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Transformational Leadership: The Relationship Between Consciousness, Values, and Skills

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TRANSFORMATIONAL LEADERSHIP: THE RELATIONSHIP BETWEEN CONSCIOUSNESS, VALUES, AND SKILLS

by

John E. Schmidt

A Dissertation
Submitted to the
Faculty of The Graduate College
in partial fulfillment of the
requirements for the
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Western Michigan University
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Leadership is one of the most important, yet least understood, phenomena on earth. Many researchers have investigated leadership traits, activities, behaviors, and processes; yet, until Burns (1978), few researchers distinguished between leadership that is "transactional" and leadership that is "transformational." Transformational leadership, says Burns, 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" (p. 20).

Since Burns, few studies of transformational leadership have examined leaders who appeal to higher values or leaders who challenge individuals, organizations, and societies to make principled decisions that raise consciousness, transcend opposing perspectives, or serve the common good. The purpose of this study is to investigate the nature of transformational leadership; to learn what drives, motivates, and concerns leaders who facilitate transformation; and to explain some factors that contrib-

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ute to transformational leadership. This study hypothe-
sizes that transformational leaders reflect a different
world view (consciousness), different values, and differ-
ent skills than other leaders. Using the Hall-Tonna
Values Inventory (Hall, 1986), the study compares the
levels of consciousness, values, and skills of transfor-
mational leaders and a comparison group.

The transformational leaders in this study reflected
higher levels of consciousness, pursued different values,
depended less on instrumental and interpersonal skills,
and used more imaginal and systems skills than did the
comparison leaders. The research demonstrates, there-
fore, that transformational leaders do reflect a differ-
ent world view (consciousness), different values, and
different skills than other leaders.
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Transformational leadership: The relationship between consciousness, values, and skills

Schmidt, John Edwin, Ed.D.
Western Michigan University, 1993
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John E. Schmidt
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CHAPTER I

INTRODUCTION

Prior to his assassination, Martin Luther King, Jr. challenged the status quo by envisioning a "world house" (King, 1967) where people

live together -- black and white, Easterner and Westerner, Gentile and Jew, Catholic and Protestant, Moslem and Hindu -- a family unduly separated in ideas, culture and interest, who, because we can never again live apart, must learn somehow to live with each other in peace (p. 167).

Unless we transform this worldwide neighborhood into a global community, learning to live together as sisters and brothers, King said, "together we will be forced to perish as fools" (p. 171).

Like Martin Luther King, Mahatma Gandhi stressed that courageous nonviolent love transforms attitudes. One particular story illustrates how Gandhi raised his own consciousness and the consciousness of others:

A woman came to his place in Sevegram, India, and asked him to tell her son to stop eating sugar because it harmed him. Gandhi's cryptic reply was: "Please come back next week." Disappointed in his response, she, however did what he directed. When she returned the next time, the Mahatma told her son, "Please don't eat sugar. It is not good for you." After joking with him for a while, Gandhi hugged him and sent him on his way. Curiously the mother asked, "Bapu, why didn't you say this last week when we came? Why did you make us come back
again?" Gandhi smiled, and said to her, "Last week, I too was eating sugar" (Easwaran, 1978, pp. 170-171).

Today in the land of Gandhi, extreme malnutrition, untreated illnesses, and devastating poverty mutilate the orphans of Calcutta, India. By routinely checking the city rubbish heaps, Mother Teresa and the Missionaries of Charity save children left for dead. They incarnate their deepest spiritual values by accepting all sick and needy children, trying to restore their physical health, and giving them hope. Louise L. Reiver (1989) reports that:

Sometimes the children come in to us so far gone from lack of nutrition that they are frail little wisps with stick-like arms and legs, bloated bellies and the thin orangey hair and yellowed skin symptomatic of Kwashiorkor. Despite the loving and attentive care given to these children of poverty...sometimes the struggle to live is too much. Whenever one of these anonymous little souls is called to God we all grieve, although we know that, at the last, they were loved and treasured and held in warm and gentle arms (p. 11).

King, Gandhi, Mother Teresa are world-renowned leaders who enter into reciprocal relationships with others. Attentive to the mutual needs, wants, values, and motivations of followers, as well as their own, these leaders mobilize personnel, facility, and financial resources to accomplish goals that challenge the status quo, raise consciousness, provide meaning, and serve the common good.
Not all leaders who serve "the common good" are so prominent; yet, such leaders can be found dispersed throughout organizations and society (Gardner, 1984). For example, the Romanian revolution began when secret police wanted to evict a Reformed Hungarian dissident pastor, Laszlo Tokes, from his home in Timisoara.

Members of his church, along with Roman Catholic and Orthodox priests, and an Orthodox congregation, became a conspiracy of goodness and took up a vigil around his home. A twenty-four-year-old Christian brought a large number of candles and distributed them to the crowd. He lit his candle and others followed. Later the secret police opened fire on these demonstrators and shot the young man. Doctors were forced to amputate his leg. In his hospital bed, he later told his pastor: "I lost a leg, but I am happy. I lit the first light" (Tson, 1990, p. 6).

King, Gandhi, Teresa, and Tokes are all persons who demonstrate strength of leadership. These are leaders not content to serve the status quo, but shape the what might be (Gardner, 1990). They are leaders who envision a new reality, facilitate the redirection of purpose and reshaping of values, serve as models, provide examples, and foster the satisfaction of people's need for meaning.

Some would describe these leaders as purposeful (Vaill, 1982), heroic (Deal & Kennedy, 1982), empowering (Block, 1987), masters of change (Kanter, 1983), and leaders who perform beyond expectations (Bass, 1985). Others would call these leaders the world's "true art-
ists" and "true pathfinders" (Peters & Waterman, 1982, p. 82). When leaders transcend their own personal or organizational good to serve "the common good," they are perceived as "principled" (Covey, 1989, 1991) "self-regulated, moral change agents" (See, 1991) and are often described as "servant leaders" (Greenleaf, 1987).

The most common descriptive language, however, uses the terms "transforming" (Peters & Waterman, 1982; Adams, 1984, 1986), "transformative" (Mezirow, 1990); and "transformational" (Burns, 1978; Bass, 1985; Bennis & Nanus, 1985; Tichy & Devanna, 1986). Whatever the label, there are certain leaders like King, Gandhi, Teresa, and Tokes who engage in distinguishable actions that set them apart from others who "occupy" leadership positions.

Whereas some persons in leadership positions work only within the established culture accepting the existing norms, rules, beliefs, and identities, there are other leaders who do not simply "manage," they "lead" (Zaleznik, 1983). These leaders not only question norms and embedded assumptions; they change what can be talked about and in the process invent, introduce, and foster change in the social warp and woof of reality. They are not only concerned with doing things right, but are concerned with doing the right thing (Bennis, 1985). They transcend the cultural boundaries to foster moral change.
in the culture by operating at the highest levels of their moral development, by orchestrating attention to universal ethical principles (Warren, 1987), and by living as "active incarnations of their deepest values" (See, 1991).

Purpose

Before Burns (1978), the field of leadership was in a state of ferment and confusion. Most of the widely known theories were beset with conceptual weaknesses and lacked strong empirical support.

Yukl (1989) reported that after several thousand empirical studies on leader traits, behavior, power, and a host of other situational variables trying to predict leadership effectiveness, most of the results were contradictory and inconclusive" (p. 267). The confusion appeared to be nothing new.

In 1959, Warren Bennis observed that of all the hazy and confounding areas in social psychology, leadership theory undoubtedly contends for the top nomination. Ironically, he said, "probably more has been written and less known about leadership than about any other topic in the behavioral sciences" (p. 259).

After making an extensive review of more than three thousand leadership studies, Stogdill (1974) concluded
that four decades of research on leadership produced a "bewildering mass of findings....The endless accumulation of empirical data has not produced an integrated understanding of leadership" (p. vii). Salancik et al. (1975) were even more critical:

There is perhaps no area of study in organizational behavior which has more blind alleys and less critical knowledge than the area of leadership. Practitioners and researchers alike have groped for years with such questions as: What is leadership? How does it work? How does one become an effective leader? Yet after many years of investigation, it appears we have no ready, useful answers (p. 81).

Miner (1975) concluded that the concept of leadership had outlived its usefulness and suggested a moratorium on traditional leadership research.

The moratorium ended, however, when Burns (1978) distinguished between transactional and transformational leadership. Transactional leaders, he said, initiate contact with others for the purpose of exchanging valued things such as goods for money, promises for votes, or an expression of hospitality for a willingness to listen to one's troubles. Transformational leadership, on the other hand, occurs when persons "engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality" (Burns, 1978, p. 20).

Since Burns (1978), many researchers have investi-
gated the nature of transformational leadership. For example, Bass (1985) initiated inquiries into the characteristics of transformational leaders. Bennis and Nanus (1985) identified strategies used by transformational leaders and Tichy (1986) explored the activities of transformational leaders and how they spend their time.

This research project continues the investigation into the nature of transformational leadership. The purpose of this study is to learn what drives, motivates, and concerns leaders who facilitate transformation. It seeks to look beneath the surface of a leader's preferred style of interaction, personality characteristics, strategies, and activities to examine the world view, values, and skills of transformational leaders. The hypothesis is that transformational leaders reflect a certain world view or consciousness, particular values, and special skills. The hypothesis is that it is this world view and these values and skills which empower transformational leaders to facilitate the movement of others in the direction of the "what might be." This study will investigate, therefore, the world views, values, and skills of transformational leaders and a comparison group of leaders to determine if the world view, values, and skills of transformational leaders are different from other leaders.
Prior research supports this research direction. England and Lee (1974), for example, infer that what leaders see as important, as right, and as good influence their perception of situations, other individuals, groups, and problems as well as their own decisions and solutions to problems. Success and achievement, what is ethical, and what organizational constraints to accept or resist, they say, are also delineated by leader values.

Personal values of leaders are of such importance, Bass (1985) states, that clarifications of leader values and those of their group, institution, and community are essential (p. 185). Paige (1977) also affirms the importance of looking at values.

The clarification, creation, and testing of value guides to action and evaluation should become as familiar as the creation and testing of empirical propositions in scientific research. Skills in recognizing and changing discrepancies between values and other forms of reality should be taught (p. 199).

This study will, therefore, explore the differences between transformational leaders who "shape the what might be" and other leaders. It will identify the world view, values, and skills of transformational leaders and then compare them to other leaders in order to determine if there is a difference in the world view (consciousness), values, and skills of transformational leaders and other leaders.
Research Significance

This research project attempts to contribute to the understanding of the nature of transformational leadership in three ways. First, whereas some studies do recognize the importance of values (Bass, 1985; England & Lee, 1974; Paige, 1977), few studies actually identify the world view or developmental cycle of consciousness, the core values, or the particular skills of leaders who demonstrate the ability to facilitate the transformation of individuals, organizations, or societies. This study will identify the world view (consciousness), the values, and the skills which empower leaders to facilitate individual, organizational, or societal transformation.

Second, this study will use new instrumentation to measure the consciousness, values, and skills of transformational leaders. For too long the instrumentation used in values research measured only relativistic values -- values used to get something or develop something. Traditional instruments for measuring values do not recognize the importance of affect and spirit in shaping both conscious and unconscious values. Neither do they measure the kind of values, such as equality, actualization, service, new order, dignity, justice, empathy, creativity, synergy, or a sense of transcendence, that form and empower the vision of leaders such as King,
Gandhi, and Mother Teresa. This research will investigate leadership values with instrumentation that recognizes cognitive, affective, and behavioral domains.

Third, this research will extend the study of transformational leadership to leaders in ministry. In an age of specialization few leadership positions engage the world at individual, organizational, and societal levels. Counselors, for example, work primarily with individuals experiencing some sort of "dis-ease." Teachers relate to groups of individuals of the same age-level and of similar developmental stages. Business leaders are concerned with organizational structures and maximizing team performance. Politicians focus primarily on societal change at state, national, and international levels. Ministers, however, are one group of persons in leadership positions who engage the world at individual, organizational, and societal levels. This study therefore, will extend the study of transformational leadership by examining leaders in ministry.

The Research Questions

The conceptual hypothesis of this study is that there is a relationship between a leader's world view (consciousness), values, skills and leadership style. The operational hypotheses compare transformational lead-
ers and a comparison group of leaders to discover if there is a difference in their developmental cycles of consciousness, values, and skills. The following questions are examined:

1. What is the difference in consciousness between transformational leaders and other leaders?

2. What is the difference in values between transformational leaders and other leaders?

3. What is the difference in skills between transformational leaders and other leaders?

Key Terms

Several key terms in this research receive major attention in the review of literature: transformation, leadership, transformational leadership, consciousness, values, and skills. A summary of these terms and definitions is as follows:

1. Transformation is the substitution of one state, system, world view, or paradigm for another, so that a qualitatively different condition is present.

2. Leadership is the process of mobilizing resources to accomplish goals.

3. Transformational leadership takes place when a person or persons engage others in such a way that both leaders and followers are raised to higher levels of
motivation and morality. It is a reciprocal process between persons with certain needs, wants, values, and motivations who mobilize resources to accomplish individual, organizational, or societal goals that challenge the status quo, raise consciousness, provide meaning, and serve the common good.

4. Consciousness is one's perception of the world. The way in which a person chooses values, the very values that are chosen, and how the values are ranked are dictated by one's perception of the world.

5. Values are the personal and institutional goals and means priorities chosen and acted on in life.

6. Skills can be instrumental, interpersonal, imaginal, and systemic. Instrumental skills involve manual dexterity and a particular cognitive understanding of a profession. Interpersonal skills give a person the ability to objectify, identify, and accurately report one's feelings, or to empathize with the feelings of another in order to achieve cooperation rather than isolation. Imaginal skills give a person the ability to transform internal fantasies and insights into action in the environment. System skills give a person the ability to see how the parts of a given system relate to the whole and to take concrete action based on that awareness.
Overview

Chapter I introduced the purpose of the study and identified the study's potential significance, the research questions, and the definitions of key terms. Chapter II reviews foundational literature pertaining to transformation, leadership, transformational leadership, consciousness, values, and skills. Chapters III, IV, and V present the research design, discuss the results, examine possible applications of the results, and explore further research directions.
CHAPTER II

REVIEW OF LITERATURE

Whereas others have approached the theme of leadership by examining various traits, situations, styles, and interactions (Blake & Mouton, 1978; Fiedler, 1967; Gefetzls & Guba, 1957; Hersey & Blanchard, 1982; Hollander, 1978; House & Mitchell, 1974; McGregor, 1966), this study explores the world view, values, and skills of leaders who facilitate individual, organizational, and societal transformation. This review of literature examines transformational leadership through a discussion of research issues pertaining to transformation, consciousness, values, and skills.

Transformation

Individuals, organizations, and societies are not self-generated, but are formed (Adizes, 1988). They begin as dreams, ideas are "birthed" and the individual, organization, or society assumes a particular structure. The structure determines the characteristics, values, and limits within which incremental change, development, and adaptation occur. Particular structural components reveal the development of the individual, organization,
or society. In human beings for example, Fowler (1981) identified seven components which reveal the structure of the human person: form of logic, social perspective, form of moral judgment, bounds of social awareness, locus of authority, forms of world coherence, and symbolic functioning. Human growth and development take place as these components accommodate, "re-form," or are transformed.

Transformation signifies a particular type of change differing in nature from other types of incremental change, such as transition, alteration, or adjustment. In organizations, for example, transformation implies a metamorphosis or a substitution of one state or system for another so that a qualitatively different condition is present (Cameron & Quinn, 1988). It implies a change "of" systems, not a change "in" systems. Unlike conversion, transformation does not require a rejection or negation of the past or of previously held values. Instead, transformation is a process that involves a re-cognition of the past and emergence of a new perception (Gaventa, 1986). Various types of transformation can be identified.

**Types of Transformation**

Moseley (1991) identifies four specific types of
transformation: dialectical, developmental, archetypal, and kenotic. Literature describing transformation will be examined from these four perspectives.

**Dialectical Transformation**

Dialectical transformation presupposes a belief that conflict is the fundamental component of cognition, creativity, and social interaction and that conflict continues throughout life history (Buss, 1979; Riegel, 1979). The relationship between the changing individual and the changing historical-cultural situation comprises the structure of social interaction in which meaning is constructed. The continuing task of living with dialectical conflicts, crises, and contradictions defines the process of human, organizational, or societal development. Therefore, the interaction of multiple environmental circumstances, dimensions, and reference groups necessitates that all transforming moments be examined in relationship to all these interacting circumstances and variables.

The roots of dialectical transformation are found in Hegel's dialectical method of thesis, antithesis, and synthesis. In dialectical transformation the critical variables are conflict and change. A person is believed to be in a constant state of change and the goal of dia-
Dialectical transformation is to orchestrate conflict in such a manner that it moves purposefully and vigorously into a struggle between "what is" and "what might be." The imperative is simply to move beyond where it is, not necessarily to a higher level of development or of integration. Dialectical transformation is marked by an individual's, organization's, or community's willingness to engage conflict with volitional intensity, intentionality, and deliberateness.

Thus, dialectical transformation acknowledges no enduring stability in any aspect of life. What is understood by others as equilibrium, synchrony, or integration, "dialecticians" interpret merely as an action taken in response to a crisis or doubt. Any action taken to achieve equilibrium, synchrony, or integration is simply an action taken to create conditions leading to further imbalance. For the most part, dialectical transformation is simply a process -- a type of transformation that assists individuals, organizations, and communities to survive by making temporary truces in conflicting areas of personal and public life.

The presence of an "antithesis," however, draws attention to factors which affect the presence of a particular world view or paradigm. In particular, it draws attention to factors which are not included. For exam-
ple, social scientists have for too long formulated theories of human behavior that ignore the experience of minority cultures (Gilligan, 1977). Eisner (1970) calls this body of information "the null curriculum." A paradox, this curriculum exists because it does not exist, for it refers to areas left out, ideas not addressed, concepts not offered, and people not included. The point of paying attention to this "null" curriculum is that ignorance -- not knowing something -- is never neutral. If we do not know about something, or do not realize what is addressed can be understood in another manner or seen through another lens, it skews our viewpoint; it limits our options; it clouds our perspective. The thing which does not fit in or which is left out forcefully educates and miseducates everyone, since the thing which is left out or forgotten regularly turns out to be the clue leading to new knowledge (Harris, 1988, p. 20-21).

By demanding clarity about the constancy of change, conflict, and an "antithesis," dialectical transformation provides a pragmatic approach to facilitating individual, organizational, and societal change. It is, however, an approach locked in a world view of what one can see and touch. Change becomes an end in itself and the empirical or material world is regarded as the ultimate reference of understanding. It reduces the work of King, Gandhi, and Mother Teresa to a process which does not account for the source of their visions and goals. Other types of transformation transcend these immanent boundaries.
Developmental Transformation


For developmentalists, transformation is a process of structural assimilation and accommodation. Data from the environment are assimilated by the individual's, organization's, or society's internal interpretive structures. This interpretive structure is a covert system of interpretations that is inferred from the observation of overt patterns of behavior. For example, after observing various overt patterns of human behavior through seven different covert filters of interpretation (form of logic, social perspective-taking, form of moral judgment, bounds of social awareness, locus of authority, form of world coherence, and symbolic functioning of individuals), Fowler (1981) hypothesized six internal world views or "stages of faith" which structure the way in which people construct meaning in their lives. In order to assimilate more complex data from the environment, devel-
opmentalists believe that there are internal structures which accommodate, change, and transform.

By examining these structural changes, developmentalists monitor an individual's, organization's, or society's movement toward a specific end-state and the activities by which this goal is achieved. In other words, whereas dialectical transformation engages in conflict for the sake of change, developmental transformation is a process of interpreting present and past activities in terms of the individual's, organization's, or society's future direction. Developmental transformation, therefore, is marked by an individual's, organization's, or society's movement from one developmental level to another more encompassing developmental level.

The leadership of persons such as Gandhi, Martin Luther King, and Mother Teresa, and the movement of developmentalism toward a greater and more encompassing ideal prompt a deeper questioning of the goal of human development and the relationship between the temporal and the eternal, the finite and the infinite, the immanent and the transcendent. The third and fourth types of transformation acknowledge an ordering of life that transcends the temporal, the finite, and the immanent.
Archetypal Transformation

Archetypal transformation, the third type of transformation, orchestrates attention to the process of being reconnected to the whole. For Jung (1971), this process is both teleological and paradoxical. The human psyche, he says, is structured as a union of opposites, the integration of which is the goal of personality development.

Jung described each person's ego as having a "persona" and a "shadow." The persona is a mask, or image that one presents to the outer world. Personas vary with the roles a person plays at work, home, or in the community. At times, people develop personas to the exclusion of the deeper parts of their personalities. The persona's "shadow," in contrast, consists of traits and feelings that a person does not want to admit: the opposite of one's persona, mask, or image. In most cases, the shadow is perceived as a negative self-image, the opposite of one's positive self-image. A person's shadow is directly revealed, for example, when one is in an awkward situation and suddenly blurts out something that doesn't sound like the person at all. In contrast, a person's shadow is more subtly revealed when one complains concerning "the one thing I cannot stand about people is...." Such vehemence suggests that the person may be defending against an awareness of the quality in
Examples of "persona" and "shadow" abound. Jung identified the image of the masculine in females and the image of the feminine in males as one cultural example of persona and shadow. Myers (1980) identified certain pairs of opposites -- extroversion and introversion, sensing and intuiting, thinking and feeling, and judging and perceiving -- which reveal the strength of one's persona and shadow. In archetypal transformation, insight into the nature of one's persona and shadow is an important first step toward self-awareness, integration, and the transformation of personality.

This insight into archetypal transformation is important in that much of the shadow lies in the realm of a person's unconscious. Jung believed that all tendencies and feelings that a person has repressed are contained in one's unconscious. He also believed that a collective unconscious inherited and shared by all humankind exists at the deepest layer of the psyche. This collective or "transpersonal" unconscious is made up of innate energy forces and organizing tendencies called "archetypes" by Jung. Archetypes are not directly known, but are revealed in the images found in myths, art, dreams, poetry, literature, and fantasies of people throughout the world (Campbell, 1988). For example, there are archetypal
images of Earth Mother, the Wise Old Man, rebirth, death, the trickster, the witch, and God. Six hero sub archetypes "lived out" by people include the archetypes of the innocent, the orphan, the wanderer, the warrior, the martyr, and the magician (Pearson, 1989). Through these basic archetypes, people shape their lives by imagining their deepest self understanding, yearnings, unconscious tendencies, and images of "the hero within" (Pearson, 1989).

The most significant archetype is that of "the Higher Self" defined as the unconscious striving for centeredness, wholeness, and meaning (Jung, 1971). The Higher Self has, says Jung, an inner urge to balance and reconcile the opposing aspects of personality and is most often expressed by humanity's search for and union with God, the symbol of wholeness and ultimate meaning. For Jung, meaningfulness of life rests in one's recovery of this primordial wholeness.

Archetypal transformation, therefore, is marked by the search for meaning, integration, and individuation (Jung, 1971, Myers, 1980). It is not only the achievement of some measure of psychic balance between one's persona and shadow, but for leaders like King, Gandhi, and Mother Teresa it is the separation of oneself from ordinary conformity to the goals and values of the mass
culture and union with God. It represents the achievement of wholeness and integrity.

Kenotic Transformation

For Kierkegaard (1980), selfhood was not simply the recovery of primordial wholeness. Authentic selfhood, he believed, required a consciousness of the self as spirit, a synthesis of body and soul, and an ability to see the temporal in the eternal, the finite in the infinite, and necessity in possibility. When a person is rooted in the eternal, the infinite, and in possibility, a dimension of transformation beyond dialectical synthesis, developmental self-actualization, and archetypal wholeness is revealed. The fourth type of transformation is "kenotic transformation."

"Kenosis" is a Greek term meaning "emptying" or "depleting." Since the third and fourth century in Christian theology, the term described the actions of Jesus, who as a person in union with God "emptied" and impoverished himself in order to foster the divine cause. It is said that Jesus "emptied" himself, taking the form of a slave, he "humbled himself and became obedient to the point of death -- even death on a cross" (Philippians 2: 7-8). The action was repeated by Gandhi and Martin Luther King who, in response to God, put "Self" aside in
order to meet the needs of persons victimized by oppressive structures. Kenosis describes the actions of other leaders today, such as Mother Teresa and Laszlo Tokes, who transcend their own personal needs to incarnate divine love and divine righteousness on behalf of the common good.

Kenotic transformation, thus, is marked by the movement from a concern for self to concern for others. It represents a shift from irresponsibility to responsibility, from being regulated by others to self-regulation, from being acted on by the world to acting on behalf of the world. Ultimately, it is realized in established solidarity with victims and even self-sacrifice.

Thus far, transformation has been defined as a change "of" systems, not just a change "in" systems and four distinct types of transformation have been described. In summary, dialectical transformation emphasizes the process of proactive change that challenges the status quo. Developmental transformation points to a developmental "end state" and raises consciousness concerning the goal of change. Archetypal transformation orchestrates attention to the deep structures of stories and paradoxes of life which provide meaning and interpretation of life. Finally, kenotic transformation marks the movement from concern for self to concern for the
common good.

For some (Loder, 1981), transformation takes place in a particular moment; for others (Buckley & Perkins, 1984), it is a movement or cycle taking place in a series of steps. Having identified four types of transformation, this section now examines the process of transformation.

The Transformation Cycle

In literature concerning individual, organizational, and societal transformation, various words are used to describe the movements in a cycle of transformation. Loder (1981) and Gillespie (1991) discuss transforming moments and meanings, constructs, contexts, and factors in personal identity transformation. Adams (1984, 1986) presents processes used by transformational leaders in transforming organizational work. Horton and Freire (1990) explore the process of educational and social transformation.

Buckley and Perkins (1984) describe transformation as a movement from unconsciousness to integration. This study uses the foundational work of Buckley and Perkins (1984) as a lens for examining literature pertaining to the process of transformation. The process of transformation will be presented as a cycle of seven steps.
These seven steps are unconsciousness, awakening from unconsciousness, critical reflection, envisioning, commitment, embodiment, and integration.

**Unconsciousness**

Transformation begins gradually in a stage of unconsciousness. Unconsciousness is the period of gestation or "fertilization" (Nicoll, 1984) in which an individual, organization, or society develops the capacity to acknowledge that something is wrong or needed. Symptoms are episodic and new information is sporadic. Ideas come from outside the system but remain random and unconnected. During this unconscious stage, certain values can hinder or support one's ability to respond to the internal or external signals of the need for change.

**Awakening from Unconsciousness**

Awakening from unconsciousness occurs when the individual, organization, or society becomes aware of the problems and possibilities present in the current situation. An inability to assimilate or accommodate new information (Erikson, 1963), a system failure or crisis (Loder, 1981; Nicoll, 1984;), an articulated new vision (Bennis & Nanus, 1985), or a natural inclination to grow triggers the awakening and suddenly the unconnected
pieces of information start to converge. This convergence introduces instability and disequalibrium (Erikson, 1963), disrupting the status quo and harmony of the present.

**Critical Reflection**

Critical reflection (Brookfield, 1987; Mezirow, 1990) begins the questioning process which takes place in the midst of creative chaos and turmoil. Questions are asked, the existing situation is analyzed, and underlying patterns are challenged. Speculation occurs, changes are contemplated, and the process of "reframing" is initiated. Both internal and external forces work at "unfreezing" the old paradigm, accumulating information about new paradigms, and generating and testing new frames of meaning (Bartunek, 1988). Sometimes, contemplated changes are minor, at other times the individual, organization, or society contemplates major changes leading to re-formation or transformation. In transformation, the very form and structure of cognition, perception, and values are reordered.

**Envisioning**

Envisioning is the process of formulating a vision from the integration of information bits, metaphorical
images, personal feelings collected in the unconscious, awakening, and critical reflection stages. The vision evolves into a clear image of what the individual, organization, or society wants to be or achieve. Every step toward the desired future is organized and the emerging vision is translated to self and others through the use of new words, stories, images, slogans, goals, or objectives. The envisioning stage establishes the cohesive, focused direction that provides the foundation for total commitment.

**Commitment**

Commitment takes place when the individual, organization, or society assumes responsibility for implementing the new vision. Loder (1981) calls this "the transforming moment." It is the point after which one experiences self-revelation, during which one's perceptions are being transformed, and before which a new reality is initiated. Prior to this point, transformation is only a possibility. As the pivotal point in the transformation process, the level of ability and readiness to "travel the distance" become key factors for realizing the embodiment and integration of the transformation.
Embodiment

In embodiment, the individual, organization, or society brings the transformed vision into day-to-day operation. For Buckley and Perkins (1984) the challenge of embodiment is to shift consciousness to the new paradigm, to restructure, and to align behavior with the transformed vision. The alignment of vision, structure and behavior is achieved through constant identification of the new vision and structure, experimentation, practice, and internalization.

Integration

The transformation cycle comes to completion in the stage of integration. The necessary changes are instituted and operating. Consciousness has been altered and a new paradigm is functioning. The anticipated future state is now in place. This transformation cycle is now complete and the foundation is prepared for further cycles of transformation.

This section has reviewed literature pertaining to definitions of transformation, four types of transformation (dialectical, developmental, archetypal, and kenotic), and seven steps described as a cycle of transformation (unconsciousness, awakening of unconsciousness, critical reflection, envisioning, commitment, embodiment,
and integration). What follows is an examination of three levels of transformation.

Levels of Transformation

How does one determine whether or not transformation has taken place? Is there a difference among individual, corporate, and societal transformation? How do these levels of transformation differ from each other? These questions focus attention on what measures one looks for that signal individual, corporate, and societal transformation. After examining signs of individual, corporate, and societal transformation, this section concludes with an analysis of the differences among each level of transformation.

Individual Transformation

It may seem obvious and even circular, but individual transformation should describe the transforming experiences of individuals or transformed individuals. The clearest indicators of transformation in individuals are provided by Loder (1981), Fowler (1981), and Hall (1986).

In his book The Transforming Moment, James Loder (1981) draws on psychology, philosophy, theology, and learning theory to present a model by which to understand "transforming moments" -- sudden life-changing bursts of
realization. These experiences are so different from day-to-day ways of getting information that, he says, they are often dismissed as insubstantial or dangerous. These transforming moments, he says, offer an authentic and unique pathway for individual development. He provides five guidelines for determining whether individual transformation has taken place.

First, transformational experiences are revelatory of the self, world, good, and evil. They do not occlude vision but widen and deepen it.

Second, regardless of suddenness, transforming experiences have a personal history in the individual. As a counselor, Loder frequently found that the whole record of one's memories becomes reordered by the convicting experience, and many forgotten events, persons, and meanings are illuminated as surprisingly significant.

Third, consistent with the principle that transforming experiences are revelatory of one's personal past is the proposition that the so-called normal sequence of human development may become reversible. That is, transforming experiences may encourage reliving periods of early childhood and/or the anticipation of death. For Loder, past factors not only had bearing on contemporary experiences but also the past actually underwent a healing change, directly or indirectly, as a result of the
transforming experience.

Fourth, reversibility of human development does not imply absorption of the psychological ego. Rather, it means that one can choose for or against the present reality. The liberating effect of transforming experiences need not be restricted to correcting neurotic situations. It may also work against corporate myths, social distortions, or abusive pasts. The transforming experience can nurture one's capacity to choose against perceptual distortions that bind one to a repetition of the past and can free one to choose for a genuinely new future that continues to enhance a similar freedom for others.

Fifth, the transformational process facilitated by a transforming experience calls for continuity of expression, contrary to the tendency to put experiences of convicting power into authoritarian frames of reference. A transforming experience calls forth further transformation.

A second indicator of transformation in individuals is provided by structural-developmentalists such as Piaget, Selman, Kohlberg, and Fowler. For example, James Fowler (1981) provides a comprehensive structure which includes seven different aspects of development: form of logic (Piaget), perspective-taking (Selman), form of
moral judgment (Kohlberg), bounds of social awareness, locus of authority, form of world coherence, and symbolic function. Through personal interviews Fowler's methodology identifies an individual's "faith-stage" or world view on one of six different stages of development. For developmentalists such as Fowler, a change from one stage to another signifies a paradigm transformation in individual commitments, world view, and perspective.

Hall (1986) provides an additional indicator of transformation in individuals. He speaks of values as the mediators between the inner world of images and the outer world of observable everyday behavior. Values, he says, stand between these two worlds and are expressed in language. When a person expresses values in speech or on paper the person becomes "conscientized." One becomes more self aware of one's total reality. What this implies is that when one's values change then one's language also changes. Hall, therefore, speaks of language change as an indicator of transformation.

Loder provides guidelines for evaluating the extent of individual transformation. Developmentalists, such as Fowler and Hall identify the changes in structural development and language which serve as indicators of individual transformation.
Corporate Transformation

Corporate transformation differs from other types of corporate change, such as transitions, renewals, alterations, or adjustments. Transformation implies a metamorphosis or a substitution of one state of system for another, so that a qualitatively different condition is present (Cameron & Quinn, 1988). Transformation implies a change of systems, not just a change in systems.

What are indicators of corporate transformation? This section examines literature which points to three indicators of corporate transformation in organizations: change of vision, change of culture, and change of structure.

The first primary indicator of corporate transformation is a change of and an alignment around a compelling vision. On the one hand are organizations that are "addictive" (Schaef & Fassel, 1988), "burned-out" (Jaffe, Scott, & Orioli, 1986), or that have stabilized (Adizes, 1988). On the other hand are organizations that are "metanoic" (Kiefer & Senge, 1984), "peak-performing" (Adams, 1984), and "prime" (Adizes, 1988). The difference between healthy and unhealthy organizations is attributed to the lack of vision or the alignment of persons around a vision.

Covey (1989, 1990) says that an organization needs
to "begin with the end in mind." Jaffe, Scott, and Orioli (1986) discuss the importance of "inner visioning," a process that involves focusing one's attention inward with the quiet expectancy that something important and relevant will emerge. A vision begins with a meaningful mission, empowering beliefs, openness to learning, listening to intuition, and a commitment to realization.

Transformed organizations have learned to focus on their visions of how they want things to be (Adams & Spencer, 1986). Organizations need to "inspire others to work toward these visions in ways that serve their own sense of purpose, while continually maintaining a commitment to integrity and truth" (p. 5). A change of vision is the first primary indicator of corporate transformation.

A second primary indicator of corporate transformation is a change in corporate culture. Allen and Kraft (1984) state that one indicator of corporate transformation is a change in the "organizational unconscious." The organizational unconscious represents those patterns of social behavior and normative expectations that become characteristic of an organization's functioning without its members consciously choosing them. These norms, say Allen and Kraft, "determine much of what people in organizations do, and even when the patterns of behavior
have outlived their usefulness, people continue to re-
spect them: 'It's just the way things are around here'" (p. 37). Others (Deal & Kennedy, 1984; Harrison, 1972; Louis, 1980; Rosen, 1991) suggest that if organizations thought of themselves as cultures and focused on changing their cultural norms, the negative forces of organiza-
tional unconsciousness could be dissipated, meaningful change could be achieved and sustained, and they would become "healthy organizations."

Schein (1981) focuses attention on three aspects of a corporate culture: artifacts (language, rules and pro-
cedures, and organizational structure), values (explicit goals and principles for their pursuit), and basic as-
sumptions. Basic assumptions, however difficult they are to observe, represent the deepest level of culture and must be examined, says Schein, in order to understand the organization. When the basic assumptions change, the organization changes. A second primary indicator of corporate transformation is, therefore, a change in cor-
porate culture.

A third primary indicator of corporate transforma-
tion is a change in structure. Beckhard (1988) identi-
fies corporate transformation as a change in the struc-
ture that drives the group. These changes may include a redefinition of member roles, a change in the way tasks
are accomplished, or a change in the rewards.

Some organizational restructuring is large-scale and some is small-scale (Mohrman, et.al, 1989). Some restructuring is short-term and some is long-term (Senge, 1986). Whether it is large or small, short-term or long-term, restructuring can be revolutionary. Tushman, Newman, and Nadler (1988) describe structural transformation in organizations as a process of "frame-breaking." Frame-breaking, they say, is revolutionary in that the changes reshape the entire nature of the organization, including redefined mission and core values, altered power and status, reorganization, revised interaction patterns, and new leadership. A third indicator of corporate transformation is provided by a change in structure.

A change in vision, a change in corporate culture, and a change in structure forecast potential corporate transformation. Corporate transformation often is a change in all three at the same time.

Roberts (1984), for example, provides an intensive case analysis of the transformation of a public school district in which all three indicators of corporate transformation are present. Organizational transformation was determined to have taken place when (a) the leader formulated a mission statement and made frequent
reference to it during the change process, (b) a strategic vision was developed during a series of meetings and workshops involving district personnel, (c) some personnel in key positions were replaced with more competent, dynamic people to support the change effort, (d) performance objectives and action plans were developed for immediate subordinates (the school principals) and progress was monitored by reports and meetings, (e) temporary task forces were created to involve all stakeholders in recommending where to make the budget cuts and how to deal with other budget and educational issues, and (f) staff members were trained in how to run structured public meetings in which task forces made presentations and solicited suggestions about budget cuts. In this case, corporate transformation was indicated by changes in vision, culture, and structure.

This section moved beyond individual transformation to examine corporate transformation. Indicators of corporate transformation were identified as changes in vision, corporate culture, and structure. Next, societal transformation will be examined.

Societal Transformation

Many philosophers, sociologists, and social psychologists examine societal change (Burns, 1978; Bellah,
et.al., 1985, 1991; Horton & Freire, 1990). In Habits of the Heart (1985) Bellah et.al. ask, "How ought we to live? How do we think about how to live?" and focus on cultural and personal resources for thinking about the common life. In The Good Society (1990) they are concerned with the same questions, but now focus on the patterned ways Americans have developed for living together, what sociologists call institutions.

Myles Horton and Paulo Freire (1990) say we make the road by walking. In their conversations on education and social change they reflect on how hard it is to make history and "how important it is to learn that we are being made by the history we make in the social process inside of history" (p. 216). The transformation of a society is a process that means attending to social consciousness and values. Horton says,

I've often said that if we could do something over-night, it's not worth doing because if it's that simple and that easy, it'll take care of itself. There'll be plenty of people who will see that it happens. Tough problems take time and you have to struggle with them.

James MacGregor Burns is a political scientist, social philosopher, and historian. His book, Leadership (1978), combining vivid biography, dramatic history, and political theory, impresses one with its probing insights into the complexities, inconsistencies, and interrelationships among the various parts of the American social,
political, and economic system. He describes three ways societal transformation takes place.

First, societal transformation takes place when the motivations of individuals in the society are stimulated and changed by leaders who attend to the needs and wants of individuals (Burns, 1978). In actuality this attention to followers' needs and wants results in a relationship of mutual stimulation between leader and follower. Leaders, in responding to their own needs, wants, and motivations, appeal to the needs, wants, and motivations of potential followers. As followers respond, a reciprocal relationship develops that binds the leader and follower together. Even though the behavior of leaders may be perceived as power-wielding or transactional social exchange, Burns calls leaders to define followers in terms of mutuality, not as means to their own ends. Not only are present motivations stimulated, but future motives may be stimulated as present needs, wants, and motivations are variously met or blocked.

Second, societal transformation takes place when individuals are morally elevated (Burns, 1978). All leadership, he says, is in essence moral. Sometimes leaders emphasize modal values such as honesty, responsibility, fairness, honoring of commitments, and effectiveness. Without these modal values, transactional
social exchange leadership cannot work. At other times leaders are not only concerned with modal values, but are concerned with "end" values such as liberty, justice, equality. When this happens, Burns says, transformation takes place. Transformational leaders raise themselves and their followers to more principled levels of morality by appealing to higher levels of moral judgment.

Third, societal transformation takes place when leaders are empowered to act as moral agents and provide followers with "real" choice. Leadership is a process of morality to the degree that leaders engage with followers on the basis of shared motives, values, and goals -- on the basis, that is of the followers' "true" needs as well as those of the leader. Only the followers themselves can ultimately define their own true needs. And they can do so only when they have been exposed to the competing diagnoses, claims, and values of would-be leaders, only when the followers can make an informed choice among competing alternatives. Ultimately the moral legitimacy of transformational leadership is grounded in followers who can make conscious choices among real alternatives.

This section has examined the seminal study in transformational leadership by James MacGregor Burns. Indicators of societal transformation include the mutual stimulation and change in needs, wants, and motivations
of both leaders and followers, the moral elevation of individuals, institutions, and societies, and the conversion of leaders and followers into moral agents.

Transformation has been defined as a metamorphosis or substitution of one state or system for another so that a qualitatively different condition is present (Cameron & Quinn, 1988). Four types of transformation were described, seven steps in a cycle of transformation were examined, and the differences among individual, corporate, and societal transformation were explored. The attention of this literature review now turns to leadership and the kind of leadership that facilitates transformation.

Leadership

History has been shaped by great leaders (Bass, 1981).

Without Moses, the Jews would have remained in Egypt. Without Churchill, the British would have given up in 1940. The eighteenth-century rationalists felt that luck had to be added to the personal attributes of great men to determine the course of history. The Russian Revolution would have taken a different course if Lenin had been hanged by the Old Regime instead of exiled. For the romantic philosophers, such as Nietzsche, a sudden decision by a great man could redetermine history (Jefferson's decision to purchase Louisiana). To William James (1880), the mutations of society were due to great men. They initiated movement and prevented others from leading society in another direction (p. 26).
Yet, leadership is "one of the most observed and least understood phenomena on earth" (Burns, 1978, p. 2). For as many persons who have attempted to define the concept, there are almost as many different and ambiguous definitions (Bass, 1981; Pfeffer, 1977). The many dimensions into which leadership has been cast and their overlapping meanings have added to the confusion.

For Gardner (1990) leadership is a "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" (p. 1). For Bass (1990), it is "an interaction between two or more members of a group that often involves a structuring or restructuring of the situation and the perceptions and expectations of the members" (p. 19).

For Burns (1978) leadership is exercised "when persons with certain motives and purposes mobilize, in competition or conflict with others, institutional, political, psychological, or other resources so as to arouse, engage, and satisfy the motives of followers" (p. 18). Leaders with motives and power bases tap follower's needs, wants, and motivations in order to realize the purposes of both leaders and followers.

Leadership is different than power-wielding and control. While some might define leadership as leaders
making followers do what followers would not otherwise do, or as leaders making followers do what leaders want them to do; for Burns, that would be a definition of power-wielding. Leadership, unlike naked power-wielding, is inseparable from followers' needs and goals (Burns, 1978).

Consistent with Gardner (1990), Bass (1990), and Burns (1978), leadership in this study will be considered as an interactive process which exists between leaders and followers who mobilize resources to accomplish goals. Transformational leadership, then, will be proposed as a reciprocal process between persons with certain needs, wants, values, and motivations who mobilize resources to accomplish goals that challenge the status quo, raise consciousness, provide meaning, and serve the common good.

The purpose of this study is to explore the differences in consciousness, values, and skills between leaders who "serve the what is" and leaders who "shape the what might be." Burns (1978) and Bass (1985) describe these two contrasting leadership styles as transactional and transformational. These leadership styles are rooted in certain approaches to leadership, which are examined next.
Foundational Leadership Approaches

Bass (1990) identifies the following leadership classifications: leadership as the focus of group processes, as a matter of personality, as a matter of inducing compliance, as the exercise of influence, as particular behaviors, as a form of persuasion, as a power relation, as an instrument to achieve goals, as an effect of interaction, as a differentiated role, as initiation of structure, and as many combinations of these definitions (p. 11).

Three particular approaches to the study of leadership provide important background for understanding the relationship between transactional and transformational leadership. These approaches are leadership traits, leadership behaviors, and leader-follower interactions.

Leadership Traits

It was thought that great leaders were endowed with superior qualities that differentiated them from followers (Jennings, 1960; Burns, 1981). This belief gave rise to searches for specific qualities and traits of leaders (Bird, 1940; Jenkins, 1947; Stogdill, 1948, 1970). These studies suggest that leaders are characterized by a strong drive for responsibility and task completion, vigor and persistence in pursuit of goals, venturesomeness and originality in prob-
lem-solving, drive to exercise initiative in social situations, self-confidence and sense of personal identity, willingness to accept consequences of decision and action, readiness to absorb interpersonal stress, willingness to tolerate frustration and delay, ability to influence other persons' behavior, and capacity to structure social interaction systems to the purpose at hand (Bass, 1981, p. 81).

Although trait theorists conclude that these clusters of characteristics differentiate leaders from followers, effective from ineffective leaders, and higher-echelon from lower-echelon leaders; there is little in these studies that is conclusive. As early as the 1940s, Bass (1990) states, analysis of this research had concluded that attempts to select leaders in terms of traits had little success, numerous traits differentiated leaders from followers, the traits demanded of a leader varied from one situation to another, and the trait approach ignored the interaction between leader and follower (p. 511).

One particular trait, however, has received extensive attention in studies of great leaders and transformational leadership. That trait is "charisma." Charisma is a Greek word that means divinely inspired gift. The sociologist Max Weber (1947) described charisma as a form of influence based not on the authority of position or tradition but rather on the follower's perception that the leader is endowed with exceptional qualities.

The study of charisma has until recently been the...
province of researchers studying political leadership (Weber, 1947) and the leadership of social movements and religious cults (Fine, 1982; Kanter, 1968). Three significant studies of charismatic leadership are House (1977); Conger and Kanungo (1987); and Shamir, House, and Arthur (1992).

House (1977) explains charismatic leadership in terms of a set of testable propositions involving observable processes rather than folklore and mystique. The extent to which a leader is charismatic is determined by the follower's trust in the correctness of the leader's beliefs, the similarity of follower's beliefs to that of the leader, the unquestioning acceptance of the leader by followers, the follower's affection for the leader, the willing obedience to the leader by followers, emotional involvement of followers in the mission of the organization, heightened performance goals of followers, and belief by followers that they are able to contribute to the success of the group's mission.

Conger and Kanungo (1987) base charismatic leadership on the assumption that charisma is an attributional phenomenon. Followers attribute certain charismatic qualities to a leader based on their observations of the leader's behavior. The authors identify aspects of leader behavior responsible for these attributions, draw-
ing on the findings in research comparing charismatic and noncharismatic leaders. Charismatic leaders are characterized by extremity of vision, high personal risk, use of unconventional strategies, accurate assessment of situations, follower disenchantment, communication of self-confidence, and use of personal power.

Shamir, House, and Arthur (1992), argue that charismatic leaders engage follower self-concepts and cause followers to link valued aspects of their self-concepts to their involvement in the leader's vision and mission. Charismatic leaders arouse follower's nonconscious motives relevant to mission attainment (House & Shamir, 1993). They infuse them with "ideological values and moral purpose, thus inducing strong commitment rather than affecting the cognitions or the task environment of followers, or by offering material incentives and the threat of punishment" (House & Shamir, 1993, p. 83). When leaders, therefore, articulate an ideological vision, behaviorally role model the values implied in the vision, express high-performance expectations of followers and affirmation of followers' ability to meet such expectations, followers' self-concepts become strongly engaged, their motives are aroused, and behavior is empowered (House & Shamir, 1993).

The traits of great leaders have been the focus of
leadership studies for many years. Particular attention is given to the relationship of charisma and leadership. The next section examines behaviors that reflect leadership.

**Leadership Behaviors**

Leaders have used a variety of behaviors to mobilize resources and accomplish goals. The earliest attempts to categorize the interactions of leaders and followers seem to have been made well into the twentieth-century. Weber (1922) discussed selected behaviors of leaders as to whether their authority was traditional, bureaucratic, or charismatic. The traditional style was described as autocratic and capricious, and the charismatic was considered to have a mystic quality. He advocated a bureaucratic style of interacting with followers. This style of interaction focused on fixed jurisdictional areas maintained by rules, laws, and regulations; hierarchy with levels of graded authority; and administration based upon written documentation.

Beginning in the 1950s, attempts were made to contrast a leader's style as a function of the leader's task versus relationship orientation. Reddin (1970) noted that the terms "task" and "relationships" were common threads running through a whole series of studies at Ohio
McGregor (1966) polarized extreme views of leader-follower interaction in his now-famous Theory X and Theory Y. The Theory X task-oriented leader assumes that followers need to be directed, wish to avoid responsibility, and want security above all. The Theory Y leader is relationship-oriented and believes that work is as natural as play or rest, that followers are self-directed in the service of objectives to which they are committed, that commitment to objectives is a function of the rewards associated with their achievement, that responsibility is accepted and sought, that imagination and creativity in the identification of problems is widely distributed in the population, and that the intellectual potentialities of the average human being are only partially utilized.

Blake and Mouton (1964) developed a managerial grid which plots the leader's behavior in relationship to both "people" or relationship orientation and the "task" or structure orientation. The grid has a vertical axis and a horizontal axis, each scaled 0 to 9. Thus, a leader's behavior can be described by any numerical combination from 1-1 to 9-9. Blake and Mouton advocated a 9-9 leader style, high-people and high-task, as the preferred leader style to which all leaders should aspire.
Many theorists disagree with any acknowledgment of a preferred leader style. Fiedler (1967) argued that there is not one preferred leader style but that the most effective leader style is always situational. House (1971) believed that leaders influence followers' performance by clarifying the path needed to get a reward. Hersey and Blanchard (1974) said that leaders need to choose a particular leadership style in relationship to the maturity level of the follower. Leaders, they instructed, should provide more structure and task orientation for low-maturity followers and use more relationship-orientation with high-maturity followers. Reddin (1970) recognized that any leader style can be "more effective" or "less effective." His four "basic" leader styles each have a "more effective" and "less effective" dimension. For Likert (1967), an effective leader style needed to be confluent with the way decisions were made in a particular situation. These authors suggest that particular leadership styles are preferred in particular situations, circumstances, and with various types of followers.

**Leader-follower Interaction**

In 1958, Hollander (1958) suggested that the study of leadership and the study of followership had been
divorced for too long. Actually, the behavior of leaders and the behavior of followers, he said, depended on each other. Whoever leads or whoever follows stimulates and reinforces the other's behavior. The leader initiates, questions, or proposes; the follower complies, resists, or ignores. Hollander called this process "transactional social exchange." Leaders and followers both give and both receive benefits. Thus, social exchange and mutual influence maintain the relationship (Hollander, 1978). This transactional approach to leader-follower interaction may involve a trading of benefits: for the leader, by directing the person or group toward a desirable result; for the follower, by providing the leader with status, authority, influence, or prestige. The interplay builds up "idiosyncrasy credit" for the leader relative to the follower and the buildup makes subsequent initiatives more acceptable.

The essence of the leader-follower relationship is the interaction of persons with different levels of motivation, power, and skill who are in pursuit of a common purpose. That interaction takes two fundamentally different forms: the transactional and the transformational.

**Transactional Leadership**

Transactional leadership occurs "when one person
takes the initiative in making contact with others for the purpose of an exchange of valued things" (Burns, 1978, p. 19). The exchange can be economic, political, or psychological in nature. It can be a swap of goods for something else, like money. It can be a trading of votes between a candidate and citizen or it can simply be an expression of hospitality in exchange for willingness to listen to one's troubles. Such transactions comprise the bulk of relationships among leaders and followers, especially in groups, legislatures, and parties.

In transactional leadership, 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 individual purposes are related and are advanced by maintaining the relationship.

However, the relationship does not go beyond the transaction. The parties in this relationship have no enduring purpose that holds them together; hence, they go their separate ways. Burns says, "A leadership act took place, but it was not one that binds the leader and follower together in a mutual and continuing pursuit of a higher purpose" (p. 20).

Bass (1985) observes that the nature of transactional leadership can be seen, however, in two particular responses to followers. Transactional leadership, he
says, is marked by contingent reward and management by exception.

First, transactional leadership is based on contingent reward. The leader and follower agree on what the follower needs to do to be rewarded or to avoid punishment. If the follower does as agreed, the leader arranges to reward the follower. Blanchard and Johnson's (1982) one-minute manager approach and the path-goal theories (Evans, 1970; House & Mitchell, 1974; Yukl, 1981) are examples of contingent reinforcement.

Second, leaders who primarily or exclusively practice management-by-exception intervene only when something goes wrong. As long as followers are meeting performance standards, leaders remain quiet. But if the follower's performance falls below some threshold, a control mechanism is triggered. The intervention may be as mild as feedback information, clarification, or a word of encouragement. It may be as severe as disapproval, reprimand, correction, reproof, penalization, or withdrawal of authorization to continue.

Since Bass's (1985) original conception of transactional leadership, two factors, active and passive, have been uncovered which make clear the distinction between contingent reward and management-by-exception. As perceived by followers, "active" contingent reward produces
higher levels of effectiveness, more desirable results, and higher follower motivation than "passive" management-by-exception or laissez-faire non-leadership (Howell & Avilo, 1991).

In one sense, all of the leadership approaches examined thus far (leadership traits, leadership behaviors, leader-follower interactions) are examples of transactional approaches to leadership. Each, in their own way, tries to identify the traits or behaviors that increase effectiveness of leaders and followers.

Research efforts investigating transactional approaches to leadership, however, raise certain questions. First, do these transactional approaches to leadership really explain the differences among leaders? Sergiovanni (1982) reports that research conducted over the years has provided no substantial explanation for differences in findings in similar studies of leadership; few studies exist which reflect an understanding of the flow of what really occurs between leader and follower over an extended period of time and within a real life setting; and the changing popularity of recommended leadership styles causes observers to question the pursuit of any particular style over an extended period of time.

Second, can all leadership be explained merely as transactions? As Bass (1990) responds,
The leadership of Ernest Shackleton, whose men overcame superhuman obstacles in the Antarctic, or the leadership of Joan of Arc, Martin Luther King, Mahatma Gandhi, or Winston Churchill can only be conceived of as leadership that added to any cost-benefit exchange a transformation of the followers' needs from those at lower levels to higher-levels concerns for achievement, glory, humanity, fortune, country, faith, or family, which demanded excessive costs relative to tangible benefits. Self-interests were transcended; cost-benefit calculations were abandoned. It is difficult to conceive of the emotional response to the Ayatollah Khomeini and the rush to martyrdom by the Iranian masses merely as a social cost-benefit exchange between a leader and followers. On the positive side of reinforcement, appeals to self-interests alone will not result ultimately in leadership that is able to reward followers as much as they want. Continued attention to followers' self-interests alone will not permit a group, organization, or society to operate optimally. A culture of cooperation is needed, as is trust in the benefit of optimal organizational outcomes (Bass, 1990, p. 367).

Because leadership processes that do not go beyond transactions are not sufficient to explain the full range of leadership behaviors commonly associated with the best leaders (Avolio & Bass, 1988; Bass & Avolio, 1990b; Seltzer & Bass, 1990), many current investigations are pursuing a different approach to the study of leadership. The next section examines the transformational approach to leadership.

Transformational Leadership

Throughout history there have been persons who have facilitated the transformation of individuals, organiza-
tions, and societies. These persons, Burns (1978) calls "transformational leaders." This review of transformational leadership examines the contributions of James MacGregor Burns, Bernard M. Bass, and others. In addition, it examines several key characteristics of transformational leaders.

James MacGregor Burns

Burns (1978) examines four twentieth-century "makers of history," Woodrow Wilson, Mahatma Gandhi, Nikolai Lenin, and Adolf Hitler. For Burns, Wilson and Gandhi were leaders, Lenin was a leader whose theory of leadership had a fatal flaw, and Hitler was not a leader, but "an absolute wielder of brutal power" (p. 27). His study of these four persons is described not in order to solve leadership problems nor necessarily to predict what kind of leader a person might become, but "to raise questions inherent in the complexity of leadership processes" (p. 27).

His examination of leaders uncovers a distinction between types of leadership: transactional and transformational. Transactional leadership includes opinion leadership, group leadership, party leadership, legislative leadership, and executive leadership. Transformational leadership includes intellectual leadership, re-
form leadership, revolutionary leadership and heroic leadership. Transformational leadership, according to Burns (1978), 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, become fused. Power bases are linked not as counterweights but as mutual support for common purpose. . . . 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 (p. 20).

Transformational leaders address themselves to the gratification of followers' needs, wants, and motivations, as well as their own, and thus facilitate a transformation of those needs, wants, and motivations. In terms of Maslow's (1954) hierarchy of needs, transformational leaders gratify lower needs in order to activate higher-order needs; both leaders and followers are, thereby, elevated from their "everyday selves" to their "better selves."

Transformational leaders provide moral leadership to individuals, organizations, and society (Burns, 1978, pp. 29-46). Leadership is a process of morality to the degree that leaders engage with followers on the basis of shared motives and values and goals -- on the basis, that is, of the followers' "true" needs as well as those of leaders: psychological, economic, safety, spiritual,
sexual, aesthetic, or physical. He states,

Friends, relatives, teachers, officials, politicians, ministers, and others will supply a variety of initiatives, but only the followers themselves can ultimately define their own true needs. And they can do so only when they have been exposed to the competing diagnoses, claims, and values of would-be leaders, only when followers can make an informed choice among competing "prescriptions," only when -- in the political arena at least, followers have had full opportunity to perceive, comprehend, evaluate, and finally experience alternatives offered by those professing to be their "true" representatives. Ultimately the moral legitimacy of transformational leadership, and to a lesser degree transactional leadership, is grounded in conscious choice among real alternatives. Hence leadership assumes competition and conflict, and brute power denies it (p. 36).

Transformational leaders operate, says Burns, at need and value levels higher than those of potential followers and often exploit conflict and tension within a person's value structures. They appeal to more widely and deeply held values such as justice, care, compassion, and concern for the common good. They raise consciousness in followers by appealing to higher ideals and moral values such as liberty, justice, peace, and humanitarianism, and not to baser emotions such as fear, greed, jealousy, or hatred. They expose followers to broader values that contradict inconsistent behavior and narrower values. Transformational leadership "ultimately becomes moral," says Burns, when it "raises the level of human conduct and ethical aspiration of both the leader and the
follower, and thus has a transforming effect on both" (p. 20).

For Burns, transformational leadership can be exhibited by anyone, in any type of position or organization. It can involve people influencing peers, subordinates, or superordinates. While occurring in the day-to-day acts of ordinary people, it is never "ordinary" or "common."

Since 1978 and the publication of Burns' seminal work on transformational leadership, others have sought to apply this new theoretical direction to various professions and groups. Chief among these research efforts is the work of Bernard M. Bass (1985).

Bernard M. Bass

Bass (1985) characterizes transformational leaders primarily in terms of the leader's effect on followers. Followers feeling trust, admiration, loyalty, and respect toward the leader are motivated, says Bass, to do more than they originally expected. Leaders facilitate the transformation of followers by raising awareness of the importance and value of task outcomes, by inviting followers to transcend their own self interest for the sake of the organization or team, and by activating higher-order needs. They influence followers by arousing strong emotions and identification with the leader and by serv-
ing as a coach, teacher, and mentor.

Whereas Bass identified two transactional leadership factors, contingent reward and management-by-exception; he also identifies four primary factors of transformational leadership: charisma (idealized influence), inspirational motivation, intellectual stimulation, and individualized consideration. Bass and Avolio (1993) report that the factors represented in Bass' model of transactional and transformational leadership have been generalized across a wide variety of organizations (Hicks, 1990), cultures (Bass & Yokochi, 1991), and levels within organizations (Bass, 1990a; Yammarino & Bass, 1990b). Transformational leadership has been observed in varying degrees at all organizational levels of management (Bass, 1990a; Yammarino & Bass, 1990b), in health organizations (Bryant, 1990; Gottlieb, 1990), industry (Ruggiero, 1989; Hater & Bass, 1988), education (Cowen, 1990; Koh, 1990), government (Crookal, 1989), religious institutions (Onnen, 1987), and the military (Boyd, 1988; O'Keefe, 1989; Curphy, 1992; Salter, 1989; Yammarino & Bass, 1990a).

The four transformational factors (charisma, inspirational motivation, intellectual stimulation, and individualized consideration) are intercorrelated by Bass in the Multifactor Leadership Questionnaire (1985) to form a single score for transformational leadership. Many studies (Gibbons, 1987; Gottlieb, 1990; Hoover, 1987; Onnen, 1987) use Bass's intercorrelation to examine transformational leadership and transactional leadership.
Bass and Avolio (1989) used the intercorrelation to discover that if leaders were only transactional, their organizations were seen as less effective (Bass & Avolio, 1989). Similar conclusions were reached in studies of presidents (Avolio, Waldman, & Einstein, 1988), ministers (Onnen, 1987), principals of private schools (Hoover, 1987), and world-class leaders (Bass, Avolio, & Goodheim, 1987).

Other studies indicate that the performance appraisals by subordinates are higher if their leaders are described as transformational (Waldman, Bass, & Einstein, 1987). Leaders who are described by their subordinates as transformational rather than transactional are also judged to have a much higher leadership potential by the leader's superiors (Hater & Bass, 1988; Yammarino & Bass, 1989).

Transformational leadership behavior also results in higher productivity at lower costs than does authoritarian or democratic leadership styles. Transformational presidents of simulated business firms generate more profitability, a greater share of the market, and better debt-to-equity ratios than do transactional presidents (Avilo, Waldman, & Einstein, 1988). Transformational leaders are more innovative than transactional leaders.
(Ippoliti, 1989). Onnen (1986) shows that Methodist ministers who are transformational tend to generate more growth in their church membership and greater attendance at Sunday services.

Whereas Burns (1978) believes that transformational leadership and transactional leadership are at opposite ends of a continuum, Bass (1985), suggests that transformational leadership augments the effects of transactional leadership. This "augmentation effect" predicts that by measuring transformational leadership behaviors one can achieve a higher level of precision in predicting extra levels of effort and other relevant criteria, than if one simply relies on transactional leadership (Bass & Avolio, 1993).

Bass's research indicates that an optimal profile of leadership is represented by behaviors associated with active transactional leadership (contingent reward) and the four transformational leadership factors: idealized influence or charisma, inspirational motivation, intellectual stimulation, and individualized consideration. Leaders who display these behaviors are viewed more effective than leaders who are only passive (management-by-exception) or laissez-faire (Howell & Avolio, 1991).

Transformational leadership, therefore, does not replace transactional leadership, it simply augments it.
It adds substantially to helping individuals, groups, and organizations that are under conflict and stress. While transactional leadership provides a structure for management, transformational leadership adds to it by helping followers transcend their own immediate self-interests, increase their awareness of the larger issues, and shift goals away from personal safety and security toward achievement and self-actualization (Waldman, Bass, & Yammarino, 1989). Says Bass (1990),

A transactional leader can be influential in groups that are under stress. Such a leader can supply solutions for the immediate needs that members perceive they have. Such leadership will provide immediate satisfaction but may not be effective in the long term. What is required is a transformational leader who can evoke higher-level needs, such as for the common good and who can move the group into a fully vigilant search for long-term solutions. A transformational leader may reveal the necessary individualized consideration to convert crisis into developmental challenges. He or she may provide the intellectual stimulation to promote subordinates' thoughtful, creative, and adaptive solutions to stressful conditions rather than hasty, defensive, maladaptive ones (Bass, 1990, pp. 652-653).

Comparison of Burns and Bass

The conceptions of transformational leadership proposed by Burns (1978) and Bass (1985) are similar in many respects. Each examined great leaders in their respective areas of interest. Burns investigated the lives of world-class leaders while Bass' research has been gener-
alized to many occupational groupings. In addition, each believes that the result of transformation is change in both leader and follower. The differences between them, however, are significant.

First, mention has already been made of "the augmentation effect." Whereas Burns sees transformational leadership as the opposite end of a single continuum from transactional leadership, Bass finds that leaders exhibit a variety of patterns of transformational and transactional leadership. Most leaders, Bass finds, do both but in different amounts. Transformational leaders, he states, augment transactional leadership by increasing a follower's confidence, elevating the value of outcomes, altering or widening a follower's level of needs on Maslow's hierarchy, or focusing on a transcendent interest.

Second, the criteria for determining "greatness" in leaders are different. Burns examines world-class leaders and limits his identification of transformational leaders to enlightened persons who transcend relativistic values, appeal to higher-order needs of followers, and engage in leadership acts that benefit society. Bass, on the other hand, investigates all leaders interested in maximizing organizational or team performance. Transformational leaders, according to Bass, activate follower
motivation to increase performance and the accomplishment of goals.

Third, there is a difference in who qualifies as a transformational leader. On the one hand for Burns, actions are transformational only if society benefits from them. On the other hand, any leadership act that raises performance beyond expectations Bass regards as transformational. A transformational leader he believes is any person who facilitates a change that improves performance.

For example, Burns believes that Hitler "was not a transformational leader, despite his sharp upward energization and mobilization of Germany for paranoid aggression at the expense of personal freedom, and persecution of dissenters and minorities" (Bass, 1985, p. 20). Bass, on the other hand, says that Germany was transformed and that Hitler, therefore, was a transformational leader. Bass puts emphasis on the observed change in followers and argues that the same dynamics of a leader's behavior can be of short- or long-term benefit or cost to followers. For Bass, transformational leadership is not necessarily beneficial leadership -- actions can be costly as well as beneficial.

Fourth, differing purposes reflect different values and world views. Even though both Bass and Burns say
they appeal to "higher values," these two theorists appeal to different needs, wants, and motivations. Because Bass is concerned with improving performance, he orchestrates attention to values relative to improving individual or group performance. Burns transcends these relativistic performance values and immanent organizational boundaries by appealing to post-conventional, principled levels of moral development (Kohlberg, 1971; Fowler, 1981;) and to spiritual values that transcend relativism.

**Other Studies of Transformational Leadership**

Since Burns and Bass, many studies have extended the foundational research into transformational leadership. First, the research has extended the applications of the approach to various professions. Studies which were initiated with world-class leaders (Burns, 1978) and military leaders (Bass, 1985) have now been extended to chief executives (Peters & Waterman, 1982; Bennis & Nanus, 1985; Tichy, 1986), educators (Kushner, 1982; Buck, 1989; King, 1989; Mezirow, 1990), college and university presidents (Gillet, 1988; Murray, 1988; Hall, 1989; Joy, 1989), government leaders (Buhl, 1989; Patton, 1989), business leaders (Freiberg, 1987; Yokochi, 1989), nurses (Barker, 1989; Gottlieb (1990) and ministers (Mann, 1987; Onnen, 1987; Borgdorf, 1990).
Second, this new theoretical leadership direction has spawned new research directions. Recent research efforts examine the parent-child relationship of transformational leaders (Pratt-Summers, 1989); transformational leadership and group productivity (Longshore, 1988), empowerment (Kendrick, 1988), career development (Sridhar, 1987), critical reflection (Mezirow, 1990), and self-actualization (Buck, 1989). Some studies also point to the importance of a leader's value system (Joy, 1989; Marks, 1989).

Like Bass, many of these transformational leadership studies are rooted in performance values and a dialectical understanding of transformation. In dialectical transformation the concern is recognizing the need for change, shaping corporate culture, creating new visions, developing commitment and trust, institutionalizing change, and facilitating organizational learning (Tichy & Devanna, 1986; Schein, 1985; Bennis & Nanus, 1985). The goal is to facilitate the transformation of individuals, organizations, and society in order to maximize performance. Kanter (1983) calls these transformational leaders "changemakers" and Vaill (1982) describes their leader style as "high-performing and purposeful." Deal and Kennedy (1985) call these change makers "heroes."

On the positive side, the leaders in these studies
do not just "manage," they "lead" (Zaleznik, 1983). Whereas some people only work within the established culture, accepting the existing norms, rules, beliefs, and identities; these leaders are transformational in that they work to change the culture. They question norms and embedded assumptions, change what is talked about, "invent, introduce ... advance the cultural forms...[and] change the social warp and woof of reality" (Bass, 1985, p. 24).

Their emphasis on change, however, reflects the shift, first initiated by Bass, from ontology to process, from being to doing, from end-values to means-values, and from changes within to changes in structure. Present is the dialectical sense of change, metamorphosis, and the substitution of one paradigm for another. Absent, however, is the moral dimension of leadership that offers followers' choice.

Third, research into transformational leadership has generated interest in the study of the relationship between leadership and values (Joy, 1989; Marks, 1989; Onnen, 1987). Few studies of transformational leadership, however, examine leaders who appeal to higher values or leaders who challenge individuals, organizations, and societies to make principled decisions that raise consciousness, integrate opposing perspectives, or serve
the common good. These are the transformational leaders Covey (1988, 1991) calls "principle-centered," See (1991) identifies as "self-regulated, moral change agents," and Greenleaf (1977) describes as "servant leaders." For Hagberg (1984), these leaders are the ones with "real power."

Like Burns and Bass, Gardner (1984) finds this kind of transformational leader not located in any one power position, but "dispersed" throughout organizations and society. These transformational leaders incarnate their highest values, orchestrate attention to universal ethical principles, and operate at the highest levels of moral development (Burns, 1978). Not only concerned with doing things right, they are concerned with doing the right thing (Bennis, 1985). Taken together, these studies point out certain characteristics and traits of transformational leaders and the nature of their relationships with followers.

Characteristics of Transformational Leadership

In his seminal work on transformational leadership James McGregor Burns (1978) identifies certain characteristics of persons who facilitate the transformation of individuals, organizations, and society. These characteristics are confirmed and expanded by others such as
Bass (1985), Bennis & Nanus (1985) and Tichy (1986). The purpose of this section is to examine literature pertaining to transformational leadership in order to identify characteristics of transformational leaders. This examination finds that transformational leaders build reciprocal relationships with followers based on trust and individual consideration. They are inspiring visionaries who are values-driven and morally purposeful, intellectually stimulating, and proactive agents of change.

**Build Reciprocal Relationships**

Critical to an understanding of transformational leadership is the notion of reciprocity. Transformational leaders engage in reciprocal relationships with followers. According to Burns (1978), transformational leadership is collective -- "one-person leadership," he says, is a contradiction in terms. Like other leaders, transformational leaders may be self-confident (Bennis & Nanus, 1985), self-differentiated (Friedman, 1985), have positive self-regard, emphasize strengths, minimize weaknesses, and trust themselves without letting their egos or image get in the way (Bennis & Nanus, 1985). They may claim their own authority rather than looking to position or others for authority. Transformational leaders, however, in responding to their own needs, wants, and moti-
vations appeal to the motive bases of potential followers. They are individually considerate of others (Bass, 1985). As followers respond, a reciprocal relationship develops that binds leader and follower together into a social and political collectivity.

Critical to the nature of reciprocity is trust (Bennis & Nanus, 1985). Followers learn to trust transformational leaders because they are predictable, their positions are known, and they are consistent. Trust implies accountability, predictability, and reliability (Bennis & Nanus, 1985). By making themselves known and their positions clear, transformational leaders are perceived by followers as accountable, predictable, and reliable and are therefore, trusted. Tichy & Devanna (1986) also find trust to be an important variable for transformational leaders. They find that transformational leaders are sensitive to other people, trust others, and ultimately work toward the empowerment of others.

Bass (1985) attributes the nature of the reciprocal relationship between the transformational leader and the follower to the "idealized influence" or "charisma" of the leader. Transformational leaders are different, however, from charismatic leaders. Bass (1985) differentiates between a charismatic leader and a charismatic
transformational leader in the following way:

The charismatic who is a successful transformational leader (followers are influenced) and an effective transformational leader (followers benefit from the transformation) can be distinguished from the charismatic who is not. The successful and effective transformational leader is engaged with authentic rather than false needs of followers and with mutual enhancement of effort. Individualized consideration is more likely to be displayed. Relatively speaking, the charismatic transformational leader dealing with authentic needs will rely somewhat more on rational, intellectual persuasion; the false messiah who fails to have transforming effects will rely more on emotional appeals. We expect to find a greater discrepancy between the actual and perceived competence of the charismatic leader who fails to display transformational leadership with the charismatic who does. While both inspire followers, the charismatic transformational leader more often will appear in the role of teacher, mentor, or coach; the charismatic who is not transformational will appear in the role of celebrity, shaman, miracle worker, or mystic. The charismatic transformational leader structures the problem for followers providing for their easier comprehension so that followers can more effectively deal with them; the charismatic leader who fails to uplift followers oversimplifies problems for them so that the followers readily make impetuous responses to them, blindly support each other's positions, or evade the problems altogether (p. 52).

In essence, Bass is saying that whereas charisma is an important quality in transformational leaders, there is a difference between a leader who is charismatic and a person who is a charismatic transformational leader.

**Inspiring Visionaries**

With unbridled clarity the vision of a transforma-
tional leader grabs the attention of others (Bennis & Nanus, 1985) and inspires (Bass, 1985). Transformational leaders are able to dream and can translate those dreams and images so that others can share them (Tichy & Devanna, 1986). They are "social architects" and "interpreters of meaning" (Bennis & Nanus, 1985). They do not just communicate information and facts, but use symbols and stories to interpret meaning.

The most lasting tangible act of leadership, according to Burns (1978), is the creation of an institution that continues to exert moral leadership and foster needed social change long after the creative leaders are gone. "The most lasting and pervasive leadership of all is intangible and noninstitutional," he says. "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).

**Values-driven and Morally Purposeful**

Transformational leaders are values-driven and morally purposeful and elevating (Burns, 1978). Tichy and Devanna (1986) found that transformational leaders could articulate a set of core values and exhibited behavior congruent with their value system. All leadership is
goal-oriented and sets a direction. However, where leadership is necessary, "the problem is always to choose key values and to create a social structure that embodies them" (Selznick, 1957, p. 60). The transformational leader taps the needs, raises aspirations, shapes the values, and mobilizes the potential of followers.

Not only are transformational leaders values-driven, but they are morally purposeful and elevating (Burns, 1978). Burns says,

Leaders most effectively connect with followers from a level of morality only one stage higher than that of the followers, but moral leaders who act at much higher levels--Gandhi, for example--relate to followers at all levels either heroically or through the founding of mass movements that provide linkages between persons at various levels of morality and sharply increase the moral impact of the transforming leader (Burns, 1978, p. 455).

Burns believes, therefore, that transformational leaders engage followers from higher levels of morality and in the enmeshing of goals and values both leaders and followers are raised to more principled levels of judgment.

Intellectually Stimulating

Bass (1985) identifies "intellectual stimulation" as a significant characteristic of transformational leaders. By the transformational leader's intellectual stimulation, he means,
the arousal and change in followers of problem awareness and problem solving, of thought and imagination, and of beliefs and values, rather than arousal and change in immediate action. The intellectual stimulation of the transformational leader is seen in the discrete jump in the follower's conceptualization, comprehension, and discernment of the nature of problems they face and their solutions. This is in contrast to the arousal in followers of immediate increases in action rather than in ideas, contemplation, and thought prior to taking such actions (p. 99).

Transformational leaders are intellectually stimulating because they are cognitively complex and life-long learners (Tichy & Devanna, 1986). In a world marked by ambiguity and uncertainty, these leaders invent images, metaphors, and models that frame, interpret, and mobilize meaning. Transformational leaders are able to cope with and frame problems in a complex, changing world.

Transformational leaders may also be intellectually stimulating because they are life-long learners (Tichy & Devanna, 1986). As with Bennis's leaders (1985), these leaders talk about mistakes they make. They do not view mistakes as failures, but as learning experiences. Bennis & Nanus (1985) note that transformational leaders use the organization as a learning environment. They acknowledge and share uncertainty, embrace error, respond to the future, become interpersonally competent, and gain self-knowledge (p. 189). They reinterpret history, experiment, observe analogous organizations, use analytical
processes, engage in training and education, and practice "unlearning" by discarding old knowledge when actions clash with changed realities in the external environment (pp. 194-203).

Senge (1992) addresses the importance of life-long learning. The learning Senge has in mind is more about transcendence than information. It is learning that is dynamic, re-generative, and behavior changing. It is learning that is intensely interpersonal and spiritual. Specific "learning disciplines" include: gaining personal mastery of one's spirituality; developing mental models which examine the world and our assumptions; building shared visions which unleash the deep desire to be a part of something greater than ourselves; team learning which recognizes the patterns of interaction which undermine true dialogue, openness, and the pursuit of truth; and finally, the discipline of systems thinking.

Proactive Change Agents

Transformational leaders are proactive change agents (Tichy & Devanna, 1986). These leaders identify themselves as change agents and in each case these leaders set out to facilitate the transformation of the organization for which they have assumed responsibility.

From these studies of transformational leadership it
is clear that transformational leaders are proactive. They make things happen and are causative (Burns, 1978). They are not merely symbolic or ceremonial leaders, but instead are "event-making." Transformational leaders create focus, have an agenda, and are concerned with outcome (Bennis & Nanus, 1985).

Transformational leaders also thrive on conflict and chaos (Peters, 1987), and at times choose to be disensual, instead of consensual (Burns, 1978). The dynamic of meaningful conflict, says Burns (1978) produces engaged leaders, who in turn generate conflict among followers. The field of conflict reaches out to followers in search of allies. Transformational leaders organize motives, sharpen popular demands, broaden and strengthen values, and organize conflict by shifting the attention and boundaries of conflict. Instead of always seeking consensus or the reduction of conflict to the least common denominator, transformational leaders orchestrate and raise the threshold of conflict. They are courageous individuals (Tichy & Devanna, 1986). They take risks and stand over against the status quo (Tichy & Devanna, 1986). Intellectually, they are able to confront reality even if it is painful. Emotionally, they are able to reveal truth to others who may not want to hear it.

Transformational leaders have certain characteris-
tics and traits. This review of literature describes transformational leaders as builders of reciprocal relationships based on trust and individual consideration. Transformational leaders are inspiring visionaries, values-driven and morally purposeful, intellectually stimulating, and proactive agents of change.

This pattern of factors is a portrait of the transformational leader that Zaleznik (1977) independently draws from clinical evidence. Zaleznik's leaders attract strong feelings of identity and intense feelings about the leader (charisma), send clear messages of purpose and mission (vision and values-driven), generate excitement and heightened expectations through images and meanings (inspirational leadership), cultivate intensive one-on-one relationships and empathy for individuals (individualized consideration), and are more interested in ideas than in process (intellectual stimulation).

Likewise, Kouzes and Posner (1988) extract a parallel profile of transformational leaders from interviews. They note that transformational leaders challenge the process (conflict), inspire vision, enable others to act, model the way and encourage the heart. Again, the visionary leader (Sashkin, 1989) and the empowering leader (Sashkin & Burke, 1988) reflect similar patterns of transformational leadership.
By examining the work of Bass (1985), Bennis & Nanus (1985), Tichy & Devanna (1986), and others, this review extends the understanding of transformational leadership characteristics beyond the seminal work of Burns (1978). Transformational leadership is seen in this literature as a reciprocal process between persons with certain needs, wants, values, and motivations; who mobilize resources to accomplish individual, corporate, or societal goals that challenge the status quo, raise consciousness, provide meaning, and serve the common good.

Why is it, however, that transformational leaders recognize that they have a reciprocal relationship with followers? Why is it that transformational leaders are attentive to the needs, wants, values, and motivations of followers, as well as their own? How is it that transformational leaders are proactive visionaries who take risks and thrive in the conflict generated by competing visions? Why is it that some become moral leaders who are values-driven and become morally purposeful and elevating?

This research hypothesizes that the difference between transformational leaders and other leaders is reflected in their world view (consciousness), values, and skills. The next sections will examine literature pertaining to consciousness, values, and skills.
Consciousness

Transformational leadership is a reciprocal process between leaders and followers who mobilize resources to accomplish goals that challenge the status quo, raise consciousness, provide meaning, and serve the common good. Burns (1978) describes it as a process in which "leaders and followers raise one another to higher levels of morality and motivation" (p. 20). Leaders seek to raise the consciousness of followers by appealing to higher ideals and moral values.

Is there a relationship between a leader's consciousness or world view and a leader's ability to facilitate individual, organizational, or societal transformation? What is consciousness? What is unconsciousness? How is consciousness developed, measured, and described?

This section defines consciousness and unconsciousness and reviews literature pertaining to the development of consciousness. Hall's (1976, 1986) seven cycles of consciousness are described as the measure that will be used in this research to identify the development of leader consciousness.

Consciousness and Unconsciousness

Transformation is the process of making the uncon-
conscious conscious. It is a process of consciousness-raising. In order to fully understand the transformation process, however, two concepts need explication: unconsciousness and consciousness.

Numerous efforts have been made to elucidate the meaning of "unconsciousness." Miller (1942) distinguishes and discusses sixteen definitions. Ellenberger (1957) organizes unconsciousness into four categories: metaphysical unconsciousness, biological unconsciousness, deep psychological unconsciousness, and more accessible psychological unconsciousness.

Whyte (1960) provides an historical perspective of the unconscious mind. The unconscious mind, he says, is interpreted by mystics as the link with God; by early Romantics as the link between the individual and universal powers; by Post-Romantic thinkers as a factor operating in memory, perception, and ideas; by the dissociated "Self-Conscious Man" as night, the realm of violence; by physical scientists as the consequence of physiological factors not yet understood; by monistic thinkers as the prime mover and source of all order and novelty in thought and action; by Freud as mainly inhibited memories ruled by the pleasure principle in a state of deformation and conflict; and by Jung as the prerational realm of collective myth and religious
symbols.

Caputi (1984) approaches unconsciousness and organizes the research about unconsciousness into four typologies. First, he describes, the "bio-physical" approach which deals with an unconscious that is related to subtle processes that are a direct function of the physical body. Second, the psycho-personal approach speaks of an unconscious that is essentially a function of one's personal emotional and cognitive development. The primary focus is on such things as memories, feelings, and ideas. Third, the socio-cultural approach understands unconsciousness as a function of some collectivity such as "group mind" or "collective unconscious." Finally, the transpersonal-spiritual approach conceives of the unconscious as some transpersonal entity or medium to contact.

What is unconscious can, however, become conscious. Campbell (1988) captures the power and movement of the unconscious when he says:

You are more than you think you are. There are dimensions of your being and a potential for realization and consciousness that are not included in your concept of yourself. Your life is much deeper and broader than you conceive it to be here. What you are living is but a fractional inkling of what is really within you, what gives you life, breadth, and depth. But you can live in terms of that depth (p. 58).

For example, many different cultures, says Campbell, tell a story of creation, or a story of a virgin birth,
or a story of a savior who comes and dies and is resurrected, and these cultures are saying something about what is inside people, and their need to understand. "The images of myth are reflections of the spiritual potentialities of every one of us. Through contemplating these we evoke their powers in our own lives" (Campbell, 1988, p. 218) and the unconscious becomes conscious. Campbell tells this story by way of example:

I walk off Fifty-first Street and Fifth Avenue into St. Patrick's Cathedral. I've left a very busy city and one of the most economically inspired cities on the planet. I walk into that cathedral, and everything around me speaks of spiritual mysteries. The mystery of the cross, what's that all about there? The stained glass windows, which bring another atmosphere in. My consciousness has been brought up onto another level altogether, and I am on a different platform. And then I walk out, and I'm back on the level of the street again. Now, can I hold something from the cathedral consciousness? Certain prayers or meditations are designed to hold your consciousness on that level instead of letting it drop down here all the way. And then what you can finally do is to recognize that this is simply a lower level of that higher consciousness. The mystery that is expressed there is operating in the field of your money, for example. All money is congealed energy...that's the clue to how to transform your consciousness (Campbell, 1988, p. 15).

Consciousness, therefore, is the state or condition of having an awareness of one's existence, sensations, and thoughts. Hall (1976) defines it as "the manner is which we perceive the world" (p. 50). Bandler and Grinder (1975) speak of consciousness as an inner repre-
sentational system, an image of what the world is really all about. It is a system logically assembled by the mind as it tries to make sense out of all the data it receives through the five senses.

**Development of Consciousness**

The key to consciousness is understanding that it is developmental. Erikson (1963), Browning (1972), and Levinson (1978) provide overviews of developmental stages and crises. Havighurst (1972), Marcia (1976), Chickering (1969), and Perry (1970) examine critical issues in adulthood. Kohlberg (1971) and Gilligan (1982) examine moral development. Roy Heath (1973) and Doug Heath (1977) present models of maturity. Each of these persons describe how an individual develops, assimilates, and accommodates to the environment. Each describes the development of persons in a sequence of stages.

Fowler (1981), for example, speaks of "faith" as a way of making meaning and viewing the world. Faith, says Fowler, is not always religious in its content or context. To ask questions seriously of oneself or others does not necessarily mean to elicit answers about religious commitment or belief.

Faith is a person's or group's way of moving into the force field of life. It is our way of finding coherence in and giving meaning to the multiple forces and relations that make up our
lives. Faith is a person's way of seeing himself or herself in relation to others against a background of shared meaning and purpose (1981, p. 4).

Fowler examines seven different "structural competencies," or specific human abilities that shape human activity. Form of logic, form of world coherence, ability for role taking, locus of authority, bounds of social awareness, form of moral judgment, and role of symbols provide the perspectives through which Fowler postulates six distinctive and recognizable world views or "stages of faith." These six stages are intuitive-projective faith, mythic-literal faith, synthetic-conventional faith, individuative-reflective faith, conjunctive faith, and universalizing faith.

For Fowler, each "stage of faith" is a different world view and has its own structural whole; the stages are related to each other hierarchically and sequentially; they develop in an ascending order, each stage incorporating the previous stage. The transition from one to another, Fowler says, can be protracted and painful, requiring relinquishment and reconstruction. A new stage emerges when a person becomes consciously aware of the limitations of the present stage and, while affirming the truth in it, moves beyond its limits. Fowler insists, however, that each stage has its own integrity. Stage Four is not "more faithful" than stage three;
rather, it is a more developed and mature world view than stage three.

For Hall (1976, 1986), each world view represents a distinct developmental stage of consciousness. According to Hall (1986), while all needs, wants, values, and motivations may be present potentially, not all are conscious within a given individual, organization, or society at a particular time. Some may be present, but remain unconscious. Others may not be present at all. What needs, wants, values, and motivations are present are revealed in particular sequence of developmental stages or cycles of consciousness. Hall describes seven cycles of consciousness.

Each "cycle of consciousness" consists of personal and institutional values. The values clusters in each cycle represent a particular world view or way of being conscious in the world.

A person or group in the "Primal Cycle" views the world as an alien and mysterious place ruled by distant authority. The major needs expressed in this cycle are security, physical survival, and material ownership. Ethical choices are based on self-interest.

A person or group in the "Familial Cycle" views the world as a home where one is sheltered from an unfriendly or uncaring society. Hospitality and respect for author-
ity are the primary needs. Ethical choices are based on fairness and mutual respect. A person is "good" when that person has followed the rules that a fair authority has prescribed.

A person or group in the "Institutional Cycle" perceives the world as a problem that is addressed by becoming educated and by making an adequate living. The chief struggle is to be successful and to please those who control the future. Ethical choices are based on what the law and respectful institutions or governmental authorities say is right.

The "Intrapersonal Cycle" is a period where the world becomes less certain and values become more relative. There is a need to find one's own place and meaning in the scheme of things and to discover a "center" around which life can be oriented. Ethical issues no longer seem "black and white." It is more difficult to make commitments without reservations.

A person or group in the "Communal/Collaborative Cycle" views the world as a project in which one wants to participate and to which one has something unique to offer. Persons in this cycle are aware of their gifts and want to be used productively. There is a need to integrate gifts with the demands of society and to make institutions more human. Ethical choices are based on a
personally meaningful center of values. Actions are guided by conscience. Rules and lawful guidelines are important but they can be modified.

A person or group in the "Mystical Cycle" perceives all of humanity and the physical/material world as a revered gift for which one must care responsibly. Of crucial importance is the struggle for a suitable balance between time for work, people, intimacy, and solitude. Ethical choices are informed by awareness of the rights of all human beings. One is more actively critical of unjust organizations in society, especially those organizations in which one participates.

A person or group in the "Prophetic Cycle" views the world as a mystery for which "we" must care. The true meaning of life is expressed primarily through an intimate and ongoing relationship to a "divine center." It is also expressed through membership in a supportive community of peers who appreciate global involvement and collaboration among all concerned institutions. Persons in this cycle are continually challenged to match the prophetic vision with practical application. The need for practical action emanates from a vision of the world which requires that action be taken at all levels, including the local level. Ethical choices lead one to be involved in activities designed to improve the balance
between the material and the spiritual, and the human and non-human world.

**Consciousness and Leadership**

Today's leaders are teachers, nurses, doctors, ministers, parents, corporate leaders, politicians, bartenders, coaches, leaders of community groups, and administrators. Some of these leaders are transformational and some are not.

On the basis of analogies from developmental learning over the adult life cycle, Bryson and Kelley (1978) suggest that a leader's consciousness goes through certain stages of development. Capacities and skills gained at one stage prepare a leader for new and bigger tasks and responsibilities in later stages. One learns to be a leader by receiving appropriate feedback while serving as a leader, one is promoted to higher levels of leadership responsibilities because of one's past performances as a leader and one's promise of future performance.

A leader's development, in this sense, is conceived of as a process of acquiring successively more complex "cognitive maps" and other necessary competencies over time. As higher consciousness and skills are accumulated, the leader becomes ready to move to a new level (Jacobs & Jaques, 1987). However, there may also be
innate limits of development, consciousness, and skills for individuals, training programs, and experiences.

Kuhnert and Lewis (1987) suggest that transformational leadership reflects the mature adult development of personal standards and transcendental values in a leader. In contrast, those who pursue only transactional leadership approaches are arrested at lower levels of development structured around their own immediate needs, feelings, and interpersonal connections.

Each of the perspectives examined in this literature review provides important contributions to an understanding of the development of consciousness. Yet, the foundational assumptions and qualities of developmental stage theory generate certain questions about the relationship between the development of consciousness and leadership style.

First, the development of consciousness involves basic transformations of structure in the shape, pattern, and organization of an individual's response. In Kohlberg's theory, for example, individuals have a basic shape and organization to their moral reasoning. The transformation of these structures is necessary for an individual to move from heteronomy to autonomy. Development is viewed as the transformation of one basic structure to another structure that is more adequate. This
foundational premise generates certain questions.

Do transformational leaders have a basic shape and organization of consciousness that is different from others in leadership positions? Are there particular structures of consciousness that are more adequate than others in facilitating the transformation of individuals, organizations, and societies?

Second, the development of consciousness is the result of a process of interactions among the structure, the organism and the environment. The environment stimulates disequilibrium and social and cognitive complexity in the organism's structure. The direction of development is toward greater equilibrium and resolution of cognitive conflict in the organism-environment interaction. Conflict leads to the development of more adequate structures for coping with complexities of the organism-environment interaction. Development, therefore, is not just changing one's point of view on a particular issue, but transforming one's way of reasoning, expanding one's perspective to include criteria for judging that were not considered previously. An individual's reasoning reflects predominantly one stage, with occasional reasoning one stage above or below. An individual can be attracted to reasoning one stage higher than the individual's predominant stage. One is not, however, attracted to rea-
Are certain leaders better able to stimulate and orchestrate conflict and disequilibrium in the structures of other organisms than other leaders? Does expanded leader consciousness increase judgment and problem-solving skills? Can leaders facilitate the transformation of others to stages of consciousness beyond their own personal consciousness?

Third, the development of consciousness appears to be step-by-step, that is, invariant. The basic assumption is that individuals move from Stage Two to Stage Three and do not go to Stage Four without going through Stage Three. Development can also be arrested at any stage. An environment lacking social and cognitive stimulation provides little incentive for development and would contribute to the premature arresting of consciousness for leaders and followers. Transformational leaders are called to create conditions that stimulate maximum development for each individual at the highest levels possible.

For transformation to be enhanced, what relationship needs to exist between the consciousness of leader and followers? Do all transformational leaders move through the stages and cycles of consciousness in the same way? Is there a relationship among transformational leadership?
and gender and ethnicity?

In summary, this review of literature examined definitions of unconsciousness and consciousness, explored various measures of the development, and posed certain questions concerning the development of consciousness. Particular attention was given to the work of Hall (1976, 1986) and to measures of consciousness provided in the Hall-Tonna Inventory of Values.

Values

Different leadership styles reflect different values. Power brokers, transactional leaders, and transformational leaders reflect different beliefs, attitudes, and behaviors (Burns, 1978). Managers have different values than leaders (Kotter, 1990). This section reviews definitions of the word "value" and the different ways values are classified and measured.

Defining Value and Values

Values are ideals, principles, qualities, or standards by which to evaluate worthiness. Allport (1961) understood a value to be a belief upon which a person acts by preference. Smith (1963) perceived values as the conceptions of the desirable that are relevant to selective behavior. Bandura (1986) wrote about the values and
personal standards which influence the associates and environments people choose. Human behavior, he said, is governed by value preferences and self-evaluative standards. In plotting future paths, people control their futures through the mechanism of values.

The convergence of belief, attitude, and behavior is examined by Milton Rokeach. Rokeach (1970) described a value as an imperative to action, a standard yardstick to guide actions, attitudes, comparisons, evaluations, and justifications of self and others. It is an enduring belief that a specific mode of conduct or end state of existence is personally and socially preferable to an opposite or converse mode of conduct or end state of existence (1973). Four aspects of this definition of "value" are important.

First, a value is enduring -- but not stable. "If values were completely stable, individual and social change would be impossible" (1973, p. 5). Values do change, but there is an enduring quality to them. The values people learn as young children, therefore, are most likely with them today, though perhaps modified.

Second, a value is a belief. Not all beliefs, however, are values. Rokeach identifies three types of beliefs: descriptive or existential beliefs, those capable of being true or false; evaluative beliefs, wherein
the object of belief is judged to be good or bad; and
prescriptive beliefs, wherein some means or end of action
is judged to be desirable or undesirable. A value is a
belief of the third kind -- a prescriptive belief
(Rokeach, 1973, p. 7). For example, a value transcends
judgment of an object's goodness or badness; it is voli­
tional and asks if the object is wanted or not wanted.

Third, a value is both a mode of conduct and an end-
state of existence. Rokeach refers to two kinds of val­
ues: terminal and instrumental. Terminal values repre­
sent end-states of existence such as salvation, freedom,
and peace. Instrumental values represent the modes of
conduct by which a particular end-state is achieved.
Forgiving, responsibility, and loving are instrumental
values.

Rokeach makes further distinctions between terminal
and instrumental values. He distinguishes two kinds of
terminal values: personal and social. Salvation and
peace of mind are personal, while world peace is social.
Instrumental values are also of two kinds: moral and
competence. Moral values have an interpersonal focus and
their violation leads to feelings of guilt. Competency
values are personal in focus and their violation leads to
feelings of inadequacy and shame. "Thus, behaving hon­
estly and responsibly leads one to feel that he [or she]
is behaving morally, whereas behaving logically, intelligently, or imaginatively leads one to feel that he [or she] is behaving competently" (p. 8).

Fourth, a person prefers a particular mode or end-state not only when compared with its opposite but also when compared to other values within his or her value system. For example, out of all values in the universe, a person may choose to incarnate five particular values. These five values are more desirable to the person than all other values. The five values may also be rank-ordered in terms of desirability. In this way, it is possible to name, classify, measure, and set priorities of a person's core values and compare the values of persons, groups, and cultures.

**Classifying and Measuring Values**

Each of the above definitions of "value" stresses the conscious nature of values. A value is believed to be something that is consciously chosen. Yet, there is an unconscious dimension of a value that cannot be overlooked (Hall, 1976, 1986).

Before a value becomes conscious it is an inherent value waiting to be brought to consciousness by some event, group, or experience. Values transcend the immanent boundaries of consciousness. People have their
consciousness awakened to new values of which they were not formally aware and when these new values become conscious, the conscious values are set in an alternate priority.

Beneath each value, says Hall (1986), lies a deeper inner reality, an often unconscious image, of what that value represents. The value, whether in written language or spoken word, is the tip of the iceberg. Not only do values point to and underlie the way people behave and act in the world, when one knows what the values are in a given context, one has access to hidden information.

Values, therefore, are priorities that are held by a person which reflect the internal images and world view of the person. They are units of information that mediate one's inner reality into full expression in everyday life. Values may be transported and contained in the products of human effort such as a work of art, a speech, a prayer, a note to a friend, or in other everyday behavior.

Rescher (1969) in his Introduction to Value Theory suggests different ways values can be classified. Grouping values according to "subscribership" results in classes such as personal, professional, national, and so on. Values can be placed together on the basis of the objects at issue such as environmental values, personal
values, group values, and societal values. They can be divided in respect to the type of benefit at issue, the purpose at stake, or the nature of the relationship between the subscriber to the value and the beneficiary thereof.

Values can also be classified in terms of relationship to other values. Maslow's celebrated distinction between "D-cognition" and "B-cognition" values illustrates this type of classification.

Maslow (1971) observed two kinds of values corresponding to two kinds of needs. Deficiency needs lead to "D-values" which develop when a person is deprived of the things for which one yearns. Healthy people do not demonstrate these deficiencies. The need for being, however, results in "B-values" such as: wholeness, perfection, completion, justice, aliveness, richness, simplicity, beauty, goodness, uniqueness, effortlessness, playfulness, truth, and self-sufficiency.

Various instruments and processes have been used to classify and measure values. An early attempt is the Allport-Vernon-Lindsay (AVL) Study of Values which measured six classifications of values: theoretical, economic, aesthetic, social, political, and religious.

Another values instrument devised by Sundberg, Rohila, and Tyler in 1970, the Sundberg-Tyler (S-T) Values...
Q-sort, assumed that values were possibility-processing structures. Through a seven-step process a subject set in priority 50 statements of personal assumptions and 40 statements of personal directions. Their highest priorities identified their core values.

The most widely used instrument for investigating values is Rokeach's Value Survey. Rokeach interviewed and collected values from philosophers, students, and adults. The Rokeach Value Survey examines 18 terminal values: a comfortable life, an exciting life, a sense of accomplishment, a world of peace, a world of beauty, equality, family security, freedom, happiness, inner harmony, mature love, national security, pleasure, salvation, self-respect, social recognition, true friendship, and wisdom. It also measures 18 instrumental values: ambitious, broadminded, capable, cheerful, clean, courageous, forgiving, helpful, honest, imaginative, independent, intellectual, logical, loving, obedient, polite, responsible, and self-controlled. The values are printed on separate, removable gummed labels and the values system of a person is revealed by rank ordering each item in the two sets. The Value Survey has been administered to a national sample of 1409 men and women by the National Opinion Research Center. Further research using the Values Survey has investigated the relationship of values
and gender, socio-economic status, educational level, and age (Rokeach, 1973).

The AVL Study of Values, S-T Values Q-sort, and the Value Survey all reflect a cognitive approach to the study of values. Each begins with a definition of a particular value and then attempts to measure the presence of that value in the subject. Other research efforts have attempted a more affective or behavioral approach.

Raths, Harmin, and Simon (1966) maintain that a value, by definition, must be lived out. Through a seven-step process, subjects "clarify" their values. Values, they say, must be chosen freely from alternatives and selected only after thoughtful consideration of the consequences of each alternative. To be considered a value, a person must be happy with the choice and be willing to affirm the choice publicly. Finally, the person must act consistently on that choice. The values clarification process illustrates a more affective and behavioral approach to the study of values.

While most research studies have engaged in cognitive or behavioral approaches, a new research effort has taken a more confluent approach. The chief proponent of this confluent approach to the study of values is Brian Hall (1976, 1986). A confluent approach to values is
necessary, he says, because both cognitive and affective dimensions are present and operative when a person chooses to act. The power of this research approach appears significant.

First, the ontological foundation of any value remains outside of, but not apart from, the subject. Values remain rooted in objective order giving them commonality and making them public available for everyone. Hall's research identifies and defines 125 values across various cultures. Some of the values are personal; others, corporate or institutional. Some of the values represent terminal goals or end-states; others are instrumental, providing the means to arrive at certain ends.

Second, whereas not all values are conscious to an individual, organization, or society at a particular existential moment, some values are conscious. Values that have already been developed are called "Act" values. Values that an individual, organization, or society have chosen to work on in the present are called "Choice" values. Values that anticipate the future are called "Vision" values. The movement from past (act) to present (choice) to future (vision) creates the content of an individual's, organization's, or society's unique development.
Third, the core values a subject chooses reveal the value character of the individual, organization, or society. The act of choosing and setting priorities makes the unconscious conscious, lifting certain values from the realm of the unconscious and establishing them as priorities for a particular subject. A single value is significant not only on its own, but also in its relationship to other value priorities. In other words, two persons or organizations each having the same set of core values but in a different order of priority, would tend to make different decisions, establish different goals, and act in different ways.

This is clearly seen when differences in perceived needs, values, interests, and goals form a structural source of conflict among leaders at different hierarchical levels as well as between leaders and followers in the community. For example, Fiedler, Fiedler, and Camp (1971) showed that whereas community leaders thought that poor government, neighborhood disunity, and the failure of public services were the concerns of consequence, householders believed that crime, immorality, traffic, and unemployment were the issues that needed attention.

Values and Leadership

Leaders orchestrate the attention of followers and
leaders with different values orchestrate the attention of followers to different things. Burns (1978) describes transformational leadership as a process in which "leaders and followers raise one another to higher levels of morality and motivation" (p. 20). Leaders seek to raise the consciousness of followers by appealing to higher ideals and moral values. For children these higher ideals and moral values may be hope, will, and purpose; for adolescents, competence and fidelity; for adults, love, care, and wisdom (Erikson, 1968).

There may be particular values which characterize transformational leaders and which, if identified, would distinguish transformational leaders from other leaders.

Differences in values may explain differences in leadership style, decisions, goals, and behavior. Further, the identification of conscious and unconscious values may reveal upon examination particular values which empower or retard the growth and development of the individual, organization, or society. Particular values chosen and acted upon by the subject could then be used to facilitate the formation, re-formation, or transformation of the individual, organization, or society (Hall, 1986). Two quotes signal the importance of understanding the relationship between values and leadership.

Peters & Waterman (1982) said,
We have observed few, if any, bold new company directions that came from goal precision or rational analysis. While it is true that the good companies have superb analytical skills, we believe that their major decisions are shaped more by their values than by their dexterity with numbers (p. 51).

The implication from this is that if the cultures of individuals, organizations, and societies are values-driven, then the transformation of individuals, organizations, and societies must also be values-driven.

The second insight is that leaders who are called on to transform individuals, organizations, and societies need to appeal to "higher" values rather than "baser" values. Max DePree, Chairman of the Board at Herman Miller, is quoted in Time magazine (September 11, 1989) saying that he has little patience for by-the-book managers who ignore follower's needs for "spirit, excellence, beauty and joy." He says, "managers who have no beliefs but only understand methodology and quantification are modern-day eunuchs. They can never engender competence or confidence." He calls modern corporations to be communities, not battlefields because at their heart lie "covenants" between leaders and followers that rest on "shared commitments to ideas, to issues, to values, to goals, and to management processes." He says, "Words such as love, warmth, personal chemistry are certainly pertinent" (p. 56).

Thus, this section of the literature review has ex-
examined the values definitions, systems used to classify and measure values, and the relationship between values and leadership. The importance of cognitive, affective, and behavioral approaches to the study of values was recognized. Brian Hall's confluent theory of values was described as the approach that will be used in this study to identify, measure, and compare the values of leaders.

Skills

The third major area of this study is the relationship of leadership style and skills. Skill development is crucial for growth. To turn ideals into reality and to translate new aspirations into consistent behavior require skills. Many studies examine the importance and assessment of leadership skills; foundational to many studies is Katz (1955) observation that effective leadership depends on three skills: "technical skills" to accomplish the mechanics of the job, "human skills" to work with others building cooperative effort, and "conceptual skills" to recognize interrelationships in a situation which will lead to beneficial actions.

In the AT&T Management Progress Study twenty-five variables are deemed important for success. These variables are incorporated, in whole or in part, in many other assessment programs. These variables include gen-
eral mental ability, oral and written communication skills, human relations skills, personal impact, perception of threshold social cues, creativity, self-objectivity, social objectivity, behavioral flexibility, need for the approval of superiors, need for the approval of peers, inner work standards, need for advancement, need for security, goal flexibility, primacy of work, values orientation, realism of expectations, tolerance of uncertainty, ability to delay gratification, resistance to stress, range of interests, energy, organization and planning, and decision making (Bray, Campbell, & Grant, 1974, pp. 19-20).

These twenty-five variables are grouped in seven categories: administrative skills, interpersonal skills, intellectual ability, stability of performance, motivation to work, career orientation, and lack of dependence on others (Bray, Campbell, & Grant, 1974). Dunnette (1971) identifies the underlying factors of success to include overall activity and general effectiveness, organizing and planning, interpersonal competence, cognitive competence, motivation to work, personal control of feelings, and resistance to stress.

Empirical studies by Sackett and Hakel (1979) and Tziner (1984) question whether more than just a few dimensions can account for all 25 variables or their factor
clusters. Thornton and Byham (1982) find the surplus of variables useful for diagnosis and counseling.

Different leader groups place emphasis on different skills. Pavett and Lau (1983) report the self-ratings of 180 top, middle, and lower leaders on 54 items concerning Mintzberg's ten roles plus an eleventh role of technical expert. Sales and marketing personnel rank the roles of leader and monitor highest; accounting and finance staff rank spokesperson and resource allocator highest; and research and development perceives the technical expert to be most important. For general managers, human and conceptual skills are seen as most important. In accounting and finance, the greatest importance is attached to technical skills, and in sales and marketing, it is apportioned to political skills.

Nygren, Ukeritis, and McClelland (1993) identify leadership competencies for religious leaders. They list an attitude of mission orientation; cognitive abilities including conceptual and analytical thinking; basic skills of information seeking, efficiency orientation, and administration; and personal qualities of moderation and self-confidence as necessary threshold competencies for religious leaders. Outstanding religious leaders need to have a commitment to a shared and enabling vision; a strategy over maintenance, an awareness of God in
the world and personal life, perceptual objectivity, empathy, achievement orientation and desire to make things better, and socialized power with a desire to make things happen.

There are relationships, therefore, among leader occupation, position, and skill importance. In spite of the plethora of leadership skill studies, certain skills, however, are not examined. Many studies examine instrumental leadership skills and interpersonal or human relations skills. Little leadership research has examined the skills of imagination and understanding systems.

For Hall (1986), "Skills are simply the flip side of values" (p. 12) and enable a value or a cluster of values to be actualized. The Hall-Tonna Inventory of Values identifies not only a subject's cycle of consciousness and core values, but also four skill factors: instrumental, interpersonal, imaginal, and systems skills. Particular attention is now given to examining these four skills.

Instrumental Skills

Instrumental skills are task oriented. They encompass all abilities necessary to get jobs done. They include the peculiar blend of intelligence and manual dexterity that enables a person to survive at home, in
school, and finally in a chosen profession. Instrumental skills constitute the ability to manipulate what appears objective and external such as ideas and physical tools. Three types of instrumental skills are general skills, specialized skills, and the design and use of tools (Kalven, Rosen, & Taylor, 1982).

All persons in a culture need certain general skills to participate fully. Without basic skills like reading and writing the achievement of a sense of worth suffers a severe setback. Graduation rituals, diplomas, and certificates of achievement reflect the general expectations of a culture.

Belonging and self-worth are enhanced by the acquisition of more specialized skills. By developing skills, plumbers, teachers, and ministers, for example, develop specialties not typical of the general populace. These professional skills empower a person to be more independent than others who must cope with life without these specialized skills. The specialized competence that accompanies the acquisition of these skills opens the door to stages of consciousness not available to persons limited by only general instrumental skills.

Instrumental skills also include the design and use of tools. The skill to use tools can be a simple or highly sophisticated art. The term "tool" includes not
only simple hardware such as drills, pots, syringes, brooms, and motors. "Tools" can also include productive institutions such as factories which produce tangible commodities such as cars and electric current. Even production systems for intangible commodities such as education, the care of the sick, and conflict resolution are tools (Illich, 1973).

Not everyone may be equally qualified to use all tools. Some persons have the ability to design and use tools that construct a world perceived in their vision of the future. Especially in human institutions designed to promote higher values, highly skilled people are required.

A wise saying says, "All things are created twice -- once in the mind and then in real life." There is a relationship between consciousness and "tool-making" (Hall, 1986). A person or group of persons with reflective intellect are able to collect data, fantasize, reflect, and synergistically produce new ideas. When any mass of data is assimilated within the small confines of the human mind into a new integrated whole, Hall (1986) calls the process "miniaturization." Through "objectification" the miniaturized form moves from the mind into the environment in the form of a new "tool." All tools, whether they are hammers or saws, houses or
office complexes, or schools or governments are objectifications of human ideas projected into the environment in the form of "tool." This idea, expressed outwardly as a tool, in turn causes an explosion of consciousness, bringing about greater complexity, that someone "miniaturizes" again. The process of tool-making is thereby developmental.

Interpersonal Skills

Human growth is dependent on the cultivation of interpersonal skills that equip a person to enter into deeply satisfying human relationships. Interpersonal skills include the ability of a person to act with generosity and understanding toward others.

For Erikson (1963), interpersonal skills are developmental and necessary for growth. Persons who remain isolated or habitually cut off from others effectively stunt their growth. Kalvin, Rosen, and Taylor (1982) observe a correlation between a person's expansion of consciousness and a widening of social relationships.

The ultimate in one dimension of the interpersonal is the capacity to see the whole human race as one's "in-group" (Allport, 1954). It is difficult to define an in-group precisely. Perhaps the best that can be done is to say that members of an in-group all use the term "we"
with the same essential significance. This "we" includes more and more people as one develops. It expands developmentally beyond mother, father, and family to include neighbors, school, work, and in higher levels of consciousness includes the whole created order as in-group.

Normally an in-group implies an out-group, hostility toward which tends to increase one's in-group loyalties. This need not be so. A person reaching higher levels of consciousness can perceive humankind as the in-group, leaving nobody on the outside.

Expanding interpersonal relationships demand expanding interpersonal skills. Listening, communicating, being in touch with feelings, sympathy, and caring lead to intimacy with others. These are skills that must be acquired if relating to any in-group is to be meaning-enhancing. Intimate relationships are beyond the grasp of any persons who can neither attentively listen to another nor accurately communicate their own thoughts and feelings.

Empathy may be the most essential interpersonal skill for developing interpersonal relationships at higher levels of consciousness. Empathy, according to Oden (1974), is the capacity for one person to enter imaginatively into the sphere of consciousness of another, to feel the specific contours of another's experi-
ence, to allow one's imagination to risk entering the inner experiencing process of another.

Imaginal Skills

Imaginal skill is the ability to create images. It is a peculiar blend of internal fantasy, feeling, and thinking that enables a person to externalize one's ideas and images in an effective manner, to transform internal images into external products and structures that are workable in the world.

Fantasy uses energy to convert data received from internal or external, conscious or unconscious sources into images consisting of colors, shapes, and movement. This image-making ability while natural to all humans is more developed in some people than others.

Emotions designate a person's feeling-response to the data picked up from the environment. The emotions evaluate the data, perceiving it as helpful or harmful, desirable or to be avoided. Sometimes images from a person's unconscious enter consciousness with emotional overtones that are not comprehended.

The reflective intellect examines and organizes the data in the environment with a view of simplifying the data and constructing ideas. Hall (1986) describes this process as miniaturization. Reflective intellect enables...
imaginative persons to consider alternative realities and structures.

The development of fantasy, emotions, and reflective intellect facilitates the development of imagination. If, for whatever reason, a person adopts a generally passive attitude toward the environment, then the creative characteristic of the imaginative person will not develop.

System Skills

System skills involve the ability to see and understand how all the parts of any complex organization of data relate to the functioning of the whole. They include the ability to analyze a complex whole into its parts, to grasp the inter-relationships among the parts, to plan interventions to change existing systems, and to design new systems. System skills also include being able to make decisions based on a knowledge of the whole organization rather than on its parts. Three basic kinds of systems are one's body, one's family, and societal institutions such as organizations or communities (Kalven, Rosen, & Taylor, 1982).

Individuals acquire necessary system skills to manage their daily lives for optimum health and vitality. When system skills are not acquired, stress-induced dis-
ease, disease, or entropy results. Holistic health movements suggest that the remedies for these conditions are to be found not so much in new medications but rather in developing better systems of living: healthier rhythms of work and leisure, rest and exercise, solitude and intimacy (Covey, 1989) and the practice of meditation, psychosynthesis, or bio-feedback (Assagioli, 1976).

The first system outside of one's body with which a person must learn to cope is the family. Parents teach children roles and socially accepted ways to act with others in social settings, how to communicate and be understood, and how to express emotions (Satir, 1967). When persons fail to learn necessary family system skills they may become the "identified patient," lack necessary balance, not experience self-differentiation, become emotionally "triangled" by others, and may extend the family's dysfunction from generation to generation (Friedman, 1985). While interpersonal coping skills are important for harmonious family living and personal development, they fall short of true family-systems skills. The key is in understanding the family as a complex whole, whose members are both unique individuals and interdependent actors, affecting each other in somewhat the same way that the various parts of the body do.

As people grow and mature, their world expands and
they are confronted by more and more systems -- educational, religious, governmental, economic, and cultural. Systems get more complicated and demand more ingenuity. Burns (1978) describes successful revolutionaries as persons who have a sense of timing and ability to foresee obstacles, gifts to excite the imagination of followers, the ability to organize people, distribute tasks, and adapt to the unexpected.

Kalven, Rosen, & Taylor (1982) identify ten important systems skills. These are:

1. The ability to read the present and future expectations of the system as represented by the leadership or the membership.

2. The ability to discover or shape a personal role in the fulfillment of those expectations by making sure the system wants and needs me.

3. The ability to foresee and handle obstacles and opposition.

4. The ability to read the signs of the time as they are significant for both me and the system.

5. The ability to motivate myself and others to achieve the goals of the system.

6. The ability to analyze the components of a task and to make sure that each is taken care of, assigning specific responsibilities in the process.

7. The ability to assess both the strong and weak points of the system.

8. The ability to decide on realistic goals for the system.

9. The ability to enhance personal meaning
from my being part of the system.

10. The ability to distinguish between the myth and the reality of the system, to separate propaganda from reality (p. 31).

Skills and Leadership

Four types of skills are identified by the Hall-Tonna Values Inventory: instrumental, interpersonal, imaginal, and system skills. This review of literature pertaining to skills raises certain questions and concerns.

First, do all leadership groups regard the same skills as important? Are skills of equal importance at all levels of leadership? Studies of leadership skills need to account for a leader's occupational grouping and position.

Second, does a skill at one stage of a person's development become an impediment to growth at a later stage? As one moves out beyond the family into society, for example, initially one needs to learn to fit into that society and its systems. If, however, the basic concern is to conform or fit in, then growth to higher stages of development will be prevented by the unwillingness to become self-directed. What was a valuable skill and means for achieving a sense of belonging at one time has now become a liability.

Third, if leadership is a process of mobilizing re-
sources to accomplish goals, what leadership skills are necessary? Leaders have responsibility to do more than keep order or make people comfortable. There is a difference between leaders and managers. Leaders must not confuse care for the members of the system with refusal to cause confrontation and conflict where that is necessary. Kalven, Rosen, and Taylor (1982) believe that a leader needs to be minimally at Hall's third phase of consciousness with the needed concomitant skills. "Contemporary society," they say, "requires at least that much" (p. 33). The goal of effective leadership training, also, should be at least the third phase. In order to be holistically present at that phase as a leader one has to have all four skills operating in one's behavior.

Conclusion

The foregoing review of literature provides a foundation of important concepts for this study. Four perspectives on transformation were identified and examined. Leadership was defined and transactional and transformational leadership styles were contrasted. Literature pertaining to consciousness, values, and skills was reviewed. Throughout the literature review particular attention was given to the research of Brian Hall and the Hall-Tonna Inventory of Values.
CHAPTER III

THE RESEARCH DESIGN

What are qualities associated with transformational leadership? What differences are there in consciousness, values, and skills between transformational leaders and other leaders? This study seeks to identify the developmental cycles of consciousness, values, and skills necessary for facilitating the transformation of individuals, organizations, and societies and it hypothesizes that the developmental cycle of consciousness, the values, and the skills of transformational leaders are different than other leaders. While Chapter I introduced the focus of the study and Chapter II reviewed pertinent literature, this chapter identifies the subjects, instrumentation, and research design.

Subjects

This study explores certain qualities of transformational leadership and hypothesizes that the consciousness, values, and skills of transformational leaders are different than other leaders. As noted in Chapter I, this study extends the research into transformational leadership beyond political, business, military, and
educational leaders by examining leaders in ministry. The subjects in this study are all graduates of a single theological graduate school: Western Theological Seminary in Holland, Michigan, and are presently ordained ministers in a single denomination: the Reformed Church in America.

In planning a research project Borg and Gall (1983) suggest that the general rule is to use the largest sample possible. "The larger the sample," they say, "the more likely is its mean and standard deviation to be representative of the population mean and standard deviation" (p. 257). In causal-comparative research, it is desirable, they say, to have a minimum of 15 cases in each group to be compared (p. 257).

The two sample groups in this study each have 30 subjects. The total population of ordained ministers in the Reformed Church in America who graduated from Western Theological Seminary between the years 1955 and 1985 numbers 633. By 1985, only five women had graduated with the Master of Divinity degree and were ordained as ministers in the Reformed Church in America, therefore, only males in this population are examined. To minimize the presence of uncontrollable variables such as educational level, international experience, geographical location, and socio-economic level, 60 leaders were randomly se-
lected for each group and invited to complete the research inventory. From the pool of persons who completed the research inventory, a random sample of 30 persons were selected for inclusion in each group.

The comparison group for this study was formed by randomly selecting by number from the list of 628 persons the names of 60 Western Seminary graduates who are ordained ministers in the Reformed Church in America. Each of the 60 ministers selected were invited to complete the research inventory. Based on an anticipated 50% minimum rate of return for completed research inventories, the comparison group of the study consists of 30 subjects randomly selected from the pool of persons who completed the research inventory.

The protocol for forming the transformational group follows a nomination process similar to that of other studies (Bass, 1985; Kotter, 1990). The transformational leaders in this study are ministers nominated by their denominational executives. The denominational leaders were given the following definition of transformational leadership and leaders:

Transformational leadership occurs when a person or persons engage others in such a way that leaders and followers are raised to higher levels of motivation and morality. Transformational leaders build reciprocal relationships with others and mobilize resources to accomplish individual, organizational, or societal goals that challenge the status quo, raise con-

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consciousness, provide meaning, and serve the common good (Appendix A).

Fifty denominational executives were provided this definition of transformational leadership and leaders and the names of 628 persons who were graduated between 1955 and 1985 from Western Theological Seminary and are presently serving as ordained ministers in the Reformed Church in America. From this list of 628 names each denominational executive nominated 20 persons who best exhibited the qualities of transformational leadership. The 60 persons with the most nominations and who were not previously selected for the comparison group were invited to complete the research inventory. From the pool of completed inventories 30 subjects were randomly selected by number for the transformational leadership group.

Instrumentation

All subjects selected for the transformational and comparison groups responded to the 77 questions posed by the Hall-Tonna Values Inventory (1986). The Hall-Tonna Values Inventory is a paper and pencil test consisting of 77 items, each item having five socially desirable responses. For each item, the subject is asked to choose the single response that is currently most pertinent. Each of the responses in the inventory relates to a single value on a list of 125 values.
The Manual for the Hall-Tonna Inventory of Values (Hall, Harari, Ledig, & Tondow; 1986) reports the results of validity studies performed on the inventory. Validity studies on the Hall-Tonna Values Inventory sought to answer questions such as: "Does the inventory measure what it was designed to measure?" and "When a respondent selects a particular item, does it represent the same meaning to the respondent as it does to the designer?"

First, item analysis was conducted in order to standardize each item in the inventory. Statements needed to reflect the value it was intended to describe to a majority of people in a given culture. Equal numbers of men and women with heterogeneous backgrounds regarding age, occupation, education, religion, and socioeconomic status participated in a group consensus process used to determine whether or not behavioral examples reflected the intended value. This procedure was completed in English, French, German, and Italian.

Second, procedures to measure content validity were designed in a multiple choice/matching format. Statements in the inventory were divided into groups of seven and values corresponding to the statements were selected at random and arranged into groups of ten. Respondents were instructed to match the value with the statement that most closely described its meaning. 83.5% of the
respondents scored over 80% accuracy.

Third, a major concern in the development of the inventory was that each of the values represents a different domain of the spectrum of attitudes and feelings generally subsumed under the term "values." To validate these values, intercorrelations (125 X 125) were run on ten norm groups that included Filipino nurses, activity therapists, engineers, women in high technology fields, church leaders, Hospice volunteers, attorneys in private practice, fire fighters, divorced Catholic women, and biotechnologists. The correlations for each group were quite similar and all the groups were combined and the intercorrelations were run for the total group of men and women ranging in age from 19 to 91 (n=703) (Hall, et al; 1986). The resulting correlations are universally low, ranging from .00 to .50. This low correlation indicates that each of the 125 values is independent and does, in fact, measure a different aspect of the values spectrum. It also highlights the very broad spectrum of inner life (feelings and thoughts) that the inventory encompasses.

Finally, as part of the validation study, Hall-Tonna Values Inventory scores from the ten norm groups were compared to scores from the Allport-Vernon-Lindzey Survey of Values (AVL). An analysis of the value categories of the two inventories indicates that each of the six broad
categories (theoretical, economic, aesthetic, social, political, religious) in the AVL Study of Values is more specifically itemized by a number of values in the Hall-Tonna. First, 31 values from the Hall-Tonna do correspond with the six AVL categories. Second, there are certain values in the Hall-Tonna which do not neatly fit into any of the six AVL value categories, but rather encompass more than one AVL category, or are not addressed at all in the AVL. Third, particular values in the Hall-Tonna appear on the surface to fit into an AVL value category but in reality do not, because they transcend the meanings of the categories as defined by the AVL.

While validity studies ask "What does the instrument measure?", reliability studies ask "Whatever the instrument measures, does it do so consistently?" Reliability studies on the Hall-Tonna Values Inventory included "test-retest" and "split-half" procedures.

In reliability studies on the Hall-Tonna Values Inventory a sample of 89 individuals, including high school students and adults from diverse backgrounds, participated in a "test-retest" study. The time interval between test and retest was four weeks. Using the values as raw scores, the test-retest correlation was .66; that is, the subject affirmed the same value at the same weight
two-thirds of the time. The test-retest correlation improved to .75 when the cycle of consciousness was used as a raw score. In other words, subjects continued to experience the same cycle of consciousness three-fourths of the time. The test-retest correlation was .72 when specific responses to specific items were used as raw scores.

Internal consistency on the Hall-Tonna Values Inventory was computed using two versions of Coefficient Alpha. Version 1 estimated split-half reliability when the variances for the two halves of the instrument were considered unequal. Version 2 used the more general model of coefficient alpha, one which averaged the split-half reliability estimates obtained by dividing the test in all possible ways. Using the raw score categories, the results are summarized in Table 1.

The results indicate a strong consistency in the pattern of data across the three types of raw score categories. Clearly, the Hall-Tonna Values Inventory is most consistent in assessing developmental levels of consciousness and somewhat less consistent, though still acceptable, in assessing specific values.
Table 1

<table>
<thead>
<tr>
<th>Type of Scoring</th>
<th>Items</th>
<th>Values</th>
<th>Consciousness Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version 1 alpha</td>
<td>.78</td>
<td>.73</td>
<td>.92</td>
</tr>
<tr>
<td>Version 2 alpha</td>
<td>.76</td>
<td>.66</td>
<td>.91</td>
</tr>
<tr>
<td>Test-retest</td>
<td>.72</td>
<td>.66</td>
<td>.75</td>
</tr>
</tbody>
</table>

Research Design

This study hypothesizes a relationship between leaders' developmental cycle of consciousness, values, skills, and leadership style. The following questions are put forth to test this hypothesis:

1. What is the difference in the developmental cycles of consciousness between transformational leaders and other leaders? The hypothesis to be tested is that there is a difference in consciousness between transformational leaders and other leaders.

Operationally, the t-test for two sample cases will be used to determine if the means (cycles of consciousness) are different for the transformational and comparison groups. In the hypothesis the parameter for this investigation is the difference between two population means, that is, $m_1 - m_2 = 0$; the corresponding statistic is
X₁-X₂. Using the t-test for two-sample cases (Hinkle, et al.; 1979; pp. 203-209), the standard deviation, the critical value of the test statistic, and the confidence level will be determined using n₁+n₂-2 (58) degrees of freedom. If the observed value exceeds the critical value (1.67 at .10), the null hypothesis will be rejected in favor of the alternate hypothesis.

2. What is the difference in values between transformational leaders and other leaders? The hypotheses to be tested are that there is a difference in the goals values and means values between transformational leaders and other leaders.

Studies (Hall, 1986;) using the Hall-Tonna Values Inventory indicate that the five highest goal and mean values usually have percentage scores of at least .50. The five priority goals and five priority means values of the transformational will be used to examine the relationship between values and leadership style.

Operationally, the t-test for two sample cases will be used to determine if the means (goals values, means values) are different for the transformational and comparison groups. In the hypothesis the parameter for this investigation is the difference between two population means, that is, m₁-m₂=0; the corresponding statistic is X₁-X₂. Using the t-test for two-sample cases (Hinkle, et
al.; 1979; pp. 203-209), the standard deviation, the critical value of the test statistic, and the confidence level will be determined using \( n_1 + n_2 - 2 \) (58) degrees of freedom. If the observed value exceeds the critical value (1.67 at .10), the null hypothesis will be rejected in favor of the alternate hypothesis.

3. What is the difference in skills between transformational leaders and other leaders? The hypothesis to be tested is that there is a difference in the skills (instrumental, interpersonal, imaginal, and system skills) between transformational leaders and other leaders.

Operationally, the t-test for two sample cases will be used to determine if the skills mean (instrumental, interpersonal, imaginal, and systems skills) is different for the transformational and comparison groups. In the hypothesis the parameter for this investigation is the difference between two population means, that is, \( m_1 - m_2 = 0 \); the corresponding statistic is \( X_1 - X_2 \). Using the t-test for two-sample cases (Hinkle, et al.; 1979; pp. 203-209), the standard deviation, the critical value of the test statistic, and the confidence level will be determined using \( n_1 + n_2 - 2 \) (58) degrees of freedom. If the observed value exceeds the critical value (1.67 at .10), the null hypothesis will be rejected in favor of the
alternate hypothesis.

The conceptual hypothesis of this study is that there is a relationship between consciousness, values, skills and a leader's leadership style. If there is a significant difference in the consciousness, values, and skills between transformational leaders and other leaders, then the null hypotheses will be rejected in favor of the alternative hypotheses and the conceptual hypothesis will be affirmed. Chapter III identifies the subjects, instrumentation, and research design used to test this hypothesis. Chapter IV will identify and discuss the results.
CHAPTER IV

RESULTS AND DISCUSSION

This research seeks to identify the developmental cycles of consciousness, values, and skills necessary for facilitating the transformation of individuals, organizations, and societies, and it hypothesizes that there is a difference in the consciousness, values, skills between transformational leaders and other leaders. Chapters I and II introduced the focus of the study and reviewed pertinent literature. Chapter III identified the subjects, instrumentation, and research design. This chapter reports and discusses the research results.

The world views, values, and skills of transformational leaders were compared with another group of leaders in order to explore the differences between the two groups. The following questions were put forth to test the conceptual hypothesis:

1. What is the difference in consciousness between transformational leaders and other leaders?

2. What is the difference in values between transformational leaders and other leaders?

3. What is the difference in skills between transformational leaders and other leaders?
Consciousness and Leadership Style

The first question explores the difference in cycles of consciousness between transformational leaders and other leaders. The hypothesis is that there is a difference in consciousness between the two groups of leaders.

Operationally, the t-test for two sample cases was used to determine if the means (cycles of consciousness) were different for the transformational and comparison groups. In the hypothesis the parameter was the difference between two population means, that is, \( m_1 - m_2 = 0 \) and the corresponding statistic is \( X_1 - X_2 \). Using the t-test for two-sample cases (Hinkle, et al.; 1979; pp. 203-209), the critical value of the test statistic was established at a confidence level of .10 using \( n_1 + n_2 - 2 \) (58) degrees of freedom, or 1.67. If the observed value exceeded the critical value, the null hypothesis was rejected in favor of the alternate hypothesis. The results of this test are shown in Table 2.

The observed value of 4.29 is greater than the critical value of 1.67. The null hypothesis is therefore rejected in favor of the alternative hypothesis demonstrating the presence of a significant difference in consciousness between the two groups. There exists, therefore, a relationship between consciousness and leadership style.
Table 2
The Relationship Between Consciousness and Leadership Style

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>Mean</th>
<th>SD</th>
<th>t</th>
<th>df</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transformational</td>
<td>30</td>
<td>11.87</td>
<td>1.17</td>
<td>4.29</td>
<td>58</td>
<td>.000</td>
</tr>
<tr>
<td>Comparison</td>
<td>30</td>
<td>10.67</td>
<td>.99</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

\[ Tcv = 1.67 (.10) \]

In this research the random sample of ministers (10.67) are leaders who are moving from the institutional cycle of consciousness to the intrapersonal cycle of consciousness (Hall, 1986). Their ethical choices, which were based on what the law and respected institutions and authorities said were right (p. 111), no longer seem black and white (p. 119). These are persons who are now beginning to reason their own way to appropriate decisions (p. 120). Although yet dominated by institutional realities (p. 121), attention and commitment to the development of a particular life sustaining values system is growing in importance (p. 120). Hall says,

Growth in this stage is dependent upon learning to establish a balance between a need for independence and a predilection for reasoning on the one hand and giving appropriate expression to interpersonal, emotional and intuitive needs, on the other hand (p. 120).

Whereas the random sample of ministers in this study

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are moving from institutional consciousness to a more intrapersonal consciousness, the transformational ministers (11.87) are solidly in the intrapersonal cycle of consciousness. Their leadership style, however, remains enabling and conflicting. The leader in the intrapersonal cycle of consciousness, Hall says, is "caught between adherence to what the institution demands, and a new view of human dignity and sense of self. The leader/follower distinction is not yet clear for this person" (p. 120).

Clarity of leadership focus does not emerge until one enters the communal/collaborative cycle of consciousness (Hall, 1986). At the communal and collaborative cycle of consciousness the world is viewed as a project in which one feels the need to participate and to which leaders have something unique to offer. Leaders want to integrate their gifts with the demands of society. They see the importance of making institutions more human and their ethical choices are based on a personally meaningful and articulated center of values to which they are clearly committed (p. 122). In this study 26% of the transformational group exhibited communal/collaborative consciousness as compared to only 3% of the comparison group. There is a relationship between consciousness and leadership style.
Values and Leadership Style

Question 2 explores the relationship between values and leadership style by investigating the differences in values between transformational leaders and other leaders. Studies using the Hall-Tonna Values Inventory with leaders (Hall, 1986) indicate that the five highest goal and mean values usually have percentage scores of at least .50. The five priority goals and five priority means values of the transformational group were used to compare the differences in values between transformational leaders and other leaders. The hypotheses to be tested were that there exist differences in the goals values and means values between transformational leaders and other leaders.

Operationally, the t-test for two sample cases was used to determine if the means (goals values, means values) were different for the transformational and comparison groups. In the hypothesis the parameter was the difference between two population means, that is, \( m_1 - m_2 = 0 \) and the corresponding statistic is \( X_1 - X_2 \). Using the t-test for two-sample cases (Hinkle, et al.; 1979; pp. 203-209), the critical value of the test statistic was established at a confidence level of .10 using \( n_1 + n_2 - 2 \) (58) degrees of freedom, or 1.67. If the observed value exceeded the critical value, the null hypothesis was re-
jected in favor of the alternate hypothesis.

**Goals Values**

The five priority goal values of the transformational group are service/vocation, faith-risk/vision, self-competence/confidence, knowledge-discovery/insight, and human dignity. The definitions (Hall, et.al., 1986, pp. 99-107) of these values are as follows:

Service/Vocation: to be motivated to use one's gifts and skills to contribute to society through one's occupation, business, profession or calling.

Faith/Risk/Vision: behavioral commitment to values that are considered life giving even at risk to one's life.

Self-Competence/Confidence: realistic and objective confidence that one has the skills to achieve in the world of work and to feel that those skills are a positive contribution.

Knowledge/Discovery/Insight: the pursuit of truth through patterned investigation. One is motivated by increased intuition and unconsciously-gained understandings of the wholeness of reality.

Human Dignity: consciousness of the basic right of every human being to have respect and to have his/her basic needs met that will allow him/her the opportunity to develop his/her potential.

The results of the test for goals values are shown in Table 3.
Table 3
The Relationship of Goals Values and Leadership Style

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>Mean</th>
<th>SD</th>
<th>t</th>
<th>df</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transformational</td>
<td>30</td>
<td>51.3</td>
<td>15.6</td>
<td>1.89</td>
<td>58</td>
<td>.06</td>
</tr>
<tr>
<td>Comparison</td>
<td>30</td>
<td>43.6</td>
<td>16.0</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Tcv = 1.67 (.10)

The observed value (1.89) exceeds 1.67, the critical value (Tcv). The null hypothesis, therefore, is rejected in favor of the alternative denoting that a significant difference exists between the goals values of the two groups. The conclusion, therefore, is that there is a relationship between goals values and leadership style.

Separate t-tests on each of the five goals values indicate that a significant difference in two values of transformational ministers account in large part for the difference between the two groups. Transformational ministers place greater value on human dignity (t = 2.60, P = .012) and faith/risk/vision (t= 1.85, P = .07).

There are also two values present in the priority goals of the comparison group that are not present to the same degree in the transformational group. The value "Family/Belonging" refers to the people to whom one feels primary bonds of relationship and acceptance and the
place of dwelling of one's parents. The comparison group (mean = .57) values family and belonging more than the transformational group (mean = .45) (t = -1.67, P = .102). Work/Labor is the second value present in the comparison group but not to the same degree in the transformational group. Work/Labor means to have skills and rights that allow one to produce a minimal living for one's self and one's family. The comparison group (mean = .50) is more concerned about work/labor than is the transformational group (mean = .24) (t = -3.12, P = .003).

In other words, not only do these two groups give different weights to the transformational goal values, the two groups are driven by different values. Whereas ministers in general are driven by family/belonging, competence/confidence, work/labor, service/vocation, and knowledge/discovery /insight; transformational ministers are driven by service/vocation, faith/risk/vision, competence/confidence, knowledge/discovery/insight, and human dignity.

Means Values

The five priority means values for the transformational ministers in this study are sharing/listening/trust, community/personalist, personal authority/honesty,
productivity, and creativity/ideation. Definitions (Hall, et.al., 1986, pp. 99-107) of these values are as follows:

Sharing/Listening/Trust: the capacity to actively and accurately hear another's thoughts and feelings and to express one's thoughts and feelings in a climate of mutual confidence in each other's integrity.

Community/Personalist: sufficient depth and quality of commitment to a group, its members and its purpose that both independent creativity and interdependent cooperation are maximized simultaneously.

Personal Authority/Honesty: the freedom to experience and express one's full range of feelings and thoughts in a straightforward, objective manner. This ability comes from personal integration of thoughts and feelings and results in experiencing one's own integrity and power.

Productivity: to feel energized by generating and completing tasks and activities and achieving externally established goals and expectations.

Creativity/Ideation: the capacity for original thought and expression that brings new ideas and images into practical and concrete reality in ways that did not previously exist.

The results of the t-test for means values are shown in Table 4.

The observed value (2.67) exceeds 1.67, the critical value (Tcv). The null hypothesis, therefore, is rejected, in favor of the alternative that there is a significant difference in the means values between the two groups. The conclusion is, therefore, that there exists
a relationship between means values and leadership style.

### Table 4
The Relationship of Means Values and Leadership Style

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>Mean</th>
<th>SD</th>
<th>t</th>
<th>df</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transformational</td>
<td>30</td>
<td>60.13</td>
<td>15.55</td>
<td>2.67</td>
<td>58</td>
<td>.01</td>
</tr>
<tr>
<td>Comparison</td>
<td>30</td>
<td>49.49</td>
<td>15.35</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Tcv = 1.67 (.10)

Separate t-tests on each of the five means values indicate that the presence of two means values in transformational ministers account in large part for the difference between the two groups. The transformational ministers have greater personal commitment to community ($t = 2.50$, $P = .01$) and creativity/ideation ($t = 2.64$, $P = .01$).

One value emerged in the comparison group as a priority value which did not have a strong priority in the transformational group. Limitation/Acceptance is giving positive mental assent to the reality that one has boundaries and inabilities. This includes an objective self-awareness of one's strengths and potential as well as weakness and inability; the capacity for self-criticism. Transformational ministers (mean = .18) in this
study are less accepting of their limitations than the comparison group (mean = .47) (t = -3.50, P = .001).

Once again, not only do the two groups give different weights to the transformational means values, but they are in fact driven by different values. Whereas ministers in general use sharing/listening/trust, productivity, limitation/acceptance, adaptability/flexibility, and personal authority/honesty to accomplish goals, the transformational ministers, on the other hand, use sharing/listening/trust, community/personalist, personal authority/honesty, productivity, and creativity/ideation.

Goals and Means Values and Leadership Style

Values form dialectical relationships (Hall, 1986). Not only are values the priorities people live by, but they form dynamic clusters that energize people, or perhaps destroy them (p. 21). These values clusters are formed in dialectical relationships between prioritized goals and means values. Benjamin Tonna (Hall, 1986) describes the dialectical process by which goals and means values relate to form new goals.

The real interaction is at this deeper level -- namely, that behind each of the values lies a deeper inner reality, an image, often unconscious, of what that value represents. The value, whether in the written language or spoken word, is the tip of the iceberg. Self-Preservation and Self-Worth are prefigured, if you wish, in the unconscious as images of how
our inner self views the world of people and things. Hence behind the dialectic there is an inner imaging and re-imaging process that is actually reorganizing the person's world view and all his or her consequent behavior. The values are simply external indicators of this process (Hall, 1986, p. 22).

The difference between the transformational leaders and the comparison group are clearly seen by examining the dialectical relationships of goals and means values prioritized by the two groups. These dialectical relationships are shown in Table 5.

Table 5
Dialectical Values Relationships of Transformational Ministers

<table>
<thead>
<tr>
<th>Service/Vocation</th>
<th>Faith/Risk/Vision</th>
<th>Community/Personalist</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sharing/Listening/Trust</td>
<td>Competence/Confidence</td>
<td>Knowledge/Discovery/Insight</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Human Dignity</td>
</tr>
<tr>
<td>Personal Authority</td>
<td></td>
<td>Productivity</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Creativity/Ideation</td>
</tr>
</tbody>
</table>

For the transformational ministers, the dialectic between the strongest goal value, namely Service/Vocation (.58) and the strongest means value, namely Shar-
ing/Listening/Trust (.75) leads to the next strongest goal value, namely Faith/Risk/Vision (.57). The dialectic created by Faith/Risk/Vision and Community/Personalist (.63) leads to Self-Competence and Confidence (.50). Self-Competence and Confidence and Personal Authority/Honesty (.57) lead to Knowledge/Discovery/Insight (.47) and/or Human Dignity (.47). This dialectical process is very different for the comparison group as shown in Table 6.

Table 6
Dialectical Values Relationships of Comparison Ministers

| Family/Belonging | > | Self-Competence/Confidence | > |
| Sharing/Listening/Trust | > | Productivity |
| > | Work/Labor | > | Service/Vocation |
| > | Limitation/Acceptance | > | Limitation/Acceptance |
| > | Adaptability/Flexibility | > | Adaptability/Flexibility |
| > | Knowledge/Discovery/Insight |
For the comparison group of ministers, Family/Belonging (.57) and Sharing/Listening/Trust (.70) interact to create a sense of Self-Competence and Confidence (.54). Self-Competence/Confidence interacts with Productivity (.67) which leads to satisfactory sense of Work/Labor (.50). Work/Labor and either Limitation/Acceptance (.47) or Adaptability/Flexibility (.47) lead to an understanding of Service/Vocation (.49). Service/Vocation and either Limitation/Acceptance or Adaptability/Flexibility lead to Knowledge/Discovery/Insight (.48). Tonna's (1986) method of examining the dialectical relationships between goals and means values enriches the discussion of the relationship between values and leadership style. Not only is there a significant difference between the goals and means values of these two groups of leaders, but the very way these two groups internally image reality and externally act are different. There is a relationship between values and leadership style.

Skills and Leadership Style

The third question explores the relationship between skills and leadership style. The hypothesis is that there is a difference in skills between transformational leaders and other leaders.
Operationally, the t-test for two sample cases was used to determine if the skills (instrumental, interpersonal, imaginal, systems) were different for the transformational and comparison groups. In the hypothesis the parameter was the difference between two population means, that is, \( m_1 - m_2 = 0 \) and the corresponding statistic is \( X_1 - X_2 \). Using the t-test for two-sample cases (Hinkle, et al.; 1979; pp. 203-209), the critical value of the test statistic was established at a confidence level of .10 using \( n_1 + n_2 - 2 \) (58) degrees of freedom, or 1.67. If the observed value exceeded the critical value, the null hypothesis was rejected in favor of the alternate hypothesis. The results of the t-test for skills is shown in Table 7.

Table 7
The Relationship of Skills and Leadership Style

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>Mean</th>
<th>SD</th>
<th>t</th>
<th>df</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transformational</td>
<td>30</td>
<td>23.82</td>
<td>1.44</td>
<td>1.98</td>
<td>58</td>
<td>.052</td>
</tr>
<tr>
<td>Comparison</td>
<td>30</td>
<td>23.05</td>
<td>1.58</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

\( T_{cv} = 1.67 \ (\cdot 10) \)

The observed value of skills (1.98) exceeds 1.67, the critical value (\( T_{cv} \)). Therefore the null hypothesis
is rejected in favor of the alternative hypothesis that there is a difference in skills between transformational leaders and other leaders.

Separate t-tests on each of the four skills indicate that the observed values of instrumental skills (-1.94), interpersonal skills (-3.50), imaginal skills (2.17) and systemic skills (4.77) exceed the critical value of 1.67 (Tcv). This demonstrates, that whereas ministers in general tend to rely more on instrumental and interpersonal skills, transformational ministers rely more on imaginal and systems skills.

Consciousness, Values, Skills and Leadership Style

The conceptual hypothesis of this study is that there exists a relationship between a leader's consciousness, values, skills and leadership style. The study found that significant differences in the developmental cycles of consciousness, values, and the skills between transformational leaders and other leaders. The conceptual hypothesis is affirmed, therefore, that there exists a relationship between consciousness, values, skills, and leadership style.

Chapter IV presented the results of the study. Chapter V investigates the implications of these results and explores future research directions.
Leadership is the process of mobilizing resources to accomplish goals. What processes are utilized, what resources are mobilized, and what goals are accomplished depends, at least in part, on leadership. Leadership can "serve the status quo" or "shape the what might be."

Transforming leadership, said Burns (1978), 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, become fused. Power bases are linked not as counterweights but as mutual support for common purpose....Transforming leadership ultimately becomes moral in that it raises the level of human conduct and ethical aspiration of both the leader and led, and thus has a transforming effect on both (p. 20).

Perhaps the best modern example of a transformational leader is Gandhi, who aroused and elevated the hopes and demands of millions of Indians and whose life and personality were enhanced in the process. This study began with questions: What is it about a leader's leadership that facilitates the transformation of individuals, organizations, and societies? What is it about leaders like Gandhi, Martin Luther King, Mother Teresa,
or Laszlo Tokes that raises the level of human conduct and ethical aspiration of both the leaders and led?

For some, the answer lies in a leader's "concern for relationships" or "concern for structure" (Blake & Mouton, 1978; Reddin, 1970). For some, it lies in certain leadership activities (Hersey & Blanchard, 1982) or the leadership situation (Fiedler, 1967). For others, it is the presence of certain leader traits such as charisma, inspirational leadership, intellectual stimulation, and individual consideration (Bass, 1985).

This research effort asked if there is something even deeper than relationship and structure orientations, situations, or particular leader traits or activities that facilitates transformation. Could it be that transformational leaders reflect a different world view or stage of consciousness, pursue different values, and use different skills?

The study, therefore, examined literature pertaining to transformation and leadership style and investigated various measures of consciousness, values, and skills. It tested the conceptual hypothesis that a relationship exists between a leader's world view (consciousness), values, skills, and leadership style by comparing two groups of leaders.

The research conclusions demonstrate significant
differences between the two groups. The world view (stage of consciousness) of the two groups are different. The goal values and means values for the two groups are different. The interpersonal, imaginal, and systems skills for the two groups are also different. The transformational leaders in this study reflect higher levels of consciousness, pursue different goals and means values, depend less on interpersonal skills and use more imaginal and systems skills than the comparison group of leaders. The research demonstrates, therefore, that a relationship does exist between a leader's world view (consciousness), values, skills, and leadership style.

Implications

The subjects of this study were ordained ministers from the same denomination and graduates from the same seminary. The implications of this study are, therefore, primarily applicable to Western Theological Seminary in Holland, Michigan; to the Reformed Church in America; and to agencies providing leadership opportunities and educational resources for this particular population. There are, however, secondary implications of this research for the development and support of transformational leadership. Before considering directions for further research, the implications of these findings will be ex-
Transformational Leadership and Consciousness

As Bandler and Grinder (1975) note, each person has an inner representational system, an image of what the world is really all about, that has been logically assembled by the mind as it tries to make sense out of all the data it receives.

A number of people in the history of civilization have made this point -- that there is an irreducible difference between the world and our experience of it. We as human beings do not operate directly on the world. Each of us creates a representational world in which we live -- that is, we create a map or model which we use to generate our behavior. Our representation of the world determines to a large degree what our experience of the world will be, how we will perceive the world, what choices we will see available to us as we live in the world (p. 7).

The literature review examined the work of developmentalists such as Piaget, Erickson, Kohlberg, Fowler, and others who described the maps and models that guide behavior and represent reality. For Hall (1985), each developmental stage of consciousness represented a different view of the world and realm of possibility.

The first implication of knowing that there is a relationship between consciousness and leadership, therefore, is the recognition that what a leader sees as possible is a measure of leadership potential. Compared to
other ministers, transformational ministers transcend the consciousness of other ministers. With an enhanced world view, they see opportunities that others do not.

Given these findings, leaders and agencies desiring to nurture and support transformational leadership in ministers would be well-served by attending to a leader's world view. For example, in a graduate school curriculum each course, seminar, lecture, internship, and mentor reflects a particular world view or stage of consciousness. Certain stages of consciousness will serve to maintain or to stimulate the world view of students. When designing learning experiences, creating learning objectives, or selecting learning methods; educational leaders choose, therefore, unconsciously or consciously, to reinforce or to challenge the status quo. In effect, the choice of a particular text or instructional methodology is a choice to maintain or stimulate the student's present awareness, world view, or stage of consciousness. The choice of a textbook or instructional methodology promotes a leadership style that either will or will not have a transforming effect on others. The discovery of a relationship between a person's world view and leadership style raises consciousness concerning the importance of leadership choices.

Second, the relationship between consciousness and
leadership illuminates the distinction made between management and leadership (Kotter, 1990; Zaleznik, 1977;) and transactional and transformational leadership (Bass, 1985; Burns, 1978). Managers, Kotter (1990) says, plan and budget, organize and staff, control and solve problems, and produce predictability and order. Leaders, on the other hand, establish direction, align people, motivate and inspire, and produce change. There is a difference, says Kotter, between managers and leaders.

The recognition of a relationship between consciousness and leadership also elucidates the distinction made between transactional and transformational styles of leadership (Bass, 1985; Burns, 1978). Transactional leaders, said Bass (1985), interact with followers by relying on contingent reward and management-by-excep-
tion. Transformational leaders use personal charisma, inspiration, intellectual stimulation, and individual consideration to build reciprocal relationships with followers.

Hall (1985) also made this kind of leadership distinction. Persons whose world view reflects one of the first three stages of consciousness, said Hall, rely on someone or something else, an authority figure or corporate culture, to provide direction. These persons are clearly followers, managers at best, certainly not lead-
ers. True leadership, he said, remains essentially latent until the emergence of Stage Five consciousness when a person becomes proactive.

The distinction made between managers and leaders and transactional and transformational leaders can be seen by examining the interactions between leaders and followers at various stages of consciousness. Hall (1985) found that the interactive styles of persons in the first three states of consciousness reflected various forms of autocratic leadership "characterized by a leader-follower format, in which management governs normally through carefully designed hierarchical structures for the consequence of efficient institutional functioning" (1985, p. 116). Leaders at Stages Five, Six, and Seven, on the other hand, pursued more participative or collaborative leadership styles. At Stage Five, for example, when persons view the world as a project in which they have something unique to offer, Hall (1985) said, they foster a more communal and collaborative style of leadership (p. 122). Stage Four leaders, on the other hand, appear clearly caught in the middle, wanting to please both institutional expectations and their own inner desire to transcend the institutional demands.

The struggle between management and leadership and transactional and transformational leadership is clearly
evident in this study. Both the ministers and the transformational ministers evidence the conflicted nature of Stage Four consciousness. On the one hand, are the ministers who have just left Stage Three, a stage of consciousness dominated by institutions, and who are now entering Stage Four, a more intrapersonal stage of consciousness. No longer content to have institutional life dominate their whole world view, these ministers are beginning to see the importance of claiming their own authority and discerning their own perspectives. The transformational leaders, on the other hand, are leaving Stage Four and entering Stage Five. They have already claimed authority and responsibility and are creating their own worlds.

**Transformational Leadership and Values**

Values are a way of retrieving information about the human condition. On the one hand, values point to the deep internal reality of a person that reveals information about human development. On the other hand, values underlie the way a person behaves and acts in the world. Values are an information technology mediating the inner world and enabling it to express itself outwardly in daily activity (Hall, 1985).

The review of literature suggests that values can be
specifically identified in language and behavior (Rokeach, 1973; Hall, 1985). When one knows what the values are in a given situation, one has access to a lot of hidden information (Hall, 1985, p. 23). When values are clarified, identified, and named; one is empowered by those values.

This particular research study asked: What are the goals and means values of transformational leaders? Are the values of transformational leaders different from other leaders? The research identified the core values of a certain group of transformational leaders and found that these leaders were driven by different goals and means values than other leaders of the same occupation. What implications can be drawn from this discovery?

First, this study affirms the power of identifying, clarifying, and naming values. The transformational leaders in this study are driven by particular goals values: service/vocation, faith/risk/vision, self competence/confidence, knowledge/discovery/insight, and human dignity. They accomplish these goals by sharing/listening/trust, personal community, personal authority/honesty, productivity, and creativity/ideation. These are the core values of a group of leaders who are transforming individuals, organizations, and societies. Naming these values brings these values to one's con-
confidence, knowledge/discovery/insight, human dignity, and presence/dwelling.

The distinction between the personal and institutional dimensions can also be seen in the different means values. The five highest ranked personal means values are sharing/listening/trust, community (personalist), personal authority/honesty, prophet/vision, and interdependence. The institutional means values, on the other hand, are productivity, creativity/ideation, education/knowledge/insight, pioneerism/innovation/progress, and cooperation/complimentarity.

These are the personal and institutional transformational leader values of a group of ministers who are facilitating transformation in churches of a particular denomination. The comparison group of ministers lack the same energy and are pursuing different goals. If a relationship exists between a person's leadership style and values, then awakening one's consciousness both to the goals and means values and too personal and institutional dimensions of values would be empowering.

Third, this study points to the power that one or two values have to redirect the values priorities and direction of a leader. The difference in core goals values between the transformational leaders and the comparison group can be attributed to the presence and
confidence, knowledge/discovery/insight, human dignity, and presence/dwelling.

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Third, this study points to the power that one or two values have to redirect the values priorities and direction of a leader. The difference in core goals values between the transformational leaders and the comparison group can be attributed to the presence and
strength of particular values. In transformational ministers equality/liberation, human dignity, and presence/dwelling replaced self-worth, work/labor, and worship/faith/creed of the comparison ministers. The same was true for the means values. A concern for personal community, prophet/vision, interdependence, creativity/ideation, and pioneerism/innovation/progress replaced acceptance of limitations, being adaptable and flexible, initiating decisions, growth/expansion, intimacy.

Thus, particular values are important not only on their own, but also in their relationship to other values. When one value changes, the dialectical values relationships for that leader also change resulting in the emergence of a new direction and focus.

Such a value alteration, a rearranging of one's priorities, is the essence of transformation in an individual, organization, or society. Transformation, in this sense, is a process of reorientation toward higher levels of integration through the conscious selection of a new set of value priorities. Whenever values are replaced or rearranged, a transformation process is taking place. Developmentalists, like James Fowler (1981), argue that this kind of transformation is occurring at every stage of development, since people are in fact changing their values priorities.
Fourth, the results of this study have implications for the training and development processes designed for leaders called to facilitate individual, organizational, or societal transformation. This study found that there is a relationship between leadership style and values: between a leader's ability to facilitate transformation and the personal and institutional, goals and means values of leaders.


A leader's ability to facilitate the transformation of individual, organizational, or societal values depends on the leader's own values system. Training and development programs designed to prepare leaders capable of facilitating transformation will need to orchestrate attention to the relationship of leadership style and
values.

Transformational Leadership and Skills

There is a relationship between leadership style and skills. In comparison to the ministers who relied more on instrumental and interpersonal skills, the transformational ministers in this study used more imaginal and systems skills to accomplish goals. The differences between these two groups of ministers raise certain implications for transformational leaders and leadership.

First, greater attention needs to be given to the development of imagination and systems skills. The research showed that transformational leaders rely on imagination and systems skills when facilitating individual, organizational, and societal transformation. Unlike leaders who use their instrumental and interpersonal skills to nurture systems; transformational leaders use their imaginations and system skills to "shape the what might be." Their enhanced imagination and understanding of the relationship among various parts of a whole system enable these leaders to bring about something new and different.

Patterson (1993) confirms the importance of imagination and systems thinking for transformational leaders. Transformational leaders, he says, focus on the system,
not the people. They learn how the current system evolved and how it connects to related systems. Expecting the system to resist interventions meant to disrupt the stability of the current system, they evaluate the system against the system's core values and look beyond symptomatic problems and solutions to fundamental systems issues. These leaders, says Patterson, think whole-system, imagine long-term solutions, allow time for solutions to take effect, and anticipate new system problems arising from the new system solutions.

The results of the present research suggest that attention be given to the relationship of imagination and systems skills and transformational leadership. The literature demonstrates that these skills can be nurtured. Orchestrating attention to the relationship of imagination and systems skills and leadership style may enhance the development of new vistas and styles of leadership.

Second, the study suggests, however, that there may be an interaction effect between consciousness, skills, and leadership style. Just as transformational leadership augments transactional leadership (Bass, 1985), so imagination and systems skills may augment and follow the development of instrumental and interpersonal skills (Hall, 1985).

Hall (1985) observed that until the fourth cycle,
imaginal skills were confined to developing instrumental and interpersonal skills. Once the interpersonal dimension of Cycle Four began to flower, however, imagination reintegrated the personality causing it to have a whole new role in the person's life. Imaginal skills enabled the individual to transcend the impulse of self-preservation, to discover one's unique gifts and identity, and to seek authority and moral decision making from within, as conscience, rather than from external authority. Hall discovered in working with hundreds of cases that persons at this fourth Cycle experienced a sudden expansion of consciousness, unequalled by any other growth movement in their lives. This occurred when there was a minimum integration of the instrumental and interpersonal skills with the new imaginal skills dimension (Hall, 1985, pp. 144-146). When these three skills coincided with cycle four consciousness, Hall said,

"an alteration in perception occurs that changes the world of complexity into a vision of simplicity. It is a spiritual conversion that happens to anyone who matures in an integrated way at this point no matter his or her religious persuasion. It also results in the development of System perspective and System skills" (p. 145).

An interaction effect between the development of skills and consciousness may contribute, therefore, to the development of transformational leadership.

Third, an interaction between values and skills may
equip certain leaders to facilitate the transformation of individuals, organizations, and societies. Particular values and skills may hinder others from becoming transformational.

Hall (1985) described skills as the other side of values; skills enable a value or cluster of values to be actualized. "Although a composite of values do not guarantee that the value will be a priority with a person, it is however true that the value will not be actualized without the skills" (p. 152).

For example, a person's strong commitment to values of family/belonging and intimacy, on the one hand, may result in the development of enhanced interpersonal skills: necessary values and skills for maintaining equilibrium in an individual, organization, or society, but not the values and skills necessary facilitating transformation. Values like faith/risk/vision and pioneering/innovation/progress, on the other hand, may produce the imagination and systems skills necessary for transformation.

The combination, therefore, of certain stages of consciousness, values, and skills may hinder or empower the development of transformational leadership. Further investigations are necessary, however, to demonstrate any causal relationships between consciousness, values,
skills and leadership style.

Recommendations for Further Research

The implications of this research have primary application to agencies serving a very specific population. The research generates, however, secondary implications for further research and investigation. Further investigations are recommended in seven key directions.

First, the population from which these samples were taken are ministers of the same denomination and graduates of the same divinity school. The results, therefore, are limited in their application to graduates of this school engaged in ministry in this denomination. To speak of a relationship between consciousness, values, skills and transformational leadership in ministry on a broader scale demands the extension of this research to other denominational groupings and schools.

Second, all leaders examined in this study are male. This study investigated ministers who graduated from seminary between 1955-1985. In recent years the number of women enrolled in seminaries has grown significantly. Women students now account for 31% of the total enrollment in schools accredited by the Association of Theological Schools (Colloquy, 1993). Twenty years ago women constituted only 10.2% of the total student group (ATS).
As the number of women graduating from seminaries increases, the number of women serving as leaders of congregations will also increase. The relationship of transformational leadership, ministry, and gender will need to be investigated.

Third, the leaders in this study were predominantly Caucasian. As the enrollment of African-American and Hispanic students enrolled in seminaries continues to increase, the ethnic proportions of leaders in ministry will change. African-Americans now represent 8.8% and Hispanics represent 2.6% of the total enrollment in ATS schools (Colloquy, 1993). Further investigations of transformational leadership in ministry need to explore the relationship of leadership style and ethnicity.

Fourth, the population from which these samples were drawn are from one occupational group: ministers. To speak of a relationship between consciousness, values, skills and transformational leadership demands that this research direction be extended to other vocational settings and leadership situations.

Fifth, the focus of this research needs to be connected with other investigations in transformational leadership. Many research investigations in transformational leadership build and extend Bass's (1985) pioneering work into the transformational leader traits of cha-
risma, inspiration, individual consideration, and intellectual stimulation. Explorations into the relationship of consciousness, values, skills and these traits may uncover new relationships and research directions.

Sixth, the conclusions of this research suggest that further investigation of transformational leaders may reveal the kinds of experiences that facilitate the development of consciousness, values, and skills in transformational leaders. The participation of transformational leaders in particular courses, intercultural experiences, or internships warrants further investigation. The role and attention played by mentors also needs to be explored.

Finally, this study used a post-hoc comparative research design to investigate the relationship of consciousness, values, skills and leadership style. The conclusion of this study does not, nor cannot, claim any causal relationship between the development of consciousness, attention to particular values, or increased skill development and transformational leadership. While a relationship between consciousness, values, skills and transformational leadership exists, causal relationships will be known only after experimental research.
May 15, 1992

dear :

John W. Gardner once said that "all too often, on the long road up, young leaders become 'servants of what is,' rather than 'shapers of what might be.'" The same might be said of leaders in ministry.

While some ministers facilitate the transformation of individuals, organizations, and societies; others do not. It would appear that some ministers build reciprocal relationships with members of their communities, mobilize strategic resources, and accomplish goals that challenge the status quo, raise consciousness, provide meaning, and serve the common good. Other ministers, it would appear, simply manage and maintain the status quo.

As a part of my Ed.D. program at Western Michigan University I am conducting research on transformational leaders in ministry. The subjects for my study are ordained ministers in the Reformed Church in America who graduated from Western Theological Seminary between the years 1955 and 1985. You are well placed to observe ministers in the Reformed Church in America and I value your perspective and opinion. I would appreciate, therefore, your assistance in nominating persons whom you believe practice transformational leadership.

Enclosed is a brief description of transformational leadership and leaders, the nominating protocol, the nomination ballot, and an alphabetical list of RCA ministers who graduated from Western between 1955 and 1985. After reviewing the definition of transformational leadership, I ask you to examine the list of ministers and circle all the names of persons you believe to be a transformational leader. Next, from the names you have circled, use the nomination ballot to identify the 20 ministers whom you believe best reflect the description of a transformational leader. Please print the names of your nominees on the enclosed ballot and use the return envelope to send me your nomination ballot and alphabetical list of ministers. You can be assured that I will protect the confidentiality of your nominations.

This research is pivotal for ministry in the Reformed Church in America and the development of ministers at Western Seminary. In order for the data gathering phase
of the study to be completed this summer, I would appreciate receiving your nominations by July 15. If you have any questions or concerns, please call me at the seminary [(616) 392-8555] or at my home [(616) 392-8308].

Thank you for your assistance in this research project.

Sincerely,

John Schmidt

Enclosures:
  Transformational Leadership Nominating Protocol
  Nomination Ballot
  Alphabetical List of Ministers
  Return Envelope
TRANSFORMATIONAL LEADERSHIP

Transformational leadership occurs when a person or persons engage others in such a way that leaders and followers are raised to higher levels of motivation and morality. Transformational leaders build reciprocal relationships with others in their communities; mobilize strategic resources; and accomplish individual, organizational, or societal goals that challenge the status quo, raise consciousness, provide meaning, and serve the common good.

NOMINATING PROTOCOL

1. Using the above description of transformational leadership and leaders, circle the names of persons on the alphabetical list of ministers whom you would identify as being transformational leaders.

2. From the transformational leaders which you circled on the alphabetical list of ministers, please use the nomination ballot to print the names of no more than 20 ministers that you believe best reflect the description of a transformational leader.

3. Use the enclosed return envelope to mail me your nomination ballot and alphabetical list of ministers.
INSTRUCTIONS: Please print the names of no more than 20 ministers whom you believe best reflect the description of a transformational leader.

1. ________________________________
2. ________________________________
3. ________________________________
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16. ________________________________
17. ________________________________
18. ________________________________
19. ________________________________
20. ________________________________
August 1, 1992

Dear Colleague:

As the Dean of Students and Director of Formation for Ministry at Western Theological Seminary, I have grown increasingly interested in the values that "drive" the Western graduates who serve as ordained ministers in the Reformed Church in America. Now, as a part of my doctoral studies at Western Michigan University, I have an opportunity to investigate this important leadership component.

As a graduate of Western Theological Seminary and as an ordained minister in the Reformed Church in America, you have been randomly selected to participate in this research study exploring leader values. Enclosed is a copy of the Hall-Tonna Inventory of Values consisting of 77 questions and a computerized answer sheet to record your responses. Please respond to all questions on the front and the back of the computerized answer sheet. The directions for taking the Inventory of Values are listed at the top of the computerized answer sheet.

It should take no more than twenty minutes to complete the Inventory of Values and your participation is crucial for enhancing the quality of the research results. By returning the questionnaire you are voluntarily consenting to participate in this research. The questionnaires are anonymous and at no point in the study will individual identities nor individual responses be revealed.

Once you have completed the Inventory of Values, using the enclosed postage paid envelope, please return your question booklet and computerized score sheet to me by August 15. A high rate of return will strengthen the significance of the study.

I appreciate your willing assistance and participation in this research study. If you have any questions, please contact me at Western Seminary (616) 392-8555 or at my home (616) 392-8308.

Thank you very much!

Sincerely,

John Schmidt
August 8, 1992

Dear Colleague:

As a graduate of Western Seminary and ordained minister in the Reformed Church in America, you recently received an invitation to participate in a research study exploring leader values. Your participation is crucial to the success of this research project.

If you have already completed the Hall-Tonna Inventory of Values and returned it to me, thank you. If you have not yet completed the values inventory, I hope you will still take a few minutes to complete the questionnaire and return it to me.

I truly appreciate your willing cooperation and participation in this important research. If you have any questions, please call me Western Seminary (616) 392-8555 or at my home (616) 392-8308.

Sincerely,

John Schmidt


Bass, B. M., & Avolio, B. J. (1990a). The implications of transactional and transformational leadership for


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How to change an organization without destroying it.


