To Laurel, Scott, and Lisa

LEADERSHIP
Theory and Practice
Second Edition

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Sage Publications, Inc.
International Educational and Professional Publisher
Thousand Oaks ■ London ■ New Delhi

other approaches, it makes the leader-member relationship the focal point of the leadership process. Related to this focus, LMX theory is noteworthy because it directs our attention to the importance of effective communication in leader-member relationships. Last, LMX theory is supported by a multitude of studies that link high-quality leader-member exchanges to positive organizational outcomes.

There are also negative features in LMX theory. Foremost, LMX theory runs counter to our principles of fairness and justice in the workplace by suggesting that some members of the work unit receive special attention and others do not. The perceived inequalities created by the use of in-groups can have a devastating impact on the feelings, attitudes, and behavior of out-group members. Second, LMX theory emphasizes the importance of leader-member exchanges, but fails to explain the intricacies of how one goes about creating high-quality exchanges. Although the model promotes building trust, respect, and commitment in relationships, it does not fully explicate how this takes place. Finally, there are questions regarding whether the principal measure of LMX theory is sufficiently refined to measure the complexities of leadership.

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chapter 8

TRANSFORMATIONAL LEADERSHIP

DESCRIPTION

One of the current approaches to leadership that has been the focus of much research since the early 1980s is the transformational approach. In fact, it has grown in popularity since the first edition of this book was published. Transformational leadership is part of the "New Leadership" paradigm (Bryman, 1992). As its name implies, transformational leadership is a process that changes and transforms individuals. It is concerned with values, ethics, standards, and long-term goals. Transformational leadership involves assessing followers' motives, satisfying their needs, and treating them as full human beings. It is a process that subsumes charismatic and visionary leadership.

Transformational leadership is an encompassing approach that can be used to describe a wide range of leadership, from very specific attempts to influence followers on a one-to-one level to very broad attempts to influence whole organizations and even entire cultures. Although the transformational leader plays a pivotal role in precipitating change, followers and leaders are inextricably bound together in the transformation process.

TRANSFORMATIONAL LEADERSHIP DEFINED

The term *transformational leadership* was first coined by Downton (1973); however, its emergence as an important approach to leadership began with a classic work by the political sociologist James MacGregor Burns titled *Leadership* (1978). In his work, Burns attempts to link the roles of leadership and followership. He writes of leaders as those individuals who tap the motives of followers in order to better reach the goals of leaders and followers (p. 18). For Burns, leadership is quite different from wielding power because it is inseparable from followers' needs.

Burns distinguishes between two types of leadership: transactional and transformational. *Transactional leadership* refers to the bulk of leadership models, which focus on the exchanges that occur between leaders and their followers. Politicians who win votes by promising no new taxes are demonstrating transactional leadership. Similarly, managers who offer promotions to employees who surpass their goals are exhibiting transactional leadership. In the classroom, teachers are being transactional when they give students a grade for work completed. The exchange dimension of transactional leadership is very common and can be observed at many levels throughout all types of organizations.

In contrast to transactional leadership, *transformational leadership* refers to the process whereby an individual engages with others and creates a connection that raises the level of motivation and morality in both the leader and the follower. This type of leader is attentive to the needs and motives of followers and tries to help followers reach their fullest potential. Burns points to Mohandas Gandhi as a classic example of transformational leadership. Gandhi raised the hopes and demands of millions of his people and in the process was changed himself. A more recent example of transformational leadership can be observed in the life of Ryan White. Ryan White raised the American people's awareness about AIDS and in the process became a spokesperson for increasing government support of AIDS research. In the organizational world, an example of transformational leadership would be a manager who attempts to change his or her company's corporate values to reflect a more human standard of fairness and justice. In the process, both the manager and followers may emerge with a stronger and higher set of moral values.

TABLE 8.1 Personality Characteristics, Behaviors, and Effects on Followers of Charismatic Leadership

Personality Characteristics	Behaviors	Effects on Followers
Dominant	Sets strong role model	Trust in leader's ideology
Desire to influence	Shows competence	Belief similarity between leader and follower
Confident	Articulates goals	Unquestioning acceptance
Strong values	Communicates high expectations	Affection toward leader
	Expresses confidence	Obedience
	Arouses motives	Identification with leader
		Emotional involvement
		Heightened goals
		Increased confidence

TRANSFORMATIONAL LEADERSHIP AND CHARISMA

At about the same time Burns's book was published, House (1976) published a theory of charismatic leadership. Since its publication, charismatic leadership has received a great deal of attention by researchers. It is often described in ways that make it similar to, if not synonymous with, transformational leadership.

The concept "charisma" was first used to describe a special gift that select individuals possess that gives them the capacity to do extraordinary things. Weber (1947) provided the most well-known definition of charisma as a special personality characteristic that gives a person superhuman or exceptional powers and is reserved for a few, is of divine origin, and results in the person being treated as a leader. Despite Weber's emphasis on charisma as a personality characteristic, he also recognized the important role played by followers in validating charisma in these leaders (Bryman, 1992; House, 1976).

In his theory of charismatic leadership, House suggested that charismatic leaders act in unique ways that have specific charismatic effects on their followers (see Table 8.1). For House, the personal characteristics of a charismatic

leader include being dominant, having a strong desire to influence others, being self-confident, and having a strong sense of one's own moral values.

In addition to displaying certain personality characteristics, charismatic leaders also demonstrate specific types of behaviors. First, they are strong role models for the beliefs and values they want their followers to adopt. For example, Gandhi advocated nonviolence and was an exemplary role model of civil disobedience. Second, charismatic leaders appear competent to followers. Third, they articulate ideological goals that have moral overtones. Martin Luther King, Jr.'s famous "I Have a Dream" speech is an example of this type of charismatic behavior.

Fourth, charismatic leaders communicate high expectations for followers, and they exhibit confidence in followers' abilities to meet these expectations. The impact of this behavior is to increase followers' sense of competence and self-efficacy (Avolio & Gibbons, 1988), which in turn increases their performance. Fifth, charismatic leaders arouse task-relevant motives in followers that may include affiliation, power, or esteem. For example, John F. Kennedy appealed to the human values of the American people when he stated, "Ask not what your country can do for you; ask what you can do for your country."

According to House's charismatic theory, there are several effects that are the direct result of charismatic leadership. They include follower trust in the leader's ideology, similarity between the followers' beliefs and the leader's beliefs, unquestioning acceptance of the leader, expression of warmth toward the leader, follower obedience, identification with the leader, emotional involvement in the leader's goals, heightened goals for followers, and follower confidence in goal achievement. Consistent with Weber, House contends that these charismatic effects are more likely to occur in contexts in which followers feel distress, because in stressful situations followers look to leaders to deliver them from their difficulties.

House's charismatic theory has been extended and revised through the years (see Conger & Kanungo, 1998). One major revision to the theory was made by Shamir, House, and Arthur (1993). They postulated that charismatic leadership transforms followers' self-concepts and tries to link the identity of followers to the collective identity of the organization. Charismatic leaders forge this link by emphasizing the intrinsic rewards of work and de-emphasizing the extrinsic rewards. The hope is that followers will view work as an expression of themselves. Throughout the process, leaders express high expectations for followers and help them gain a sense of confidence and self-efficacy. In summary,

Leadership Continuum

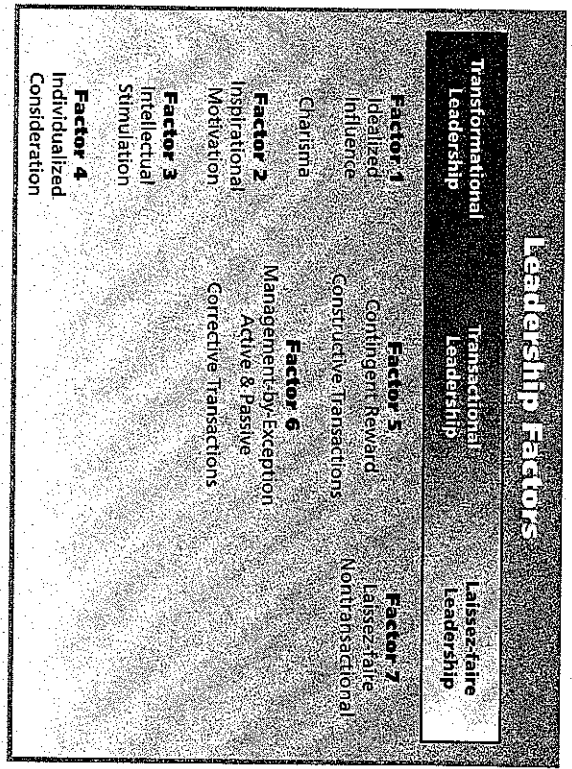| Transformational Leadership | Transactional Leadership | Laissez-faire Leadership |
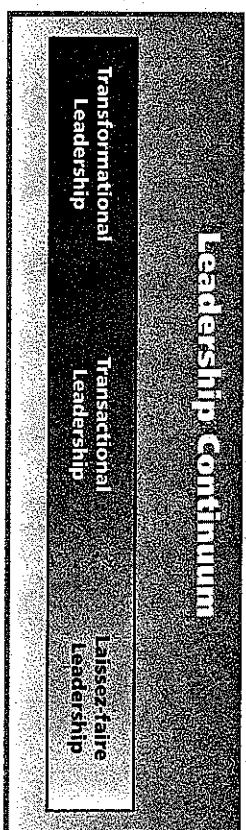
Figure 8.1. Leadership Continuum

charismatic leadership works because it ties followers and their self-concepts to the organizational identity.

A MODEL OF TRANSFORMATIONAL LEADERSHIP

In the mid-1980s, Bass (1985) provided a more expanded and refined version of transformational leadership that was based on, but not fully consistent with, the prior works of Burns (1978) and House (1976). In his approach, Bass extended Burns's work by giving more attention to followers' rather than leaders' needs, by suggesting that transformational leadership could apply to situations in which the outcomes were not positive, and by describing transactional and transformational leadership as a single continuum (Yammarino, 1993). Bass extended House's work by giving more attention to the emotional elements and origins of charisma and by suggesting that charisma is a necessary but not sufficient condition for transformational leadership (Yammarino, 1993).

Bass (1985) argues that transformational leadership motivates followers to do more than the expected by doing the following: (a) raising followers' levels of consciousness about the importance and value of specified and idealized goals, (b) getting followers to transcend their own self-interest for the sake of the team or organization, and (c) moving followers to address higher-level needs (p. 20). An elaboration of the dynamics of the transformation process is provided in his "model of transformational and transactional leadership"

Leadership Factors

| Transformational Leadership	Transactional Leadership	Laissez-faire Leadership
Factor 1 Idealized Influence Charisma	**Factor 5** Contingent Reward Constructive Transactions	**Factor 7** Laissez-faire Nontransactional
Factor 2 Inspirational Motivation	**Factor 6** Management-by-Exception Active & Passive Corrective Transactions	
Factor 3 Intellectual Stimulation		
Factor 4 Individualized Consideration		

Figure 8.2. Leadership Factors

(Bass, 1985, 1990; Bass & Avolio, 1993, 1994). Additional clarification of the model is provided by Avolio in his recent book titled *Full Leadership Development: Building the Vital Forces in Organizations* (1999).

As can be seen in Figure 8.2, the model of transformational and transactional leadership incorporates seven different factors. These factors are also illustrated in the "full range of leadership model," which is provided in Figure 8.3. A discussion of each of these seven factors will help to clarify Bass's model. This discussion will be divided into three parts: transformational factors (4), transactional factors (2), and the nonleadership/nontransactional factor (1).

Transformational Leadership Factors

Transformational leadership is concerned with the performance of followers and also with developing followers to their fullest potential (Avolio, 1999; Bass & Avolio, 1990a). Individuals who exhibit transformational leadership often have a strong set of internal values and ideals, and they are effective at motivating followers to act in ways that support the greater good rather than their own self-interests (Kuhnert, 1994).
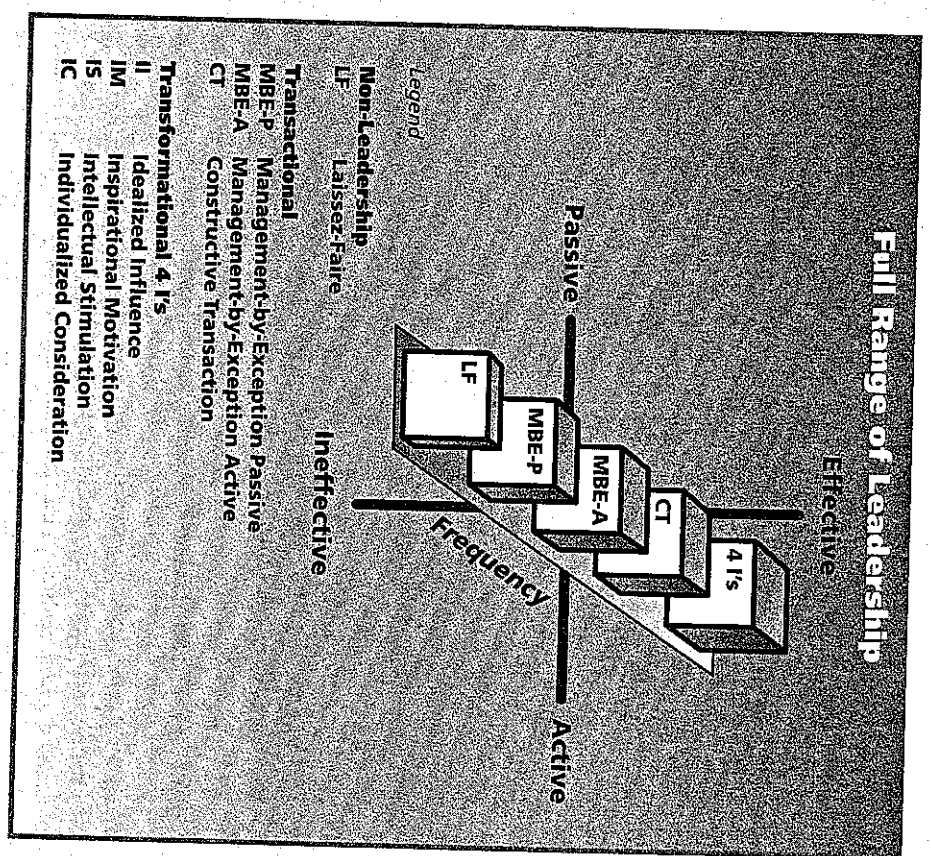
Figure 8.3. Full Range of Leadership Model
SOURCE: B. M. Bass and B. J. Avolio (1994). Used with permission of the author.

Legend

Non-Leadership
LF   Laissez-Faire

Transactional
MBE-P   Management-by-Exception Passive
MBE-A   Management-by-Exception Active
CT   Constructive Transaction

Transformational 4 I's
II   Idealized Influence
IM   Inspirational Motivation
IS   Intellectual Stimulation
IC   Individualized Consideration

Idealized Influence

Factor 1 is called *charisma* or *idealized influence.* It describes leaders who act as strong role models for followers; followers identify with these leaders and want very much to emulate them. These leaders usually have very high standards of moral and ethical conduct and can be counted on to do the right thing. They are deeply respected by followers, who usually place a great deal of trust in them. They provide followers with a vision and a sense of mission.

In essence, the charisma factor describes individuals who are special and who make others want to follow the vision they put forward. A person whose leadership exemplifies the charisma factor is Nelson Mandela, the first non-white president of South Africa. Mandela is viewed as a leader with high moral standards and a vision for South Africa that resulted in monumental change in how the people of South Africa would be governed. His charismatic qualities and the people's response to them transformed an entire nation.

Inspirational Motivation

Factor 2 is labeled *inspiration* or *inspirational motivation*. This factor is descriptive of leaders who communicate high expectations to followers, inspiring them through motivation to become committed to and a part of the shared vision in the organization. In practice, leaders use symbols and emotional appeals to focus group members' efforts to achieve more than they would in their own self-interest. Team spirit is enhanced by this type of leadership. An example of this factor would be a sales manager who motivates his or her sales force to excel in their work through encouraging words and pep talks that clearly communicate the integral role they play in the future growth of the company.

Intellectual Stimulation

Factor 3 refers to *intellectual stimulation*. It includes leadership that stimulates followers to be creative and innovative, and to challenge their own beliefs and values as well as those of the leader and the organization. This type of leadership supports followers as they try new approaches and develop innovative ways of dealing with organizational issues. It promotes followers' thinking things out on their own and engaging in careful problem solving. An example of this type of leadership is a plant manager who promotes workers' individual efforts to develop unique ways to solve problems that have caused slowdowns in production.

Individualized Consideration

Factor 4 of the transformational factors is called *individualized consideration*. This factor is representative of leaders who provide a supportive climate in which they listen carefully to the individual needs of followers. Leaders act as coaches and advisers while trying to assist individuals in becoming fully ac-

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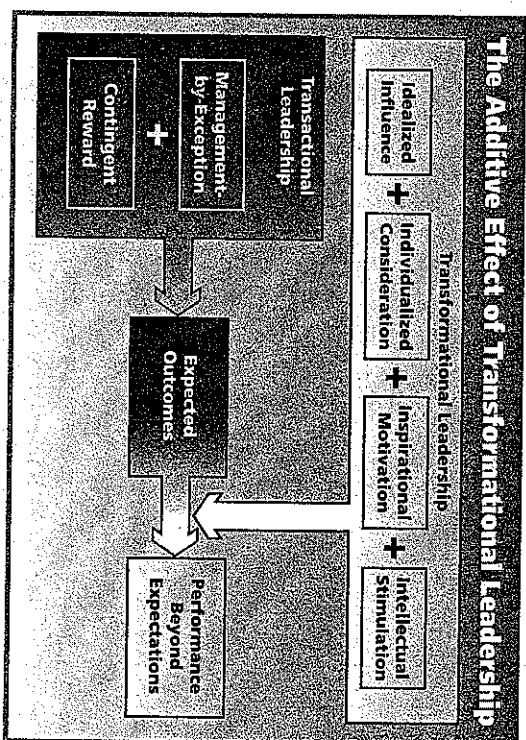
Figure 8.4. The Additive Effect of Transformational Leadership

SOURCE: Adapted from B. M. Bass and B. J. Avolio, "The Implications of Transactional and Transformational Leadership for Individual, Team, and Organizational Development," 1990a, *Research in Organizational Change and Development, 4,* 231-272.

tualized. These leaders may use delegation as a means to help followers grow through personal challenges. An example of this type of leadership is a manager who spends time treating each employee in a caring and unique way. For some employees, the leader may give strong affiliation; for others, the leader may give specific directives with a high degree of structure.

In essence, transformational leadership produces greater effects than transactional leadership (see Figure 8.4). While transactional leadership results in expected outcomes, transformational leadership results in performance that goes well beyond what is expected. In a meta-analysis of 39 studies in the transformational literature, for example, Lowe, Kroeck, and Sivasubramaniam (1996) found that individuals who exhibited transformational leadership were perceived to be more effective leaders with better work outcomes than were individuals who exhibited only transactional leadership. These findings were true for higher- and lower-level leaders as well as for leaders in public and private settings. Transformational leadership moves followers to accomplish more than what is usually expected of them. They become motivated to transcend their own self-interests for the good of the group or organization (Bass & Avolio, 1990a).

Transactional Leadership Factors

Transactional leadership diverges from transformational leadership in that the transactional leader does not individualize the needs of subordinates nor focus on their personal development. Transactional leaders exchange things of value with subordinates to advance their own as well as their subordinates' agenda (Kuhnert, 1994). Transactional leaders are influential because it is in the best interest of subordinates to do what the leader wants (Kuhnert & Lewis, 1987).

Contingent Reward

Factor 5, labeled *contingent reward*, is the first of two transactional leadership factors (see Figure 8.2). It refers to an exchange process between leaders and followers in which effort by followers is exchanged for specified rewards. With this kind of leadership, the leader tries to obtain agreement from followers on what needs to be done and what the payoffs will be for the people doing it. An example of this type of transaction is a parent who negotiates with a child how much television she or he can watch after practicing on the piano. Another example often occurs in the academic setting—a dean negotiates with a college professor about the number and quality of publications he or she needs in order to receive tenure and promotion.

Management-by-Exception

Factor 6 is labeled in the model as *management-by-exception* and refers to leadership that involves corrective criticism, negative feedback, and negative reinforcement. Management-by-exception takes two forms: active and passive. A leader using the active form of management-by-exception watches followers closely for mistakes or rule violations and then takes corrective action. An example of active management-by-exception can be illustrated in the leadership of a sales supervisor who daily monitors how employees approach customers; she quickly corrects those salespeople who are slow to approach customers in the prescribed manner. A leader using the passive form intervenes only after standards have not been met or problems have arisen. An example of passive management-by-exception is illustrated in the leadership of a supervi-

sor who gives an employee a poor performance evaluation without ever talking with the employee about her or his prior work performance. In essence, both the active and passive management types use more negative reinforcement patterns than the positive reinforcement pattern described in Factor 5 under contingent reward.

Nonleadership Factor

In the model, the nonleadership factor diverges further from transactional leadership and represents behaviors that are nontransactional.

Laissez-Faire

Factor 7 describes leadership that falls at the far right side of the transactional-transformational leadership continuum (see Figure 8.1). This factor represents the absence of leadership. As the French phrase implies, the *laissez-faire* leader takes a "hands-off—let-things-ride" approach. This leader abdicates responsibility, delays decisions, gives no feedback, and makes little effort to help followers satisfy their needs. There is no exchange with followers or any attempt to help them grow. An example of a laissez-faire leader is the president of a small manufacturing firm who calls no meetings with plant supervisors, has no long-range plan for her or his company, and makes little contact with employees within the organization.

OTHER TRANSFORMATIONAL PERSPECTIVES

In addition to Bass's work, two other lines of research have contributed in unique ways to our understanding of the nature of transformational leadership. They are the research of Bennis and Nanus (1985) and the work of Tichy and DeVanna (1986, 1990). The methods used by these researchers to collect data were quite similar. They simply identified a number of CEOs or leaders at large corporations and then interviewed them, using a relatively unstructured, open-ended question-and-answer format.

Bennis and Nanus

Bennis and Nanus asked 90 leaders basic questions such as: What are your strengths and weaknesses? What past events most influenced your leadership approach? What were the critical points in your career? From the answers leaders provided to these questions, Bennis and Nanus identified four common strategies used by leaders in transforming organizations.

First, transforming leaders had a clear *vision* of the future state of their organizations. It was an image of an attractive, realistic, and believable future (Bennis & Nanus, 1985, p. 89). The vision was usually simple, understandable, beneficial, and energy creating. The compelling nature of the vision touched the experiences of followers and pulled them into supporting the organization. When an organization has a clear vision, it is easier for individuals within the organization to learn how they fit in with the overall direction of the organization and even the society in general. It empowers them because they feel they are a significant dimension of a worthwhile enterprise (pp. 90–91). Bennis and Nanus found that to be successful, the vision needed to grow out of the needs of the entire organization and be claimed by those within it. Although leaders play a large role in articulating the vision, the emergence of the vision originates from both the leaders and the followers within the organization.

Second, transforming leaders were *social architects* for their organizations. This means they created a shape or form for the shared meanings individuals maintained within their organizations. These leaders communicated a direction that transformed their organization's values and norms. In many cases, these leaders were able to mobilize people to accept a new group identity or a new philosophy for their organizations.

Third, transforming leaders *created trust* in their organizations by making their own positions clearly known and then standing by them. Trust has to do with being predictable or reliable, even in situations that are uncertain. For organizations, leaders built trust by articulating a direction and then consistently implementing the direction even though the vision may have involved a high degree of uncertainty. Bennis and Nanus (1985) found that when leaders established trust in an organization it gave the organization a sense of integrity analogous to a healthy identity (p. 48).

Fourth, transforming leaders used *creative deployment of self through positive self-regard*. Leaders knew their strengths and weaknesses, and they emphasized their strengths rather than dwelling on their weaknesses. Based on an

awareness of their own competence, effective leaders were able to immerse themselves in their tasks and the overarching goals of their organizations. They were able to fuse a sense of self with the work at hand. Bennis and Nanus also found that positive self-regard in leaders had a reciprocal impact on followers, creating in them feelings of confidence and high expectations. In addition, leaders in the study were committed to learning and relearning, so in their organizations there was consistent emphasis on education.

Tichy and DeVanna

Similar to Bennis and Nanus, Tichy and DeVanna studied the transformational leadership of 12 CEOs at mostly large corporations. Tichy and DeVanna were interested in how organizations change—how they are transformed. In particular, they were concerned with how leaders carried out the change process.

Tichy and DeVanna wanted to find out how leaders worked under the challenging conditions brought about by rapid technological change, social and cultural changes, increased competition, and increased interdependence with economies of other nations. The data from their interviews suggested that leaders manage change in organizations through a *three-act process*.

Act 1 of this transformation process involves recognizing the need for change. There is a tendency for organizations and individuals within organizations to be comfortable with the status quo and to resist change. People want to sustain the present system. As a result, the need for change may go unrecognized. Transformational leaders are change agents. They have the responsibility of pointing out to the organization how change in the environment could positively or negatively affect how the organization operates.

Tichy and DeVanna suggest several techniques that can assist organizations in increasing their openness to change. First, encourage dissent and allow people to disagree. Next, encourage objective assessment of how well the organization is meeting its goals. Third, encourage members of the organization to visit other organizations within and outside the organization to obtain alternative viewpoints of how other organizations work and solve problems. Last, encourage organizations to assess their performance based on a wide range of economic and noneconomic indicators relative to other companies on these same indicators.

Act 2 in the change process requires the creation of a vision. The vision acts as a conceptual road map for where the organization is headed in the future and what it will look like (Tichy & DeVanna, 1990, p. 128). For Tichy and DeVanna, a vision is constructed not by a single leader but as a result of bringing together the differing viewpoints within an organization. A central aspect of creating a vision is developing a mission statement that describes the vision and the values implied by it.

Act 3 in transforming organizations involves institutionalizing changes. To do this, leaders need to break down old structures and establish new ones. They need to find appropriate followers to implement new ideas. The breaking down of old structures may require that the leader creates new coalitions of employees who will be compatible with the new vision. In the process, individuals will need to be helped to find new roles in the organization as different structures are designed so as to enhance the new directions for the organization.

HOW DOES THE TRANSFORMATIONAL APPROACH WORK?

The transformational approach to leadership is a broad-based perspective that encompasses many facets and dimensions of the leadership process. In general, it describes how leaders can initiate, develop, and carry out significant changes in organizations. Although not definitive, the steps followed by transformational leaders usually take the following form.

Transformational leaders set out to empower followers and nurture them in change. They attempt to raise the consciousness in individuals and to get them to transcend their own self-interests for the sake of others.

To create change, transformational leaders become strong role models for their followers. They have a highly developed set of moral values and a self-determined sense of identity (Avolio & Gibbons, 1988). They are confident, competent, and articulate, and they express strong ideals. They listen to followers and are not intolerant of opposing viewpoints. A spirit of cooperation often develops between these leaders and their followers. Followers want to emulate transformational leaders because they learn to trust them and believe in the ideas for which they stand.

It is common for transformational leaders to create a vision. The vision emerges from the collective interests of various individuals and units within an organization. The vision is a focal point for transformational leadership. It

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gives the leader and the organization a conceptual map for where the organization is headed; it gives meaning and clarifies the organization's identity. Furthermore, the vision gives followers a sense of identity within the organization and also a sense of self-efficacy (Shamir et al., 1993).

Transformational leaders also act as change agents who initiate and implement new directions within organizations. They listen to opposing viewpoints within the organization as well as threats to the organization that may arise from outside the organization. Sometimes leaders generate instability themselves through nurturing the expression of discordant viewpoints or issues. Out of the uncertainty, transformational leaders create change.

The transformational approach also requires that leaders become social architects. This means they make clear the emerging values and norms of the organization. They involve themselves in the culture of the organization and help shape its meaning. People need to know their roles and understand how they are contributors to the greater purposes of the organization. Transformational leaders are out front in interpreting and shaping for organizations the shared meanings that exist within them.

STRENGTHS

In its present stage of development, the transformational approach has several strengths. First, transformational leadership has been widely researched from many different perspectives, including a series of qualitative studies of prominent leaders and CEOs in large, well-known organizations, and has also been the focal point for a large body of leadership research since its introduction in the 1970s. For example, a special issue of *Leadership Quarterly* (1993, issue no. 3) was devoted entirely to charisma, a central aspect of transformational leadership. In addition, there have been well over 200 theses, dissertations, and research projects conducted using this approach.

Second, transformational leadership has intuitive appeal. The transformational perspective describes how the leader is "out front" advocating change for others, and this concept is consistent with society's popular notion of what leadership means. People are attracted to transformational leadership because it makes sense to them. It is appealing that a leader will provide a vision for the future.

Third, transformational leadership treats leadership as a process that occurs between followers and leaders. Because this process incorporates both the

followers' and the leader's needs, leadership is not the sole responsibility of a leader but rather emerges from the interplay between leaders and followers. The needs of others are central to the transformational leader. As a result, followers gain a more prominent position in the leadership process because the attributions of followers are instrumental in the evolving transformational process (Bryman, 1992, p. 176).

Fourth, the transformational approach provides a broader view of leadership that augments other leadership models. Many leadership models focus primarily on how leaders exchange rewards for achieved goals—the transactional process. The transformational approach provides an expanded picture of leadership that includes not only the exchange of rewards but also leaders' attention to the needs and growth of followers (Avolio, 1999; Bass, 1985).

Finally, transformational leadership places a strong emphasis on followers' needs, values, and morals. Burns (1978) suggests that transformational leadership involves attempts by leaders to move individuals to higher standards of moral responsibility. It includes motivating followers to transcend their own self-interests for the good of the team, organization, or community (Howell & Avolio, 1992; Shamir et al., 1993). Transformational leadership is fundamentally "morally uplifting" (Avolio, 1999). This emphasis sets the transformational approach apart from all other approaches to leadership because it suggests that leadership has a moral dimension. By emphasizing this aspect, the coercive uses of power by individuals such as Hitler, Jim Jones, and David Koresch can be disregarded as models of leadership.

CRITICISMS

Transformational leadership also has several weaknesses. One criticism is that it lacks conceptual clarity. Because it covers such a wide range, including creating a vision, motivating, being a change agent, building trust, giving nurturance, and acting as a social architect, to name a few, it is difficult to define clearly the parameters of transformational leadership. Specifically, research by Tracey and Hinkin (1998) has shown substantial overlap between each of the Four I's (idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration), suggesting that the dimensions are not distinct. Furthermore, the parameters of transformational leadership often overlap with other similar conceptualizations of leadership. Bryman (1992), for example, points out that transformational and charismatic leadership are often treated

synonymously even though in some models of leadership (e.g., Bass, 1985) charisma is only one component of transformational leadership. Similarly, Tracey and Hinkin found that transformational leadership overlaps with other middle-range managerial practices such as clarifying, inspiring, supporting, and team building.

Another difficulty with transformational leadership is that it is often interpreted too simplistically as an "either-or" approach and not as a matter of degree. There is a tendency to fail to see transformational leadership as occurring along a continuum that incorporates several components of leadership.

A third criticism some have made is that transformational leadership treats leadership as a personality trait or personal predisposition rather than a behavior in which people can be instructed (Bryman, 1992, pp. 100-102). If it is a trait, training people in this approach becomes more problematic because it is difficult to teach people how to change their traits. Even though many scholars, including Weber, House, and Bass, emphasize that transformational leadership is concerned with leader behaviors, such as how leaders involve themselves with followers, there is an inclination to see this approach from a trait perspective. Perhaps this problem is exacerbated because the word *transformational* creates images of one person being the most active component in the leadership process. For example, even though "creating a vision" involves follower input, there is a tendency to see transformational leaders as visionaries. There is also a tendency to see transformational leaders as individuals who have special qualities that *transform* others. These images accentuate a trait characterization of transformational leadership.

A fourth criticism some have made is that transformational leadership is elitist and antidemocratic (Avolio, 1999; Bass & Avolio, 1993). Transformational leaders often play a direct role in creating changes, establishing a vision, and advocating new directions. This gives the strong impression that the leader is acting independently of followers or putting himself or herself above the followers' needs. Although this criticism of elitism has been refuted by Bass and Avolio (1993) and Avolio (1999), who contend that transformational leaders can be directive and participative as well as democratic and authoritarian, the substance of the criticism raises valid questions about transformational leadership.

Another criticism is that transformational leadership is based primarily on qualitative data collected from leaders who were very visible serving in positions that were at the top of their organizations (Bryman, 1992). As Bryman points out (p. 157), the data apply to leadership *of* organizations but not neces-

sarily leadership *in* organizations. For example, can transformational leadership be applied equally to plant managers and CEOs? Can supervisors and department heads learn about leadership from a model that was constructed from interviews with senior corporate leaders? Bass and his associates have begun to report findings from quantitative studies of leaders at all levels that substantiate the assumptions of transformational leadership. But until more data are available, the questions remain of how transformational leadership applies to lower-level leaders.

A final criticism of transformational leadership is that it has the potential to be abused. Transformational leadership is concerned with changing people's values and moving them to a new vision. But who is to determine if the new directions are good and more affirming? Who decides that a new vision is a better vision? If the values to which the leader is moving his or her followers are not better, and if the set of human values is not more redeeming, then the leadership must be challenged. The charismatic nature of transformational leadership presents significant risks for organizations because it can be used for destructive purposes (Howell & Avolio, 1992). History is full of examples of charismatic individuals who used coercive power to lead people to evil ends. For this reason, transformational leadership puts a burden on individuals and organizations to be aware of how they are being influenced and in what directions they are being asked to go.

APPLICATION

Rather than being a model that tells leaders what to do, transformational leadership provides a broad set of generalizations of what is typical of leaders who are transforming or who work in transforming contexts. Unlike other leadership approaches, such as contingency theory and situational leadership, transformational leadership does not provide a clearly defined set of assumptions about how leaders should act in a particular situation to be successful. Rather, it provides a general way of thinking about leadership that emphasizes ideals, inspiration, innovations, and individual concerns. Transformational leadership requires that leaders be aware of how their own behavior relates to the needs of their subordinates and the changing dynamics within their organizations.

Bass and Avolio (1990a) suggest that transformational leadership can be taught to individuals at all levels within an organization and that it can positively affect a firm's performance. It can be used in recruitment, selection and

promotion, and training and development. It can also be used in improving team development, decision-making groups, quality initiatives, and reorganizations (Bass & Avolio, 1994).

Programs designed to develop transformational leadership usually require that individuals or their associates take the Multifactor Leadership Questionnaire (MLQ; Bass & Avolio, 1990b) or a similar questionnaire to determine the leader's particular strengths and weaknesses in transformational leadership. Taking the MLQ assists leaders in pinpointing areas in which they could improve their leadership. For example, leaders might learn that it would be beneficial if they were more confident in expressing their goals, or that they needed to spend more time nurturing followers, or that they needed to be more tolerant of opposing viewpoints within the organization. The MLQ is the springboard to helping leaders improve a whole series of their leadership attributes.

One particular aspect of transformational leadership that has been given special emphasis in training programs is the process of building a vision. For example, it has become quite common for training programs to have leaders write elaborate statements that describe their own 5-year career plans as well as their perceptions of the future directions for their organizations. Working with leaders on vision statements is one way to help them enhance their transformational leadership behavior. Another important aspect of training is teaching leaders to exhibit greater individual consideration and intellectual stimulation toward their followers. Lowe et al. (1996) found that this is particularly valuable for lower-level leaders in organizations.

Overall, transformational leadership provides leaders with information about a full range of their behaviors, from nontransactional to transactional to transformational. In the next section, we provide some actual leadership examples to which an application can be made of the principles of transformational leadership.

CASE STUDIES

In the following section, three brief case studies (Cases 8.1, 8.2, and 8.3) from very different contexts are provided. Each case describes a situation in which transformational leadership is present to some degree. The questions at the end of each case point to some of the unique issues surrounding the use of transformational leadership in ongoing organizations.

CASE 8.1
The Vision Failed

High Tech Engineering (HTE) is a 50-year-old family-owned manufacturing company with 250 employees that produces small parts for the aircraft industry. The president of HTE is Mr. Barelli, who came to the company from a smaller business with strong credentials as a leader in advanced aircraft technology. Prior to Mr. Barelli, the only president of HTE was the founder and owner of the company. The organizational structure at HTE was very traditional, and it was supported by a very rich organizational culture.

As the new president, Mr. Barelli sincerely wanted to transform HTE. He wanted to prove that new technologies and advanced management techniques could make HTE one of the best manufacturing companies in the country. To that end, Mr. Barelli created a vision statement that was displayed throughout the company. The two-page statement, which had a strong democratic tone, described the overall purposes, directions, and values of the company.

During the first 3 years of Mr. Barelli's tenure as president, several major reorganizations took place at the company. These were designed by Mr. Barelli and a select few of his senior managers. The intention of each reorganization was to implement advanced organizational structures to bolster the declared HTE vision.

Yet the major outcome of each of the changes was to dilute the leadership and create a feeling of instability among the employees. Most of the changes were made from the top down, with little input from lower or middle management. Some of the changes gave employees more control in circumstances where they needed less, whereas other changes limited employee input in contexts where employees should have been given more input. There were some situations in which individual workers reported to three different bosses, and other situations where one manager had far too many workers to oversee. Rather than feeling comfortable in their various roles within HTE, employees began to feel uncertain about their responsibilities and how they contributed to stated goals of the company. The overall effect of the reorganizations was a precipitous drop in worker morale and production.

In the midst of all the changes, the vision that Mr. Barelli had for the company became lost. The instability that employees felt made it difficult for them to support the company's vision. People at HTE complained that although mission statements were displayed throughout the company, no one understood in which direction they were going.

To the employees at HTE, Mr. Barelli was an enigma. HTE was an American company that produced U.S. products, but Mr. Barelli drove a foreign

car. Mr. Barelli claimed to be democratic in his style of leadership, but he was arbitrary in how he treated people; he acted in a nondirective style toward some people and he showed arbitrary control toward others. He wanted to be seen as a "hands-on" manager, but he delegated operational control of the company to others while he focused on external customer relations and board of director matters.

At times Mr. Barelli appeared to be insensitive to employees' concerns. He wanted HTE to be an environment in which everyone could feel empowered, but he often failed to listen closely to what employees were saying. He seldom engaged in open, two-way communication. HTE had a long rich history with many unique stories, but the employees felt that Mr. Barelli either misunderstood or did not care about that history.

Four years after arriving at HTE, Mr. Barelli stepped down as president after his operations officer ran the company into a large debt and cash flow crisis. His dream of building HTE into a world-class manufacturing company was never realized.

Questions

If you were consulting with the board of directors at HTE,

1. What would you advise them regarding Mr. Barelli's leadership from a transformational perspective?

2. Did Mr. Barelli have a clear vision for HTE and was he able to implement it?

3. How effective was Mr. Barelli as a change agent and a social architect for HTE?

4. What would you tell Mr. Barelli to do differently if he had the chance to return as president of HTE?

CASE 8.2
Students Dig It

Every year, Dr. Cook, a college professor, leads a group of 25 college students to the Mideast on an archaeological dig that usually lasts about 8 weeks. The participants, who come from big and small colleges throughout the country, usually have little knowledge or background in what takes place during an excavation. Dr. Cook enjoys leading these expeditions because he likes teaching students about archaeology and because the outcomes of the digs actually advance his own scholarly work.

While planning for his annual summer excavation, Dr. Cook told the following story:

This summer will be interesting because I have 10 people returning from last year. Last year was quite a dig. During the first couple of weeks everything was very disjointed. Team members seemed lost, unmotivated, and tired. In fact, there was one time early on when it seemed as if nearly half the students were either physically ill or mentally exhausted. Students seemed lost and uncertain about the meaning of the entire project.

For example, it is our tradition to get up every morning at 4:30 a.m. to depart for the excavation site at 5:00 a.m. However, during the first weeks of the dig, few people were ever ready at 5, even after several reminders.

Every year it takes some time for people to learn where they fit with each other and with the purposes of the dig. The students all come from such different backgrounds. Some are from small, private, religious schools, and others are from large state universities. Each comes with a different agenda, with different skills, and with different work habits. One person may be a good photographer, another a good drawer, and another a good surveyor. It is my job to complete the excavation with the resources available to us.

At the end of Week Two, I called a meeting to assess how things were going. We talked about a lot of things including personal things, how our work was progressing, and what we needed to change. The students seemed to appreciate the chance to talk at this meeting. Each of them described their special circumstances and their hopes for the summer.

I told the students several stories about past digs; some were humorous and others highlighted accomplishments. I shared my particular interests in this project and how I thought we as a group could accomplish the work that needed to be done at this important historical site. In particular, I stressed two points: (a) that they shared the responsibility for the successful outcome of the venture, and (b) that they had independent authority to design, schedule, and carry out the details of their respective assignments, with the director and other senior staff available at all times as advisers and resource persons. In regard to the departure time issue, I told the participants that the standard departure time on digs was 5:00 a.m.

Well, shortly after our meeting I observed a real shift in the group attitude and atmosphere. People seemed to become more involved in the work, there was less sickness, and there was more camaraderie. All assignments were completed without constant prodding and in a spirit of mutual support. Each morning at 5:00 a.m. everyone was ready to go.

I find that each year my groups are different. It's almost as if each of them has a unique personality. Perhaps that is why I find it so challenging. I try to listen to the students and utilize their particular strengths. It really is quite amazing how these students can develop in 8 weeks. They really become good at archaeology and they accomplish a great deal.

This coming year will again be different because of the 10 returning "veterans."

Questions

1. How is this an example of transformational leadership?
2. Where are Dr. Cook's strengths on the full range of leadership model (see Figure 8.3)?
3. What is the vision Dr. Cook has for the archaeology excavations?

CASE 8.3

Her Vision Was a Model Research Center

Ms. Adams began as a researcher at a large pharmaceutical company. After several years of observing the way clinical drug studies were conducted, she realized that there was a need and opportunity for a research center not connected with a specific pharmaceutical company. In collaboration with other researchers, she launched a new company that was the first of its kind in the country. Within 5 years, Ms. Adams became president and CEO of Independent Center for Clinical Research (ICCR). Under Ms. Adams's leadership, ICCR grew over a 10-year period to become a company with revenues of $6 million and profits of $1 million. ICCR employed 100 full-time employees, most of whom were women.

Ms. Adams wants ICCR to continue its pattern of formidable growth. Her vision for the company is to make it a model research center that will blend credible science with efficient and cost-effective clinical trials. To that end, the company, which is situated in a large urban setting, maintains strong links to academia, industry, and the community.

Ms. Adams and her style have a great deal to do with the success of ICCR. She is a free thinker who is always open to new ideas, opportunities, and approaches. She is a positive person who enjoys the nuances of life, and she is not afraid to take risks. Her optimistic approach has had a significant influence on the company's achievements and its organizational climate. People employed at ICCR claim they have never worked at a place that is so progressive and so positive in how it treats its employees and customers. The women employees at ICCR feel particularly strongly about Ms. Adams's leadership, and many of them use Ms. Adams as a role model. It is not by accident that the majority (85%) of the people who work at ICCR are women. Her support for women's concerns is evident in the type of drug studies the company selects to conduct and in her service to national committees on women's health and research issues. Within ICCR, Ms. Adams has designed an on-site day care program, flex-time scheduling for mothers with young children, and a benefits package that gives full health cover-

age to part-time employees. At a time when most companies are searching for ways to include more women in decision making, ICCR has women in established leadership positions at all levels.

Although Ms. Adams has been extremely effective at ICCR, the success of the company has resulted in many changes that have affected Ms. Adams's leadership at the company.

Rapid growth of ICCR has required that Ms. Adams spend a great deal of time travelling throughout the country. Due to her excessive travel, Ms. Adams has begun to feel distant from the day-to-day operations of ICCR. She has begun to feel as if she is losing her handle on what makes the company "tick." For example, although she used to give weekly pep talks to supervisors, she finds that she now gives two formal presentations a year. Ms. Adams also complains of feeling estranged from employees at the company. At a recent directors meeting she expressed frustration that people no longer called her by her first name and others did not even know who she was.

Growth at ICCR has also demanded that more planning and decision making be delegated to department heads. This has been problematic for Ms. Adams, particularly in the area of strategic planning. Ms. Adams finds the department heads are beginning to shift the focus of ICCR in a direction that contradicts her ideal model of what the company should be and what it is best at doing. Ms. Adams built the company on the idea that ICCR be a strong blend of credible science and cost-effective clinical trials, and she does not want to give up that model. The directors, on the other hand, would like to see ICCR become similar to a standard pharmaceutical company dedicated primarily to the research and development of new drugs.

Questions

1. What is it about Ms. Adams's leadership that clearly suggests that she is engaged in transformational leadership?
2. In what ways has the growth of ICCR had an impact on the leadership of Ms. Adams?
3. Given the problems Ms. Adams is confronting as a result of the growth of the company, what should she do to reestablish herself as a transformational leader at ICCR?

LEADERSHIP INSTRUMENT

The most widely used measure of transformational leadership is the MLQ. An earlier version of the MLQ was originally developed by Bass (1985), based on a series of interviews he and his associates conducted with 70 senior executives in South Africa. These executives were asked to recall leaders within their ex-

periences who had raised their awareness to broader goals, moved them to higher motives, or inspired them to put others' interests ahead of their own. The executives were then asked to describe how these leaders behaved—what they did to effect change. From these descriptions and from numerous other interviews with both junior and senior executives, Bass constructed the questions that make up the MLQ. Since it was first designed, the MLQ has gone through many revisions, and it continues to be refined to strengthen its reliability and validity (Bass & Avolio, 1993).

The MLQ is made up of questions that measure followers' perceptions of a leader's behavior for each of the seven factors in the transformational and transactional leadership model (see Figure 8.2), and it also has items that measure extra effort, effectiveness, and satisfaction.

Based on a summary analysis of a series of studies that used the MLQ to predict how transformational leadership relates to outcomes such as effectiveness, Bryman (1992) and Bass and Avolio (1994) have suggested that the charisma and motivation factors on the MLQ are the most likely to be related to positive effects. Individualized consideration, intellectual stimulation, and contingent reward are the next most important factors. Management-by-exception in its passive form has been found to be somewhat related to outcomes, and in its active form it has been found to be negatively related to outcomes. Generally, laissez-faire leadership has been found to be negatively related to outcomes such as effectiveness and satisfaction in organizations.

Bass and Avolio (1992) have developed an abbreviated version of the MLQ, called the MLQ-6S. We present it in this section so that you can assess your own transformational, transactional, and nontransactional leadership style. At the end of the questionnaire, we provide information you can use to interpret your scores.

As you assess your own scores, you may wish to divide the seven factors into three groups. The first group would be your scores on Factors 1 through 4, which represent items that directly assess the degree to which your leadership is transformational. Higher scores on these factors indicate more frequently displayed transformational leadership. The second group would be your totals for Factors 5 and 6. These factors represent the transactional dimensions of your leadership. Higher scores on these factors suggest you tend to use reward systems and/or corrective structures in your leadership style. The last factor, laissez-faire leadership, assesses the degree to which you employ hands-off leadership, or nonleadership. On this factor, higher scores indicate that you tend to provide little structure or guidance to subordinates.

As you can see, the MLQ-6S covers a number of dimensions of leadership, or what Bass and Avolio (1994) have called a full range of leadership styles. This questionnaire should give you a clearer picture of your own style as well as the complexity of transformational leadership itself.

Multifactor Leadership Questionnaire (MLQ) Form 6S

INSTRUCTIONS: This questionnaire provides a description of your leadership style. Twenty-one descriptive statements are listed below. Judge how frequently each statement fits you. The word *others* may mean your followers, clients, or group members.

Key: 0 = Not at all   1 = Once in a while   2 = Sometimes   3 = Fairly often
      4 = Frequently, if not always

1. I make others feel good to be around me.   1 2 3 4
2. I express with a few simple words what we could and should do.   1 2 3 4
3. I enable others to think about old problems in new ways.   1 2 3 4
4. I help others develop themselves.   1 2 3 4
5. I tell others what to do if they want to be rewarded for their work.   1 2 3 4
6. I am satisfied when others meet agreed-upon standards.   1 2 3 4
7. I am content to let others continue working in the same way as always.   1 2 3 4
8. Others have complete faith in me.   1 2 3 4
9. I provide appealing images about what we can do.   1 2 3 4
10. I provide others with new ways of looking at puzzling things.   1 2 3 4
11. I let others know how I think they are doing.   1 2 3 4
12. I provide recognition/rewards when others reach their goals.   1 2 3 4
13. As long as things are working, I do not try to change anything.   1 2 3 4
14. Whatever others want to do is OK with me.   1 2 3 4
15. Others are proud to be associated with me.   1 2 3 4
16. I help others find meaning in their work.   1 2 3 4
17. I get others to rethink ideas that they had never questioned before.   1 2 3 4
18. I give personal attention to others who seem rejected.   1 2 3 4
19. I call attention to what others can get for what they accomplish.   1 2 3 4
20. I tell others the standards they have to know to carry out their work.   1 2 3 4
21. I ask no more of others than what is absolutely essential.   1 2 3 4

Scoring

The MLQ-6S measures your leadership on seven factors related to transformational leadership. Your score for each factor is determined by summing three specified items on the questionnaire. For example, to determine your score for Factor 1, *Idealized Influence*, sum your responses for items 1, 8, and 15. Complete this procedure for all seven factors.

Idealized influence (items 1, 8, and 15)

Inspirational motivation (items 2, 9, and 16)

Intellectual stimulation (items 3, 10, and 17)

Individualized consideration (items 4, 11, and 18)

Contingent reward (items 5, 12, and 19)

Management-by-exception (items 6, 13, and 20)

Laissez-faire Leadership (items 7, 14, and 21)

Score range: High = 9-12, Moderate = 5-8, Low = 0-4

Total

_____ Factor 1

_____ Factor 2

_____ Factor 3

_____ Factor 4

_____ Factor 5

_____ Factor 6

_____ Factor 7

Scoring Interpretation

Factor 1. *Idealized influence* indicates whether you hold subordinates' trust, maintain their faith and respect, show dedication to them, appeal to their hopes and dreams, and act as their role model.

Factor 2. *Inspirational motivation* measures the degree to which you provide a vision, use appropriate symbols and images to help others focus on their work, and try to make others feel their work is significant.

Factor 3. *Intellectual stimulation* shows the degree to which you encourage others to be creative in looking at old problems in new ways, create an environment that is tolerant of seemingly extreme positions, and nurture people to question their own values and beliefs and those of the organization.

Factor 4. *Individualized consideration* indicates the degree to which you show interest in others' well-being, assign projects individually, and pay attention to those who seem less involved in the group.

Factor 5. *Contingent reward* shows the degree to which you tell others what to do in order to be rewarded, emphasize what you expect from them, and recognize their accomplishments.

Factor 6. *Management-by-exception* assesses whether you tell others the job requirements, are content with standard performance, and are a believer in "if it ain't broke, don't fix it."

Factor 7: *Laissez-faire* measures whether you require little of others, are content to let things ride, and let others do their own thing.

SUMMARY

One of the newest and most encompassing approaches to leadership, transformational leadership, is concerned with the process of how certain leaders are able to inspire followers to accomplish great things. This approach stresses that leaders need to understand and adapt to the needs and motives of followers. Transformational leaders are recognized as change agents who are good role models, who can create and articulate a clear vision for an organization, who empower followers to achieve at higher standards, who act in ways that make others want to trust them, and who give meaning to organizational life.

Transformational leadership emerged from and is rooted in the writings of scholars such as Burns (1978), Bass (1985), Bennis and Nanus (1985), and Tichy and DeVanna (1986).

Transformational leadership can be assessed through use of the Multifactor Leadership Questionnaire (MLQ), which measures a leader's behavior in seven areas: individualized consideration (charisma), inspirational motivation, intellectual stimulation, idealized influence, contingent reward, management-by-exception, and laissez-faire behavior. High scores on individualized consideration and motivation factors are most indicative of strong transformational leadership.

There are several positive features of the transformational approach, including that it is a current model that has received a lot of attention by researchers, it has strong intuitive appeal, it emphasizes the importance of followers in the leadership process, it goes beyond traditional transactional models and broadens leadership to include the growth of followers, and it places strong emphasis on morals and values.

Balancing off the positive features of transformational leadership are several weaknesses. These include that the approach lacks conceptual clarity, it is often interpreted too simplistically as an "either-or" approach, it creates a framework that implies that transformational leadership has a traitlike quality, it is sometimes seen as elitist and undemocratic, it is derived from and supported by data that focus heavily on senior-level leaders, and it has the potential to be used counterproductively in negative ways by leaders. Despite the weaknesses, transformational leadership appears to be a valuable and widely used approach.

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TEAM LEADERSHIP

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DESCRIPTION

Leadership in organizational groups or work teams has become one of the most popular and rapidly growing areas of leadership theory and research. Teams are organizational groups composed of members who are interdependent, who share common goals, and who must coordinate their activities to accomplish these goals. Examples of such groups might include project management teams, task forces, work units, standing committees, quality teams, and improvement teams.

Some of the earliest group research conducted in the 1940s and 1950s focused on developing social science theory with little emphasis on practical problems of real-life groups and the leadership within them. These early studies typically were conducted on temporary, laboratory-type groups that did not have permanence or collective goals. Such research, while valuable to increasing our understanding of groups, provided little practical information that was helpful to real-life work groups or teams. Much of the current research focuses