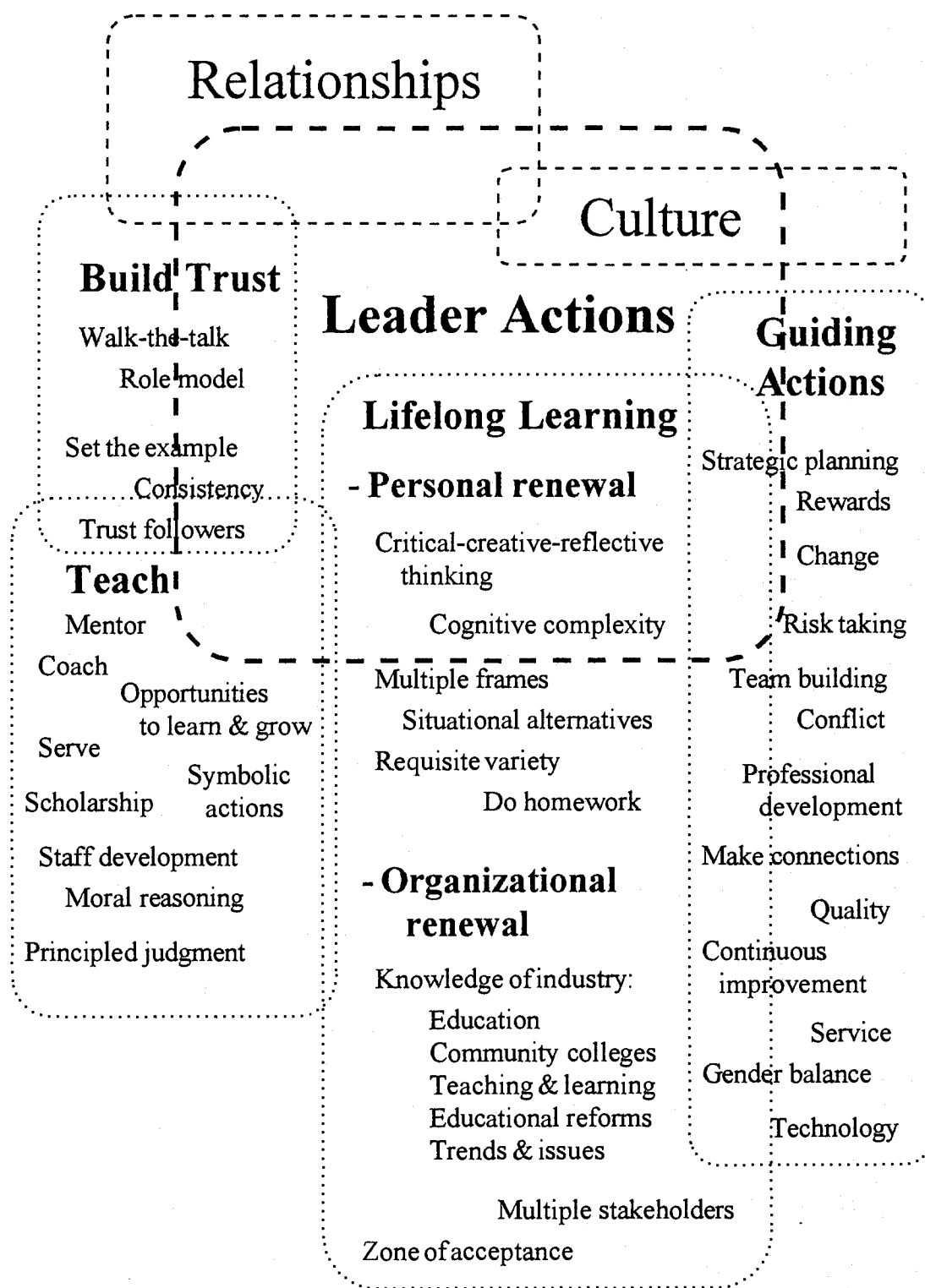


Figure 4.5 Leader actions theme categories, descriptors and related themes.

Another category of actions by transformational leaders is to *teach*, as referenced in 46 sources. "Leaders can also shape and alter and elevate the motives and values and goals of followers through the vital *teaching* role of leadership. This is *transforming* leadership" (Burns, 1978, p. 425). "A great leader is usually a great teacher" (Parnell, 1988, p. 2). These leaders provide opportunities to learn and grow. They mentor or coach followers. Transformational leaders "tended to be friendly, informal, and close and treated subordinates as equals although they (the leaders) had more expertise. They gave advice, help and support and encouraged their subordinates' self-development" (Bass, 1985, p. 82). They see their role as servant leader and seek to serve their own followers, as well as other stakeholders inside and outside of the organization. Transformational leaders practice stewardship with "a personal philosophy about giving" (Daughdrill (1988, p. 83). Leaders develop humanistic sensitivity—"courage hope, caring, heart, love, compassion, listening, cooperation and service" (McFarland, et al., 1994, p. 203).

Symbolic actions also provide guidance for others, an indirect but powerful means of teaching. Transformational leaders promote staff development activities, often using them as a reward for accomplishments. Scholarship provides a means of teaching as well. These leaders are scholars in their own right, but also promote scholarship among followers. Transformational leaders also engage in moral reasoning and principled judgement, as well as teaching the ideas to their followers. "Transformational leaders teach followers to develop these characteristic for themselves, rather than simply using their own capabilities to do things *for* followers" (Sashkin & Rosenbach, 1993, p. 98).

*Lifelong learning* parallels the teaching category of actions by transformational leaders. Twenty-nine sources discussed lifelong learning. "They are life long learners. . . . able to talk about mistakes they had made. . . . as learning experiences" (Tichy & Devanna, 1986, p. 276). Such learning promotes *personal renewal*, one cluster of descriptors within this category. On a larger scale, it also promotes organizational renewal. Transformational leaders use and promote the use of critical, creative and reflective thinking which supports the development of cognitive complexity. "The college president must have an extraordinary amount of self-control in budgeting time—not just for action, but also for reflection and planning; not just for the institution, but also for one's own human dimensions" (Hess, 1988, p. 97). This provides a basis for multiple frames of reference, situational alternatives or other forms of requisite variety.

A second cluster within the learning category relates to *organizational renewal*. Transformational leaders use lifelong learning to build their knowledge of their industry, such as education, community colleges, teaching and learning, educational reform, and other trends and issues. They also learn about their multiple stakeholders in and out of the college itself. "Learn everything you can about your institution, similar organizations, and your industry" (Nanus, 1992, p. 38). In addition, such leaders learn how far various constituents are willing to go before developing resistance to change. "Intuitively, presidents will need to know and operate within the 'zones of acceptance of their various constituencies'" (Duncan & Harlacher, 1990, p. 46).

*Guiding-actions* from 73 sources reflect the gray area between leadership and management, as indicated in Chapter 1. While most sources differentiate between

leadership and management, the exact point of difference varies. Thus, this category reflects the range of actions that may be included, rather than a consensus of the sources for this research. The first cluster within this category from 38 sources includes actions related to *strategic planning*: scanning the environment; designing strategies, programs, and policies; adapting organizational designs; and institutionalizing changes, such as changing the reward system. Wilcox and Ebbs (1993) recommended the use of strategic planning to engage staff and students in “work[ing] collaboratively and constructively with conflicts in values” (p. 39). Transformational leadership is “systematic, consisting of purposeful and organized search for changes, systematic analysis, and the capacity to move resources from areas of lesser to greater productivity . . . [for] strategic transformation” (Tichy & Devanna, 1986, p. viii). Transformational leaders emphasize recognition, intrinsic rewards, and professional development opportunities. “The true leader often gets little praise along the way; he or she is too busy praising others” (Hesburgh, 1988, p. 7). Extrinsic rewards were de-emphasized in favor of recognition and celebrations such as thank you notes, public and private acknowledgments, refreshments, parties, luncheons, and opportunities to engage in other projects (Kirby, et al., 1992).

A second cluster from 31 sources relates to *risk taking*: taking reasonable or calculated risks, experimenting, reducing the risk of others failing, and providing the necessary resources to facilitate success. “They are courageous individuals. . . . prudent risk takers” (Tichy & Devanna, 1986, p. 271). While transformational leaders take and encourage others to take risks, they are careful to assess the risk and to make every effort to achieve success.



A third cluster from 56 sources focuses on *team building*: creating task forces, collaborating, coalition building, politicking, managing conflict and change, and preventing or moderating stress. "Leadership always has one face turned towards [sic] change, and change involves the critical assessment of current situations and an awareness of future possibilities" (Foster, 1989, p. 43). Transformational leaders "identify themselves as change agents. . . . Their professional and personal image was to make a difference" (Tichy & Devanna, 1986, p. 271). Burns stresses "the role of great conflict in great leadership" (cited in Rost, 1991, p. xii). Professional development can enhance team building and team-based activities. The transformational leader may also help make initial connections with other community college professionals.

A fourth cluster from 24 sources incorporates various dimensions of *quality* or *excellence*: continuous improvement, benchmarks, total quality management, and customer service. Community colleges often use these approaches to enhance student success and student services. Besides these clusters, additional guiding-actions provide gender balance and encourage the use of technology.

Transformational leaders use a variety of actions to help achieve the shared vision. The leader actions and communication themes combine to describe much of what transformational leaders do.

### *Leader Characteristics*

In addition to the themes that describe the functions and actions of transformational leaders, the meta-ethnography identified a variety of personal

characteristics found among these leaders from 99 of the sources used for the analysis. Although not predictive of one becoming a leader, these characteristics have been identified with transformational leadership and facilitate our understanding of the phenomenon. It is not likely that any one individual will display all these characteristics. Figure 4.6 illustrates the categories, clusters and descriptors for the leader characteristics theme.

The single most often referenced characteristic of transformational leaders is *self-confidence*, found in 40 sources. "The [transformational] leader must be a person of strong conviction, determined, self-confident, and emotionally expressive" (Bass, 1990a, p. 220). These leaders are centered, intuitive and motivated by a higher purpose. "True leaders lead fully integrated lives, in which their careers and their personal lives fit seamlessly and harmoniously together" (Bennis, 1990, p. 108). They have an internal locus of control (Bandura, 1977; Howell and Avolio, 1993). Transformational leaders exhibit self-understanding and are self-disciplined. They have a need for power but use it for empowering others, rather than for their own purposes. When it is used personally, power becomes a source of energy rather than a source of control over others. Transformational leaders also have a need for achievement, but may not have a need for affiliation. This latter finding contrasts with other findings about the nature of relationships between transformational leaders and their followers, i.e., that these leaders are personable, caring, friendly, warm and so forth. Transformational leaders also exhibit

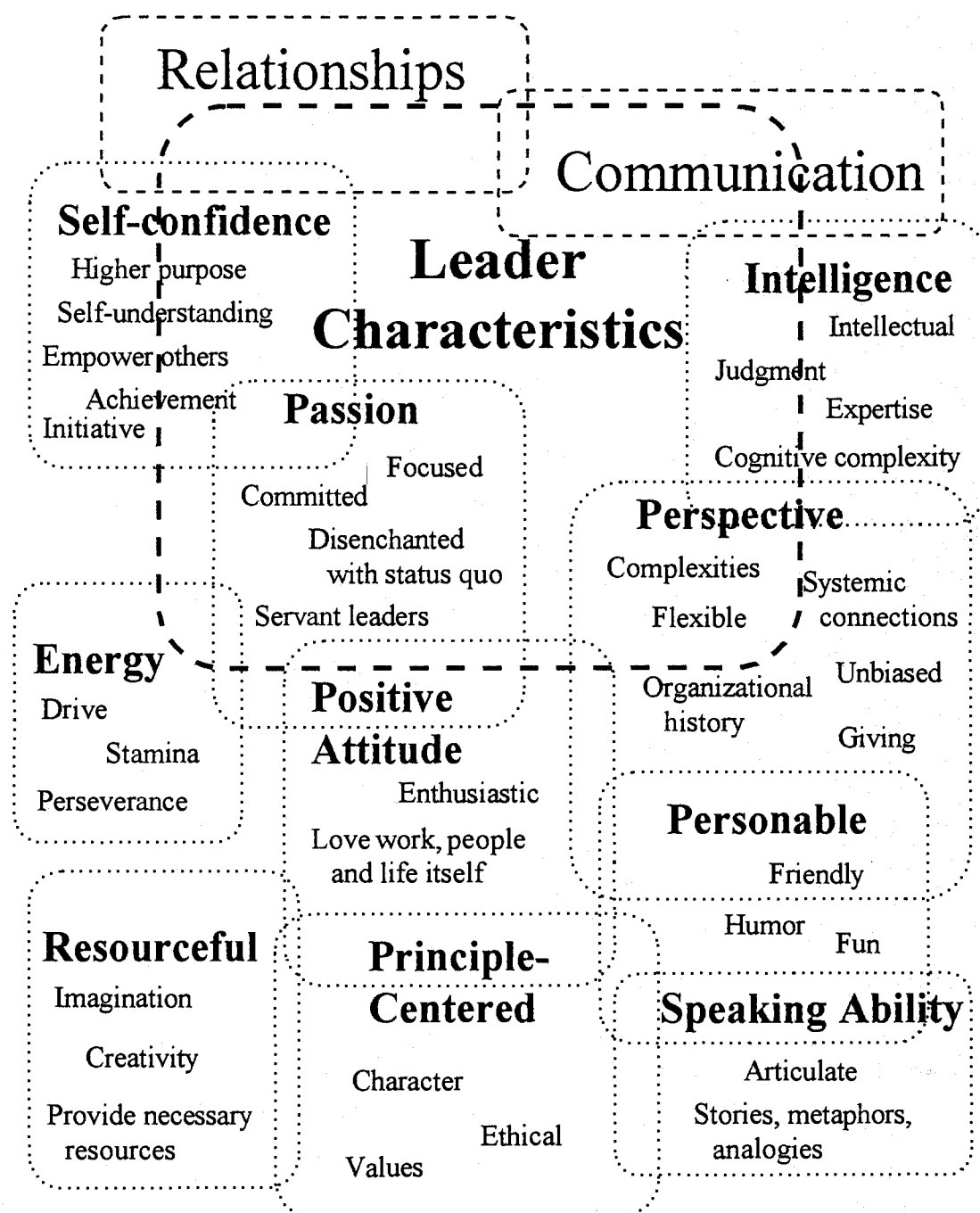


Figure 4.6 Leader characteristics theme categories, clusters and descriptors.

initiative and the courage to take risks to accomplish the shared vision. These leaders are credible and may be assertive and ambitious.

According to 27 sources, transformational leaders follow *a passion*, “a passionate belief in something” (Bennis, 1990, p. 117). They are focused and committed. They “believe in the importance of higher education and the impact it can have on society at large . . . [and are] willing to give all his or her time and energy to the achievement of the cause” (Fisher & Tack, 1988, p. 3). These leaders are disenchanted with the status quo and pursue their calling with passion and a sense of giving. They act as “shepherd to the dream, a passionate advocate for the common effort” (Daughdrill, 1988, p. 84). Transformational leaders view themselves as servant leaders.

*Intelligence* is commonly attributed to transformational leaders, as described in 49 sources. “The leader has to have brains and breadth. In the future, even more so than in the past, only the really bright individuals will be leaders” (Cronin, 1982, n.a.). Particularly in an academic environment, they are often perceived as intellectual. These leaders are known for having good judgment. The exhibit “wisdom, superior judgment, independence of thought, intelligence, decisiveness, creativity, and innovation” (Duncan & Harlacher, 1990, p. 40). They have expertise in their industry, their profession, and leadership. Transformational leaders demonstrate cognitive complexity, the ability of the leader to understand and attend to complex and competing needs simultaneously (Bensimon, et al., 1988b, 65), and approach challenges with a variety of perspectives and approaches. “Exemplary presidents saw patterns, analyzed problems at a deep level,

understood nuances, and were concerned about receiving feedback” (Birnbaum, 1992, p. 181).

Based on 54 sources, the *perspective* of transformational leaders includes perceptive awareness of complexities, systemic connections, patterns and situations.

“They have the ability to deal with complexity, ambiguity, and uncertainty. . . . capable of dealing with the cultural and political side of the organization [as well as] the technical side” (Tichy & Devanna, 1986, p. 279). These leaders understand organizational history, cultural sensitivity, and global issues. Transformational leaders need a “worldmindedness/a sense of history and breadth” (Cronin, 1984, p. 28). They are well-rounded, open, unbiased, and flexible with a tolerance for ambiguity and uncertainty. They are “noble of mind and heart; generous in forgiving; above revenge or resentment” (Bennis, 1990, p. 118) and exhibit “a willingness to try new things and hear new ideas, however bizarre, a tolerance for ambiguity and change, and a rejection of any and all preconceived prejudices, biases and stereotypes” (p. 119). Transformational leaders are altruistic, generous, and willingly sacrifice for their higher purpose.

Transformational leaders have *energy*, drive and stamina, according to 24 sources. “Every outstanding leader I have ever known has had exceptional physical energy, exceptional stamina” (Gardner, 1987a, p. 8). They are dynamic. These individuals persevere toward achievement of the shared vision. They practice wellness habits and have a positive spirit.

Similarly, transformational leaders have a *positive attitude* “toward life [that will] excite you about your own potential, and make you want to work hard to achieve the

dream in which they so strongly believe" (Fisher & Tack, 1988, p. 3). They are enthusiastic, exhibiting "contagious self-confidence, unwarranted optimism, and incurable idealism" (Cronin, 1982, n.a.). These leaders love their work, people and life itself. Twenty-four sources reflected this positive attitude.

According to 70 sources, *personable* is another characteristic that describes transformational leaders. They exhibit "compassion, people orientation, friendliness, and sensitivity to the needs of different constituencies" (Duncan & Harlacher, 1990, p. 40). They are friendly, cheerful and warm; have a sense of humor; and like to have fun. "Seeing what is comic, even in ourselves, is the best antidote to pomposity and pride" (Hesburgh, 1988, p. 8). "Have fun at what you do" (Nanus, 1989, p. 119). Yet, they may also be humble, i.e., do not call attention to themselves and do give credit to individuals or groups for their accomplishments.

As with shared vision and values, these leaders are *principle-centered*, as described in 36 sources. They exhibit "standards of moral and intellectual honesty" (Bennis, 1990, p. 117). "They are value-driven" (Tichy & Devanna, 1986, p. 274). Transformational leaders have character. Nanus (1989) recommends that leaders "develop personal character, integrity, and trust" (p. 118). They are particularly noted as being ethical, perhaps even "noble." These leaders are guided by "near universal ethical principles of justice such as equality of human rights and respect for individual dignity" (Burns, 1978, p. 38).

Twenty sources described transformational leaders as *resourceful*. They use and encourage imagination and creativity to help overcome barriers. These leaders provide

the necessary resources to get the job done. "Transformational leaders are more likely to be proactive than reactive in their thinking; more creative, novel, and innovative in their ideas; more radical or reactionary than reforming or conservative in ideology; and less inhibited in their ideational search for solutions" (Bass, 1985, p. 105).

With communication as a major theme, it is no surprise that transformational leaders have excellent communication skills, according to 71 sources, particularly *speaking ability*. They have "the capacity to relate a compelling image of a desired state of affairs—the kind of image that induces enthusiasm and commitment in others" (Bennis & Nanus, 1985, p. 33). Stories, metaphors and analogies help illustrate, clarify and illuminate as these leaders repeat and reinforce the shared vision, values and beliefs. Kouzes and Posner (1993b) state that leaders "speak with passion" to communicate enthusiasm and enrich the vision through stories, anecdotes and metaphors (p. 60). Inspirational leaders incorporate an emotional quality, including the ability to create and articulate a compelling vision with the use of symbols and metaphors (Bass, 1985, p. 63).

The characteristics identified in this section support the actions of transformational leaders, helping them communicate effectively and build relationships, to achieve the shared vision.

### *Outcomes*

Ninety-eight sources used in the meta-ethnographic analysis identified outcomes of transformational leadership, including a positive work environment, job satisfaction, and extra effort from employees. The leaders are perceived as more effective and as

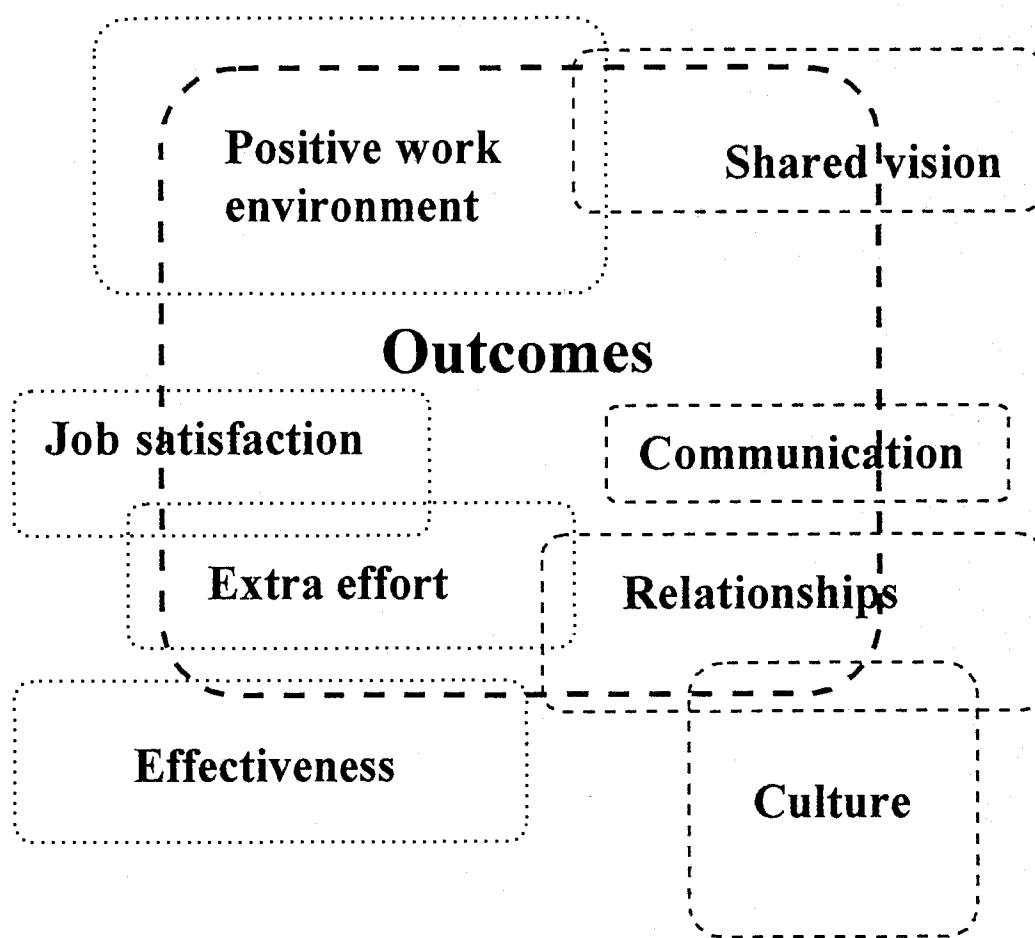


Figure 4.7 Outcomes theme categories, descriptors, and related themes.



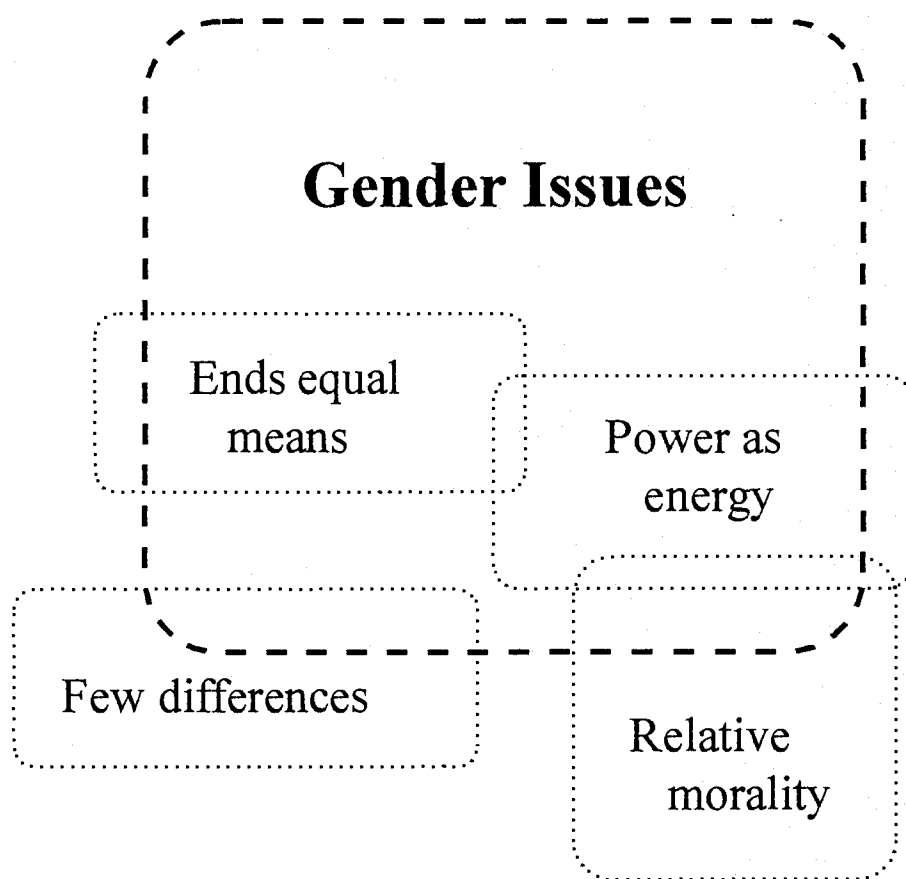
giving better performance. Workers and work units also increase in effectiveness under transformational leadership. Keller (1991) found that transformational leadership predicted better quality and performance. These are important as potential measures of effective leadership and leadership training. Figure 4.7 illustrates the categories, clusters and descriptors for the outcomes theme.

The profile of transformational leadership described above also provides potential measures of transformational leadership. Shared vision, communication, relationships, organizational culture, leader actions, and leader characteristics all have potential for outcome measurements. These possibilities are discussed in Chapter 5.

### *Gender Issues*

The meta-ethnographic analysis found few statistically significant or otherwise observable differences between female and male transformational leaders. "Taken as a whole, no clear pattern of differences emerges" (McFarland, et al., 1994, p. 225). These, though few, are worth mentioning. Figure 4.8 illustrates these findings.

Women often view ends and means as equal. Women describe a "web of connections which emphasizes empowerment, affirms relationship, seeks ways to strengthen human bonds, simplifies communications and gives means an equal value with ends" (Hegesen, 1990, p. 52). This contrasts with the view that ends are associated with transformational leadership, whereas means are associated with transactional leadership. Bass's (1985) approach that transformational leaders use both transformational and transactional leadership might account for the balanced perception by women.



**Figure 4.8** Gender issues differences between female and male transformational leaders.

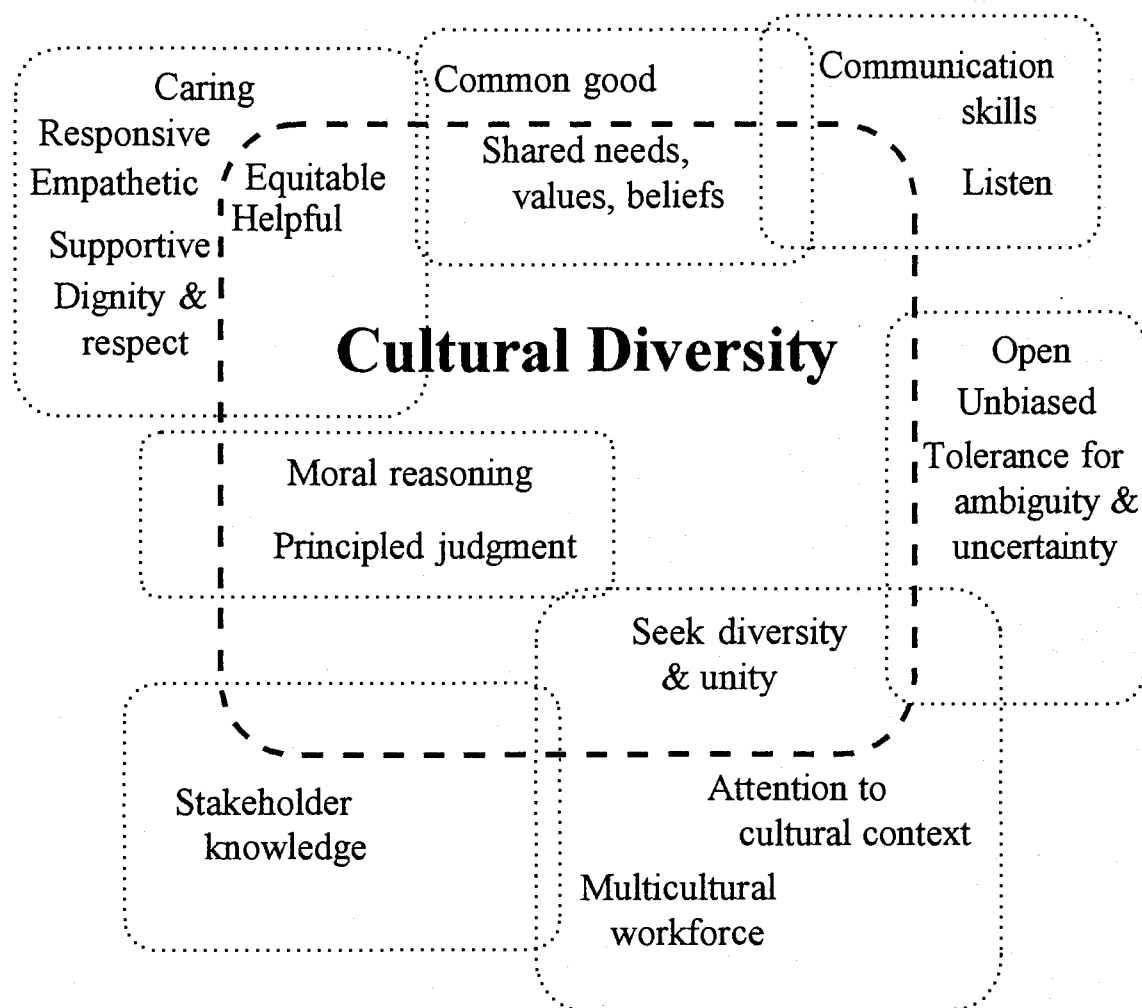
According to one source, women view power as a form of energy rather than a means of control. Transformational leaders see power as a way to empower others. Although these two perspectives do not seem contradictory, there may be a difference in the perception of power between women and men transformational leaders with respect to power as a form of energy.

Morality, among women leaders, is considered as relative to the situation. Men are more likely to perceive issues as absolute, right or wrong. However, transformational leaders have a more open, flexible and situational perspective consistent with that attributed to women leaders.

### *Diversity Issues*

While some differences have been found between transformational leaders across international cultures, surprisingly, no source was identified for this thesis that provided useful guidance toward further understanding of cultural diversity and transformational leadership specifically within this country or within colleges and universities. The lack of such studies is discussed further in Chapter 5.

However, several of the findings described in the profile of transformational leaders give clues about their perspective on diversity issues. These findings have been illustrated in Figure 4.9. "To be effective, you must have a vision of a multicultural workforce" (Simons, Vázquez, & Harris, 1993, p. 85). Transformational leaders have an elevated sense of purpose aimed toward the common good. That purpose is based on shared needs, values and beliefs. Transformational leaders listen, seeking to understand



**Figure 4.9** Cultural diversity findings from the transformational leadership profile.

followers and paying attention to the cultural context. "She or he respectfully and regularly enquires about what is or is not working for people in their job and in their relationship with others in the workplace" (p. 32).

Transformational leaders are caring, responsive, empathetic, equitable, supportive and helpful. They treat every person with dignity and respect. They engage in and teach moral reasoning and principled judgement. Transformational leaders are knowledgeable about multiple stakeholders, both inside and outside the organization. They strive for cultural diversity and unity. These leaders are open and unbiased with tolerance for ambiguity and uncertainty.

As in the building culture and communication themes, transformational leaders use stories to build that culture. "A few good stories, well told, could eliminate the need for hundreds of hours of training in many organizations" (Simons, Vázquez, & Harris, 1993, p. 159).

Although outside the scope of this study, there is a body of literature on diversity in the workplace that provides additional specific information and guidance regarding this theme. Based on the descriptors of transformational leaders pulled from the profile and identified above, it appears likely that transformational leaders would be open to such information and guidance.

### **Teaching, Learning, and Training for Leadership**

Teaching and learning theory and leadership training were combined into one file for this part of the meta-ethnographic analysis. The more limited volume of text analyzed

for this section eliminated the need for multiple iterations characteristic of the constant comparative technique. Accordingly, a combined analysis included all the data.

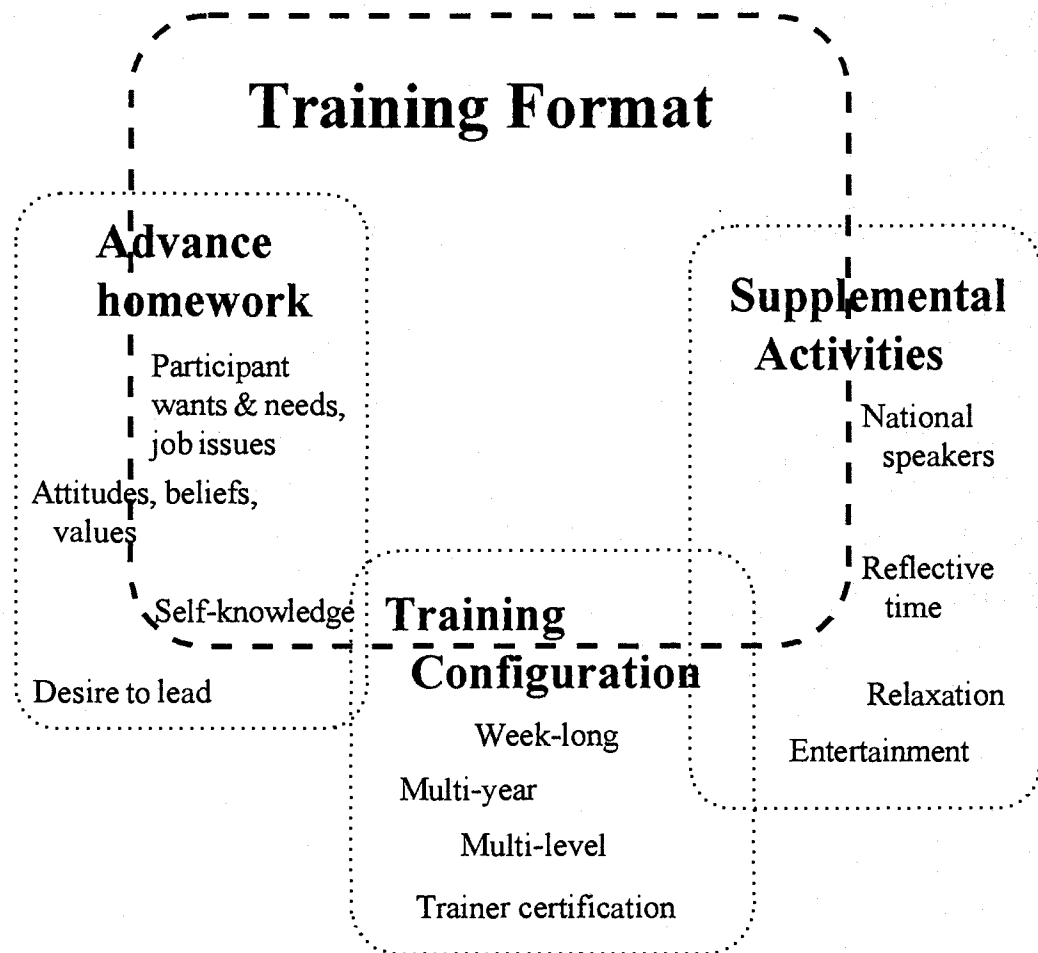
Following the initial coding and modifications for internal convergence and external divergence, three additional iterations of analysis of the patterns and connections were conducted.

Leadership content items were eliminated from this analysis since they had been considered during the analysis of transformational leadership. To ensure that new findings were not lost in that process, leadership content items were coded and cross checked against the transformational leadership coding to ensure that the content had been included. In all cases, the content was already included in the transformational leadership coding.

Four themes emerged from the analysis: (1) training format, (2) methods of delivery, (3) transference, and (4) training outcomes. Several categories of codes are grouped within these themes. Although this analysis was less extensive than that conducted on transformational leadership, the findings provide a rich profile of teaching, learning and training, which is a very useful resource for the design of the leadership academy based on transformational leadership.

### *Training Format*

This theme includes findings related to the appropriate format of training for adult learners and for the design of the leadership academy. Categories were identified for



**Figure 4.10** Training format theme categories and descriptors.

advanced homework, training format, and supplemental activities from 21 sources. Figure 4.10 illustrates the categories and descriptors for the training format theme.

The first component is to require *advance homework*. "Try to do as much research as you can on your students' backgrounds" (Brookfield, 1990, p. 199). Participants engage in advance assessments that are reviewed and used during the training program. Categories assessed may include participant wants and needs for leadership training, issues being faced on the job, and personal background such as social roles played during their growth and development. Attitudes, beliefs and values of participants and their organizations build self-knowledge and facilitate training on shaping culture. Assessment of the participants' desire to lead, level of conviction, and motivation is also helpful. Perhaps the most important part of the advance homework is an assessment of participants as a leader. The findings support a combination of self, peer, supervisor and subordinate assessment. Commercially available instruments could be used for these assessments. This is discussed further in Chapter 5.

*Training configuration* was the second category. The findings support several concentrated trainings conducted over time. "Such training constitutes a better way to learn the fundamentals . . . than traditional methods" (Kotter, 1988, p. 35). "Leadership development . . . calls for repeated assessments and repeated opportunities for training" (Gardner, 1990, p. 171). Annual week-long sessions with frequent interim trainings or follow-up are highly desirable. The multi-year format includes an increasing complexity and challenge for participants. "We do know that the more levels of an individual (emotional, imaginative, cognitive, and behavioral) a learning experience

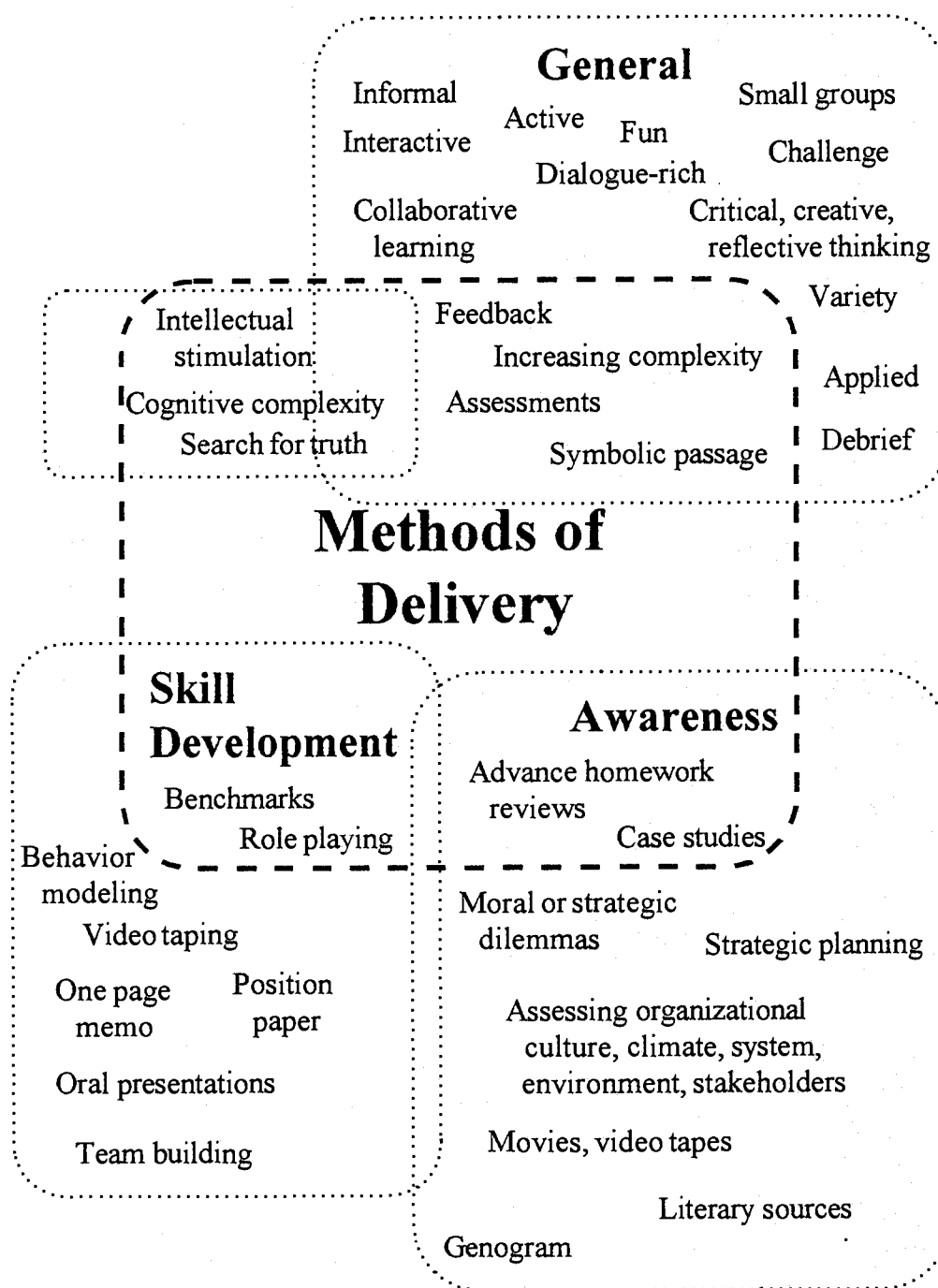


engages, the more powerful the learning will be" (Conger, 1993a, p. 29). The configuration may include electives if the scale, i.e., number of participants, were large enough to support that approach. Another approach divides the participants by organizational level, depending on the scale, the desire for cross-training and the marketing considerations. The configuration needs to consider lifelong learning options for ongoing support of leaders as well. Finally, certified trainers may improve the quality of the training. One option would be to take advantage of the Phi Theta Kappa leader training certification.

A week-long training format necessitates consideration of *supplemental activities*. National speakers and leaders enhance the appeal and quality of the experience. Some free time for reflective thinking, group work, and relaxation is also important. Two or three entertainment events can also enrich the experience for participants. While location was not identified as an important consideration, one approach is to conduct the training in an appealing setting or in conjunction with a community event that would appeal to participants traveling to the area. For example, the WACUBO Business Management Institute at Santa Barbara is scheduled to coincide with the Fiesta Days event on the weekend preceding the Institute. Those arriving early can take advantage of lower air fares or include one or more days of relaxation at the start of the trip.

### ***Methods of Delivery***

The methods of delivery theme includes three categories. The first category deals with general approaches to the delivery of the training. The second and third categories



**Figure 4.11** Methods of delivery theme categories and descriptors.

relate to skill development and awareness, respectively. Twenty-eight sources discussed methods of delivery. Figure 4.11 illustrates the categories and descriptors for the methods of delivery theme.

The findings support *general approaches* for training delivery that are informal, dialogue-rich, and interactive.

“Students learn best when they are actively involved in the process. The researchers report that, regardless of the subject matter, students working in small groups learn more of what is taught and retain it longer than when the same content is presented in other instructional formats” (Strange, 1992, p. 147).

Beginning with an overview, trainings should include a variety of activities, primarily involving small groups, that are fun and exciting [“learning is directly proportional to the amount of fun you have” (Pike, 1989, p. 4)]; create energy; engage active, collaborative and applied learning (based on community college context, emerging issues, and participant needs, concerns and dilemmas). Participants are treated with respect and challenged as adults. Trainees are encouraged to try out behaviors, to experiment. They are also given feedback and opportunities to debrief. “Experiences must be provided in which the trainee can exhibit the appropriate leadership and instructors, observers, and other trainees can give the trainee feedback about the adequacy and effects of the trainee’s efforts” (Bass & Vaughan, 1966; cited in Bass, 1990a, p. 817-818). Trainers take advantage of teachable moments, those times when interest is peaked or the group becomes particularly engaged in a topic or activity beyond what was planned. The trainers incorporate critical, creative and reflective thinking, including meta-cognitive

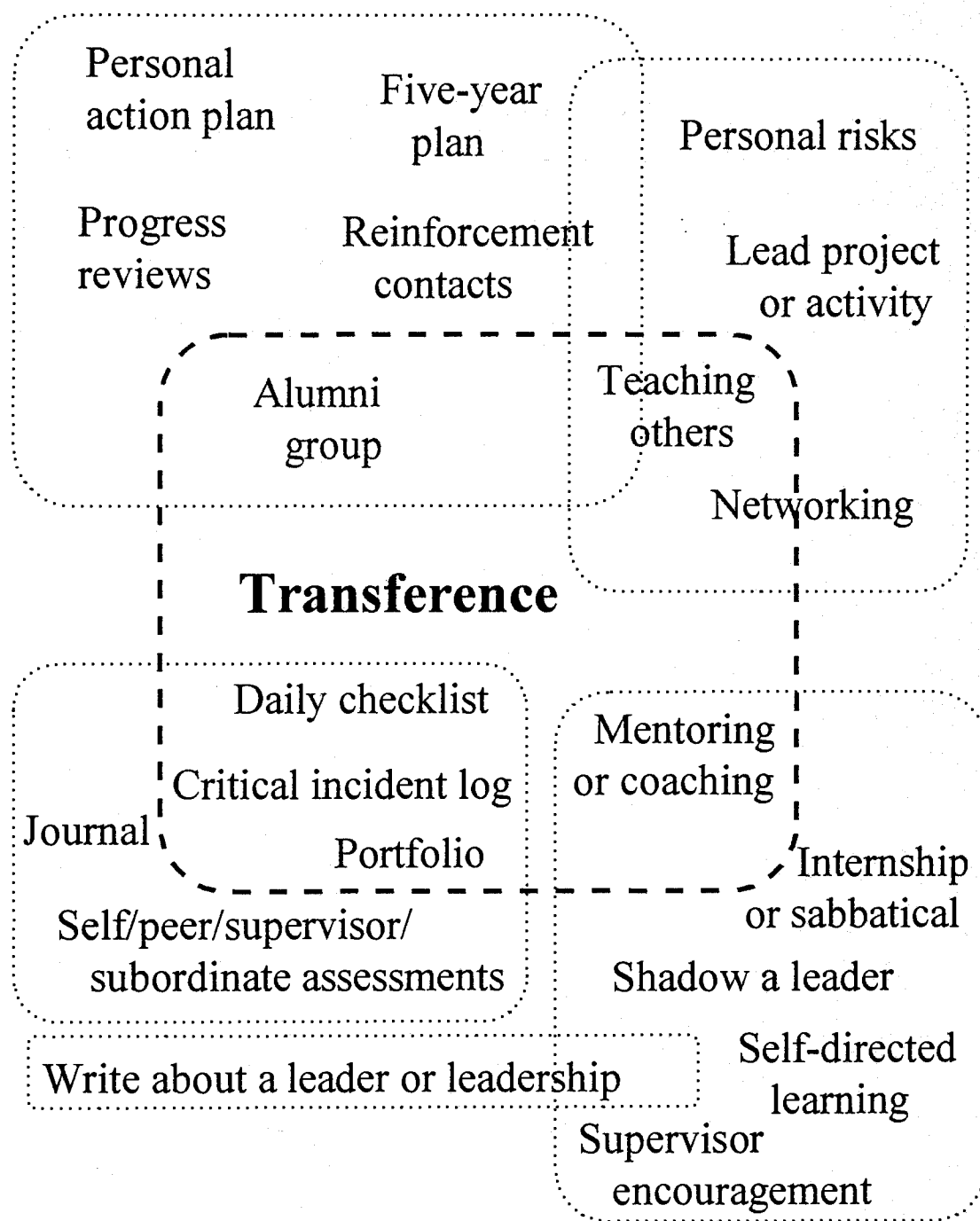
reflection, as the training becomes increasingly complex and challenging. "Critically reflecting upon our lives, becoming aware of 'why we attach the meanings we do to reality, especially to our roles and relationships . . . may be the most significant distinguishing characteristics of adult learning'" (Mezirow, 1981, p. 11; cited in Merriam & Caffarella, 1991, p. 261). They may also play the role of coach or tutor. A variety of formative and summative classroom assessments are included to evaluate: (1) "course-related knowledge and skills"; (2) "learner attitudes, values, and self-awareness"; and (3) "learner reactions to instruction" (Cross, 1994, p. 149). Each week-long training is concluded with an activity of symbolic passage to the next level, or beyond.

*Skill development* activities challenge participants to extend themselves beyond current abilities. The transformational leadership profile provides a source of benchmarks for skill development. Specific techniques for skill development include role playing, demonstrating behaviors, and behavior modeling to learn by doing. "*Leadership training programs that use behavior modeling are extremely effective*" (Clark & Clark, 1994, p. 175). Video taping provides a useful tool to facilitate debriefing and opinion. Writing a one page memo, a brief position paper, or a philosophy statement builds thinking and writing skills. Oral presentations, including team summary reports, develop thinking, team building, and oral communication skills. "Experiences must be provided in which the trainee can exhibit the appropriate leadership and instructors, observers, and the other trainees can give the trainee feedback about the adequacy and effects of the trainee's efforts" (Bass & Vaughan, 1966; cited in Bass, 1990, pp. 817-818).

Many tools are available to build leadership *awareness*. Review of the advance homework begins the process of building awareness. Participants in subsequent years begin to see the impact of changes over time. Case study is one of the most popular approaches, which include a variety of moral or strategic dilemmas. Trainees may engage in assessing an organizational culture or climate, systems, environmental context, or stakeholders, then use the information for strategic planning. Movies, video tapes, films, Great Books, other literature or liberal arts sources provide a rich array of material to illustrate transformational leadership and enhance awareness. Creating a genogram or a lifeline is also useful in helping participants understand their personal leadership growth. Activities that provide intellectual stimulation, cognitive complexity and a search for truth challenge participants, particularly at upper levels of training. Jaques proposed an approach based on developing increasingly "complex cognitive maps (i.e., capacity to comprehend increased complexity, understand indirect cause-effect relationships, and combine logical with intuitive learning and other necessary 'equipment' over time" (Jacobs & Jaques, 1987; cited in Hunt, 1991, p. 261).

### *Transference*

The value of training comes from the transference of what was learned in the training setting to the real world back home. "*Leadership training programs that include follow-up training and evaluation and do not rely on single-event training exposure increase the applicability of seminar training to the work setting*" (Clark & Clark, 1994, p. 104). Interestingly, considering the importance of this concept, the literature used for



**Figure 4.12** Transference theme descriptors.

this study included only nine sources. Figure 4.12 illustrates the findings for the transference theme. This section describes processes that facilitate transference of training to the job.

One approach involves having participants develop a plan to carry out after returning to the job. They may establish specific goals as targets. A personal action plan may take the form of a learning contract, which enhances the psychological commitment to the plan. Some employers hold participants accountable for doing what they have learned. Sometimes, a five-year plan may be appropriate, particularly when they maintain some connectivity with trainers, peers or others to review progress.

A related method is to provide follow-up by trainers or peers, perhaps as an alumni group. The follow-up may relate to a specific plan or just provide reinforcement at regular intervals. That contact may include progress reviews, advising, or job counseling.

A daily checklist of behaviors, a critical incident log, a journal, and a portfolio also provide ways to help the participant focus on use of the training on the job. These approaches help document progress for self-assessment or planned follow-up.

Specific activities that reinforce training and enhance transference include: (a) taking personal risks to stretch and grow, (b) volunteering to lead an activity or project, (c) participating in projects outside regular responsibilities, (d) teaching others, (e) networking and (f) mentoring or coaching someone. Several other supporting activities are: (a) having a mentor or coach, (b) participating in an internship or sabbatical, (c) shadowing a leader, (d) engaging in self-directed learning, (e) seeking supervisor

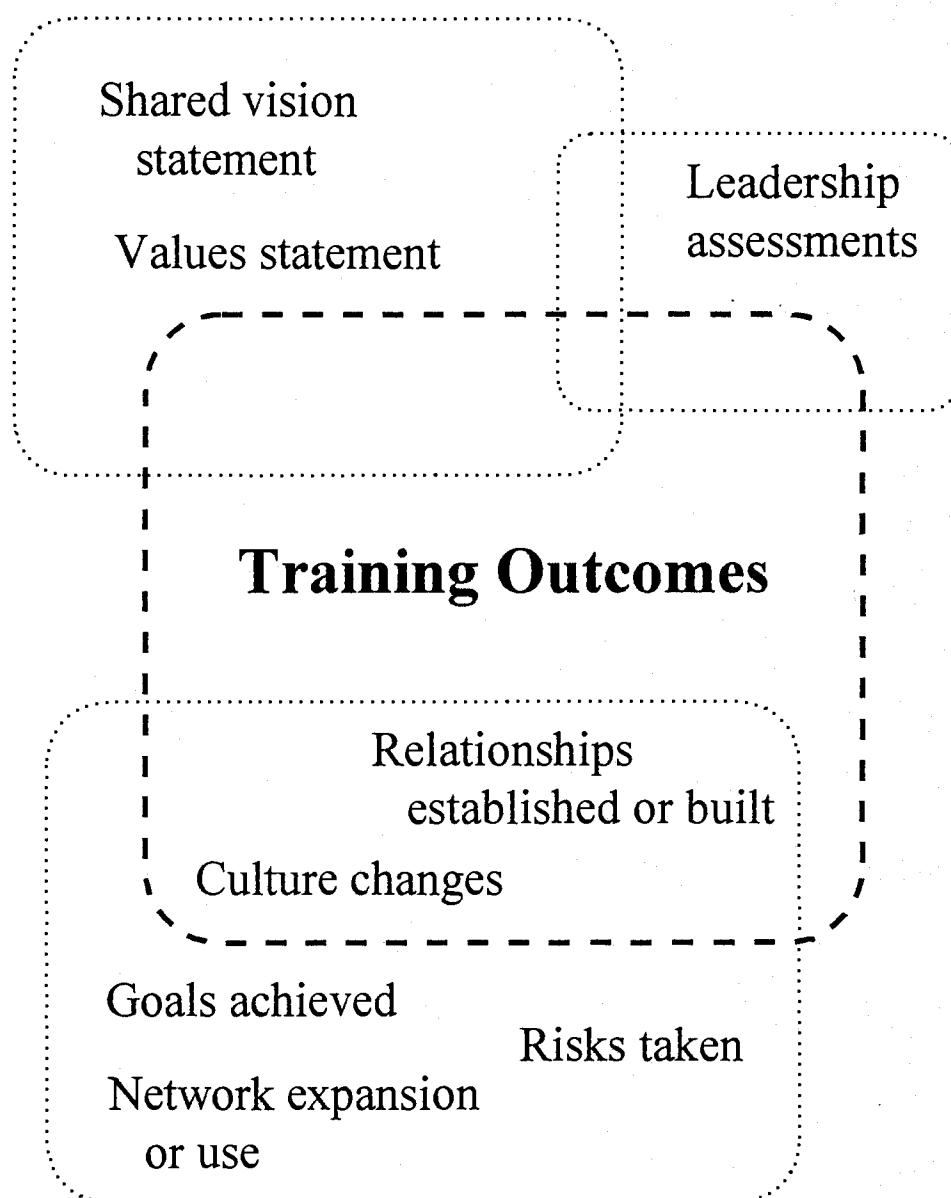
encouragement, and (f) writing about a leader or leadership. Burt Nanus (1989) suggests “seek[ing] leadership responsibilities early and often” (p. 116).

### *Training Outcomes*

In addition to the outcomes theme described in the transformational leadership profile, the meta-ethnographic analysis identified several training outcomes from the literature on adult learning theory and leadership training. Twenty-two sources discussed learning or training outcomes. Figure 4.13 illustrates the training outcomes theme descriptors.

These training outcomes may include culture changes, “deals” made, network expansion or use, perceived risks taken, goals achieved, and shared vision and values statements developed. Self-assessment is one form of outcome measurement. However, the findings support a combination of self and other assessments such as supervisor, peer and subordinate. Research by the trainers or others may also help measure the achievement of particular awareness and skill outcomes.





**Figure 4.13** Training outcomes theme descriptors.

### Soundness Assessment

In place of reliability and validity indicators, ethnography uses "criteria of soundness" (Marshall & Rossman, 1989, p. 144). An assessment of those criteria relevant to meta-ethnography, from lists identified in Chapter 3, established the "truth value" of this qualitative study. The combined criteria and the assessment of soundness are described below.

*Credibility* shows "that the inquiry was conducted in such a manner as to ensure that the subject was accurately identified and described" (Marshall & Rossman, 1989, p. 145). Did the methodology provide these assurances? Was the inquiry representative? Were the findings triangulated?

The purpose of using meta-ethnography was to ensure comprehensive inclusion of sources, particularly for transformational leadership. Using a constant comparative methodology provides additional assurance that the subject was accurately identified and described. The transformational leadership part of the study was more than representative; it was comprehensive. The sources on adult learning theory and leadership training were representative. Using multiple sources provides internal triangulation. Expert reviewers provided a review for additional triangulation (see below).

*Transferability* refers to the generalizability of the findings. Lincoln and Guba (1985) place this responsibility on those who make the transfer, i.e., generalization. Were the theoretical significance and generalizability made explicit? Were the findings triangulated with multiple sources of data? Do the findings represent a large number of cases?

Transferability of qualitative research findings is the responsibility of those who make the transfer. However, the wide-spread acceptance of transformational leadership theory and the extensive studies improve the transferability of the theory. Many of the studies have met statistical criteria for reliability and validity that further enhance the ability to generalize those findings. As previously noted, the findings of this study were triangulated with multiple sources and expert reviewers.

While the study of transformational leadership included a large number of sources, the other areas included multiple sources in smaller numbers by design. The caution about responsibility for transferability should be considered, though multiple sources and triangulation were also used for all parts of the study. This limitation is discussed further in Chapter 5.

*Dependability* requires accounting for dynamic changes in the phenomenon of study, design, or methodology as appropriate. Were changes documented? Were the findings triangulated? Was the evidence from some sources is better than others due to expertise or ability to articulate?

The description of transformational leadership included differences in understanding the phenomenon over time and by different researchers and theorists. No changes were documented regarding adult learning theory or leadership training. The only change in the original design involved not using the constant comparative iterations for the adult learning theory and leadership training, since the smaller volume of data had been keyed into a single file for coding and analysis. All other procedures for coding and analysis were followed. As previously noted, all findings were also triangulated.

The evidence from multiple sources was weighed through the grouping by the major researchers and other categories followed by use of the constant comparative technique, for the transformational leadership sources. The numerous reviews for internal convergence, external divergence, and the axial and etic coding facilitated weighing the evidence.

*Confirmability* reflects the degree of objectivity. Did the researcher acknowledge biases of interest, theoretical biases and assumptions and control for them in the interpretation of the data? Were the data collection and analysis methods made explicit? Were the data checked and rechecked? Were the data preserved? Were negative instances of the findings displayed and accounted for? Were extreme cases included? Was the meaning of outliers checked? Were surprises followed up? Were competing hypotheses or rival explanations presented and discussed?

The theory of transformational leadership as articulated by Burns (1978) includes a strong moral component missing from some other sources, notably Bass and associates. Burns' preference for moral leadership influenced the researcher, which much of the other literature on transformational leadership supported. The researcher was also interested in the charisma factor in Bass's (1985) theory. While some literature supported this factor, other sources did not. This was documented based on consideration of the conflicting sources of information. It is also discussed further in Chapter 5. In all cases, the original sources were cited extensively to document the position(s) of the authors without bias.

The data collection and analysis methods were made explicit. The data were checked and rechecked using multiple coding and interpretive steps. The source data and all analytical records have been preserved and will be retained for a period of not less than three years.

The design of the methodology provided means of checking negative instances, extreme cases, outliers, and surprises. Contradictions were documented and pointed out. Competing hypotheses or rival explanations were also presented and discussed. The moral construct, charisma, and some potentially conflicting characteristics of transformational leaders were among those noted. Additional discussion is included in Chapter 5.

*Utilization/application/action orientation* suggests whether the findings have value for practitioners. Do the findings have value for practitioners?

The purpose of this thesis is to design a leadership academy of community college professionals based on transformational leadership. The value of the findings for practitioners lies in the usefulness of the findings to create the design described in Chapter 5, assuming, of course, that the design is then carried out to provide that training. However, the findings, particularly those included in the transformational leadership profile, may also be useful on their own, a consideration further discussed in Chapter 5.

Three expert reviewers agreed to review the findings and recommendations from this study. Two of the individuals actually followed through on the review and provided feedback as agreed. Repeated followup with the third reviewer failed to result in the feedback that he originally agreed to provide.

Dr. Betty Duvall, Community College Liaison at the U.S. Department of Education, provided both general and specific comments about the draft findings and recommendations. Her specific comments were generally supportive of the findings and recommendations. The following discussion documents her suggestions.

Her comments on the findings from the study include support and suggestions for changes or clarification. She suggested that while the leader does not "impose" the vision, the leader probably initiates it. She agreed that the shared nature of the vision is unifying and that it is important to communicate that vision. Dr. Duvall expressed some concern regarding the finding on the "personal" nature of leader-follower relationships, particularly regarding potential harassment. The text was modified to reflect this concern. She also suggested adding more about the "servant leader," which has been done. Regarding the intelligence category, she suggested the need for common sense, a concept that was not specifically identified in the literature, but could be inferred from findings regarding good judgement. Dr. Duvall also supported the finding that "these leaders love their work, people and life itself." Modifications have been made to the text to further explain or illustrate the findings that transformational leaders are "humble" and "even noble." Clarification was also provided regarding the findings related to women and power as it relates to findings regarding transformational leaders and power. In addition, a paragraph that women are more likely to have done their homework was deleted as being questionable.

Regarding the recommendations from the study, Dr. Duvall questioned the breadth of the target audience, community college professionals. Her recommendation

was to narrow the focus for a more specific niche as leaders at different levels in community colleges would be better able to relate to peers at their respective levels with similar community college interests and concerns. She also suggested that the advantage of this design is cost and access when compared to other recognized programs such as the Harvard Institute for Educational Management. Market research might be required to help identify the demand by level, the need for separation, and the possibilities for integration.

The second reviewer, Dr. Ron Daugherty, Executive Director of the Western Center for Community College Development, was very supportive of the findings and the results while still noting several questions regarding details. He pointed out that the finding that transformational leaders "may not have a need for affiliation" appears to contradict the team, collaboration and networking findings. He asked if the finding that transformational leaders "may be assertive and ambitious" is related to power. The findings neither confirmed nor contradicted such a relationship, but it could be worthy of investigation. Dr. Daugherty also questioned whether the intelligence category implied that transformational leaders know the literature and research findings. There was no evidence to support or contradict this possibility. To the finding regarding the altruistic, generous and self-sacrificing characteristic of transformational leaders, he questioned this based on his own perception that leaders still have a major ego drive. Other than the finding that transformational leaders may be assertive and ambitious, there was no specific evidence of ego drive to support this perception, at least among transformational leaders.

Regarding the recommendations in Chapter 5, Dr. Daugherty cautioned against the suggestion that a certification of institute trainers, asserting that certification could lead to a compromised program that could "wash out" the critical transformational elements. While further investigation may be warranted, the evidence from the Phi Theta Kappa Leadership Development Program contradicts this concern. On the other hand, Dr. Daugherty noted that the reputation of those leading the training or providing keynotes does impact the marketability of the training. Regarding the pricing of the WACUBO Institute, he pointed out that the prices were based on a particular size of the institute, approximately 300 per year in a four year format. He also cautioned about the use of a location with "tourism appeal," particularly a resort setting, due to the symbolic message that results during times of limited resources. The text was modified to exclude a resort setting, although other tourism appeal of the area is still being recommended in selection of a site. Finally, he also suggested that advance homework could also be a process instead of or in addition to an instrument to measure transformational leadership of participants. This was added to the recommendation.

The results of the soundness assessment of the meta-ethnographic analysis have been documented to meet the accepted qualitative research criteria as defined by the methodology in Chapter 3. Based on the findings of this study, the recommendations for the design of the leadership academy for community college professionals based on transformational leadership are presented immediately following in Chapter 5.



## 5. RECOMMENDED LEADERSHIP ACADEMY DESIGN

### Introduction

The purpose of this thesis was to design a leadership academy for community college professionals based on transformational leadership. The training that is available primarily emphasizes management processes and/or focuses on other target audiences. Some of the most reputable programs, such as Harvard's Institute for Educational Management, are very expensive, eliminating access for most community college professionals. Others do not provide the depth of training that the findings of this thesis indicate are required to achieve effective leadership development.

This chapter presents the recommendations for the design of a leadership academy for community college professionals based on transformational leadership. The recommendations evolved from the meta-ethnographic analysis documented in Chapter 4 regarding transformational leadership, adult learning theory and leadership training. The contextual base for this academy is the issues facing community college professionals. The design consists of recommendations regarding format, content, delivery processes and context, training outcomes and measurements, and administrative structure issues (Johnson & Foa, 1989; Stark & Lowther, 1986). In addition, this chapter includes a review of the findings in the context of the research questions listed in Chapter 1 and recommendations for further research.

## Training Format

The format of the leadership academy refers to the configuration of the length and frequency of the training, along with related considerations. The analysis supports an advance homework component, an annual week-long training configuration with a multi-year curriculum, supplemental activities, and followup to enhance transference to the community college workplace.

The *advance homework* should include an assessment of the participant's leadership by self, supervisor, peer and subordinate. Sashkin's Leader Behavior Questionnaire (LBQ) or other commercially available instrument could be used for this purpose. A questionnaire based on the transformational leadership profile in Chapter 4, would provide an improved assessment. In addition, the advance homework should include an open-ended questionnaire regarding the wants and needs for leadership training, issues being faced on the job, and personal background. A third part of the homework should be an assessment of individual and organizational values and beliefs, although no specific instrument was identified for this purpose in the analysis. Finally, each participant's desire to lead, motivation to lead, and level of conviction should be assessed. Further research is required to identify or create appropriate instruments for these assessments.

The recommended *training configuration* is annual, multi-year, week-long sessions to provide the in-depth training that is appropriate for leadership training. The annual Western Association of College and University Business Officers (WACUBO) Business Management Institute, a successful model referred to in the analysis, uses a

four-year curriculum and runs Sunday evening through Friday noon. A similar format is recommended for the leadership academy.

The analysis supports a multi-year configuration. Two-years is the most common multi-year configuration. However, the research supports long-term training and lifelong learning. While four years would be desirable, the recommendation for this thesis is to design a three-year spiral curriculum of increasing complexity and challenge, with the option of adding a fourth year later. Kuhnert and Lewis (1987) described a three-stage configuration with increasing levels of complexity that is consistent with this recommendation. At the WACUBO Institute, a four-year configuration, community colleges represent 20 to 25% of the nearly 300 attendees. Accordingly, a more conservative three-year approach increases the prospects for sufficient levels of attendance in each year of the curriculum and reduces the cost of completing the entire curriculum.

The research supports the week-long configuration as well. Three days was considered as a minimum, but five days was most often recommended. This allows the time necessary for a variety of in-depth training activities, including time to *practice* skills and *plan* for transference back to the job.

*Supplemental activities* enrich the training experience. A combination of social, entertainment and educational activities will supplement the primary training. For example, the first evening of the academy might include a buffet and dessert social with a brief welcome and introduction to the academy. An organized social function is recommended for Monday evening to help participants make connections and have fun.

Line dancing or square dancing with a western barbecue have been very successful in other settings. Tuesday evening would include a national speaker followed by a wine and cheese social with small group roundtable discussions to debrief. Wednesday would be a free evening. Thursday evening would be quieter and more reflective with *hors d'oeuvres* and a fireside chat with a panel of community college leaders. The daily schedule would include some free time for reflective activities or group assignments, depending on the curriculum for that particular level within the academy.

The meta-ethnographic analysis identified support for *follow-up* contacts with participants for (a) additional training, (b) reinforcement, and (c) enhanced transference. The host organization for the academy may elect to offer additional training. However, this is beyond the design for the leadership academy. Other activities are recommended to enhance transference.

Each participant should complete a personal action plan based on the training for that level. It is recommended that the action plan be crafted as a contract between the participant, the host organization (trainers), and the employer to enhance the commitment to the plan. The first-year plan may consist primarily of a daily-behavior checklist with activities to take some personal risks, volunteer to lead an activity or project, participate in activities outside regular responsibilities, and engage a mentor. The second-year plan would require the participant to craft more targeted and complex strategies, including teaching others, mentoring or coaching someone, networking, and shadowing a leader. The third-year plan would increase the cognitive complexity, including a five-year plan for self-directed learning, expanded networking, participation in an internship or

sabbatical, and writing about a leader or leadership for publication. Each level of planning would also include increasingly complex elements from the transformational leadership profile suitable to the needs and desires of each individual participant.

Ideally, the trainers would make quarterly, personal follow-up contacts with participants. This would provide reinforcement, give an opportunity to provide advising, and maintain a customer focus to encourage participation in subsequent years. However, cost is a consideration. Costs could limit interim contact to a mid-year follow-up letter. An alternate approach is to have one or more researchers conduct follow-up activities to reinforce the training and provide a database of information for additional analysis. Another alternative is to establish a peer contact network to facilitate following up with other participants either as partners or in small groups. Also, an advanced level activity could be for those participants or "graduates" to mentor new participants.

Another recommendation is for participants to complete a quarterly progress report, which could be a portfolio, critical incident log, or journal to document their leadership activities and accomplishments. The cost of this recommendation could be reduced by making it part of a research project or the cost could be covered as a *value-added* option to each annual session.

As the number of participants grows, an alumni newsletter is recommended to keep participants informed of new research, literature or other ideas to continue their professional development as leaders. The quarterly progress reports or follow-up contacts and the research conducted with participants would provide a rich source of material for a

newsletter. The newsletter could also provide a mechanism to help organize and sustain an alumni association.

The level of commitment and support for the leadership academy is an important factor in selecting an organization to host the academy. Connections with community colleges, availability of staff and interest in leadership research, mechanisms in place for support of planning and conducting training activities, and access to appropriate facilities are considerations.

### **Content, Delivery and Context**

The discussions of content, delivery and context have been combined in these recommendations to illustrate better how these functions integrate to form the design for the actual training over the three years of the recommended format for the academy. The design is intended to be flexible to (a) accommodate the participants' wants and needs for leadership training, (b) the issues currently facing these community college participants, and (c) the teachable moments that emerge during the training activities.

The content of the leadership academy should consist of the material from the transformational leadership profile, presented in Chapter 4. The primary themes provide an overview of the content: (a) shared vision, (b) communication, (c) relationships, (d) culture, (e) actions, (f) characteristics, and (g) outcomes. The actual training activities would be based on the original sources from which the themes, categories, and clusters were derived through the meta-ethnographic analysis applied in a community college

context. The research also supports the use of increasing cognitive complexity over the three-year design.

Methods of delivery include the general approaches. skill development, and awareness building from Chapter 4. These methods are arranged to provide a variety of active, dialogue-rich, and reflective learning experiences. The use of case studies, film or video tape, Great Books or other literature enriches the learning. Participants are challenged and treated as adults and with dignity and respect. Consideration was given to provide a variety of learning experiences during each day, throughout the week, and over the three years of the design.

Issues facing community college professionals provide the primary contextual information for the leadership training. An excellent source of such issues is *Critical Issues Facing America's Community Colleges (1994-1995)* published by The Institute for Future Studies. This document identifies fourteen themes regarding the forces compelling changes in community colleges today:

1. Fundamental change in "*almost everything* we do" (p.1) that necessitates re-examining purpose, accelerating decision-making, and redefining the role of faculty.
2. Diversification among community colleges based on local characteristics that creates a need for heterogeneous public policy and active shaping of public opinion.
3. Increasingly limited resources and more regulation that lead to (a) helping people understand "that a negative response . . . may not be related to the value of their request" (p. 6), (b) focusing on strengths, (c) moving resources from "courses, programs, and services which have lived their life, and (d) sharing resources to develop "centers of excellence."

4. A dilemma created by a shortage of well-qualified faculty while many who should retire will not that results in two-tier systems of reward and responsibility.
5. Taxpayer revolt and increased tuition that impact access and affordability that may be countered with: (a) workforce preparation and job transition initiatives, (b) contribution to resolving community and social problems, (c) local support for "highly focused proposals" (p. 10), (d) exploitation of "philanthropy and planned giving," (e) grant procurement, (f) entrepreneurial activities.
6. Mission diversification and increased expectations in conflict with declining resources, community needs in conflict with student needs, and staff needs in conflict with market forces that drive the need for a "structured, campus-based dialogue" (p. 13) to define "a clearly identified purpose" (p. 12). "Given a choice between lower taxes and an institution which can't articulate its purpose and social value, the option of personal preference suddenly becomes quite clear" (p. 13).
7. Lack of clarity regarding what business wants and needs that leads to increased "quick response program development" and "cooperative alliances" (p. 15).
8. Accountability that demands assessment with 3 X 4 dimensions: "1) mission effectiveness; 2) organizational effectiveness; and, 3) student outcomes" which are of value to: "1) academic decision-makers; 2) public policy officials; 3) the taxpaying public; and 4) students" (p. 17).
9. Technological advances allow content-rich companies (books, films, software) to form alliances with cable and telephone companies to produce and deliver "virtually any subject . . . anytime. . . anywhere the learner wants to learn" (p. 18) and at reasonable prices that demand extensive staff development to embrace and exploit their potential.
10. Lack of research and experimentation by community college faculty, and a lack of its use, provide an opportunity to "conduct important research related to the learning process" (p. 20) and to equip faculty "to awaken students to the rich intellectual heritage conveyed through academic disciplines, . . . to convey the dynamic nature of these disciplines. . . [and] to communicate to students a real enthusiasm for the subjects they teach" (p. 21).
11. The need for "job training, contract education, workforce development, and broader-based community leadership projects" (p. 22) that leads to the



creation of "program specialties" and "centers of excellence" for "quick response and flexibility in both content and scheduling."

12. Specialization, customization, globalization and technology that break traditional geographic boundaries.
13. Loss of public support around issues of cost, quality and access that require
  - helping the public to better understand the purposes of community colleges and the value of those purposes to society.
  - better differentiating community college programming from other postsecondary educational options.
  - documenting and publicizing success in academic achievement and the placement of students who complete community college programs.
  - stressing the cost effectiveness of community colleges.
  - emphasizing the commitment to sound, ethical business practices.
  - continuously realigning the stated purposes of the community college with changing public interest.
  - continuously improving performance, always relating it to the public interest. (pp. 25-26)
14. Questions about intentions to *serve* the community, changing demographics, accountability, access, relevance of our curricula and how we do business that need scrutiny and honest responses "about what we do" and "whether we should keep doing it" (p. 28).

Although not exhaustive, these fourteen themes capture most of the most commonly cited issues from an array of other documents, Internet discussion groups and other sources. Other related issues not adequately represented in the above themes include educational reform (O'Banion, 1989; Lorenzo & LeCroy, 1994), teaching meta-skills like learning to learn (Baskett, 1993), diversity, the aging population, and more women in the workforce (Cetron, et al., 1988).

Specific issues identified by the participants in the advance homework will also be used to personalize the training context even further, consistent with adult learning theory and leadership training research. The participants will address one or more of these issues to enhance their knowledge, skills and awareness of transformational leadership. These applied exercises engage participants in the transference of learning and build their understanding and skill. The advance homework on leadership assessment and personal background furnishes additional contextual material to personalize participant learning.

The curriculum for the leadership academy is described by year and day of the week. It begins with the goals for each year and includes the content topic, the delivery methods, and the contextual information, where appropriate. Activities are identified, but do not include detailed descriptions nor lesson plans. Instructional materials and procedures for each activity would need to be identified or developed. The length of each activity, breaks, meals and other administrative details are not included. Some adjustments will be required as the academy is phased in over three years, since the upper level participants will not yet be available to meet and share their experiences with the other participants.

### *Year One*

The goals for the first year of the leadership academy are: (a) to develop an awareness of the difference between management and leadership in the community college; (b) to become familiar with the transformational leadership profile; (c) to understand personal and community college organizational values and beliefs; (d) to

improve communication and interpersonal skills; (e) to practice building shared vision, relationships, shaping culture and other transformational leader actions, including networking, staff development, and beginning strategic planning in the community college; (f) to build awareness of personal characteristics compared to those of transformational leaders, and (g) to prepare a personal *leadership conditioning plan* for the next year.

**Table 5.1** Outline of the first year curriculum for the leadership academy

	<b>Morning</b>	<b>Afternoon</b>
<b>Monday</b>	Keynote* Overview Leadership definition activity Leadership theories overview Introduction to transformational leadership <i>profile</i> (activity)	Movie segments ( <i>Gandhi</i> ) with discussion groups re. the <i>profile</i> Applied leadership activity— CC issue and the <i>profile</i> Reflection (journal)
<b>Tuesday</b>	Review & overview Building relationships activity & discussion Reflections on personal & professional relationships (journal) Review of advance homework assessments & group profile	Review of advance homework assessments continued Listening skill development activity (probing and sharing— from homework) Presentation skill development— from listening activity [videotape] Reflection (journal) CC case study assignments
<b>Wednesday</b>	Review & overview CC case study presentations & discussion Movie segments (shared vision) & discussion Reflection (journal)	Strategic planning activity using CC issues & the <i>profile</i> Shaping culture activity—share stories, metaphors, analogies from own institutions Reflection (journal) Reading assignments—current CC issues & Great Books excerpt or other literature

Table 5.1 (Continued)

<b>Thursday</b>	Review & overview Small group interaction with 2nd year participants re. learning & reading assignments Sharing activity—building shared values, beliefs & vision through expanding circles of interaction (based on CC issues) Reflection (journal)	Communication activity—inspiring, elevating & motivating [video tape] Interactive sharing—facilitating dialogue Reflection (journal) Self-assessment assignment—what I have learned about myself, using the <i>profile</i>
<b>Friday</b>	Review & overview Sharing circles re. self-assessment Personal <i>leadership conditioning plans</i> Sharing plans Graduation ceremony & keynote*	Adjourn

\* Joint session—all three levels of participants.

### *Year Two*

The goals for the second year of the leadership academy are: (a) to assess progress since the first year of the program in the context of the community college; (b) to use the experience of the first year to enrich the context of the second year learning; (c) to become more familiar with the transformational leadership profile; (d) to further improve communication and interpersonal skills; (e) to refine skills in building shared vision, relationships, shaping culture and other transformational leader actions in the community college, including teaching others, mentoring or coaching someone, and intermediate strategic planning; (f) to build awareness or change behaviors to facilitate development of transformational leader characteristics; (g) to challenge participants to move to a higher

level of critical, creative, and reflective thinking; and (h) to prepare a personal *leadership conditioning plan* for the next year.

**Table 5.2** Outline of the second year curriculum for the leadership academy

	<b>Morning</b>	<b>Afternoon</b>
<b>Monday</b>	Keynote* Overview Relationship activity—getting reacquainted Progress reviews from year one and advance homework assessments Oral skill development— sharing progress [video tape]	Shaping culture activity—using communication and interpersonal skills (values, beliefs, stories & metaphors from the leadership academy) Reflection (journal) Issues reading assignment
<b>Tuesday</b>	Review & overview Small group discussion re. issues reading and shared vision Elevating the vision activity Interaction with 3rd year participants re. shared vision experiences & group dialogue	Video (Covey) re. values and principles; dialogue Developing self-confidence activity Charisma discussion Reflection (journal)
<b>Wednesday</b>	Review & overview Strategic planning activity— case study involving CC issues; participatory decision making Reflection (journal)	Empowerment activity—group project Teaching & coaching activity— behavior modeling; preparation for Thursday session with 1st year participants Reflection (journal)

Table 5.2 (Continued)

<b>Thursday</b>	Review & overview Small group interaction with 1st year participants— teaching & coaching Debrief & sharing Movie segments (King, Kennedy . . .)—articulating the vision; inspiring Dialogue re providing "meaning" for followers Reflection (journal)	Critical-creative-reflective thinking exercise—increasing cognitive complexity Presentations of complex issues using vision & values [video tape] Reflection (journal)
<b>Friday</b>	Review & overview Personal <i>leadership conditioning plans</i> Presentations of plans Graduation ceremony & keynote*	Adjourn

\* Joint session—all three levels of participants

### *Year Three*

The goals for the third year of the academy are: (a) to assess progress since the second year of the program in the context of the community college; (b) to use the experience of the second year to enrich the context of the third year learning; (c) to master understanding of the transformational leadership profile; (d) to further improve communication and interpersonal skills; (e) to further refine skills in building shared vision, relationships, shaping culture and other transformational leader actions, including application of transformational leadership to complex issues facing community college professionals, assessing and taking risks, subtleties of role modeling and symbolic actions, advanced strategic planning and organizational design; (e) to challenge

participants to move to a higher level of moral reasoning and principled judgement with increased cognitive complexity; and (f) to prepare a personal *leadership conditioning plan* for the next five-years.

**Table 5.3** Outline of the third year curriculum for the leadership academy

	<b>Morning</b>	<b>Afternoon</b>
<b>Monday</b>	Keynote* Overview Relationships activity—beyond acquaintances (personal, caring, supporting, helpful, forgiving . . .) Progress reviews from year two and advance homework assessments Presentations of self-assessments [video tape]	Servant leadership movie segments & discussion Role modeling & symbolic actions activity; planning to meet with 2nd year participants Reflection (journal) Case study assignment
<b>Tuesday</b>	Review & overview Moral reasoning & principled judgement—case study & dialogue Interaction with 2nd year participants—shared visions, values, experiences (role modeling & mentoring) Sharing	Listening skills activity Telling stories & creating metaphors for meaning Practicing appreciation activity Reflection (journal) Strategic planning assignment
<b>Wednesday</b>	Review & overview Advanced strategic planning and organizational design activity re. CC issues	Taking risks and trusting activity—the leap of faith Reflection (journal) Shaping culture—planning the academy graduation Reading assignment re. current issues

**Table 5.3** (Continued)

<b>Thursday</b>	Review & overview Passion & perspective— current issues and the transformational leader Energy & enthusiasm activity —getting it and using it	Turning followers into leaders —movie segments & dialogue Reflection (journal) Free time (graduation preparations)
<b>Friday</b>	Review & overview Five-year personal <i>leadership conditioning plans</i> Presentation of personal philosophy, mission & values Graduation ceremony & keynote*	Adjourn

\* Joint session—all three levels of participants

### Training Outcomes and Measurements

Formative and summative outcome measurements should be conducted for the leadership academy. Formative assessments are recommended in the form of classroom assessments, such as those designed by Pat Cross (Angelo & Cross, 1993). These assessments measure (a) content knowledge and skills, (b) participant attitudes, values, and self-awareness, and (c) participant reactions to the training (Cross, 1994). Summative assessments are recommended based on the training outcomes identified in Chapter 4 from both the research on transformational leadership and the literature on leadership training. These outcomes include: a positive work environment, job satisfaction, extra effort from employees, improved leader effectiveness and performance, better worker and work unit effectiveness, culture changes, deals made, network expansion or use, risks taken, goals achieved, and shared vision and values statements developed. The profile of



transformational leadership also provides potential measures: shared vision, communication, relationships, organizational culture, leader actions, and leader characteristics.

The summative assessments involve research following the training activity and may be limited by cost. As with the supplemental follow-up contacts recommended above, there may be opportunities to conduct follow-up assessments as part of leadership research by the trainers or others. The assessments could also be incorporated into quarterly progress reports by the participants as described above. A recommendation regarding host selection is discussed under administrative structure issues below.

### **Administrative Structure Issues**

There are numerous administrative issues that require attention to host such a training event. This section will identify some of those issues. Other issues will need to be addressed during the planning for actual implementation of the leadership academy.

Selection of the host is a primary consideration among the administrative issues needing attention. Connections with community colleges, availability of staff with interest in leadership research, systems to support planning and accomplishment of training activities, and access to appropriate facilities are factors in the decision.

Accordingly, the recommendation is to select a university with a graduate community college leadership program. Faculty and graduate students could participate in planning and carrying out the program. They may assist trainers in the program, as appropriate, and would provide a resource to conduct follow-up contacts, assessments and research.

The selection of trainers for the academy is critical to its success. It is recommended that priority be given to trainers with leadership training experience and a solid understanding of (a) transformational leadership, (b) community colleges, and (c) an enthusiastic attitude toward the realization of the academy and its success. Trainer certification, such as that provided by Phi Theta Kappa for its leadership development program, is preferred. A process for certification of all trainers on both content and process is recommended to further enhance the quality of the program.

Marketing factors are also important to the success of the leadership academy. Those factors include pricing, location, and promotion. The qualifications and reputation of the trainers and keynote speakers can also impact the promotion of the leadership academy.

Pricing for the community college market needs to be as low as feasible while maintaining quality. For comparison, the costs in 1994 for early registration at the WACUBO Institute (about 300 attendees) were \$495 for years one & two and \$595 for years three & four (WACUBO, 1994), which include materials, refreshments, and lunches. Lodging costs were \$225 per person for double occupancy and \$325 for single occupancy, including breakfasts and dinners. Additional nights and meals were available for \$55. These rates may be at the high end of what would be considered acceptable for large numbers of community college professionals to participate.

While location is not critical to the effectiveness of the design according to the research, the setting is a concern for marketing. Use of a college or university setting with conference facilities and better quality dormitory housing would help keep participant

costs low. Ideally, the location should have travel and tourism appeal as well, although a resort location could be perceived as too extravagant in times of limited resources. In addition, scheduling the academy to coincide with a local weekend event at the beginning of the academy provides early arrivals with activities to engage their interests. For example, the WACUBO Business Management Institute is held on the University of California, Santa Barbara, campus and is scheduled to coincide with Fiesta Days in Santa Barbara. The location of the academy need not be at the facilities of the host organization, although there could be cost advantages to doing so.

Promotional materials and advertising should target community college professionals through mailing lists, community college publications such as *Community College Times* and *The Chronicle of Higher Education*. Using a host organization that already uses a related mailing list would reduce the cost of promotion.

Initiating a major training academy involves significant startup costs. While a specific budget is beyond this thesis, it is recommended that either a seed money grant or sponsoring organization be sought to ease the financial burden through the first three years.

Planning, budgeting, registration, housing and meals, speaker and room arrangements, entertainment, and handout materials are among the other administrative issues for which the host organization must be prepared. Staff support and experience are needed to set up the academy successfully.

## Review of Research Questions

This thesis has documented the supporting research and recommendations for a design for a leadership academy for community college professionals based on transformational leadership. Several research questions were proposed to guide the research and design recommendations. This section reviews each question and provides a brief summary and reference to the location of the detailed answer provided in this thesis.

*What leadership training design is most appropriate for training community college professionals?* The recommended design is a series of three, annual, week-long training sessions involving dialogue-rich, active learning with a context of current issues facing community college professionals, all based on transformational leadership. The details are described at the beginning of this chapter.

*What do we know about transformational leadership? What content should be included in the design for the leadership academy?* Transformational leadership involves a shared vision, effective communication, building a web of relationships, shaping organizational culture around shared values and beliefs, and a variety of supporting actions and leader characteristics. Chapter 4 details these themes derived from the analysis of what we know about transformational leadership. This chapter describes how these themes form the primary content that should be woven into the design in a context of issues facing community college leaders.

*What format(s) is(are) most appropriate for the leadership academy?* The core of the format is the set of three, annual, week-long trainings. Advance homework, personal

leadership conditioning plans, and followup contacts supplement the core program. The format of the leadership academy is a major design component described in this chapter.

*What form(s) of delivery is(are) most appropriate? What components of adult teaching and learning theory are relevant?* A variety of active and dialogue-rich learning experiences of increasing cognitive complexity are most appropriate. The use of case studies, film or video tape, Great Books or other literature enriches the learning. Participants are challenged and treated as adults and with dignity and respect. These findings are detailed in Chapter 4 and in the design described in this chapter.

*What leadership issues are facing community college professionals that would provide an appropriate context for leadership training activities?* Over fourteen issues are described in this chapter, from change and diversification to limited resources and taxpayer revolt. Specific issues faced by participants will be identified from the advance homework.

*What are the expected outcomes? How can these be measured?* A positive work environment, job satisfaction, extra effort from employees, improved leader effectiveness and performance, and better worker and work unit effectiveness have been documented. Other possible measures are culture changes, deals made, network expansion or use, risks taken, goals achieved, and shared vision and values statements developed. Chapter 4 documents these outcomes. The profile of transformational leadership also provides potential measures of transformational leadership: shared vision, communication, relationships, organizational culture, leader actions, and leader characteristics.

### Suggestions for Further Study

Throughout this project questions arose that were outside the scope of the thesis, but related to transformational leadership or leadership training. This concluding section proposes suggestions for further study to help answer these questions. Most follow the order in which they were raised earlier in this text.

As the transformational leadership profile emerged from the meta-ethnographic analysis, questions arose regarding further utility of this profile. How could the themes, categories and clusters be used to measure transformational leadership? For example, could the profile form the basis for an instrument that would assess the level of understanding of and commitment to the shared vision, values, and beliefs? Could an instrument be developed from the profile as Bass, Kouzes and Posner, and Sashkin had done from other, more limited sources? Such an instrument could help with the advance homework participant assessment for the leadership academy and outcome measurements over time.

What instrument or process should measure transformational leadership for the advance homework of the leadership academy? Will a commercially available instrument such as those designed by the authors listed above provide an adequate assessment? Would an instrument developed from the profile provide an improved assessment? How do these assessments incorporate issues facing community college leaders? Separate instruments may be necessary to assess individual and community college organizational values and beliefs, and also the desire to lead, level of conviction, and motivation as recommended for the advance homework.

The profile also has potential value for practitioners as a description of what we know about transformational leadership. The value of the profile should be shared with community college professionals and other educators through one or more articles for publication. With some additional study to provide original illustrative examples, the profile could also provide the core outline for a separate book on transformational leadership.

Charisma is a major, controversial leadership phenomenon that needs additional investigation. In particular, research is needed to assess charisma as identification with the leader. Is that identification mutually exclusive from identification with the shared vision as posited by Yukl (1994)? Or is charisma a separate phenomenon so that one can identify strongly with both the leader and the shared vision? Are there multiple forms of charisma? If so, what are they? What role do they play in transformational leadership?

More research is needed on gender differences. While the research to date suggests a few gender differences of small magnitude, several unique perspectives call for additional study. Do men and women transformational leaders share the feminist perspective that means and ends are equally important, that power is equal to energy, and that morality is relative rather than absolute? Are female transformational leaders better prepared than male transformational leaders, i.e., are females more likely to have done their homework?

Research is needed on cultural diversity and transformational leadership. Since (1) community college students represent a relatively high degree of cultural diversity, (2) that diversity is increasing in this country, and (3) the economy is experiencing increasing

globalization, an understanding of the role of diversity in transformational leadership would provide valuable information to enhance our understanding and ability to work together across cultures.

Transferability is the nemesis of qualitative research. Quantitative research based on the qualitative findings documented in the transformational leadership profile would help establish transferability (reliability and validity).

Burns' (1978) moral dimension was primary to his theoretical perspective. Other researchers, notably Bass (1985) and associates, eliminated the moral dimension from their theoretical perspective. Additional research may determine the importance of this dimension in transformational leadership. Can amoral leadership be transformational?

Burns also advocated the importance of the role of conflict in transformational leadership. What is the role of conflict? Is there a difference between the roles of internal and external conflict? What is the role of conflict in decision making? In particular, what is the role, if any, of conflict in consensus-based or participatory decision making? What is the role of leader disenchantment with the status quo and the creation of conflict?

Shaping culture is a major theme in the transformational leadership profile. How do transformational leaders shape culture? To what extent does the shared vision impact the organizational culture, i.e., shared values and beliefs? To what extent does organizational culture impact the shared vision? How do these two themes interact? What is the role of the leader in that interaction?

A few of the transformational leader characteristics appear contradictory, e.g., humble vs. assertive and personable vs. having no statistically significant need for



affiliation. Although trait theory has largely been disavowed, many researchers continue to identify characteristics of transformational leaders. Since there is only limited agreement on those characteristics, e.g., self-confidence, additional research is needed to clarify which characteristics are common to transformational leaders and the importance of those characteristics to effect transformational leadership, if any.

The guiding-actions of transformational leaders overlap with actions often identified as management functions. Given the attempts to differentiate between leadership and management, additional research may be desirable on the functions that overlap. This research would help our understanding of the relationship between these two phenomena and the degree to which they are separate and distinct from each other.

The stages of development construct (Kuhnert and Lewis, 1987) needs additional research to enhance our understanding of how leaders develop. If there are stages or antecedents necessary to grow to the next stage, these need to be identified. This information would be particularly useful for leadership development programs such as the design for the leadership academy in this thesis.

Leadership is frequently identified with change. The role of change and change management in transformational leadership has been largely ignored, with the notable exceptions of Tichy and Ulrich (1984) and Tichy and Devanna (1986). Additional research on the role of change and the relationship of change theory to transformational leadership theory would be beneficial to practitioners. Also, what is the role of conflict (see discussion above) in creating change?

Finally, little research has been conducted on the long-term effects of transformational leadership training. What are the long-term outcomes of transformational leadership training? How effective is transformational leadership training in achieving the desired outcomes? In making a difference?

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