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University of Massachusetts Amherst

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VISIONARY LEADERSHIP, MANAGEMENT,
AND HIGH PERFORMING WORK UNITS:
AN ANALYSIS OF WORKERS' PERCEPTIONS

A Dissertation Presented

By

MADELYN JESSICA STONER-ZEMEL

Submitted to the Graduate School of the
University of Massachusetts in partial fulfillment
of the requirements for the degree of

DOCTOR OF EDUCATION

May 1988

Education

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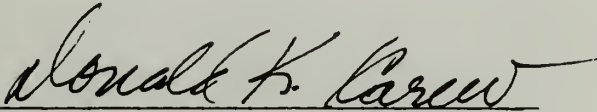
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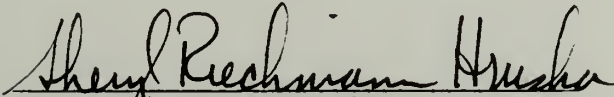
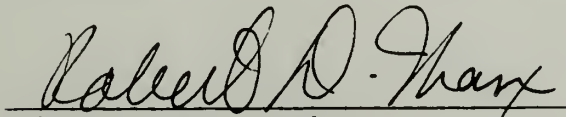
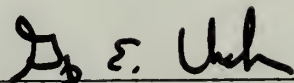
By

MADELYN JESSICA STONER-ZEMEL

Approved as to style and content by:



Donald K. Carew
Chairperson of Committee


Sheryl Riechmann Hruska, Member
Robert D. Marx, Member
George E. Urch, Acting Dean
School of Education

To my father,
Morris Meyer Stoner,
whose love and wisdom
still guide me
and who I miss dearly

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ABSTRACT

VISIONARY LEADERSHIP, MANAGEMENT,

AND HIGH PERFORMING WORK UNITS:

AN ANALYSIS OF WORKERS' PERCEPTIONS

MAY 1988

MADELYN JESSICA STONER-ZEMEL, B.S., INDIANA UNIVERSITY

M.S., SYRACUSE UNIVERSITY

Ed.D., UNIVERSITY OF MASSACHUSETTS

Directed by: Professor Donald K. Carew

This study represents one of the first attempts to quantify the relationships among traditional management, visionary leadership, and high (peak) performing work units. The study examined leadership from two theoretical constructs: traditional management, which describes relationship-oriented and task-oriented behaviors, and visionary leadership, which describes behaviors associated with the articulation of a vision in which members of the organization enroll. Using workers' perceptions, the study compared traditional managerial skills and visionary leadership with indicators typical of peak performing organizations. The study also examined the interaction of managerial and visionary leadership in relation to perceptions of peak performance of the work unit.

Data were obtained from 395 employees of a large private-sector business who rated their immediate superiors using three leadership instruments: The Leader Behavior Analysis, the Leader Behavior Questionnaire, and the Leadership Practices Inventory. They also rated

their work unit using the PAVE: Excellent Organizational Practices Index. The PAVE was subjected to psychometric analysis which indicates that it can be considered an accurate measure describing characteristics typical of peak performing organizations. The scales of the PAVE include: Productivity, Team Effectiveness, Alignment, Empowerment, Commitment, and Inspiration.

The results show that both traditional managerial behavior and visionary leadership correlate highly with perceptions of the work unit's peak performance. However, when examining the interaction of traditional management and visionary leadership, effective visionary leadership correlated with a high level of perceived peak performance no matter whether traditional managerial skills were effective or ineffective. In other words, traditional managerial skills were most important when visionary leadership was weak.

When examining the position within the organizational hierarchy, behaviors of senior level managers correlated more highly with perceptions of the work unit's performance level than did behaviors of middle level or first line managers.

This study demonstrates that visionary leadership is an important concept that should be incorporated into leadership theory and training programs. Because this is a first investigation, further investigation is warranted.

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CHAPTER I

INTRODUCTION

In an effort to develop ways to enhance performance and to increase productivity in organizations, theorists and practitioners have studied the nature of leadership and its relationship to the organization since the beginning of this century. Ways to influence organizational functioning have been studied from a variety of perspectives. Schein (1969) and Shaw (1981) proposed that leadership should focus on components of group process (e.g., goal-setting, problem-solving, and communication). Fiedler (1967) and Bass (1984) examined the role of leadership. Lippitt (1958) and Kanter (1983) have examined the management of organizational change.

Early attempts to study and influence organizational performance focused on the practice of "scientific management," where people were viewed in terms of physical input and output almost as if they were machines. Theorists (e.g., Taylor, 1911) proposed intervention techniques based on one-dimensional models that focused on task-efficiency. Techniques for leaders to improve employee performance centered on skill development without regard for mental attitude (personal beliefs and feelings) or social relationships.

A change in perspective on leadership was heralded by studies conducted during the 1940s and 1950s at Ohio State University (Stogdill and Coons, 1957). This research suggested a strong positive correlation between an individual's performance level and the arena of the individual's attitudes, feelings, and social relationships. Further

research based on studies at the University of Michigan demonstrated that leadership which attends to both skills and the arena of attitudes, feelings, and relationships results in improved performance in organizations (Likert, 1961). Results of these studies led to new two-dimensional models of leadership which address the variables of task behavior (skill development) and relationship behavior (the arena of attitudes, feelings and social relationships).

During the 1980s, theorists and practitioners have begun to examine not just how to increase performance and productivity but how to aspire to the highest achievable levels, often referred to as "peak performance." The importance of maximizing human resources has been recognized during this time of dwindling economic resources because the potential of human resources appears to be unlimited. Much of the recent literature has focused on describing the characteristics of peak performing individuals and organizations and describing the leadership behaviors that inspire the highest levels of human performance and productivity in others.

Charles Garfield in the current popular book, Peak Performance (1984), describes characteristics of peak performing athletes and how individuals can achieve the highest level of performance in their chosen field. Thomas Peters and Robert Waterman, Jr. in their best-selling book, In Search of Excellence (1982), describe characteristics of peak performing organizations. Both of these books are recent national "best sellers" and reflect the current nationwide interest in

how to influence and promote peak performance both for individuals and for organizations.

A close examination of the characteristics of "peak performance" has led to the development of a third dimension for leadership models: the clarity of one's vision of the future (Berlew, 1974). The power of a clear vision for peak performing athletes is described by Garfield (1984), for leaders by Bennis and Nanus (1985) and for organizations by Kiefer and Stroh (1984). These authors all agree that a clear vision of the future one intends to create (sense of purpose or mission) is essential. The process of creating a vision enables people to clarify and realize what they really want, independent of what currently seems possible. It encourages them to develop their visions of an ideal reality and then builds a bridge between the current and ideal states (Kiefer and Stroh, 1984). In fact, these authors assert that it is this third dimension, vision, which leads to peak performance.

As the value of a clear vision for the future has become better documented, practitioners have begun a search for techniques to facilitate its development. For example, Garfield (1984) describes the mental training techniques, including development of a vision, currently used to train Olympic athletes. He then suggests how these techniques can be used to improve performance for individuals in all aspects of their lives, particularly in leadership training. However, the focus on vision in leadership and the influence of an accepted vision for an organization is relatively new for the field, and not much presently exists in terms of organized attempts to integrate the

concept of vision with traditional concepts of leadership theory or with practice (intervention and training techniques).

Statement of the Problem

The concept of visionary leadership is relatively new in the field of organizational development. As mentioned above, most efforts to study this concept have focused on describing characteristics of visionary leaders and characteristics of peak performing organizations with the assumption that there is a relationship between these two areas. However, the researcher could find no research to support this relationship. Part of the problem is that until recently, no quantitative instruments existed to identify visionary leaders. Also, those people who have focused the most on visionary leadership have not been interested in traditional experimental research designs and quantitative analyses, preferring to use qualitative research and case study methods. One of the arguments they use is that it is not possible to measure visionary leadership. Another problem with research in this area is that no instrument previously existed that measured peak performance in organizations as described in the literature because this is also a new concept.

If the importance of visionary leadership and peak performance in organizations is to be validated, then the relationship between them must be examined empirically and established. Not only is it necessary to validate these concepts, but it is also important to find a way to integrate them with current organizational and leadership theory.

Otherwise, these concepts may be delegated to the realm of "fads" only to be replaced by other developments or a reactionary wave back to the old schools of thought. The concept of visionary leadership offers the potential to change the field of organizational development as dramatically as the addition of the 1950s two-dimensional model did with the original concept of scientific management.

Purpose of Study

If visionary leadership does consist of certain attributes and behaviors that lead to inspired or peak performance, then it would follow that workers would be able to identify these attributes and behaviors in their leaders. Furthermore, it would follow that when workers in organizations report their leaders as possessing the attributes and behaviors of visionary leaders, the workers would also report that the level of organizational performance would be inspired or peak. The value of eliciting workers' perceptions of leadership is described by Kouzes and Posner (1986) who assert "successful leadership depends far more upon the follower's perception of the leader than upon the leader's abilities" (p. 55).

The purpose of this study was to examine the relationship between workers' perceptions of leadership and their perception of the level of peak performance of the organization. This study investigated to what extent perceived leader behavior and perceived peak performance of the leader's work unit vary together. Also, this study examined the relationship between concepts of effective leadership based on the

traditional, two-dimensional managerial models and on the newer perspective of "visionary" leadership as they relate to the peak performance level of the work unit from the viewpoint of workers in organizations. Both of these types of models and the corresponding leadership characteristics are described in detail later in the review of the literature.

Specifically, this study asked the following questions: (a) Is there a significant relationship between effective leadership behaviors based on concepts of traditional, two-dimensional managerial theory with peak performance of the organization? (b) Is there a relationship between effective leadership behaviors based on concepts of visionary leadership theory with peak performance of the organization? (c) What is the relationship between the following four combinations of leadership behaviors with peak performance level of the organization: effective traditional and effective visionary; ineffective traditional and effective visionary; effective traditional and ineffective visionary; and ineffective traditional and ineffective visionary?

A secondary intent of the study was to develop an instrument based on the current literature that measures perceived peak performance level of the organization. The study sought to answer the following questions about this instrument: (d) Can the instrument be considered valid, accurate and reliable? (e) Are the scales related to the total instrument and are they interrelated to each other, thus constituting one measure?

Hypotheses

The following hypotheses are provided as an introductory description of the focus of this study. The hypotheses and the instruments (scales) will be discussed in more detail in Chapter III which describes the research method. Hypothesis I addresses Question A above. Hypothesis II addresses Question B above. Hypothesis III addresses Question C above.

Hypothesis I: There will be a positive correlation between workers' ratings of their perceptions of their leader's behavior on a scale based on the traditional managerial perspective with ratings on a scale assessing the workers' perceptions of the peak performance level of the work unit.

Hypothesis II: There will be a positive correlation between workers' ratings of their perceptions of their leader's behavior on a scale based on the visionary leadership perspective with ratings on a scale assessing the workers' perceptions of the peak performance level of the work unit.

Hypothesis III: When workers rate their leaders as high on both traditional managerial and on visionary leadership scales, the workers' reported perceptions of the peak performance level of the work unit will be significantly higher than when the workers rate their leaders as high on only the traditional managerial scale or only the visionary leadership scale.

Subhypothesis IIIa: When workers rate their leaders as high on both traditional managerial and on visionary leadership scales, the workers' reported perceptions of the peak performance level of the work unit will be high.

Subhypothesis IIIb: When workers rate their leaders as high on a visionary leadership scale and low on a traditional managerial scale, the workers' reported perceptions of the peak performance level of the work unit will be in the average range.

Subhypothesis IIIc: When workers rate their leaders as high on a traditional managerial scale and low on a visionary leadership scale, the workers' reported perceptions of the peak performance level of the work unit will be in the average range.

Subhypothesis IIIId: When workers rate their leaders as low on both traditional managerial and on visionary leadership scales, the workers' reported perceptions of the peak performance level of the work unit will be low.

Significance of Study

The primary significance of this study is to bring about a greater awareness of leadership behavior and how it relates to high levels of organizational performance. On the broadest scope, this study is significant because it furthers our understanding of the nature of successful leadership.

Most current studies of visionary leadership have been qualitative (e.g., Bennis, 1984). This study tested quantitatively workers' perceptions of "visionary" leadership. For this reason, the study is significant as a step toward validating the visionary perspective of leadership. The concept of visionary leadership is important and is worth studying in order to learn how to facilitate its development in people. However, unless research supports its importance, it is likely to become just another fad that was in fashion for a brief period.

Furthermore, this study provides information that examines the relationship between managerial leadership constructs based on the Ohio State studies (Stogdill and Coons, 1957) and the recent constructs hypothesized by the transformational or visionary leadership perspective (e.g., Bennis and Nanus, 1985; Kiefer and Stroh, 1994; Sashkin,

1986; et al.) and hopefully will help theorists develop a unified leadership theory that integrates both constructs.

Limitations

The following limitations of this study were recognizable from the beginning. First, this study elicited only perceptions of the subordinates and included no method of objective observation. Accuracy of these results can be accepted only to the extent that one accepts the perceptions of others as an indicator of reality or to the extent that one values phenomenology. It is recognized that this viewpoint is debatable. Also, some researchers (e.g., Smircich, 1983) assert that this perspective is not measurable from a quantitative perspective and that attempts to assess leadership through traditional methods will prove fruitless. This viewpoint is also debatable.

Second, because the concepts presented by the visionary leadership model are new, the instruments that have been developed to measure it are also new. Although validity studies are currently being conducted, not enough time has progressed to ensure thorough predictive validity studies. To insure consistency in results, two separate visionary leadership instruments were chosen. Because no instruments could be found to measure peak performance level for the organization, one needed to be developed for use in this research study. Although this instrument was subjected to statistical analysis and presented as an accurate measure of this concept, it is still new and needs to be further utilized to further develop its applicability.

A third limitation is that the subordinates were chosen by the managers. It is possible that some managers might have chosen those subordinates who were likely to give positive feedback and therefore causing the sample to be skewed toward the positive end. However, this was not considered a serious limitation because the consulting firm reported that often the managers had no more than four or five immediate subordinates, which is the number of subordinates that each manager asked to complete the questionnaires. Furthermore, because managers were participating in this training program in order to increase leadership skills, it was considered likely that they would seek honest feedback in order to get accurate information that would facilitate their growth. Also, all ratings were made anonymously and the manager's feedback was shared with only that manager so that he or she did not need to be concerned about being held accountable by their superiors.

Fourth, the subjects of this study were limited to one organization which limits the extent to which results can be generalized to other settings.

Definition of Terms

In order to provide an understanding of the meaning of the terms used in this study, the following definitions are offered. First terms associated with clarifying the difference between "vision" and "goals" are presented. Next terms associated with leadership are presented. Finally terms associated with organizations are presented.

Terms Associated with Vision

Vision is "the inner crystallization of the result that you want to create, so that the result is conceptually specific and tangible in your imagination--so tangible and so specific, in fact, that you would recognize the manifestation of the result if it occurred" (Fritz, 1984, p. 66).

A "vision" is a clearly articulated results-oriented picture of a possible future one intends to create. A "vision" is a picture of the whole, which illustrates the meaning, the purpose, the values behind the work, and why one does it. One's vision focuses on the end results and values, not on the specific means. It includes a strong emotional component because values evolve from one's basic needs as well as intellectual views.

A vision is created from one's own desires and values. It is not "seeing clearly what exists" nor is it "forseeing what will happen." It originates from one's inner sense of purpose and is generated by one's creative energies.

A workable vision has these additional characteristics: (a) it is proactive, not reactive (moving toward what one wants rather than away from what one wants to avoid); (b) it appeals to lofty values, beliefs and ideals; and (c) it generates strong emotions of commitment, satisfaction, motivation for inspired performance, and belief that the vision can be created.

Visioning is the process of creating and maintaining one's vision.

Goals are the activities one determines (long-range and short-range) which will lead to creation of the vision. Goals are the markers that herald one's progress toward creation of the vision. Goals are the signposts along the way to let one know he/she is moving in the right direction. Goals have time-lines. They answer "what" and "how much" rather than "why." The processes or means for realizing the vision are explicit in the goal statement.

Goal-setting is the process of creating and articulating clear, achievable goals. Factors used to determine goals are not purpose, values, and personal ideals (which are the basis for visioning). Rather, sources used to determine goals are related to present-time events and activities (e.g., the individual's self-confidence and ability, standards based on previous performance level, participation, external constraints, and/or organizational goals set by upper management (Latham and Locke, 1979).

One's ideology (beliefs, values, and ideals) is always part of any goal-setting process. However, people tend not to be clear that ideals are part of the goals during the goal-setting process. Typically goals tend to be expressions of unstated beliefs. Therefore, the underlying assumptions are not always clear from viewing the goals alone. This separation of ideology and goals is illustrated below.

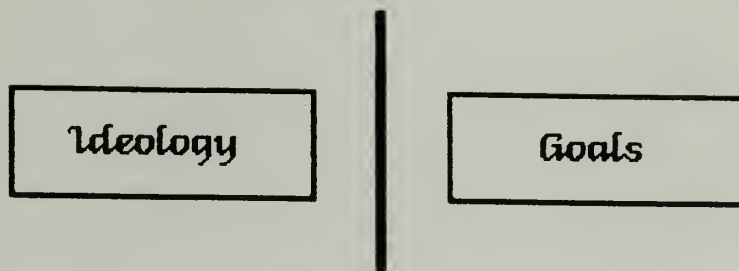


Figure 1. Separation of Ideology and Goals

Visioning is a mediating process between ideology (philosophy, beliefs, values, ideals) and goal-setting. Visioning is the formation at a conscious level and consequent articulation of one's ideology in relation to outcome. The figure below illustrates the sequence of the three processes: development of ideology, formulation of vision, and goal-setting.

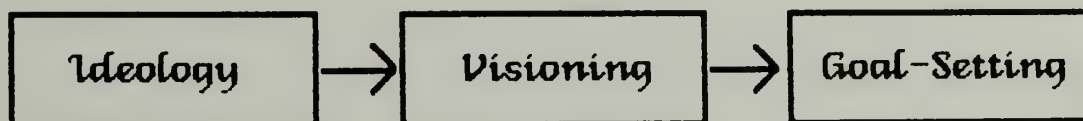


Figure 2. How Articulation of Vision Connects Ideology and Goals

The visioning process elucidates one's ideology and needs. The underlying assumptions and needs are clear in the articulation of a vision (e.g., Martin Luther King's "dream"). Some consequences of clarifying one's vision are:

Visioning provides the foundation on which to base goals that clearly evolve from one's values.

Clarifying and maintaining one's vision allows one's activities to be congruent with his/her values.

Visioning facilitates creation of goals that are proactive rather than reactive.

When the underlying beliefs are expressed, one may end up with goals one never even considered before.

In conclusion, the visioning process is one that opens the creative forces and allows one to view possible vistas. The goal-setting process sets the limits. It clarifies the agreements and the means of expression and achievement.

Goal Alignment is the end result of the alignment of purpose and vision with goals. At an organizational level, goal alignment implies that members share a common purpose, are all moving (in the same direction) toward a common vision, and that individual goals are congruent with the organizational goals. When goal alignment exists, members of the organization are able to articulate organizational and personal goals. Furthermore, there is congruence between goals (organizational and personal) and members' personal value systems.

Terms Associated with Leadership

Managing implies moving things around, in control, and controlling. The American Heritage Dictionary defines "manage" as "to direct, control, or administer; make submissive to one's authority, discipline, or persuasion." This definition implies the focus is on present-time activities.

Leading, on the other hand, implies moving forward. The definition provided by The American Heritage Dictionary is "to show the way by going in advance." The concept of leading also implies that others are involved (e.g., "to assume leadership of; to be at the head of"). And it suggests that they are following of their own accord (not that they are pushed, controlled or manipulated). This definition implies a focus on the future.

A Visionary Leader is a leader who articulates a vision that appeals to the common values and needs of the members of the organization and that captures the hopes, needs, beliefs, values, and goals of the followers. The vision has the following effects on followers: (a) it catalyzes alignment in the group around the vision; (b) it empowers people; and (c) it generates strong emotions of commitment, satisfaction, and inspired performance of the group.

A Visionary Leader influences others from the power of the vision. The Visionary Leader articulates the common vision which emanates from the personal visions of all the members of the organization.

A Charismatic Leader influences others by the power of his/her personality which is what attracts people to him/her. A Charismatic Leader may describe a vision, but at least one of the essential characteristics of a "vision" described earlier are missing. The Charismatic Leader inspires loyalty to him/herself, not to the vision or to the organization.

Followers of a Charismatic Leader experience a deep emotional attachment characterized by "devotion, awe, reference, and blind faith"

(Wilner, 1968, p. 6). The personalized form of identification induced by the charismatic leader creates invisible controls by the leader over the followers which are quite subtle in that they mask the form of domination and yet are very powerful and effective (Smircich, 1983, p. 238).

A Visionary Leader may appear as "charismatic." A true vision generates a strong feeling tone that might be attributed to the force of the personality of the leader. And indeed, the visionary leader might also have a charismatic personality. However, the power generated rests in the clear, achievable, exciting vision which inspires and appeals to the values of those within the organization.

A Traditional Leader exhibits leadership behavior based on the perspective presented by the traditional leadership models which address the dimensions of task-oriented behaviors and relationship-oriented behaviors. These leaders tend to use more "managing" behavior than "leading" behaviors. Rather than proactively moving toward a vision, they focus on present-time events and attempt to manipulate and control events and people. A synonym used is Managerial Leader.

This current study investigated traditional managerial behaviors from the viewpoint assumed by the construct provided in this definition, although it is recognized that other traditional viewpoints (e.g., trait leadership) exist.

Terms Associated with Organizations

An Organization, according to The American Heritage Dictionary (1976), is "a number of persons or groups having specific responsibilities and united for some purpose of work." For the purpose of this paper, an "organization" is further defined as "a collection [or group] of individuals acting in concert" that create a sense of "social order, a shared culture, a history and a future, a value system" (Pondy and Mitroff, 1979, p. 9). More specifically, an "organization" is a group of individuals who share a common definition of reality, who use a common language to construct shared definitions of the group's situation, and who function with elaborate shared systems of meaning (Boulding, 1968). Because the term "organization" can refer to either a collection of people or a collection of groups, the terms "organization" and "group" will be considered interchangeable when referring to a collection of people.

A Work Unit is the particular group for which one manager is responsible. In small or simple organizations, a work unit might constitute the entire organization. In larger or complex organizations, the work unit refers to a collection of people who constitute an entity (or group) within the larger organization.

Excellent, according to The American Heritage Dictionary (1976), means "being of the highest or finest quality." Other synonyms for excellent, when used to describe organizations in this paper, will be: inspired, superior, successful, innovative, highly effective, exceptional and peak performing. The criteria for identification of

"excellent" organizations are high productivity, high member satisfaction, and the ability to adapt to change in the environment. Peters and Waterman in In Search of Excellence (1982, pp. 8-19) offer a more detailed description of eight attributes that characterize excellent organizations. These attributes will be discussed in detail in Chapter II.

Performance describes competence, productivity, achievement, output, and effectiveness within organizations.

Peak Performance: The highest possible level of achievement for an individual or an organization. One of the focuses for this current study was "characteristics that are typical of peak performing organizations." The study elicited workers' perceptions of these characteristics, not objective indicators.

Feeling Tone: The degree to which strong positive feelings such as excitement, commitment, inspiration, confidence, motivation, and satisfaction are expressed by members about the organization.

Empowerment: A state where members of the organization are invested with collective and personal power that enables them to freely act on their own accord and where they feel in control of their own destinies.

Structure: The formal and informal rules, policies, roles, hierarchies, communication avenues, and reward and accountability systems that govern expectations and relationships within an organization.

Overview

The remainder of this study is organized in the following way. Chapter II provides a review of relevant literature. It provides an historical perspective of the development of leadership models and the important related studies. Next the most recent concepts of leadership, called "visionary leadership" in this study, are described, including the few related studies that could be found. Finally, the literature describing peak performing organizations is reviewed. Chapter III describes the design of the research, the hypotheses tested, the questionnaires and instrumentation, and the method of analysis. Chapter IV provides information on the development and validation of the PAVE: Excellent Organizational Practices Index, an instrument developed for use in this study which measures workers' perceptions of peak performance of their work unit. An analysis of the results of the study is presented in Chapter V. Chapter VI offers a discussion of the results, including conclusions, implications, and directions for future research.

CHAPTER II

REVIEW OF LITERATURE

Some of the more recent perspectives of leadership consider the vision of the effective leader to be at least as, if not more, important than the managerial skills of the leader. This chapter will review the relevant literature and research on vision and its relationship to excellence in leadership. The first section of this chapter will review the historical development of leadership models and will describe three categories of leadership models. The second section will examine the literature which describes visionary leadership and will compare visionary leadership to traditional leadership. The third section will focus on vision in relation to peak performing organizations.

Historical Perspective of Leadership Models

David Berlew (1974) describes the historical development of three categories of leadership models. Stage 1 models are called "custodial" models. Stage 2 models are called "managerial" models. Stage 3 models are called "charismatic" models. This section will describe the events, theories, and relevant studies that led to the development of each stage.

Stage 1 Models

The "Custodial" or "Stage 1" models focused on task efficiency. These models arose from the work of Frederick Taylor (1911). Taylor's

"scientific management" approach proposed that the best way to increase productivity was to improve the techniques or methods used by workers. Through time and motion studies, work tasks were analyzed in order to reorganize jobs with efficiency in mind. The individual was expected to adapt to whatever job expectations were defined as a result of these studies. As a result of emphasis on this viewpoint, leadership models focused on the needs of the organization and not the needs of the individual. Regard for employee attitudes, feelings, and relationships was considered secondary.

Douglas McGregor (1966) described the underlying beliefs and attitudes held by managers about subordinates which he calls "assumptions about human nature and management's task." He described a set of assumptions belonging to a "Theory X" which apply to the Stage 1 models. He also postulated a "Theory Y," another set of assumptions, that arose from the human relations movement that gave rise to Stage 2 models. Theory X and Theory Y assumptions are summarized in Table 1.

Stage 2 Models

During the 1920s and 1930s, the work of Elton Mayo (1927) and his associates heralded the beginning of the "human relations" movement that replaced the "scientific management" movement. The importance of interpersonal relationships within the work unit was recognized as a major factor in increasing productivity. Management began to focus on facilitating cooperative goal attainment among workers. Respect for human dignity was recognized, underlined by McGregor's Theory Y assumptions described above. A two-dimensional view of the role of management

TABLE 1

Assumptions about Human Nature and Management's Task.
 From "The Human Side of Enterprise" by Douglas McGregor
 (1966, pp. 5-6 and 15)

Theory X	Theory Y
1. Management is responsible for organizing the elements of productive enterprise--money, materials, equipment, people--in the interest of economic ends.	1. Management is responsible for organizing the elements of productive enterprise--money, materials, equipment, people--in the interest of economic ends.
2. With respect to people, this is a process of directing their efforts, motivating them, controlling their actions, modifying their behavior to fit the needs of the organization.	2. People are not by nature passive or resistant to organizational needs. They have become so as a result of experience in organizations.
3. Without this active intervention by management, people would be passive--even resistant--to organizational needs. They must be persuaded, rewarded, punished, controlled--their activities must be directed.	3. The motivation, the potential for development, the capacity for assuming responsibility, the readiness to direct behavior toward organizational goals are all present in people. Management does not put them there. It is a responsibility of management to make it possible for people to recognize and develop these human characteristics for themselves.
4. The average man is by nature indolent--he works as little as possible. He lacks ambition, dislikes responsibility, prefers to be led. He is inherently self-centered, indifferent to organizational needs. He is by nature resistant to change. He is gullible, not very bright, the ready dupe of the charlatan and the demagogue.	4. The essential task of management is to arrange organizational conditions and methods of operation so that people can achieve their own goals best by directing their own efforts toward organizational objectives.

was developed: to combine task efficiency with respect for individual feelings, attitudes, and relationships. According to Berlew (1974), the Stage 2 or "Managerial" models arose from the influence of the human relations movement.

These models were further developed as a result of leadership studies conducted at Ohio State University (Stogdill and Coons, 1957). These studies originally identified two dimensions of leader behavior. One dimension, referred to as "initiating structure," reflects the amount of concern the manager demonstrates related to task accomplishment (e.g., concern for production). The second dimension, referred to as "consideration," reflects the manager's concern for developing relationships with and among subordinates. Four categories were developed to describe the various combinations of these dimensions. These categories are displayed in Table 2.

TABLE 2

Ohio State University Categories of Leader Behavior

High Structure; High Consideration
High Structure; Low Consideration
Low Structure; High Consideration
Low Structure; Low Consideration

Studies conducted at the University of Michigan (Bowers and Seashore, 1966) further described the two dimensions which they called "employee orientation" and "production orientation." Building on these studies, Likert (1961) conducted extensive research investigating the management practices of high producing managers. He described two types of manager styles, "employee-centered" and "job-centered," which lent further credence to the importance of developing positive relationships with and among employees.

Results of these research studies inspired development of the "managerial grid" popularized by Blake and Mouton (1964). They described four leadership styles based on the amount of importance the leader assigns to each dimension: concern for employees and concern for production. The grid implies that the most desirable leader behavior consists of high concern for employees and high concern for production.

Studies grounded in these theories have attempted to determine which dimensions or combinations of dimensions give rise to the most effective leadership style. The work of Kahn and Katz (1953) preceded the work of Bowers and Seashore (1966). Kahn and Katz found three aspects of leader behavior that related to productivity. The first aspect was the leader's assumption of the leadership role: an effective leader assumes a role as separate from subordinates and not as "one of the group." Second, was the closeness of supervision: an effective leader supervises less closely than ineffective leaders. Third was the degree of employment-orientation: effective leaders

consider their subordinates as individual human beings and are more employee-oriented than ineffective leaders.

One point generally agreed upon is the importance of flexibility in leadership style (Kast, 1969). Tannenbaum and Schmidt (1958) suggest that a manager should be flexible enough to cope with different kinds of situations. This viewpoint gave rise to the development of more complex models such as the contingency models. The contingency models suggest that the best leadership style is contingent upon certain conditions or elements within the organization.

One of the best known contingency models was developed by Fred Fiedler (1967, 1974). He describes the two dimensions of relationship-orientation and task-orientation discussed above and he adds a third aspect, position power. Position power includes the leader's official authority (based on level in the organizational hierarchy), ability to give rewards and punishments, and the support the leader receives from the organizational structure and others higher in the hierarchy. He proposes that these three situational factors determine the appropriate leader behavior. Leader behavior is characterized as either directive or permissive.

Another popular contingency model originally developed by Hersey and Blanchard (1969) and further refined by Blanchard (1985) proposed that appropriate leader behavior should be contingent upon the level of competence and commitment (developmental level) of subordinates. Four leadership styles are defined by the possible combinations of the two dimensions of leadership, relationship-orientation and task-orientation.

Style 1 is low relationship, high task. Style 2 is high relationship, high task. Style 3 is high relationship, low task. Style 4 is low relationship, low task. Appropriate leadership style is matched to the developmental level of subordinates.

Another complex model grounded in Stage 2 is House's (1971) "path-goal" theory which emphasizes the goal of leadership is to clarify the task (structure-orientation) so that the subordinate understands the task requirements and feels capable of achieving it (relationship-orientation).

Berlew (1974) credits these Stage 2 (two-dimensional) models as having brought about most of the advances in organizational theory and management practice that are operating at present by "defining and controlling the elements of supervision and the organizational environment that result in high productivity with high satisfaction" (p. 23). Berlew states that although "these advances have been substantial and have led, in most cases, to healthier, more effective organizations" (1974, p. 23), there exists another stage that moves beyond "satisfaction" toward "excitement."

Stage 3 Models

In his article "Leadership and Organizational Excitement" (1974), Berlew describes an emerging type of model, which labels "Charismatic," or "Stage 3." He contends that the managerial models did not anticipate a time when "people would not be fulfilled even when they were treated with respect, were productive, and derived achievement

satisfaction from their jobs" (1974, p. 22). Stage 3 models contain three basic leader attributes which he claims provide meaning to work and generate organizational excitement. These are: vision, structure, and empowerment. Vision is described as the development of a common vision for the organization related to values shared by the organization's members. Structure is described as the discovery or creation of value-related opportunities and activities within the framework of the mission and goals of the organization. Empowerment is described as making organization members feel stronger and more in control of their own destinies, both individually and collectively.

The three stages are described in Table 3 as they relate to the type of worker attitude they create, the worker needs they address, and the historical improvements each brought.

The three stages of management models described by Berlew (1974) above are quite similar to and correspond to the "continuum of management styles" described by Ackerman (1984) in Table 4. Ackerman describes what she calls three "states" as opposed to what Berlew calls "stages." However, both authors imply that these states or stages are developmental in nature and that the third state is the most appropriate for modern times. Ackerman offers specific personality and behavioral descriptions of managers who operate in each of the three states.

TABLE 3

Organizational Emotions and Modes of Leadership.
Berlew (1974, p. 22)

	Stage 1	Stage 2	Stage 3
Emotional Tone:	Anger or Resentment	Neutrality	Satisfaction
			Excitement
Leadership Mode:	CUSTODIAL	MANAGERIAL	CHARISMATIC
Focal Needs or Values:	Food Shelter Security Fair Treatment Human Dignity	Membership Achievement Recognition	Meaningful Work Self-reliance Community Excellence Service Social Responsibility
Focal Changes or Improvements:	Working Conditions Compensation Fringe Benefits Equal Opportunity Decent Supervision Grievance Procedures	Job Enrichment Job Enlargement Job Rotation Participative Management Effective Supervision Management By Objectives	Common Vision Value-Related Opportunities and activities Supervision which strengthens subordinates

TABLE 4

Continuum of Management Styles.
Ackerman (1984, pp. 123-125)

Fear State Management	Solid State Management	Flow State Management
works against the system	works with the structures of the system, tries to insure that they "fit"	works with the energy flow in the system, works for harmony, alters structures to free up energy
win/lose mentality; destructive competition	win/win when possible; competition within reason is useful	winning and losing is not important; doing what is necessary is
self-oriented	department, function-oriented	total system-oriented
preoccupied with pay-offs, rewards, images	concerned with rewards; respects and responds to external influencers	motivated from within; sees rewards as tools; image as an illusion
overcontrolling; withholding of information, responsibility	controls using formal systems, policies, rules; shares information as necessary; delegates when appropriate	lets the flow of energy guide behavior; uses information to unblock the flow and indirectly "control"/guide events; encourages others to take on responsibility

(Continued Next Page)

TABLE 4
(continued)

Fear State Management	Solid State Management	Flow State Management
gives lip service to results which serve own needs	results and outcome oriented, MBO	oriented to process; results are only temporary realities
closed to feedback on performance	aims to please; accepts feedback when given	seeks feedback from own performance as well as from others
buried by tradition	respects, preserves tradition	respects purpose of tradition, alters it when necessary
believes in complete scarcity of resources, rewards; must fight for them	rewards and resources are finite and must be distributed in logical, standardized ways	believes in abundance of resources and rewards; knows how to create them from existing or new sources
mistakes are suicidal	mistakes are inevitable, but to be avoided; move on quickly if they occur	mistakes provide the most valuable source of learning. It is important to understand them.
focus on controlling others	focus on using others to carry out tasks	focus on empowering others
erratic mental processes and behavior	left-brain, analytically oriented, traditional male behavior	right and left brain balanced for synergy, androgenous in behavior and orientation

In summary, Stage 3 leadership models set an emotional tone of "excitement" within an organization. Organizational values stress excellence, empowering all members, and social responsibility. The leader is seen as "visionary" in that she or he provides a clear, achievable, exciting vision which inspires and appeals to the values of those within the organization. Ackerman (1984) provides a more detailed description of attributes and behaviors of Stage 3 leaders, to which she refers as "flow state management." According to Ackerman, "Being in the flow state means working in harmony with others and looking after the good of the whole, not just the favored parts, of the system" (1984, p. 125). Flow state leaders view the organization from a total systems perspective. These leaders do not seek to control the system or environment, rather they are flexible and let the energy flow guide behavior. They feel empowered to create what is needed, believe in abundance of resources and rewards, and view challenges as "opportunities" and not "obstacles." Furthermore, they focus on strengthening or "empowering" others as well. Finally, because they trust the flow of events to work out in favor of their vision, they are willing to take the potential risks and make whatever personal sacrifice may be required.

Visionary Leadership

This section will examine the role of vision and its relationship to characteristics of excellent leaders. The following adjectives will be used interchangeably to describe this type of leadership style

unless specified otherwise: Stage 3, visionary, transformational, charismatic, and flow state.

Characteristics of Visionary Leadership

In describing the characteristics of visionary leaders, David Berlew (1974) purports that the first requirement for Stage 3 leadership is the existence of a common or shared vision for the future of the organization. He states that "all inspirational speeches or writings have the common element of some vision or dream of a better existence which will inspire or excite those who share the author's values" (1974, p. 24). He claims "a vision, no matter how well articulated, will not excite or provide meaning for individuals whose values are different from those implied by the vision" (1974, p. 24). Berlew states that no matter how well articulated, a vision that is not congruent with the values and beliefs (or individual visions) of the subordinates will not be accepted. Therefore, the vision must arise from the values of the group being led. It is not just created by the leader and then "sold" to the subordinates. Berlew states, "one problem for heads of complex organizations is that . . . they must represent and articulate the hopes and goals of many different groups. . . . Only the exceptional leader can instinctively identify and articulate the common vision relevant to such diverse groups" (1974, p. 24).

Another quality of the exceptional leader is the ability to act consistently in accordance with the vision. "The effectiveness of the common vision depends upon the leader's ability to 'walk the talk':

to behave in ways both small and large that are consistent with the values and goals he is articulating" (Berlew, 1974, p. 24). In other words, the leader must live openly by the values of his vision. His/her words and actions must be congruent. Table 5 contrasts Berlew's (1974) conceptions of Stage 3 and Stage 2.

TABLE 5

Contrasting Berlew's Views of Leaders and Managers

(Stage 3) Leader	(Stage 2) Manager
Creates emotional tone of excitement in the organization	Creates emotional tone of satisfaction in the organization
Provides supervision which strengthens, empowers subordinates	Effective supervision (task and relationship dimensions)
Creates value-related opportunities activities	Involves subordinates in decision-making and in participative management
Responds to subordinates' needs at level: self-esteem, self-actualization, responsibility (Maslow)	Responds to subordinates' needs at level of: social - social membership, recognition, and esteem at level of social recognition (Maslow)
Articulates a common vision for the organization that is congruent with the values and beliefs (or individual visions) relevant to all diverse groups within the organization	
Acts consistently with the vision; "walks the talk"; behaves in all ways both large and small that are consistent with the values and goals she articulates; lives openly by the values of her vision	

James McGregor Burns (1978) was one of the earliest theorists to examine the characteristics and the resulting influence of political visionary leaders who transform followers and organizations. He terms this type of leader as a "transformational leader." Others such as Bass (1985) have expanded on his work. Bass (1981) describes the transformational leader as seeking to "satisfy higher needs, in terms of Maslow's (1954) need hierarchy, to engage the full person on the follower . . . [which] converts followers into leaders" (p. 20).

The following description of Gandhi as an example of a visionary leader is provided by Ackerman (1984):

Gandhi was deeply guided by his inner purpose, his belief in equality, justice, peace and patience. Having no resources or form with which to manage his cause, he became a master at managing energy. He used himself and other public figures as models and sources, created a wide-spread energy field on behalf of his vision, opened new channels for action in the British government and the Indian and Muslim states and trusted that the flow of events for and against his vision would work out in his favor. (p. 126)

Warren Bennis and Burt Nanus in Leaders: The Strategies for Taking Charge (1985) analyze attributes of leader effectiveness and offer strategies for how leaders can empower organizations. In a recent study, Bennis (1984) interviewed 90 "top" leaders in private and public sectors. Bennis and Nanus describe the results where they found these leaders were all concerned primarily with the organizations' basic purpose and were "vision-oriented" (1985, p. 21). They identified four areas of competency ("strategies") that all of these leaders embodied.

Strategy I is attention through vision. The leader clearly articulates a compelling results-oriented vision for the future that grows

out of the needs of the entire organization. Bennis and Nanus claim, "Leaders are the most results-oriented individuals in the world, and results get attention. Their visions are compelling and pull people toward them" (1985, p. 28).

Strategy II is meaning through communication. The leader influences and organizes meaning and interprets events for the members of the organization in a way that fosters creation of the vision. "An essential factor in leadership is the capacity to influence and organize meaning for the members of the organization" (Bennis and Nanus, 1985, p. 39).

Strategy III is trust through positioning. Trust is created and subordinates accept the vision when the leader is "reliable and tirelessly persistent" (Bennis and Nanus, 1985, p. 45). The leader acts consistently with the vision which creates trust in the leadership. The leader communicates through actions his/her commitment to the vision. "Leaders acquire and wear their visions like clothes" (Bennis and Nanus, 1985, p. 46). This concept is similar to Berlew's (1974) description of the importance of the leader's willingness to "walk the talk."

Strategy IV is deployment of the self through positive self-regard and through the "Wallenda Factor." It is important to have self-confidence and to maintain one's focus on the vision, not the obstacles. These leaders, like Karl Wallenda, the tightrope aerialist, "simply don't think about failure, don't even use the word"

(Bennis and Nanus, 1985, p. 69). Mistakes are not considered failures because they lead to new learnings.

Bennis and Nanus state that "all organizations depend on the existence of shared meanings and interpretations of reality, which facilitate coordinated action. The actions and symbols of leadership frame and mobilize meaning" (1985, p. 39). The social architect (the effective leader) must face the "challenge of aligning the elements of the social architecture so that . . . it becomes a creative synthesis uniquely suited to realizing the guiding vision of the leader" (1985, p. 139). The ability to articulate and define reality and the vision for the future is especially important in the change process, in transforming organizations, where the social architecture must be revamped (1985, p. 139). Bennis and Nanus state that "for a successful transformation to be achieved, three things have to happen . . . [the leader must] 1) create a new and compelling vision capable of bringing the work force to a new place, 2) develop commitment for the new vision, and 3) institutionalize the new vision" (1985, pp. 140-141).

Mary Parker Follett (1941) supports this concept in her statement:

. . . the most successful leader of all is one who sees another picture not yet actualized. He sees the things which belong in his present picture but which are not yet there. . . . Above all, he should make his co-workers see that it is not his purpose which is to be achieved, but a common purpose, born of the desires and the activities of the group. (pp. 143-144)

According to Bennis and Nanus (1985), commitment is created, achieving the "alignment" within the organization around a common

vision, by helping co-workers' realize that one's vision is in fact a common vision. They state:

A vision cannot be established in an organization by edict, or by the exercise of power or coercion. It is more of an act of persuasion, of creating an enthusiastic and dedicated commitment to a vision because it is right for the times, right for the organization, and right for the people who are working in it. (p. 107)

Bennis and Nanus (1985) agree with Berlew (1974) that "if the organization is to be successful, the image must grow out of the needs of the entire organization and must be 'claimed' or 'owned' by all the important actors" (Bennis and Nanus, 1985, p. 109). Bennis and Nanus also agree with Berlew that the vision must begin at the top of the organization and is the responsibility of the CEO (chief executive officer) who "articulates the vision and gives it legitimacy" (Bennis and Nanus, 1985, pp. 109 and 141).

Bennis and Nanus (1985) and Berlew (1974) also agree that "another way the leader communicates a new vision is by consistently acting on it and personifying it" (Bennis and Nanus, 1985, p. 108).

Marshall Sashkin (1986) discusses thinking processes used by visionary leaders. He describes visionary leaders as being able to think in terms of long time spans (10 to 20 years or more) in order to conceptualize long-range visions. He terms this characteristic "cognitive ability" which is derived from the work of Elliott Jacques' (1964) theory of "time span of discretion." Sashkin (1986) further describes four processes or thinking skills that visionary leaders use in creation of a vision. The first skill is called "expressing the vision" and involves performing actions to make it real such as meeting

with involved people or writing a policy. The second step involves "explaining" the vision or describing the actions required. The third skill is "extending" the vision, the ability to apply the necessary actions to a variety of situations. The fourth skill is called "expanding" the vision and involves applying it not just in a variety of similar ways but in a wide range of circumstances.

Sashkin (1988) identifies three critical elements of visionary leadership. The first element involves personality prerequisites concerning the leader's need for power and the four cognitive skills described above. The second element involves the leader's understanding of "key content dimensions" that are essential for an effective vision and which are based on certain functions that define the organization's culture. Sashkin describes three underlying themes that constitute an effective vision: dealing with change effectively, developing high-standard and important goals, and providing ways that people can work together and feel ownership for the vision. The third element involves the leader's ability to articulate the vision through certain behavioral skills which are used to implement programs and policies that reflect the leader's organizational philosophy.

Other recent authors have also attempted to look more closely at the characteristics of visionary leadership. Kiefer and Stroh (1984, p. 182) state these leaders are able to:

1. Create and communicate a personal and organizational vision to which they are wholeheartedly committed.
2. Catalyze alignment around a common vision.
3. Revitalize and recommit to the vision in the face of obstacles.

4. Understand an organization as a complex system whose structure may enable or thwart realization of the vision. Develop (or change) structures as needed to support the vision.
5. Empower themselves and empower others.
6. Develop intuition as a complement to rational thinking.

Kouzes and Posner (1987) report the results of a study where over 500 executives were asked to describe their "personal best" leadership experiences. From analysis of responses, they determined consistent leadership practices that involved five strategies. The first is "challenging the process" or looking for new innovative ways to do things. The second is "inspiring a shared vision." The third is "enabling others to act" or empowering others. The fourth is "modeling the way," which is similar to Berlew's (1974) concept of "walk the talk." The fifth is "encouraging the heart," which involves celebration and recognition of successes along the way.

Kouzes and Posner (1987) describe ten behavioral commitments that visionary leaders exhibit (p. 14). These commitments are listed below with the strategy to which they relate.

Challenging the Process

1. Search for Opportunities
2. Experiment and Take Risks

Inspiring a Shared Vision

3. Envision the Future
4. Enlist Others

Enabling Others to Act

5. Foster Collaboration
6. Strengthen Others

Modeling the Way

7. Set the Example
8. Plan Small Wins

Encouraging the Heart

9. Recognize Individual Contribution
10. Celebrate Accomplishments

Wilner (1968) describes the charismatic leader as a strong personality that attracts others. The attraction is characterized by a deep emotional attachment by followers of devotion, awe, reverence, and blind faith. In Chapter I, under "definition of terms," a distinction was made between definition of the visionary leader and the charismatic leader. Bass (1985), however, describes charisma as one of the effects of a visionary leader. He does offer, however, an excellent description of the role and pitfalls of charisma for the visionary leader that can prevent the leader from being a true visionary. He states:

Success as a leader flows from one's charisma. But equally so, the charismatic must continue to demonstrate effectiveness as a leader, that is, that the actions which can be attributed to him are continuing to benefit the community of followers. The effectiveness must be real or apparent. Often, the charismatic survives with more attention given the apparent than the real. Image of success and effectiveness is pursued. (p. 40)

Katz and Kahn (1966) suggest that the Stage 3 leader is more likely to appear in political and religious arenas than in business or industry. Results of studies conducted by Bass (1985) suggest that subordinates can identify Stage 3 leaders they have known and that the presence of these leaders is not as uncommon as others might presume. Certainly this type of leadership is gaining increased interest and recognition at present.

Visionary Leadership Compared to Traditional Management

Bennis and Nanus (1985) state that "most organizations are managed, but not led. . . . Management typically consists of a set of contractual exchanges, 'you do this job for that reward.' . . . The result, at best, is compliance; at worst, you get spiteful obedience" (p. 218). This type of management is based on the attitudes and beliefs presented in McGregor's Theory X (1966) discussed earlier. In contrast, they assert the end result of visionary leadership is empowerment. The ability to empower others in the organization is one of the three basic attributes of visionary leadership described by Berlew (1974) and operates from the attitudes inherent in McGregor's Theory Y (1966). Bennis and Nanus state that the advantages of empowering the workers in an organization are "not just higher profits and wages . . . but [the creation of] an organizational culture that helps employees generate a sense of meaning in their work and a desire to challenge themselves to experience success" (1985, p. 218).

Table 6 contrasts Ackerman's (1984) conceptions of visionary leaders and traditional managers.

Kanter (1983) compared the transformational leader, which she calls "change master," with the traditional manager. These views are presented in Table 7.

Smircich (1984, p. 45) contrasts her views of transformational leadership with traditional management. They are presented in Table 8.

James MacGregor Burns (1978) described the stage 2 leader as a "transactional leader" who manipulates followers by negotiating rewards

TABLE 6

Contrasting Ackerman's Views of Leaders and Managers

(Flow State) Leader	(Solid State) Manager
Projected-Image	
Clearly focused; attentive without concern; clarity and foresight; alive, active and healthy	Pulled in many directions; concerned; seeks information for understanding; works regardless of mental state
Thinking Process	
Balances using factual data (reasoning) with following hunches (intuition)	Analytic (left-brain) oriented
Dialectical thinking; allows polarities to emerge, shift as necessary; embraces both sides as legitimate (Sees the big picture that surrounds polarities)	Sees polarities; believes in and fights for right answers; resists shifts
Influenced By	
Trends patterns and energy flow	External forces in the organization (goals, deadlines, policies)
His/her sense of the larger purpose of the organization	What others think; motivated to please; to do well as judged by others
Attitudes	
Winning and losing isn't important; doing what is necessary is	Win/Win
Believes in abundance of resources and rewards (the "one big chance" mentality is an illusion)	Resources and rewards are finite and must be distributed in logical, standardized ways
Mistakes provide the most valuable source of learning and are welcome if they occur; it is important to understand them. Learning is essential. People must explore, take risks, and make mistakes in order to learn.	Mistakes are inevitable, and to be avoided; move on quickly if they occur

(Continued Next Page)

TABLE 6
(continued)

(Flow State) Leader	(Solid State) Manager
<p>Attitudes (continued)</p>	
<p>Patience with and trust in people's intentions to work for the good of the common goals without sacrificing their personal identity.</p>	
<p>Maintains values that are shared by members of the organization.</p>	
<p>Value of "service to the larger purpose."</p>	
<p>Values learning, exploration, and creativity.</p>	
<p>Non-attachment to self, action, and power. Letting go of one's ego.</p>	
<p>Views challenges as opportunities and not obstacles.</p>	
<p>Structure/System Orientation</p>	
<p>Sees change on ongoing, working with variables as they arise, changing structure in the system to accommodate when necessary</p>	<p>Manages traditional structures (task-oriented and people-oriented) within the organization to insure that they work within the system</p>
<p>Holistic, total systems perspective, looking after the good of the whole and not just the favored parts system</p>	<p>Manages components of the organization and doesn't see or emphasize the relationships, dynamics, and process that exist at the total systems level.</p>

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TABLE 6
(continued)

(Flow State) Leader	(Solid State) Manager
Actions	
Focus on empowering others (through delegation and demonstrating trust, becoming an advocate for what others want to do)	Focus on using others to carry out tasks; getting them to get their job done well (e.g., MBO)
Total involvement; totally immersed in his or her work; not conscious of expectation for reward	Responds to rewards and punishments, visibility (how things look), political expectations, and traditions.
Focus on strengths	Focus on problems
Does not seek to control the system or the environment; rather, is flexible and lets the energy flow guide behavior	Seeks to control the system and the environment
Willing to take risks (because trusts the flow of events to work out in favor of the vision); makes whatever personal sacrifice may be required	
Attends to all stakeholders (paying attention, giving recognition to all interested parties)	
There is meaning in all events. Seeks and spreads the meaning or value to be gained from every event.	
Lives by a model of balancing and caring for four core aspects of the person: the mind, the body, the heart (emotions) and the spirit. Maintains personal peak performance.	

TABLE 7

Contrasting Kanter's Views of Leaders and Managers

Leader (Change Master)	(Traditional) Manager
Articulates direction; creates a vision of a possible future	
Focuses and builds on present capacities and strengths	Focus on identifying problems and searching for solutions
Is a social architect	
Uses symbols, visions, and shared understandings to promote change	Uses strategic planning to promote change

TABLE 8

Contrasting Smircich's View of Leaders and Managers

Leader (from interpretive world view)	Manager (from functionalist world view)
Framer of contexts, maker and shaper of interpretive schemes,	Decision maker, analyzer, controller of contingencies of reinforcement, must tolerate uncertainty
Much strategic activity is devoted to bringing about a shared vision and shared interpretation of experience (p. 235)	

in exchange for performance or compliance. The transactional leader is dedicated to maintaining the existence of the organization as it is. The emphasis on rationality and control. Burns describes the stage 3 leader as a "transformational leader" who initiates change and innovation and who elevates the needs and aspiration levels of subordinates. The transformational leader inspires followers to do more than they originally expected to do or ever believed was possible. Bass (1985) claims "transformational leadership may result ultimately in a higher level of satisfaction and effectiveness among the led" (p. 32).

Bernard Bass (1985) and Noel Tichy and Mary Anne Devanna (1986) have built on the work of Burns (1978). Bass states that a transformational leader stimulates a greater awareness of issues of consequence in followers. He claims, "this heightening of awareness requires a leader with vision, self confidence, and inner strength to argue successfully for what he sees is right or good, not for what is popular or is acceptable according to the established wisdom of the time" (1985, p. 17). He describes Martin Luther King as an example of a transformational leader.

Abraham Zaleznik (1977) describes the following characteristics of Stage 3 leaders. He refers to these leaders as "twice-born" personalities, who search for change; who possess an imaginative capacity to visualize purposes; who have the ability to communicate it to others; and who are able to generate value in their work. He compares these leaders to Stage 2 leaders which he refers to as "once-born" personalities. He uses the term "manager" to differentiate this stage from the

stage 3 leaders. He describes managers as people who are comfortable with the system, who want to maintain the status quo, who emphasize rationality and control, and who have no grand design for organization.

Bass (1985) reports the results of several studies he has conducted to determine the behavioral characteristics of transactional and transformational leadership. He found that the dimensions of "initiating structure" (concern for task) and "consideration" (concern for relationships) did not differentiate between transactional and transformational leaders. These findings support the theory that transformational leadership belongs to another dimension of leadership not described by the stage 2 models.

A leadership questionnaire was developed by Bass (1985) to identify the scales of transactional and transformational leadership. As a result of statistical analyses of responses to this questionnaire, five factors were identified. The factors of transactional leadership were identified as "Contingent Reward," "Individualized Consideration," and "Management-by-Exception (or Contingent Aversive Reinforcement)." The factors of transformational leadership were identified as "Charismatic Leadership" and "Intellectual Stimulation." Bass (1985) concludes that results of his studies support Zaleznik's (1977) concepts of the differences between managers (stage 2) and leaders (stage 3).

Most of the above authors (e.g., Berlew, 1974; Burns, 1978; Zaleznik, 1977; Kanter, 1983; Smircich, 1984; Ackerman, 1984; and Bass, 1985) describe the behaviors exhibited by the visionary leader as more desirable than the behaviors of the traditional manager. Others, such

as Sashkin (1985) and Kouzes and Posner (1987), describe both types of leader behaviors as being desirable depending on the circumstances.

Kouzes and Posner (1987) state:

When we think of leaders, we recall times of turbulence, conflict, innovation, and change. When we think of managers, we recall times of stability, harmony, maintenance, and constancy. We need leaders and we need managers. Both are essential to making the system work. (p. 32)

Vision in Groups and Organizations

The preceding sections of this chapter addressed vision in relation to individuals in a position of leadership. This section will focus on vision in relation to groups and organizations. This section will first review the literature which addresses the importance of a vision for group and then will describe the characteristics of "visionary" or peak performing organizations.

Value of a Clear Vision for Groups

The process of creating, articulating, and agreeing upon a vision for a group elucidates the purpose of the group (Kiefer and Stroh, 1984). When the purpose of the group is clear, members move more easily in the same direction with less conflict and are able to agree upon goals and objectives more easily.

Allen and Kraft (1984) assert an advantage of articulating a clear, agreed-upon vision and the resulting goals for groups is that this process directly influences the group's norms. Norms are the implicit and explicit expectations held by group members about acceptable group behavior (Schein, 1969, p. 59). Allen and Kraft (1984)

describe norms as "the building blocks of our cultures--those expected, accepted, and supported ways of behaving that determine so much of what we do" (p. 93). They assert that norms exert a strong influence on people's daily lives.

The small groups of which we are members--our work groups, families, the classroom, the office staff, the board, the faculty, and so on--have a tremendous influence upon us. Each one of our primary groups (the people we actually associate with each day) is a small culture, full of norms that profoundly affect our lives. Though every one of us has certain areas in which we confront or flaunt the norm, for the most part our lives are determined by the norms of our groups, especially our primary groups. (p. 49)

Allen and Kraft (1984) assert that influencing norms is essential in any change process, a concept which is supported by Kanter (1983). Allen and Kraft (1984) maintain that a focus on a clear, articulated vision for a group facilitates the development of helpful norms for a group. They state, "In successful cultures, goals and purposes are constantly kept in view as the change process gets underway in installing and sustaining positive norms" (p. 47).

Kiefer and Senge (1984) state that the existence of a unifying vision exerts a powerful influence on the norms of the group. They state, "What matters is not so much what the vision is, but what it does. By taking a stand for something that truly matters to people, the organization creates an environment where commitment is the norm rather than the exception and people have an ever present standard against which to judge their own actions (p. 71). As an example of the power and commitment generated from a clear, results-oriented vision, Kiefer and Senge (1984) describe the Apollo Moon Project.

By committing themselves to "placing a man on the moon by the end of the 1960s," the leaders of the project took a stand. The clarity and conviction they generated touched people at all levels of the enterprise. One can imagine how much less spectacular the results might have been if they had adopted an alternative mission statement, such as "to be leaders in space exploration." Unfortunately, such "motherhood" mission statements are the norm for most organizations. (p. 71)

Kiefer and Stroh (1984) also speak to the power of having a clear vision for a group. They state, "A vision has the capacity to motivate people far more effectively than a precisely defined solution" (p. 174). They maintain, "The vision embodies people's highest values and aspirations (for self-actualization, excellence, service and community). It inspires people to rise above their fears and preoccupations with current reality" (p. 174).

Bennis and Nanus (1985) state, "Vision animates, inspirits, transforms purpose into action" (p. 30). They offer a description by Jerry Neely of how a clear vision influenced daily functioning in Smith International, a major manufacturer of oil drilling and rigging equipment: "The employees were willing to take a chance because they felt part of something magic and they wanted to work that extra hour or make that extra call, or stay that extra Saturday" (p. 216).

Vision in Peak Performing Organizations

Kiefer and Senge (1984) and Kiefer and Stroh (1984) describe visionary or high performing organizations as ones where all members are aligned around a powerful, unifying vision. Kiefer and Stroh (1984) assert that these organizations are capable of inspired performance and have attained the highest levels in both organizational performance and

in human satisfaction (p. 171). The organization operates with a conviction that it can shape its own destiny (Kiefer and Senge, 1984, p. 70). This viewpoint is grounded in the interpretive paradigm described by Smircich (1983) and Weick (1979) which asserts it is possible to affect one's sense of reality through the meaning one assigns to events. Stroh (1984), Kiefer and Senge (1984), Kiefer (1983) et al. assert that it is possible to create whatever one wants and that people and organizations need not be bound by current circumstances or limited by outside forces. For example, perhaps an organization might define a new product line developed by a competing organization as an obstacle or a limiting factor. The peak performing organization would maintain its focus on its purpose or vision, not the obstacle, and might define the obstacle as a "challenge" or "test" or "step" in movement toward the vision. In other words, the peak performing organization would use the "obstacle" to its own advantage instead of fighting it or giving up, while another organization might limit itself in the face of the "obstacle."

Kiefer and Senge (1984) state that the unifying principle of these high performing organizations is that "individuals aligned around an appropriate vision can have an extraordinary influence in the world" (p. 70). This principle forms the basis for a coherent organizational philosophy with five primary elements:

- (1) a deep sense of vision or purposefulness,
- (2) alignment around that vision,
- (3) empowering people,

(4) structural integrity,

(5) the balance of reason and intuition

These five elements are discussed in more detail below, specifically in relation to vision in groups and organizations.

Vision. Kiefer and Senge (1984) describe "a deep sense of purposefulness and a vision of the future. While values (such as excellence, service, or creativity) can be abstract, vision must be a clear picture of the future that people are striving to create" (p. 70). According to Stroh (1984), "The power of . . . [the] vision stems directly from its use as a vehicle for elucidating an underlying, and often intangible, organization purpose. Outstanding organizations are deeply purposeful. A workable, captivating vision serves as both a vehicle for people to discover an underlying purpose and as a source of power around which they can align" (p. 10). Kiefer and Stroh (1984) assert that "Because the full depth and meaning of a purpose cannot be wholly conveyed by the words of charters and mission statements, [peak performing] organizations use the vision of a desired future to represent and communicate their purpose" (p. 174).

Kiefer and Stroh (1984) emphasize that peak performing organizations maintain a focus on the result-oriented vision and not the process for achieving the results.

Alignment. Alignment is a condition which exists in which individuals in a group operate freely and fully as part of a larger, integrated whole because they see that the purpose of the organization is an extension of their individual purposes (Kiefer and Stroh, 1984, p.

175). Peak performing organizations show a high degree of alignment among members around the vision or purpose. In fact, it is the vision that catalyzes alignment (Kiefer and Senge, 1984, p. 71). "Trying to create alignment by focusing on it directly doesn't work. It is the natural by-product of focusing on a lofty, noble purpose. Alignment is not the same as people agreeing on where they're going. Alignment deals with the more inspirational aspect of an organization, while agreement tends to deal only with the mechanics of goals and objectives" (Kiefer, 1983). "People who are aligned identify with the organization and consciously assume responsibility for its success. They naturally support each other out of a recognition that, 'We are a part of the same whole'" (Kiefer and Stroh, 1984, p. 175). Bennis and Nanus (1985) offer a description by Werner Erhard, the founder of EST, of alignment functioning within an organization:

. . . they work in harmony with other people, not as a function of a bunch of agreements or contracts, but out of a sense of harmony. . . . It's something akin to what you see on a sailboat crew working together when one of the lines breaks. Very few, if any, orders are given and nobody gets in the other guy's way--there's something about sailors in which there is an alignment, a kind of coming from the whole and nobody needs to give orders. (p. 216)

Another description of alignment in operation is provided by John Naisbitt in Megatrends (1982) who describes the effect of the vision for the Apollo Moon Project.

The extraordinary successful strategic vision for NASA was to "put a man on the moon by the end of the decade." That strategic vision gave magnetic direction to the entire organization. Nobody had to be told or reminded where the organization was going.

Stroh (1984) implies it is easier for an aligned organization to engage in participative management. He states, "By clarifying and committing collectively, these groups also discover the power of shared leadership" (p. 10).

Empowering People. Peak performing organizations are characterized by an "emphasis on both personal performance and an environment that empowers the individual" (Kiefer and Stroh, 1984, p. 171). In these organizations, "managing people" is easier as the goals of the individual are consistent with the goals of the organization. Therefore, it is easier to allow individuals to have more control and power (Kiefer and Senge, 1984). In fact, "Where the best interests of the individual and the organization are highly aligned, empowering the individual becomes a key to empowering the organization" (Kiefer and Senge, 1984, p. 71). Alignment by the individuals in the organization around the vision is what allows the organization to empower people (Kiefer and Senge, 1984).

Kiefer and Stroh (1984) assert members of peak performing organizations believe that they can create their lives to be the way they want them (p. 176). They maintain that with this belief, not only does the organization benefit through high performance but also the individuals benefit because this belief encourages them to exert influence over their lives, to establish new opportunities, and not to feel like powerless victims of uncontrollable forces (p. 177).

Kanter (1983) agrees with this viewpoint stating, one "requirement for empowering people to reach for a future different from the past is

a conviction that everyone in the organization is at least facing in the same direction" (p. 33).

Structural Integrity. Not only must the vision of all members be in alignment with the vision of the organization, but also, the organizational design or structure (e.g., roles, hierarchy, policies, communication avenues, rewards and incentives, and accountabilities) must be consistent with and in alignment with the vision (Kiefer and Senge, 1984, p. 71). Peak performing organizations exhibit "effective structures that take the systemic aspects of organizations into account" (Kiefer and Stroh, 1984, p. 172).

Balance of Intuition and Reason. Kiefer and Senge (1984) state that maintaining a unique balance of reason and intuition cuts across all the above dimensions of the peak performing organization (p. 72). They assert this balance is essential to creating and maintaining structural integrity and to empowering people. They further state that "a compelling and inspiring vision, by its very nature, transcends rationality," and that alignment is characterized by the "intuitive interconnectedness of people that allows each to act spontaneously in the best interests of the whole" (p. 72). "Highly aligned groups perform complex tasks in ways that cannot be planned rationally" (p. 72). An example of the unique interplay of all five characteristics is provided by basketball star Bill Russell who describes his experience with the intuitive component of a team playing as one, with a complete sense of interconnectedness and alignment that seemed magical (Kiefer and Senge, 1984, p. 72).

Principles of Excellent Organizations

Thomas Peters and Robert Waterman, Jr. in In Search of Excellence: Lessons from America's Best-Run Companies (1982) report the results of a study conducted of 75 highly regarded companies for the purpose of learning more about what makes an organization excellent. They describe eight attributes they found that characterize the distinction of excellent, innovative companies. These attributes are listed and described briefly below. Also noted, when appropriate, are ways these attributes relate to the characteristics of peak performing organizations described by Kiefer and Senge (1984) et al. above.

1. A bias for action. Peters and Waterman (1983) state, "Even though these companies may be analytic in their approach to decision-making, they are not paralyzed by that fact" (p. 13). That these companies do not rely solely on rational analysis supports the concept of "balance of intuition and reason" in peak performing organizations. Peters and Waterman (1983) suggest that this balance frees the company to take action. Another way of describing the same concept is to say the "bias for action" avoids the potential to stifle innovation by overreliance on analytic planning described by Kanter (1983).

2. Close to the customer. Excellent companies listen to and learn from the people they serve. This concept is grounded in the viewpoint expressed by Kanter (1983) and Smircich (1983) of the necessity of working with the environment rather than attempting to control it.

3. Autonomy and entrepreneurship. Peters and Waterman (1983) maintain, "The innovative companies foster many leaders and many innovators throughout the organization" (p. 14). This attitude relates directly to the concept of empowering people described above. There exists an attitude that not only allows mistakes but encourages mistakes as a sign of practical risk-taking and are an unavoidable part of the creative process (Peters and Waterman, 1983, p. 14; Kiefer and Stroh, 1984, p. 177; Fritz, 1984, p. 179).

4. Productivity through people. Respect for the individual is a primary value and is acted-upon. For example, "They do not foster we/they labor attitudes" (p. 14). Kiefer and Senge (1984) also describe how peak performing organizations foster "me and you" instead of "me or you" attitudes. They state, "Competition is transformed by the pursuit of a common vision, agreed-upon ground rules . . . and strong ethics of honesty and integrity" (p. 78).

5. Hands-on, value driven. Peters and Waterman (1983) state, "Every company we studied is clear on what it stands for [e.g., purpose]" (p. 280). They further state that "excellent companies are driven by coherent value systems" (p. 287) and that these value systems are mastered by the effective leader who inspires with "soaring, lofty visions" (p. 287). These concepts echo the concepts described above of purpose and vision and alignment within the organization around a common vision.

6. Stick to the knitting. Excellent companies may diversify somewhat but tend to stay with what they know best how to do. Peters

and Waterman (1983) state "Both the qualitative guiding value . . . and the hands-on approach are at war with diversification strategies" (p. 293).

7. Simple form, lean staff. The organizational hierarchy is not complex and is not top-heavy. Peters and Waterman (1983) describe an organizational structure of simplicity and flexibility in excellent companies. In describing the negative consequences of a complex structure, they state, "The organization gets paralyzed because the structure not only does not make priorities clear, it automatically dilutes priorities" (p. 307). The importance of structure and the importance of creating a structure that supports the functioning of the organization is discussed in the section above which addresses the concept of creating structural integrity.

8. Simultaneous loose-tight properties. According to Peters and Waterman (1983), "The excellent companies are both centralized and decentralized" (p. 15). This concept is similar to the description of peak performing organizations provided by Kiefer and Senge (1984) where the emphasis is on decentralization and distributed decision-making while not abandoning hierarchy. They state the goal is to change the value system that has traditionally been linked to hierarchy to one where people further down the hierarchy "do not consider themselves lesser beings than those above them" (p. 74).

In a newer work, A Passion for Excellence (1985), Peters and Austin have condensed these eight attributes into three which focus on

a bias toward entrepreneurial action, keeping close to the customer, and the importance of people.

This section has presented the characteristics of visionary or peak performing organizations, organizations with a clear vision of a future which all members are invested in creating. The characteristics of these organizations are described by Kiefer and Senge (1984), Kiefer and Stroh (1984), and Peters and Waterman (1984). The common characteristics include valuing and using intuition, empowering members, pursuit of a common vision consistent with the values of the organization, and creation of an organizational structure that supports the creation of the vision.

Summary

This chapter has provided a review of the relevant research and literature of vision in leadership and organizations. An historical perspective of the development of categories of leadership models was provided. It was shown how the traditional models arise from what Berlew (1974) calls Stage 2 models and that the newer perspective of visionary leadership belongs in Berlew's (1974) category of Stage 3 models. Leader behavior was described from the perspective of the traditional models and the visionary leadership models. Finally a description of the characteristics of peak performing organizations was provided.

This literature review demonstrates the basis of the concepts of visionary leadership, traditional management, and peak performance for organizations which are the subjects of investigation in this study.

CHAPTER III

METHODOLOGY

This chapter describes the research method for the study which examined the relationship between workers' perceptions of leadership and how they perceive the peak performance level of the work unit. This chapter includes a description of the subjects and sample size, the independent and dependent variables, the instrumentation, the research design, and the data analysis and statistics used.

Description of the Samples

The population of this study consisted of 340 workers in a large business that both finances, leases, and sells mainframe computers and telecommunications equipment. Participants in the study rated their immediate superior's behavior and they rated their perception of the peak performance level of the work unit. A major consulting firm distributed the questionnaires in conjunction with a leadership training program they were providing for managers within the company. Before the training program began, the firm requested each of the 129 managers to give a packet containing the questionnaires to 4 or 5 of the subordinates who report directly to him or her. The questionnaires were then completed by the subordinates of the manager.

Variables

The Independent Variable was "effective leadership behavior as perceived by subordinates." This variable was measured by instruments derived from both the traditional constructs arising from the Ohio State University studies (Stogdill and Coons, 1957) and University of Michigan studies (Bowers and Seashore, 1966; Taylor and Bowers, 1972) and from the newer constructs of "visionary leadership" arising from research studies by Bennis (1984) and Kouzes and Posner (1984).

The Dependent Variable was subordinates' perceptions of the peak performance level of the work unit. This variable was measured by an instrument developed for use in this study, the PAVE: Excellent Organizational Practices Index. The PAVE will be described in detail in Chapter IV.

Instrumentation

Four instruments were given to each subordinate who was instructed to answer questions in relation to their primary work unit and/or their immediate superior. Three instruments were used to assess the independent variable (leadership behavior) and one was used to assess the dependent variable (workers' perceptions of the peak performance level of the work unit).

Leader Behavior Analysis

The Leader Behavior Analysis (LBA) was developed by Ken Blanchard, Ron Hambleton, Drea Zigarmi, and Doug Forsyth (1981). This instrument

assesses leader behavior. The LBA is based on the results of the leadership studies at Ohio State University (Stogdill and Coons, 1957) and the University of Michigan (Bowers and Seashore, 1966; Taylor and Bowers, 1972) which describe successful management in terms of two primary categories of behavior: behavior that is directed toward "structuring" the work situation (e.g., giving directions, setting clear sequences of activity) and behavior that is centered on the manager's concern and "consideration" for the subordinates. These two behavior categories are also often referred to as "initiation of structure" and "consideration." A specific model of how these behaviors relate to managerial effectiveness was developed by Paul Hersey and Ken Blanchard (1969). This model, called Situational Leadership, was further refined by Kenneth Blanchard and Associates (Carew et al., 1984; Blanchard, 1985).

The Situational Leadership model refers to the two behavior categories as "directive" and "supportive." Examples of directive behaviors include:

- Setting goals

- Clarifying goals

- Setting time lines

- Defining methods of evaluation

- Planning work in advance for others

- Showing or telling a subordinate how to do a task

- Defining roles

Monitoring to see if work is done on time

Organizing resources

Examples of supportive behaviors include:

Listening

Developing relationships

Asking for input

Encouraging

Praising

Sharing information about the total organization's operations

Disclosing information about self (personal or work-related)

Facilitating problem-solving for others

The Situational Leadership model is a contingency model in that the appropriate leadership style is contingent upon the level of competence and commitment of subordinates. Four leadership styles are identified from combinations of directive and supportive behaviors.

The four leadership styles are listed below:

<u>Style 1</u>	Low Supportive High Directive
<u>Style 2</u>	High Supportive High Directive
<u>Style 3</u>	High Supportive Low Directive
<u>Style 4</u>	Low Supportive Low Directive

Construct validity for the LBA was achieved by asking a series of subordinates to complete the instrument in regard to their immediate superior and then to list adjectives, strengths, and weaknesses

(Zigarmi, 1986). Adjectives given by subordinates for Style 1 included "My way or the highway" and "Tends to tell you what to do." Adjectives for Style 2 included "Coach" and "Flexible." Adjectives for Style 3 included "Informal" and "Helps you think your problems out." These adjectives were consistent with the Situational Leadership model (Zigarmi, 1986).

According to Zigarmi (1986), concurrent validity was established with Stogdill's (1963) Leader Behavior Description Questionnaire (LBDQ) in a study that demonstrated a high correlation between the "initiation of structure" dimension on the LBDQ and Styles 1 and 2 to the .0001 level. The study also demonstrated a high correlation between "consideration" and Styles 2 and 3 to the .001 level. No correlation between Style 4 was demonstrated with the "initiation of structure" or the "consideration" dimensions as would be expected.

The LBA contains both a "Self" report and "Other" report form. This research study used the "Other" report form only because the purpose of the study was to elicit subordinates' perceptions of leader behavior. For this reason, the following description of reliability for the LBA will address only the "Other" form.

Reliability analysis (internal consistency) was verified using a "coefficient alpha" which is applicable for instruments composed of multiple-scored items such as completely, mostly, somewhat, etc. (Cronbach, 1951). In this formula, the procedure is to find the variance of all individuals' scores for each item and then to add these

variances across all items (Anastasi, 1976, p. 117). According to Zigarmi (1986), the reliability coefficients for the LBA are:

	<u>Reliability</u>
Style 1	.83
Style 2	.62
Style 3	.69
Style 4	.84
Effectiveness	.66

Leader Behavior Questionnaire

Another instrument which assesses leader behavior is the Leader Behavior Questionnaire (LBQ), developed by Marshall Sashkin (1985).

This questionnaire has two main sections with a total of 10 scales.

Two forms of the LBQ exist. One form is a "Self" report form in which the leader rates his/her own behavior. The second form is an "Other" report form where the leader is rated by subordinates. As with the LBA, description of psychometric properties will address only the "Other" form as this was the only form that was used in this study.

The original version of the LBQ was published in 1984. The items were subjected to a factor analysis which provided moderate support for the ten-scale structure of the LBQ. The ten scales were revised based on the results of a reliability analysis (internal consistency) using the "coefficient alpha" described earlier (Cronbach, 1951). Prior to revisions, the reliability coefficients of each subscale were as follows:

<u>Scales</u>	<u>Reliability</u>
<u>Section I: LBQ-Managerial</u>	
Support	.6480
Goal Emphasis	.6123
Work Facilitation	.5857
Team Facilitation	.7724
<u>Section II: LBQ-Visionary</u>	
Focus	.6049
Communication	.7863
Trust	.6419
Respect	.7741
Risk	.4716
Charismatic Affect	.7900

It is expected that the revised LBQ scales are even more reliable because items that were identified as contributing to reduced alpha coefficients for the scales were removed or rewritten.

Section I: LBQ-Managerial

This section, like the LBA, is based on the theories of management resulting from the leadership studies at Ohio State University (Stogdill and Coons, 1957) and University of Michigan (Bowers and Seashore, 1966). This part consists of four "managerial leadership scales" which were designed and structured on the leadership scales found in the Survey of Organizations (Taylor and Bowers, 1972). The connection between the two sets of scales is "so strong that it is reasonable to suggest that the four managerial leadership scales are, at the least, content valid" (Sashkin, 1984, p. 4). Many studies have

demonstrated the validity of the Survey of Organizations (Taylor and Bowers, 1972).

Supportive Management is a scale designed to measure the amount of personal concern for and sensitivity to feelings of employees. Team Management is a scale which measures how well the leader encourages teamwork among employees. These two scales fall under the category of "consideration" behavior on the part of managers. Goal Oriented Management is a scale which focuses on working with employees to develop clear, high performance goals. Task-Centered Management is a scale which focuses on the task-relevant duties of administration such as attending to the work environment, coordination of tasks, and helping employees to improve their skills. These last two scales fall under the category of "initiation of structure" by managers.

Section II: LBQ-Visionary

The second section of the LBQ consists of six scales which are based on the emerging theories of "visionary leadership." These scales result directly from a study by Warren Bennis (1984) who identified categories of behavior patterns and attitudes of extremely effective or "visionary" leaders. Bennis originally described five behavior patterns or "strategies," which he later collapsed into four (Bennis and Nanus, 1985). The LBQ measures the original five categories and adds a sixth scale, Follower-Centered Leadership, which measures the charismatic effect the leader has on subordinates as a result of the behaviors measured by the other five scales. The instrument has been reviewed by Bennis for content validity (Sashkin, 1986).

Focused Leadership is a scale which measures how well the leader directs his/her attention and the attention of others on key issues. This scale corresponds with the leadership strategy of "attention through vision" described by Bennis and Nanus (1985). Communication Leadership is a scale which focuses on the leader's ability to get the meaning of a message across and corresponds with the strategy of "meaning through communication" described by Bennis and Nanus (1985). Trust Leadership is a scale which measures the leader's ability to demonstrate trustworthiness and corresponds with the strategy of "trust through positioning" described by Bennis and Nanus (1985). Self-Leadership is a scale which measures the amount of positive regard for self and others the leader demonstrates and corresponds with the strategy of "positive self regard" described by Bennis and Nanus (1985). Risk Leadership is a scale which measures how well the leader is willing to take the necessary risks toward goal achievement. This scale corresponds with the "Wallenda Factor" described by Bennis and Nanus (1985). The "Wallenda Factor" and the other strategies described by Bennis and Nanus (1985) are discussed in detail in Chapter II.

Leadership Practices Inventory

The Leadership Practices Inventory (LPI), developed by James Kouzes and Barry Posner (1988), is the third instrument that was used to assess leader behavior. This instrument was developed as the result of a four year research project which is described in their book, The Leadership Challenge: How to Get Extraordinary Things Done in Organizations (1987). The research began with analysis of

in-depth interviews with over 500 successful leaders from a wide range of private and public organizations. Next they surveyed over 3,500 employees to determine what they look for in their leaders. As a result of these interviews and surveys, a leadership model and the first version of the LPI were developed. This leadership model is similar to many of the emerging "visionary leadership" models in that creation and communication of a desirable and possible vision of the future is a major component.

The LPI consists of five scales. Challenging the Process is a scale that measures ability to search for opportunities and to encourage innovation and experimentation. Inspiring a Shared Vision is a scale that measures one's ability to envision the future and to enroll others. Enabling Others to Act is a scale that measures ability to strengthen others and to foster collaboration. Modeling the Way measures the leader's ability to act as an example and to establish clear milestones of progress. Encouraging the Heart is a scale that measures the leader's willingness to celebrate accomplishments and to recognize contributions.

The LPI has been administered to nearly 2,500 people (including respondents in Australia, Great Britain, Germany, and Holland). A factor analysis confirms the five scales.

Reliability analysis (internal consistency) was obtained using a "coefficient alpha," the same method used for the LBA and the LBQ described earlier (Cronbach, 1951). The reliability coefficients of each scale are as follows:

<u>Scale</u>	<u>Reliability</u>
Challenging the Process	.75
Inspiring a Shared Vision	.84
Enabling Others to Act	.80
Modeling the Way	.78
Encouraging the Heart	.83

According to Barry Posner (1986) the LPI has demonstrated predictive validity as it has been able to successfully discriminate between high and low performing managers as rated by senior management. Furthermore, Posner (1986) states, "While the sample of females is relatively small, we have found only a slight tendency for one scale (Encouraging the Heart) to show a significant difference between female and male respondents. This issue is being investigated in a dissertation underway at Western Michigan University."

Research Design

Managers in the large business, who participated in the leadership development program described earlier, were given eight packets two weeks before the seminar began. Each packet contained the instruments described above, including an additional page of demographic information questions and request for permission to use the results in the research study. The managers were requested to give a packet to four or five immediate subordinates, two peers, and their immediate superior. These respondents were requested to complete the questionnaires in relation to their immediate superior and/or their perceptions of

the work unit. Respondents were also asked the following demographic data:

Length of time he/she has been employed in the work unit

Length of time current supervisor has been supervising him/her

Age

Sex

Ethnic background/race

Educational background

Before granting permission to conduct the study, the business required a guarantee that no more than a reasonable amount of time would be needed to complete the questionnaires. All respondents were given the LBA and PAVE to complete. In a random assignment, half were given the LPI and the other half the LBQ. Therefore each respondent completed only three questionnaires, thus minimizing the amount of time needed to complete the questionnaires.

Respondents who completed the questionnaires were given a self-addressed, stamped envelope in which to mail them directly to the consulting firm that provided the training program. The researcher prepared a general profile review for each manager which was used as part of the training program. Respondents were informed before they completed the questionnaires that this review would not include names or identifying information of respondents and that the managers would not see copies of the completed instruments. In fact, the researcher did not know the names of the respondents. These measures were taken to help to insure anonymity of respondents. In further compliance with

the rights of human subjects, respondents were asked to grant permission to use the information in the research study.

Data Analysis and Statistics

For Hypotheses I and II, a Pearson Product Moment Coefficient of correlation was performed. These hypotheses seek to determine to what extent workers' perceptions of leader behavior as assessed by ratings on one scale vary with workers' perceptions of the peak performance level of the work unit as assessed by ratings on one scale. Specifically, the first two hypotheses were assessed as follows.

Hypothesis I

There will be a positive correlation between workers' ratings of their perceptions of their leader's behavior on a scale based on the traditional managerial perspective with the workers' reported perceptions of the peak performance level of the work unit.

This hypothesis was tested as follows:

1. The LBA was used for classification of traditional managerial behavior. The PAVE was used to determine workers' perceptions of the peak performance level of the work unit.
2. The LBQ-Managerial was used for classification of traditional managerial behavior. The PAVE was used to determine workers' perceptions of the peak performance level of the work unit.

Hypothesis II

There will be a positive correlation between workers' ratings of their perceptions of their leader's behavior on a scale based on the

visionary leadership perspective with the workers' reported perceptions of the peak performance level of the work unit.

This hypothesis was tested as follows:

1. The LPI was used for classification of visionary leadership behavior. The PAVE was used to determine workers' perceptions of the peak performance level of the work unit.
2. The LBQ-Visionary was used for classification of visionary leadership behavior. The PAVE was used to determine workers' perceptions of the peak performance level of the work unit.

Hypothesis III

For Hypothesis III, a one-way analysis of variance was performed, with subordinates' perceptions of leader behavior as the independent variable and subordinates' perceptions of the peak performance level of the work unit as the dependent variable. This analysis investigated mean differences between the perceptions of subordinates whose leaders fell into each of the four leadership categories described below.

Category I	High Rated Traditional Manager High Rated Visionary Leader
Category II	Low Rated Traditional Manager High Rated Visionary Leader
Category III	High Rated Traditional Manager Low Rated Visionary Leader
Category IV	Low Rated Traditional Manager Low Rated Visionary Leader

Hypothesis III states: When workers rate their leaders as high on both traditional managerial and on visionary leadership scales, the workers' reported perceptions of the peak performance level of the work unit will be significantly higher than when the workers rate their

leaders as high on only the traditional managerial scale or only the visionary leadership scale.

Subhypothesis IIIa: When workers rate their leaders as high on both traditional managerial and on visionary leadership scales (Category I), the workers' reported perceptions of the peak performance level of the work unit will be high.

Subhypothesis IIIb: When workers rate their leaders as high on a visionary leadership scale and low on a traditional managerial scale (Category II), the workers' reported perceptions of the peak performance level of the work unit will be in the average range.

Subhypothesis IIIc: When workers rate their leaders as high on a traditional managerial scale and low on a visionary leadership scale (Category III), the workers' reported perceptions of the peak performance level of the work unit will be in the average range.

Subhypothesis IIId: When workers rate their leaders as low on both traditional managerial and on visionary leadership scales (Category IV), the workers' reported perceptions of the peak performance level of the work unit will be low.

This hypothesis was tested as follows:

1. The LPI was for classification of visionary leadership behavior. The LBA was used for classification of traditional managerial behavior. The PAVE was used to assess workers' perceptions of peak performance of the work unit.
2. The LBQ-Visionary was used for classification of visionary leadership behavior. The LBA was used for classification of traditional managerial behavior. The PAVE was used to assess workers' perceptions of peak performance of the work unit.
3. The LBQ-Visionary was used for classification of visionary leadership behavior. The LBQ-Managerial Scale was used for classification of traditional managerial behavior. The PAVE was used to assess workers' perceptions of peak performance of the work unit.

Managers were grouped as follows: high leadership behavior scores were considered those that fell into the upper third of the scores of all leaders who were rated by subordinates of an instrument. Low

leadership behavior scores were considered those that fell into the lower third of the scores of all leaders who were rated by subordinates on an instrument. A high score on the PAVE was considered one that fell in the upper third. A middle score fell in the middle third. A low score was one that fell in the lower third. Figure 3 displays the categories and the hypothesized relationships described by Hypothesis III.

	High Score Traditional	Low Score Traditional
High Score Visionary	Mean Performance Score High Category I	Mean Performance Score Middle Category II
Low Score Visionary	Mean Performance Score Middle Category III	Mean Performance Score Low Category IV

Figure 3. Hypothesized Relationships of Leader Behavior Scores with Mean PAVE Scores

Summary

This chapter has provided a description of the population used in the study, the variables, the instrumentation for the independent variable, the research design, and the data analysis and statistics. A secondary intent of the study was to develop an instrument to measure the dependent variable, workers' perceptions of peak performance. A

description of the development of this instrument and the statistical analyses is provided in Chapter IV.

CHAPTER IV

DEVELOPMENT AND VALIDATION OF THE

PAVE: EXCELLENT ORGANIZATIONAL PRACTICES INDEX

The PAVE: Excellent Organizational Practices Index was used to measure the dependent variable, perceptions of characteristics typical of peak performing organizations, in this research study. This instrument was developed for use in this study because no single instrument could be found that specifically measures this aspect of organizational functioning. For this reason, development of the instrument became a secondary intent of the study and is reported separately in this chapter. What follows is a description of the development of the PAVE including the results of the statistical analyses and psychometric properties. The analyses included tests of reliability, factor analysis, and interscale correlations.

Instrument Development

First, a thorough review of the current literature was conducted to determine what authors say workers are feeling and experiencing in excellent organizations. See Chapter II. In summary, authors (e.g., Kiefer and Senge, 1984; Stroh, 1984; Peters and Waterman, 1984; Berlew, 1974) described the presence of a passionate feeling tone including commitment, satisfaction, motivation, and empowerment. They also described a state of goal alignment (an alignment of members of the organization around a common vision). Finally, these authors assert that members of the organization perceive it to be a peak performing organization.

Next an extensive search was conducted to find an instrument to measure these characteristics. Instruments were found that measure some of these characteristics. For example, the Job Descriptive Index (Smith, Kendall, and Hulin, 1969) and the Minnesota Satisfaction Questionnaire (Weiss et al., 1967) measure job satisfaction. The Organizational Commitment Questionnaire measures commitment (Mowday, Steers and Porter, 1979). The Organizational Effectiveness Questionnaire measures perceived effectiveness (Mott, 1972). Other questionnaires measure more generalized aspects of organizational climate such as the Survey of Organizations (Likert, 1980); Profile of Organizational Practices (Zigarmi, 1982); Study of Schooling Questionnaire (IDEA, Inc., 1978); and Organizational Beliefs Questionnaire (Sashkin, 1984). There was no single questionnaire found which measured all of the above characteristics. All of the items in all of the questionnaires were analyzed for relevance and a list of questions was developed.

The relevant questions from the above questionnaires were grouped into the three general areas suggested by the literature: (1) strong positive tone, (2) clarity and alignment of purpose and goals, and (3) perceived effectiveness (performance).

These general areas were broken down more specifically and three to seven questions were developed for each area. In order to achieve some degree of concurrent validity, when appropriate questions existed from the list of relevant questions, these questions were used as the base to develop the questions for the PAVE. Table 9 details the specific areas.

TABLE 9
Specific Topics of the PAVE

Strong Feeling Tone of: Commitment
Inspiration
Motivation
Personal and collective power
Excitement
Confidence

Goal Alignment - Clarity and alignment of purpose and goals:

Goals relate to purpose throughout the unit.

Unit goals are consistent with personal values of members.

Members of the unit are all moving in the same direction sharing a common purpose and goals.

Performance - Perceived effectiveness:

Competence, productivity and output is seen as inspired, outstanding, or excellent on the part of the individual and the unit.

The list of questions was then reviewed to be sure none of the questions were exactly identical to questions on copyrighted materials. A final list of 52 questions was developed. The questions are listed in Appendix A, grouped according to category.

This first version of the PAVE was reviewed with the chairman directing the dissertation research and with professors in research and statistics. The questions were then rewritten into questionnaire format with a 7 point Likert Scale. The questionnaire was administered to 25 workers in a variety of organizations who were asked to answer the questionnaire, to make comments on clarity of questions, and to make

any other comments or suggestions. The results of this pilot were analyzed and a modified version consisting of 37 questions was produced.

The second version of the PAVE was sent to four nationally-known and respected Human Resource Development (HRD) specialists who had expertise in the content of this questionnaire and expertise in questionnaire development. These people were asked to review the questionnaire and to make suggestions. The cover letter that was sent to the HRD specialists can be found in Appendix A. Based on the feedback from these people, two questions were slightly modified and three questions were added to form a third version 40 question version of the PAVE.

To further obtain construct validity, five people were asked to rearrange the questions into the original categories listed in Table 9. The form used is included in Appendix A.

Results of Statistical Analyses

The third, 40-item, version of the PAVE was administered within the large private-sector company that provided the setting for the research study. A total of 473 people completed the PAVE. Respondents were obtained by requesting each of the 129 managers in the company to have five subordinates, two associates, and one superior complete the PAVE anonymously. The questionnaires were mailed directly to the researcher by the respondents to further insure anonymity. The PAVE was completed, all 40 items were answered, by 473 of the 508 respondents who returned questionnaires. Of those who completed the

questionnaires, 323 were the subordinates who participated in the study. It was also completed by 150 associates and superiors of the managers. A reliability coefficient of .9478 was obtained for the entire questionnaire. Statistical analysis including additional tests of reliability, item-to-total correlations, factor analysis, and inter-correlations of scales were performed and are reported in the following section.

Factor Analysis and Development of the Scales

A factor analysis was performed which resulted in five clear factors. The eigenvalues and percent of variance for each factor are described in Table 10. It can be seen that a total of 55 percent of the variance can be accounted for.

TABLE 10

Eigenvalues and Variance for Factor Analysis of PAVE

	<u>Eigenvalue</u>	<u>% of Variance</u>
Factor 1:	14.347	35.9
Factor 2:	2.7428	6.9
Factor 3:	1.7579	4.4
Factor 4:	1.4836	3.7
Factor 5:	1.4625	3.7

Table 11 provides the factor loadings of over .30. The six questions for Factors 2-5 that loaded most highly after rotation were chosen to comprise each scale. When an item loaded over .30 in more than one factor, the decision to which factor to assign it was determined by whether it was one of the six highest loading items for that factor. Because Factor 1 loaded with almost twice as many questions as the other factors, twelve questions were chosen. These twelve questions seemed to group together in content into two subscales; therefore, statistical data was collected and analyses were run for Factor 1 both as a 12 question scale and as two 6 question subscales. Four items did not load on any of these five factors and were dropped from the PAVE.

The questions in each factor were analyzed to see if and how they related to the categories characteristic of peak performing organizations from which the questions were originally developed. The factors corresponded with the following categories:

FACTOR 1:	PERFORMANCE
FACTOR 2:	FEELING TONE
FACTOR 3:	ALIGNMENT
FACTOR 4:	FEELING TONE (Motivation)
FACTOR 5:	FEELING TONE (Empowerment)

TABLE 11

Factor Loadings of Over .30 for PAVE

<u>Item #</u>	<u>Factor 1</u>	<u>Factor 2</u>	<u>Factor 3</u>	<u>Factor 4</u>	<u>Factor 5</u>
10	.70*				
14	.75*				
18	.35*				
21	.67*				
28	.73*				
29	.43*				
2	.44*		.42		
8	.50*				
16	.45*				
20	.42*	.34			
35	.59*	.34			
37	.46*				
12		.56*			
17		.65*			
19	.31	.62*			
38		.50*			
39	.31	.47*		.31	
40		.75*			
1	.36		.56*		
3			.76*		
4			.71*		
5	.43		.43*		
7	.35		.49*		
9			.59*		
22		.43		.43*	
23				.54*	
25				.44*	
31				.61*	
33				.63*	
36		.31		.72*	
11					.48*
15	.46				.46*
24		.41			.48*
27	.38	.30			.39*
30					.31*
34			.33		.51*

*Items chosen

The factors were named as follows:

FACTOR 1:	PERFORMANCE
FACTOR 2:	INSPIRATION
FACTOR 3:	ALIGNMENT
FACTOR 4:	COMMITMENT
FACTOR 5:	EMPOWERMENT

Factor 1 subscales were named as follows:

PERFORMANCE-PRODUCTIVITY
PERFORMANCE-TEAM EFFECTIVENESS

Description and Questions for Each PAVE Scale

Factor 1 is divided into two subscales. The first is called the Performance-Productivity Subscale. This is one of two subscales that measures perceived effectiveness of the work unit. In peak performing organizations, productivity or output is seen as outstanding, inspired, or excellent on the part of the individuals and for the unit as a whole. These questions group around task accomplishments. Questions on this subscale included:

- 14. High standards of performance are maintained here.
- 10. The overall effectiveness of this unit is excellent.
- 18. My superior is excellent in meeting the requirements of the organization.
- 21. Compared to other units I have known, the effectiveness of this unit is excellent.
- 28. This unit produces top quality/superior work.
- 29. The practices my superior uses are the right ones for getting the unit's job done.

The second subscale in Factor 1 is called the Performance-Team Effectiveness Subscale. This subscale also measures perceived effectiveness of the work unit but from the point of view of team processes instead of output. Questions in this subscale include:

- 2. There is a feeling of cohesiveness/sense of community here.
- 8. There is a high degree of confidence and trust among members of this unit.
- 37. People in this unit coordinate their efforts when necessary.
- 16. My values and the values of the unit are very similar.
- 20. People's goals in this unit are compatible.
- 35. People in this unit take pride and satisfaction in their work.

Factor 2 is called the Inspiration Scale. This scale measured the presence of a strong feeling-tone on the part of members of the organization. In peak performing organizations, members report a strong feeling-tone including sense of accomplishment, inspired performance, pride in the work, personal growth, optimism, and excitement. Questions on this scale include:

- 12. Working here inspires the very best of me in the way of job performance.
- 17. I have strong feelings of accomplishment related to our work.
- 19. I am proud to be a member of this unit.
- 38. I am continually learning and seeking new ideas as they relate to the work of this unit.
- 40. I am excited about the work we are doing here.
- 39. I feel we can overcome almost any obstacle here.

Factor 3 is called the Alignment Scale. This scale measures the concept of goal alignment, the amount of clarity and alignment of purpose and goals. In peak performing organizations, goals are perceived as relating to the purpose of the organization throughout the organization. Also, unit and organizational goals are seen as consistent with the personal values of the members. Furthermore, members of the organization see themselves as all moving in the same direction, sharing a common purpose and goals.

1. There is a common mission/sense of purpose for this unit.
3. I can clearly describe the major purpose of this unit.
4. I am clear about the goals and priorities for this unit.
5. People throughout the unit are committed to a common mission or purpose.
7. Goals and priorities are related to the mission of this unit.
9. I am clear about how my job responsibilities relate to the mission of this unit.

Factor 4 is called the Commitment Scale. This is another feeling-tone scale. In peak performing organizations members report strong feelings of commitment to the goals of the organization and to the work that needs to be done in order to meet the goals.

22. The goals of this unit are important to me.
23. When my work requires working independently, I do it well.
25. I am willing to put in a great deal of extra effort beyond what is normally expected in a job.
31. I am committed to helping the unit meet its goals.

33. I am committed to completing work even when it is frustrating.

36. I am determined to meet whatever challenges arise here.

Factor 5 is called the Empowerment Scale. This scale measures how much members feel a sense of personal and collective power, how much they feel in control of their own destinies and how much they feel in charge of determining what they need to do to get the work done. In peak performing organizations members report that they feel able to act freely on their own accord and to do what they believe is correct.

11. In order to meet job-related expectations, I have to do things that seem wrong to me.

15. People in this unit give up when the work becomes frustrating.

24. I feel powerless here.

27. Morale is rather low here.

30. I have the freedom I need to use my own judgment.

34. I am confused about what people expect me to do on my job.

Tests of Reliability

The questionnaires of the 473 respondents who answered all questions were analyzed. The coefficient alpha statistic was performed for the entire PAVE and for each scale and subscale to test internal consistency. The reliability coefficient for the entire 36-question PAVE was .9468. Reliability coefficients are presented in Table 12.

TABLE 12
Reliability Coefficients for PAVE Scales

Scale	Reliability Coefficient
Performance	.91
Productivity	.88
Team Effectiveness	.83
Alignment	.86
Inspiration	.87
Commitment	.77
Empowerment	.78
Total PAVE	.95

Correlations for Scales and Questions

To determine if the scales (and subscales) correlated significantly and could be treated as one independent variable, Pearson Product Moment correlations were performed for each scale to the total PAVE, for each item to its scale, and for each scale to other scales. The results of these correlations indicate all scales and subscales of the PAVE can be considered interrelated and to constitute one measure, that of workers' perceptions of peak performance of the work unit. Table 13 presents the correlation coefficient for each scale of the PAVE and the item-total correlation for that scale. Correlations are significant for all scales ($p=.001$). Table 14 describes the intercorrelations for the PAVE scales (including Factor 1 as both a 12 item scale

TABLE 13
Correlation Coefficients and Item-Total Correlations
for PAVE Scales

Scale	Correlation Coefficient	Item Number	Item-Total Correlation
Performance	.91	2	.68
		8	.66
		10	.68
		14	.68
		16	.63
		18	.57
		20	.63
		21	.77
		28	.69
		29	.68
		35	.63
		37	.56
Inspiration	.85	12	.68
		17	.69
		19	.73
		38	.58
		39	.60
		40	.80
Alignment	.81	1	.65
		3	.69
		4	.70
		5	.61
		7	.62
		9	.61
Commitment	.65	22	.52
		31	.60
		33	.56
		36	.69
		23	.44
		25	.39

(Continued Next Page)

TABLE 13
(continued)

Scale	Correlation Coefficient	Item Number	Item-Total Correlation
Empowerment	.86	11	.43
		15	.45
		24	.62
		27	.63
		30	.47
		34	.59
Productivity	.83	10	.69
		14	.67
		18	.59
		21	.76
		28	.68
		29	.67
Team Effectiveness	.87	2	.67
		8	.62
		16	.60
		20	.64
		35	.59
		37	.58

TABLE 14
Intercorrelation Matrix Among PAVE Scales

	Perform	Product	TmEff	Inspir	Align	Commit	Empwr
Perform	1.00	.94	.94	.66	.70	.39	.66
Product	.94	1.00	.77	.61	.62	.33	.61
TmEff	.94	.77	1.00	.64	.69	.41	.64
Inspir	.66	.61	.64	1.00	.58	.59	.64
Align	.70	.62	.69	.58	1.00	.39	.60
Commit	.39	.33	.41	.59	.39	1.00	.45
Empwr	.66	.61	.64	.64	.60	.45	1.00

NOTE: Abbreviations: Perform = Performance; Product = Productivity;
TmEff = Team Effectiveness; Inspir = Inspiration;
Align = Alignment; Commit = Commitment; Empwr = Empowerment;
p = .001, n = 483-495

(Performance) and as two 6 item subscales (Performance-Productivity and Performance-Team Effectiveness). Correlations are significant for all scales at $p=.001$.

Means and Standard Deviations

Table 15 presents the mean score and standard deviation for each scale and subscale of the PAVE.

Summary

In summary, the results indicated that the PAVE is of high reliability; that the scales are strongly interrelated yet distinguishable;

TABLE 15
Mean Score and Standard Deviation
for Scales of the PAVE

Scale	Mean	<u>SD</u>	<u>N</u> ^a	<u>N</u> ^b
Performance	67.30	11.34	12	473
Productivity	34.06	6.16	6	473
Team Effectiveness	33.24	5.91	6	473
Alignment	35.44	5.47	6	473
Inspiration	35.06	5.68	6	473
Commitment	37.78	3.29	6	473
Empowerment	32.32	7.01	6	473

N^a = Number of Variables, N^b = Number of Subjects

and that the PAVE can be considered to constitute one measure, workers' perceptions of indicators typical of peak performing organizations.

CHAPTER V

RESULTS

This chapter discusses the results of the study. The major intent of the study was to explore the relationship between leadership behaviors and specific organizational variables typical of peak performing organizations according to the perceptions of subordinates within the organization.

The first section presents the demographic information describing the organization and the subjects of the study: the subordinates and the managers they rated.

The second section reports results that explore the relationship between traditional managerial skills, as measured by the LBA and the LBQ-Managerial, and peak performance level of the manager's work unit, as measured by the PAVE, from the subordinates' perspective. Data was analyzed using a Pearson Product Moment correlation. Results are reported first for all managers within the organization. Then results are reported for managers according to their level within the organization: senior level, middle level, and first line.

The third section provides results that explore the relationship between visionary leadership behaviors, as measured by the LBQ-Visionary and the LPI, and peak performance level of the manager's work unit, as measured by the PAVE, from the subordinates' perspective. Data was analyzed using a Pearson Product Moment correlation. Results are reported first for all managers within the organization. Then

results are reported for managers according to their level within the organization: senior level, middle level, and first line.

The fourth section provides results that explore the relationship between the possible combinations of high-rated and low-rated, managerial and visionary leadership with the workers' perceptions of the peak performance level of the manager's work unit. This section provides a look at the data used as input to the data analysis, the test of assumptions required for the analysis of variance when using a multiple comparison test, and the results of the analyses of variance and the multiple comparison tests.

Description of Subjects

The organization that provided the setting for this research study is a large private-sector business that is a leading independent lessor and remarketer of IBM computer equipment in the world. This business leases mainframe computers, computer equipment and telecommunication equipment, finances new equipment, and remarkets a customer's existing system. The headquarters are located in the midwest.

Table 16 illustrates the demographic data for the subjects. A total of 340 subordinates rated their immediate superior (manager) and their work unit, using a questionnaire containing the LBA, LPI or LBQ, and the PAVE. They completed a section giving their demographic information on the questionnaire. Of those who responded to these questions, the majority were Caucasian (93.5%), female (57.6%), with ages 26 through 35 (44.7%), having attended some college (43.2%). The number

TABLE 16
Demographic Data on Subjects
(Subordinates)^a

Variable		Percentages
1. <u>Sex</u>	Male	39.7
	Female	57.6
	No Response	2.6
2. <u>Age</u>	25 Years or Less	28.8
	26 Years through 35 Years	44.7
	36 Years through 45 Years	18.2
	46 Years through 55 Years	3.2
	56 Years or Over	1.2
	No Response	3.8
3. <u>Race</u>	White	93.5
	Black	2.1
	Hispanic	0.6
	Asian	1.2
	Native American	0
	Other	0.3
	No Response	2.4
4. <u>Education</u>	Up to Some High School	0.9
	Completed High School	18.8
	Some College	43.2
	Completed College	28.8
	Completed Graduate School	5.9
	No Response	2.4
5. <u>Years in Work Unit</u>	Less than 1	30.3
	1-2	32.9
	3-6	27.9
	7-10	6.5
	11 or more	0
	No Response	3.2

^aSample Size: N=340

of years the subjects had worked with their manager ranged primarily from less than 1 year to 6 years; with 30.3% of the subjects for less than 1 year, 32.9% for 1-2 years, and 27.1% for 3-6 years.

Table 17 describes the 129 managers who were rated by the subjects of the study (subordinates). The total sample of managers (TS) is described and also the managers according to their level within the organization: senior level managers (SM), middle level managers (MM), and first line managers (FLM). The total sample of managers were 55% female and 45% male. However, this male/female ratio was not evenly split according to position in the organizational hierarchy. Of the senior level managers, 91% were male. Of the first line managers, 71%

TABLE 17
Demographic Data on Managers^a

Variable		Percentages			
		TS	SM	MM	FLM
1. <u>Level of Manager</u>		-	9	53	38
2. <u>Sex</u>	Male	55	91	68	29
	Female	45	9	32	71
3. <u>Years in Work Unit</u>	Less than 1	15.9	-	-	-
	1-2	23.4	-	-	-
	3-6	36.6	-	-	-
	7-10	14.2	-	-	-
	11 or More	1.4	-	-	-
	No Response	8.5	-	-	-

^a Sample Size: N(TS, Total Sample) = 129; N(SM, Senior Managers) = 11; N(MM, Middle Managers) = 69; N(FLM, First Line Managers) = 49

were female. The majority of managers (53%) were middle managers. The number of years the managers had been responsible for the work unit ranged primarily from less than 1 year to 6 years; with 15.9% of the managers for less than 1 year, 23.4% for 1-2 years, and 36.6% for 3-6 years.

Workers' Perceptions of the Relationship Between Traditional Managerial Skills and Peak Performance Level of the Work Unit

The first hypothesis was stated as follows: There will be a positive correlation between workers' ratings of their perceptions of their leader's behavior on a scale based on the traditional managerial behavior perspective with ratings on a scale assessing workers' perceptions of the peak performance level of work unit.

This hypothesis was examined using two separate instruments to assess workers' perceptions of their leader's traditional managerial skills, the Leader Behavior Analysis (LBA) and the Leader Behavior Questionnaire-Managerial (LBQ-M). The "Other" report form was used for both instruments; this form assesses others' perceptions as opposed to self perceptions. Results will be reported first for the LBA and then for the LBQ-M. These instruments were each correlated with the PAVE: Excellent Organizational Practices Index which was used to measure workers' perceptions of the performance level of the work unit.

Leader Behavior Analysis

Table 18 describes the results of the Pearson Product Moment correlations for the LBA Effectiveness Score with the PAVE total score

TABLE 18

Pearson Correlations for the LBA with the PAVE and Scales

	<u>r</u>	<u>LBA</u> <u>p</u>	<u>n</u>
Total PAVE	.3241	.001	282
<u>PAVE Scales</u>			
Performance:	.2666	.001	293
Productivity:	.2438	.001	294
Team Effectiveness:	.2505	.001	294
Inspiration:	.2276	.001	295
Alignment:	.2756	.001	292
Commitment:	.1194	.021	290
Empowerment:	.3354	.001	292

and with the PAVE Scales. The correlation of LBA with PAVE total score was significant ($p=.001$). Thus, the first hypothesis was supported. Correlations between the LBA and each of the scales of the PAVE were also significant (Commitment, $p<.05$; all other scales, $p=.001$).

Table 19 describes the results of the Pearson Product Moment correlations for senior level managers for the LBA Effectiveness Score with the PAVE total score and with the PAVE Scales. The correlation of LBA with total PAVE was significant ($p<.05$). Scales that showed significant correlations were Performance, Productivity, Alignment, and Empowerment ($p<.05$).

TABLE 19

Pearson Correlations for Senior Level Managers
for the LBA with the PAVE and Scales

	<u>r</u>	<u>LBA</u> <u>p</u>	<u>n</u>
Total PAVE	.3391	.016	40
<u>PAVE Scales</u>			
Performance:	.2864	.033	42
Productivity:	.2995	.027	42
Team Effectiveness:	.2311	.070	42
Inspiration:	.2246	.076	42
Alignment:	.3621	.010	41
Commitment:	.1305	.208	41
Empowerment:	.3721	.008	42

Table 20 describes the results of the Pearson Product Moment correlations for middle level managers for the LBA Effectiveness Score with the PAVE total score and with the PAVE Scales. The correlation of LBA with total PAVE was significant ($p=.001$). Scales that showed significant correlations were Performance, Productivity, Team Effectiveness, Alignment, and Empowerment ($p=.001$); and Inspiration ($p<.01$).

Table 21 describes the results of the Pearson Product Moment correlations for first-line managers for the LBA Effectiveness Score with the PAVE total score and with the PAVE Scales. The correlation of LBA with the total PAVE was significant ($p<.01$). All scales showed significance ($p<.05$).

TABLE 20

Pearson Correlations for Middle Level Managers
for the LBA with the PAVE and Scales

	<u>r</u>	<u>LBA</u> <u>p</u>	<u>n</u>
Total PAVE	.3300	.001	168
<u>PAVE Scales</u>			
Performance:	.2766	.001	172
Productivity:	.2375	.001	172
Team Effectiveness:	.2712	.001	173
Inspiration:	.2077	.003	173
Alignment:	.2746	.001	172
Commitment:	.0987	.099	171
Empowerment:	.3704	.001	172

TABLE 21

Pearson Correlation for First Line Managers
for the LBA with the PAVE and Scales

		Total LBA	
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.2935	.006	72
<u>PAVE Scales</u>			
Performance:	.2229	.026	77
Productivity:	.2206	.026	78
Team Effectiveness:	.2009	.040	77
Inspiration:	.2750	.007	78
Alignment:	.2091	.034	77
Commitment:	.1991	.042	76
Empowerment:	.1923	.048	76

Leader Behavior Questionnaire-Managerial

Table 22 describes the results of the Pearson Product Moment correlations for the LBQ-M with the PAVE total score and with the PAVE scales. The correlation of the LBQ-M with the PAVE total score was moderately strong and significant ($p=.001$). Thus, the first hypothesis was supported. Correlations between the LBQ-M and each of the scales of the PAVE were also significant ($p=.001$).

Table 23 describes the results of the Pearson Product Moment correlations for the scales of the LBQ-M with the total PAVE score. The correlations were significant ($p=.001$) for all scales. They were

TABLE 22

Pearson Correlations for the LBQ-M
with the PAVE and Scales

	<u>Total LBQ-Managerial</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.5738	.001	159
<u>PAVE Scales</u>			
Performance:	.5678	.001	165
Productivity:	.5722	.001	166
Team Effectiveness:	.4895	.001	167
Inspiration:	.4300	.001	167
Alignment:	.4742	.001	167
Commitment:	.2759	.001	164
Empowerment:	.5237	.001	167

TABLE 23
Pearson Correlations for the LBQ-M Scales
with the PAVE

LBQ-M Scales	<u>r</u>	<u>Total PAVE</u>	
		<u>p</u>	<u>n</u>
Scale 7: Supportive Management	.4706	.001	166
Scale 8: Goal-Oriented Management	.2331	.001	163
Scale 9: Task-Centered Management	.4971	.001	166
Scale 10: Team Management	.5674	.001	166
Task-Oriented Behavior	.4682	.001	161
Relationship-Oriented Behavior	.5662	.001	165

somewhat stronger for the relationship-oriented dimension than for the task-oriented dimension.

Table 24 describes the Pearson Product Moment correlations for scales of the LBQ-M with scales of the PAVE. All correlations were significant ($p < .05$ through $p < .001$) except the PAVE scale of Commitment with LBQ-M scale 8, Goal-Oriented Management, which assesses clarity of performance expectations. In general, both the PAVE scale of Commitment and the LBQ-M scale 8 had a lower correlation than the other scales. The PAVE scales that correlated most strongly were the Performance scale (including the subscales Productivity and Team Effectiveness) and Empowerment. The pattern of weaker correlations for the

TABLE 24

Pearson Correlations for Scales of the LBQ-M
with Scales of the PAVE

	PAVE Scales						
	Perform	Product	TnEff	Inspir	Align	Commit	Empower
<u>LBQ-M</u> <u>Scales</u>							
SCL 7	.4498	.4421	.3916	.3171	.2885	.3321	.4492
SCL 8	.2066 [@]	.1978 [@]	.1757*	.2647	.3133	.0440 [#]	.1407*
SCL 9	.5223	.5264	.4521	.3703	.4401	.2194 [@]	.4463
SCL 10	.5770	.5871	.4901	.3896	.4728	.2209 [@]	.5288
TASK-O	.4668	.4611	.4111	.4056	.4558	.1806	.3964
RELT-O	.5594	.5612	.4805	.3841	.4132	.3010	.5335

NOTE: Abbreviations: Perform=Performance; Product=Productivity; TmEff=Team Effectiveness; Inspir=Inspiration; Align=Alignment; Commit=Commitment; Empower=Empowerment; SCL 7=Scale 7; SCL 8=Scale 8; SCL 9=Scale 9; SCL 10=Scale 10; TASK-O=Task-Oriented Behavior; RELT-O=Relationship-Oriented Behavior; p=.001; n=171-176; *p<.05; @p<.005; #p>.05

Commitment scale and stronger for Performance and Empowerment will be demonstrated throughout the presentation of the results. Speculation as to possible reasons for this pattern will be discussed in Chapter VI.

Table 25 describes the results of the Pearson Product Moment correlations for senior level managers for the LBQ-M with the PAVE total score and with the PAVE Scales. The correlation for total LBQ-M with total PAVE was significant and strong ($r=.85$, $p=.001$). Scales that

TABLE 25

Pearson Correlations for Senior Level Managers
for the LBQ-M with the PAVE and Scales

	<u>Total LBQ-M</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.8481	.001	21
<u>PAVE Scales</u>			
Performance:	.8185	.001	22
Productivity:	.7879	.001	22
Team Effectiveness:	.7296	.001	22
Inspiration:	.5895	.002	22
Alignment:	.7335	.001	22
Commitment:	.2489	.138	21
Empowerment:	.8398	.001	22

showed significant and strong correlations ($p=.001$) were Performance ($r=.82$), Productivity ($r=.79$), Team Effectiveness ($r=.73$), Alignment ($r=.74$), and Empowerment ($r=.84$). The strength of the correlations for senior level managers tended to be stronger than for middle level and first line managers. Although the number (N) of responses included in the correlations for senior level managers was lower than for the other two groups, the differences in strength of correlations were so great as to lead to the assumption that the difference in numbers alone did not account for the difference in correlation and that indeed the correlations were stronger. This pattern of stronger correlations for senior level managers than for other levels will be demonstrated in the

presentation of results for the other instruments as well. Possible reasons for this stronger correlation will be discussed in Chapter VI.

Table 26 describes the results of the Pearson Product Moment correlations for middle level managers for the LBQ-M with the PAVE total score and with the PAVE Scales. The correlation for the total LBQ-M was significant and of moderate strength ($r=.50$, $p=.001$). All scales were significant at $p=.001$ except Commitment which was significant at $p<.05$. It is interesting to note that the correlations for first-line managers are higher than for the middle managers. Because there are almost twice as many responses for the middle managers as there are for

TABLE 26

Pearson Correlations for Middle Level Managers
for the LBQ-M with the PAVE and Scales

	<u>Total LBQ-M</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.4912	.001	89
<u>PAVE Scales</u>			
Performance:	.4886	.001	90
Productivity:	.4894	.001	91
Team Effectiveness:	.4300	.001	91
Inspiration:	.3646	.001	91
Alignment:	.3784	.001	92
Commitment:	.2234	.017	91
Empowerment:	.4929	.001	92

the first line managers, the correlations are expected to be higher. However, there is no way to determine whether or not the differences are due entirely to the differences in number of responses. This raises some interesting questions that will be addressed in Chapter VI.

Table 27 describes the results of the Pearson Product Moment correlations for first-line managers for the LBQ-M with the PAVE total score and with the PAVE Scales. The correlation for the total LBQ-M was significant and of moderate strength ($r=.66$, $p=.001$). All scales were significant ($p=.001$). All scales showed a strong correlation ($r>.50$) except Commitment ($r=.44$).

TABLE 27

Pearson Correlations for First Line Managers
for the LBQ-M with the PAVE and Scales

	<u>r</u>	<u>Total LBQ-M</u>	
		<u>p</u>	<u>n</u>
Total PAVE	.6450	.001	49
<u>PAVE Scales</u>			
Performance:	.5883	.001	53
Productivity:	.5958	.001	53
Team Effectiveness:	.5061	.001	54
Inspiration:	.5031	.001	54
Alignment:	.5600	.001	53
Commitment:	.4367	.001	52
Empowerment:	.5102	.001	53

Workers' Perceptions of the Relationship Between Visionary
Leadership and Peak Performance of the Work Unit

The second hypothesis was stated as follows: There will be a positive correlation between workers' ratings of their perceptions of their leader's behavior on a scale based on the visionary leadership perspective with ratings on a scale assessing workers' perceptions of the peak performance level of the work unit.

This hypothesis was examined using two separate instruments to assess workers' perceptions of their leader's visionary leadership behavior, the Leader Behavior Questionnaire-Visionary (LBQ-V) and the Leadership Practices Inventory (LPI). The "Other" report form was used for both instruments; this form assesses others' perceptions as opposed to self perceptions. Results will be reported first for the LBQ-V and then for the LPI. These instruments were each correlated with the PAVE: Excellent Organizational Practices Index which was used to measure workers' perceptions of the performance level of the work unit.

Leader Behavior Questionnaire-Visionary

Table 28 describes the results of the Pearson Product Moment correlations for the LBQ-V with the PAVE total score and with the PAVE Scales. The correlation of the LBQ-V total score with the PAVE total score was significant ($p=.001$). Thus, the second hypothesis was supported. Correlations between the LBQ-V and each of the scales of the PAVE were also significant ($p=.001$). The strength of the correlations were in the moderate range for the total PAVE with the total LBQ-V. The strength of the correlations was also in the moderate range for

TABLE 28

Pearson Correlations for the LBQ-V
with the PAVE and Scales

	<u>Total LBQ-V</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.5790	.001	163
<u>PAVE Scales</u>			
Performance:	.5909	.001	169
Productivity:	.5896	.001	170
Team Effectiveness:	.5073	.001	171
Inspiration:	.3729	.001	171
Alignment:	.4441	.001	171
Commitment:	.2962	.001	168
Empowerment:	.4974	.001	171

the PAVE scales of Performance, including the subscales Productivity and Team Effectiveness, and Empowerment.

Table 29 describes the results of the Pearson Product Moment correlations for scales of the LBQ-V with the total PAVE score. The correlations were significant ($p=.001$) for all scales. The strength of the correlations tended to be in the moderate range and did not vary much.

Table 30 describes the Pearson Product Moment correlations for scales of the LBQ-V with the scales of the PAVE. All correlations were significant ($p<.004$ for Commitment and Scale 1; $p=.001$ for all others) and tended to correlate in the moderate range. The PAVE scales that

TABLE 29
 Pearson Correlations for the LBQ-V Scales
 with the PAVE

LBQ-V	r	<u>Total PAVE</u>	
		p	n
Scale 1: Focused Leadership	.4410	.001	165
Scale 2: Communication Leadership	.5389	.001	168
Scale 3: Trust Leadership	.4717	.001	166
Scale 4: Self-Leadership	.4791	.001	167
Scale 5: Risk Leadership	.4404	.001	166
Scale 6: Follower-Centered Leadership	.5122	.001	166

TABLE 30

Pearson Correlations for Scales of the LBQ-V
with Scales of the PAVE

<u>LBQ-V Scales</u>	<u>PAVE Scales</u>						
	Perform	Product	TmEff	Inspir	Align	Commit	Empower
SCL 1	.4434	.4736	.3537	.2823	.3851	.2008 [#]	.3683
SCL 2	.5273	.5381	.4396	.3457	.4170	.3091	.4485
SCL 3	.4897	.4891	.4246	.2857	.3625	.2412	.4150
SCL 4	.4890	.4956	.4178	.2938	.3942	.2356	.4127
SCL 5	.4434	.4090	.4047	.3167	.2908	.2467	.4138
SCL 6	.4809	.4767	.4211	.4029	.3491	.2955	.5361
VISNRY	.5048	.4952	.4429	.3202	.3994	.2770	.4312

NOTE: Abbreviations: Perform=Performance; Product=Productivity; TmEff=Team Effectiveness; Inspir=Inspiration; Align=Alignment; Commit=Commitment; Empower=Empowerment; SCL 1=Scale 1; SCL 2=Scale 2; SCL 3=Scale 3; SCL 4=Scale 4; SCL 5=Scale 5; SCL 6=Scale 6; VISNRY=Visionary Leadership; $p=.001$; $n=171-176$; [#] $p=.004$

tended to correlate the most strongly were Performance, including the subscales Productivity and Team Effectiveness, and Empowerment. The scale of Commitment tended to have a lower correlation.

Table 31 describes the results of the Pearson Product Moment correlations for senior level managers for the LBQ-M with the PAVE total score and with the PAVE scales. The correlations for total LBQ-M with total PAVE were significant and strong ($r=.72$, $p=.001$). Scales that

TABLE 31

Pearson Correlations for Senior Level Managers
for the LBQ-V with the PAVE and Scales

	<u>Total LBQ-V</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.7157	.001	23
<u>PAVE Scales</u>			
Performance:	.6594	.001	24
Productivity:	.6211	.001	24
Team Effectiveness:	.6112	.001	24
Inspiration:	.5744	.002	24
Alignment:	.6703	.001	24
Commitment:	.3270	.064	23
Empowerment:	.6952	.001	24

showed significant and strong correlations ($p=.001$) were Performance ($r=.66$), Productivity ($r=.62$), Team Effectiveness ($r=.61$), Alignment ($r=.67$), and Empowerment ($r=.70$). The correlations for the senior level managers were stronger compared to the correlations for middle level and first line managers.

Table 32 describes the results of the Pearson Product Moment correlations for middle level managers for the LBQ-M with the PAVE score and with the PAVE scales. The correlations for total LBQ-M with total PAVE were significant and strong ($r=.55$, $p=.001$). Scales that showed significant and strong correlations ($r>.50$, $p=.001$) were Performance, Productivity, Team Effectiveness, and Empowerment.

TABLE 32

Pearson Correlations for Middle Level Managers
for the LBQ-V with the PAVE and Scales

	<u>Total LBQ-V</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.5505	.001	91
<u>PAVE Scales</u>			
Performance:	.5990	.001	92
Productivity:	.6023	.001	93
Team Effectiveness:	.5056	.001	93
Inspiration:	.3490	.001	93
Alignment:	.4054	.001	94
Commitment:	.2537	.007	93
Empowerment:	.5117	.001	94

Table 33 describes the results of the Pearson Product Moment correlations for first-line managers for the LBQ-M with the PAVE total score and with the PAVE scales. The correlations for total LBQ-M with total PAVE were significant and strong ($r=.60$, $p=.001$). Scales that showed significant and strong correlations ($r>.50$, $p=.001$) were Performance and Productivity. Significant relationships ($p>.01$) were found for all scales.

TABLE 33

Pearson Correlations for First Line Managers
for the LBQ-V with the PAVE and Scales

	<u>Total LBQ-V</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.5988	.001	49
<u>PAVE Scales</u>			
Performance:	.5671	.001	53
Productivity:	.5751	.001	53
Team Effectiveness:	.4888	.001	54
Inspiration:	.3464	.005	54
Alignment:	.4439	.001	53
Commitment:	.3961	.002	52
Empowerment:	.4254	.001	53

Leadership Practices Inventory

Table 34 describes the results of the Pearson Product Moment correlations for the LPI with the PAVE total score and with the PAVE scales. The correlation of the LPI with the PAVE total score was significant at $p=.001$. Thus, the second hypothesis was supported. Correlations between the LPI and each of the scales of the PAVE were also significant at $p=.001$. The strength of the correlation for the scale of Commitment was weaker than the correlations for the other scales.

TABLE 34
 Pearson Correlations for the LPI
 with the PAVE and Scales

	<u>Total LPI</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.6845	.001	142
<u>PAVE Scales</u>			
Performance:	.6755	.001	146
Productivity:	.6672	.001	147
Team Effectiveness:	.6078	.001	146
Inspiration:	.5782	.001	147
Alignment:	.5103	.001	145
Commitment:	.2941	.001	146
Empowerment:	.5518	.001	146

Table 35 describes the results of the Pearson Product Moment correlations for the scales of the LPI with the total PAVE score. The correlations were strong and significant ($r > .50$, $p = .001$) for all scales.

Table 36 describes the Pearson Product Moment correlations for scales of the LPI with the scales of the PAVE. All correlations were significant ($p = .005$ for Commitment and CTP, Challenging the Process; $p = .001$ for all others). The scale of Commitment tended to correlate at a weaker strength with the LPI scales than did the other PAVE scales. The empowerment scale of the LPI, Enabling Others to Act (EOA), tended to correlate the highest with the PAVE scales. When looking at most

TABLE 35

Pearson Correlations for the LPI Scales
with the PAVE

LPI Scales	<u>Total PAVE</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
CTP: Challenging the Process	.5328	.001	148
ISV: Inspiring a Shared Vision	.5843	.001	152
EOA: Enabling Others to Act	.6834	.001	151
MTW: Modeling the Way	.6192	.001	150
EH: Encouraging the Heart	.6258	.001	152

TABLE 36

Pearson Correlations for Scales of the LPI
with Scales of the PAVE

	<u>PAVE Scales</u>						
	Perform	Product	TmEff	Inspir	Align	Commit	Empower
<u>LPI Scales</u>							
CTP:	.5640	.5519	.5085	.4458	.3643	.2084 [#]	.4159
ISV:	.5554	.5381	.5095	.5404	.4416	.2476	.4467
EOA:	.6765	.6582	.6138	.5340	.4812	.3035	.6058
MTW:	.6084	.6163	.5303	.4835	.5401	.2737	.4719
EH:	.5987	.5892	.5389	.5306	.4368	.2853	.5271

NOTE: Abbreviations: CTP=Challenging the Process; ISV=Inspiring a Shared Vision; EOA=Enabling Others to Act; MTW=Modeling the Way; EH=Encouraging Heart; p=.001; n=152-159; [#]p=.005

PAVE scales, the strength of the correlations with the LPI scales were of the same strength except for the PAVE empowerment scale which showed a stronger correlation with the LPI empowerment scale than with the other LPI scales.

Table 37 describes the results of the Pearson Product Moment correlations for senior level managers for the LPI with the PAVE total score and with the PAVE scales. The correlation for the total LPI with the total PAVE was significant and strong ($r=.84$, $p=.001$). All scales showed significant and strong ($r>.65$, $p=.001$) correlations with the total PAVE. The correlations for the senior level managers were

TABLE 37

Pearson Correlations for Senior Level Managers
for the LPI with the PAVE and Scales

	<u>Total LPI</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.8424	.001	18
<u>PAVE Scales</u>			
Performance:	.7935	.001	19
Productivity:	.7918	.001	19
Team Effectiveness:	.7106	.001	19
Inspiration:	.7577	.001	19
Alignment:	.7632	.001	18
Commitment:	.6503	.001	19
Empowerment:	.6844	.001	19

stronger than the correlations for the middle level and for the first line managers. Although the number (n) for senior level managers is smaller than for the other levels, the differences are so great in strength of correlation that we can assume there is a true difference in strength. The possible reasons for this difference will be discussed in Chapter VI.

Table 38 describes the results of the Pearson Product Moment correlations for middle level managers for the LPI with the PAVE total score and with the PAVE scales. The correlation for the total LPI with the total PAVE was significant and strong ($r=.66$, $p=.001$). All scales

TABLE 38

Pearson Correlations for Middle Level Managers
for the LPI with the PAVE and Scales

	<u>Total LPI</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.6603	.001	88
<u>PAVE Scales</u>			
Performance:	.6499	.001	90
Productivity:	.6636	.001	90
Team Effectiveness:	.5694	.001	90
Inspiration:	.5517	.001	90
Alignment:	.4473	.001	89
Commitment:	.2334	.014	89
Empowerment:	.5564	.001	90

were significant at $p=.001$ except Commitment which was significant at $p<.05$.

Table 39 describes the results of the Pearson Product Moment correlations for first-line managers for the LPI with the PAVE total score and with the PAVE scales. The correlation for the total LPI with the total PAVE was significant and strong ($r=.69$, $p=.001$). All scales were significant at $p=.001$, except Commitment which was significant at $p<.05$ and Empowerment which was significant at $p<.01$.

TABLE 39

Pearson Correlations for First Line Managers
for the LPI with the PAVE and Scales

	<u>Total LPI</u>		
	<u>r</u>	<u>p</u>	<u>n</u>
Total PAVE	.6886	.001	34
<u>PAVE Scales</u>			
Performance:	.7178	.001	35
Productivity:	.6287	.001	36
Team Effectiveness:	.7094	.001	35
Inspiration:	.5596	.001	36
Alignment:	.5685	.001	36
Commitment:	.3448	.020	36
Empowerment:	.4849	.002	35

Workers' Perceptions of the Relationship Between Possible
Combinations of Managerial and Visionary Leadership
with Peak Performance of the Work Unit

The third hypothesis was stated as follows: When workers rate their leaders as high on both traditional managerial and on visionary leadership scales, the workers' reported perceptions of the peak performance level of that manager's work unit will be significantly higher than when the workers rate their leaders as high on only the traditional managerial scale or only the visionary leadership scale.

Subhypothesis a: When workers rate their leaders as high on both traditional managerial and on visionary leadership scales (Category I), the workers' reported perceptions of the peak performance level of that manager's work unit will be high.

Subhypothesis b: When workers rate their leaders as high on a visionary leadership scale and low on a traditional managerial scale (Category II), the workers' reported perceptions of the peak performance level of that manager's work unit will be in the average range.

Subhypothesis c: When workers rate their leaders as high on a traditional managerial scale and low on a visionary leadership scale (Category III), the workers' reported perceptions of the peak performance level of that manager's work unit will be in the average range.

Subhypothesis d: When workers rate their leaders as low on both traditional managerial and on visionary leadership scales (Category IV), the workers' reported perceptions of the peak performance level of that manager's work unit will be low.

Category I	High Rated Traditional Manager High Rated Visionary Leader
Category II	Low Rated Traditional Manager High Rated Visionary Leader
Category III	High Rated Traditional Manager Low Rated Visionary Leader
Category IV	Low Rated Traditional Manager Low Rated Visionary Leader

This hypothesis was examined using two separate instruments to assess workers' perceptions of their leader's traditional managerial skills, the Leader Behavior Analysis (LBA) and the Leader Behavior Questionnaire-Managerial (LBQ-M). Two separate instruments were also used to assess workers' perceptions of their leader's visionary leadership behavior, the Leader Behavior Questionnaire-Visionary (LBQ-V) and the Leadership Practices Inventory (LPI). The "Other" report form was used for all four instruments; this form assesses others' perceptions as opposed to self perceptions. The results of three sets of combinations of instruments will be provided.

The procedure for analysis of results was as follows. First managers were divided into the four groups (categories) described in the hypothesis. High-rated managers were those who were rated in the upper third of the total sample. Low-rated managers were those who were rated in the lower third of the total sample. Second, the mean PAVE score and standard deviation was obtained for each group. Third, because the number and standard deviation for each group varied, they were tested for homogeneity of variance. If the test was passed, a one-way analysis of variance (ANOVA) was performed to determine level

of significance and the Duncan's Multiple Range test was performed to determine which group's means differed significantly from the others. If the test for homogeneity of variance was failed, Welch's Test and the Brown-Forsythe Test were performed to determine level of significance because these tests do not depend on the assumption of homogeneity of variance. However, with these tests it is not possible to perform a multiple range test to determine which group's means differ significantly.

To determine whether the mean PAVE score should be considered a low, middle or high score, the frequency distribution for respondents was reviewed. One-third of the respondents rated the PAVE with scores from 101-199; one-third rated the PAVE with scores from 200-222; and one-third rated the PAVE with scores from 223-245. Table 40 displays the score range for PAVE scores.

TABLE 40

PAVE Score Ranges for Low, Mid, and High Scores

Category	Score Range
Low Score	101-199
Mid Score	200-222
High Score	223-245

First, results will be reported for the LPI (used for classification of visionary leadership behavior) and the LBA (used for classification of traditional managerial behavior). The PAVE was used to determine workers' perceptions of the peak performance level of the work unit.

Second, results will be reported for the LBQ-V (used for classification of visionary leadership behavior) and the LBA (used for classification of traditional managerial behavior). The PAVE was used to determine workers' perceptions of peak performance level of the work unit.

Third, results will be reported for the LPQ-V (used for classification of visionary leadership behavior) and the LBQ-M (used for classification of traditional managerial behavior). The PAVE was used to determine workers' perceptions of the peak performance level of the work unit.

The combination of LPI for classification of visionary leadership behavior and LBQ-M for classification of traditional managerial behavior was not used because none of the workers completed both of these instruments.

The Leadership Practices Inventory and the Leader Behavior Analysis

For purposes of classification, managers who were rated in the top third of the entire population were considered "high" and managers who were rated in the bottom third of the entire population were considered "low." The four categories described above were formed by the four

possible combinations of high-rated and low-rated managers. Middle-rated managers were not included; therefore the total number of managers in the sample dropped to 66. The mean PAVE score, standard deviation, and number of each category are reported in Table 41 and are displayed in Figure 4.

TABLE 41

Means and Standard Deviation Summary for PAVE
by the LBA and LPI

Category No.	Category Name	PAVE Scores					
		<u>N</u>	Mean	<u>SD</u>	<u>SE</u>	Minimum	Maximum
1	High LBA High LPI	20	225.0	19.61	4.39	185	249
2	Low LBA High LPI	10	233.2	14.66	4.64	205	251
3	High LBA Low LPI	16	202.8	24.93	6.23	171	246
4	Low LBA Low LPI	20	180.6	29.00	6.48	108	224

In Figures 4, 5, 6, and 7 results are displayed to facilitate presentation of the data. Although it may look as if a two-way design was used, these results are the results from the one-way ANOVA presented in Tables 41, 44, and 47. Presentation in this manner helps to see how the categories were formed.

		Traditional Leadership - LBA	
		High	Low
Visionary Leadership - LPI	High	Category 1 Mean = 225 S.D. = 19.61 N = 20	Category 2 Mean = 233.2 S.D. = 14.66 N = 10
	Low	Category 3 Mean = 202.8 S.D. = 24.93 N = 16	Category 4 Mean = 180.6 S. D. = 29 N = 20

Figure 4. Mean Scores of PAVE for High and Low Rated Managers Rated on the LPI and LBA

Homogeneity of Variance Assumption

In order to perform a multiple comparison test to determine which means are significantly different, the assumption of homogeneity of variance must be met. This assumption was tested at the .05 level of significance. The Bartlett-Box test was employed and the results are presented in Table 42.

The homogeneity of variance assumption has not been rejected and it can be assumed that there is no significant difference in the variances for each category.

TABLE 42

Test for Homogeneity of Variance; LBA and LPI

	<u>F</u>	<u>p</u>
Categories 1-4	1.993	.113

Analysis of Variance

The analysis of variance is reported as significant in Table 43. Therefore, the hypothesis that the four means are equal is rejected.

TABLE 43

Analysis of Variance Table for LBA and LPI

Source	df	SS	MS	F	p
Between groups	3	27607	9202	16.52	.0000
Within groups	62	34543	557		
Total	65	62150			

To further identify the source of differences among means, Duncan's Multiple Range Test was performed. The .05 level of significance was used for the multiple comparison procedure. This procedure indicated significant differences between all categories except categories 1 and 2. Figure 5 displays these differences. To illustrate these differences a value of A, B, or C has been assigned to the mean

		Traditional Leadership - LBA	
		High	Low
Visionary Leadership - LPI	High	Category 1 Value of Mean= A	Category 2 Value of Mean= A
	Low	Category 3 Value of Mean= B	Category 4 Value of Mean= C

Figure 5. Differences in Mean PAVE Scores at the .05 Level for High and Low Rated Managers Rated on the LPI and LBA

of each category where significant differences occur. If the cells have the same letter, the means are not significantly different.

When a leader is rated high as a visionary leader, the mean PAVE score is significantly higher than when a leader is rated low. Also, when a leader is rated high as a traditional managerial leader, the mean PAVE score is significantly higher than when a leader is rated low.

Subhypotheses a and d were supported by the results. When a leader was rated high in both visionary leadership and traditional managerial skills, the mean PAVE was in the high range; and, when a leader was rated low in both visionary leadership and traditional managerial skills, the mean PAVE was in the low range.

Subhypotheses b and c were not supported. Subhypotheses b and c assumed an equal importance for visionary leadership skills and traditional leadership skills in relation to peak performing organizations. The results demonstrate that visionary leadership is more strongly related to peak performance.

When a manager was rated high in visionary leadership behaviors, the mean PAVE score was in the high range, regardless of whether that manager was rated high or low in traditional managerial behaviors.

When a manager was rated low in visionary leadership behaviors, the ratings on traditional managerial behavior did affect the mean PAVE score. In this case, managers who were rated high in traditional managerial behaviors showed a mean PAVE score for their work unit in the middle range; managers who were rated low in traditional managerial behavior showed a mean PAVE score for their work unit in the low range.

The Leader Behavior Questionnaire-Visionary and Leader Behavior Analysis

For purposes of classification, managers who were rated in the top 35 percent of the entire population were considered "high" and managers who were rated in the bottom 35 percent of the entire population were considered "low." The four categories described above were formed by the four possible combinations of high-rated and low-rated managers. The mean PAVE score, standard deviation, and number of each category are reported in Table 44 and are displayed in Figure 6.

TABLE 44

Means and Standard Deviation Summary for PAVE
by the LBA and the LBQ-V

Category No.	Category Name	PAVE Scores					
		<u>N</u>	<u>Mean</u>	<u>SD</u>	<u>SE</u>	Minimum	Maximum
1	High LBA High LBQ-V	27	222.9	15.30	2.95	194	252
2	Low LBA High LBQ-V	12	217.3	15.68	4.53	198	245
3	High LBA Low LBQ-V	9	191.6	34.21	11.40	144	247
4	Low LBA Low LBQ-V	28	180.3	32.07	6.06	101	235

		Traditional Leadership - LBA	
		High	Low
Visionary Leadership - LBQ-V	High	Category 1 Mean = 229.9 S.D. = 15.31 N = 27	Category 2 Mean = 217.3 S.D. = 15.68 N = 12
		Category 3 Mean = 191.6 S.D. = 34.21 N = 9	Category 4 Mean = 180.3 S.D. = 32.07 N = 28
	Low		

Figure 6. Mean Scores of PAVE for High and Low Rated Managers
Rated on the LBQ-V and LBA

Originally, the intention was to use thirds to form the categories. When grouped by thirds, the number of subjects in category 3 was considered too low ($n=7$). By using the 35% cutoff instead of 33.3%, the number of subjects in category 3 increased. It was felt that an increase of 1.6% for cutoffs did not alter the original intent to develop groups of high scoring and low scoring managers.

Homogeneity of Variance Assumption

As indicated earlier, in order to perform a multiple comparison test to determine which means are significantly different, the assumption of homogeneity of variance must be met. This assumption was tested at the .05 level of significance. The Bartlett-Box test was employed and the results are presented in Table 45.

TABLE 45

Test for Homogeneity of Variance; LBA and LBQ-V

	<u>F</u>	<u>p</u>
Categories 1-4	6.088	.000

The homogeneity of variance assumption is rejected and it is not possible to perform a multiple comparison test. Therefore, although the mean differences look as if they support the hypothesis, it is not possible to perform a test to determine whether the hypothesis is really supported.

Analysis of Variance

The Welch's Test and the Brown-Forsythe Test were employed because they do not depend on homogeneity of variance. Results for these tests are reported in Table 46.

TABLE 46

Analysis of Variance Table for LBQ-V and LBA

Test	<u>df</u>	<u>F</u>	<u>p</u>
Welch's Test	3.00 24.77	19.071	.0000
Brown-Forsythe Test	3.00 27.11	18.246	.0000

It can be seen that both tests report significant difference for means of PAVE. This analysis of variance demonstrates that for high-rated and low-rated managers, the LBQ-V and the LBA each show a significant relationship with mean PAVE scores independently of each other. The significant relationships between scores on the LBA with scores on the PAVE and between scores on the LBQ-V with scores on the PAVE were also demonstrated through the Pearson Product Moment correlations presented in Tables 18 and 28.

Leader Behavior Questionnaire-Visionary and
Leader Behavior Questionnaire-Managerial

For purposes of classification, managers who were rated in the top third of the entire population were considered "high" and managers who were rated in the bottom third of the entire population were considered "low." The four categories described above were formed by the four possible combinations of high-rated and low-rated managers. The mean PAVE score, standard deviation, and number of each category are reported in Table 47 and are displayed in Figure 7. No managers appeared in category 2. An analysis of data was also performed with 35% cutoffs to form groups in an attempt to raise the number in category 2. However, even with 35% cutoffs, category 2 remained empty. Therefore, the original analysis using thirds to form groups is presented.

TABLE 47

Means and Standard Deviation Summary for PAVE
 by the LBQ-M and LBQ-V

Category No.	Category Name	PAVE Scores					
		N	Mean	SD	SE	Minimum	Maximum
1	High LBQ-M High LBQ-V	39	225.51	20.63	3.30	171	252
2	Low LBQ-M High LBQ-V	0					
3	High LBQ-M Low LBQ-V	2	197	29.70	21.00	176	218
4	Low LBQ-M Low LBQ-V	41	182	33.54	5.24	101	236

		Traditional Leadership - LBQ-M	
		High	Low
Visionary Leadership - LBQ-V	High	Category 1 Mean = 225.51 S.D. = 20.63 N = 39	Category 2 N = 0
	Low	Category 3 Mean = 197.0 S.D. = 29.70 N = 2	Category 4 Mean = 182 S. D. = 33.54 N = 41

Figure 7. Mean Scores of PAVE for High and Low Rated Managers Rated on the LBQ-V and LBQ-M

Homogeneity of Variance Assumption

As indicated earlier, in order to perform a multiple comparison test to determine which means are significantly different, the assumption of homogeneity of variance must be met. This assumption was tested at the .05 level of significance. The Bartlett-Box test was employed and the results are presented in Table 48.

TABLE 48

Test for Homogeneity of Variance; LBQ-M and LBQ-V

	<u>F</u>	<u>p</u>
Categories 1-4	3.928	.022

The homogeneity of variance assumption is rejected and it is not possible to perform a multiple comparison test. Therefore, although the mean differences look as if they support the hypothesis, it is not possible to perform a test to determine whether the hypothesis is really supported.

Analysis of Variance

The Welch's Test and the Brown-Forsythe Test were employed because they do not depend on homogeneity of variance. Results for these tests are reported in Table 49.

TABLE 49

Analysis of Variance Table for LBQ-M and LBQ-V

Test	<u>df</u>	<u>F</u>	<u>p</u>
Welch's Test	2.00 2.72	20.055	.0236
Brown-Forsythe Test	2.00 3.62	23.034	.0088

It can be seen that both tests report significant difference for means of PAVE. This analysis of variance demonstrates that for high-rated and low-rated managers, the LBQ-V and the LBQ-M each show a significant relationship with mean PAVE scores independently of each other. The significant relationships between scores on the LBQ-M with scores on the PAVE and between scores on the LBQ-V with scores on the

PAVE were also demonstrated through the Pearson Product Moment correlations presented in Tables 22 and 28.

Because category 2 is empty, it is not possible to use this data to examine hypothesis 3.

It is interesting to note that the numbers in categories 1 and 4 are much higher than in categories 2 and 3. Categories 1 and 4 describe managers that are rated as high on both instruments or low on both instruments. They contained a total of 80 managers. Categories 2 and 3 describe managers rated high on one instrument and low on the other. They contained a total of two managers. This same skewed pattern was also evident with the other combinations of instruments reported earlier although not to this degree. For the LBA and LPI, categories 1 and 4 contained a total of 40 managers while categories 2 and 3 contained only a total of 26 managers. For the LBA and LBQ-V, categories 1 and 4 contained a total of 56 managers while categories 2 and 3 contained only 21 managers.

Summary of Results

Hypotheses I and II were supported by the results of this study. A significant relationship was observed between subordinates' ratings of the effectiveness of their immediate superiors' traditional managerial skills and subordinates' perceptions of the level of peak performance of the work unit for which the manager is responsible. A significant relationship was also observed between subordinates' ratings of the effectiveness of their immediate superiors' visionary leadership and

subordinates' perceptions of the level of peak performance of the work unit for which the manager is responsible.

The correlations for three of the leadership instruments (the LBQ-M, the LBQ-V, and the LPI) with perceived peak performance were somewhat stronger than for the LBA. Two explanations are offered. First, there were twice as many respondents who completed the LBA than the other leadership questionnaires. Statistically, as the number of subjects increases, lower correlations become more meaningful. Therefore, while the r-score for the LBA was lower when compared to the r-score for the other instruments, the correlations are considered as strong and as significant. Second, the LBA as an instrument is different from the other three instruments. The other three instruments are linear in nature; the more one exhibits a certain behavior, the higher he or she is rated and the score is a direct sum of the ratings. The general principle of linear instruments is that more equals better. The LBA is a situational instrument. Situations are described and the appropriate behavior given the situation is rated. More is not necessarily better because an additional variable, the diagnosis of the situation, needs to be accounted for. The answers are weighted from poor to excellent rather than using a sum of the ratings. Third, the other instruments describe general behaviors while the LBA asks one to predict what someone else will do in a given situation. Specifically, the LBA measures one's ability to diagnose what's needed in a given situation according to the theoretical model of traditional management. One must consider to what extent it is possible to guess what someone

else will do in a particular given situation. It is much easier to guess what behaviors someone else will generally tend to exhibit, which is what the other three instruments measure. Therefore, it should be noted that all four leadership instruments are considered to demonstrate significant correlations with the PAVE.

An unanticipated result was that for three of the four leadership instruments, the relationship between senior level managers' effective leadership and perceptions of peak performance was markedly higher than for middle level managers and first line managers. Speculation as to possible reasons for this higher correlation will be provided in Chapter VI.

Another unanticipated result was that the Commitment Scale of the PAVE consistently showed weak or no correlations with the leadership instruments. The exceptions were for first line managers who were rated with the LBQ-M and with the LBQ-V and for senior level managers who were rated with the LPI. Speculation as to possible reasons for this weaker correlation will be provided in Chapter VI. All other scales consistently showed significant, strong positive correlations with the leadership instruments. The scales that generally correlated the strongest were the Performance Scale, including the two subscales Productivity and Team Effectiveness, and the Empowerment Scale.

Support for Hypothesis III was mixed. Subhypotheses a and d were supported by the results. When a leader was rated high in both visionary leadership and traditional managerial skills, the mean PAVE was

in the high range; and, when a leader was rated low in both visionary leadership and traditional managerial skills, the mean PAVE was in the low range.

Subhypotheses b and c were generally not supported. Subhypotheses b and c assumed an equal importance for visionary leadership skills and traditional leadership skills in relation to peak performing organizations. Because the variance between categories was so uneven, it was possible to analyze the data using only one of the three combinations of traditional and visionary leadership instruments. There was a tendency on all three combinations of traditional and visionary leadership instruments for managers to be rated as high on both instruments or low on both instruments rather than high on one and low on the other. This pattern contributed to the large variance between categories.

The results of the one statistical analysis that could be performed to test the subhypotheses demonstrated that visionary leadership is more strongly related to perceived peak performance than traditional leadership is.

When a manager was rated high in visionary leadership behaviors, the mean PAVE score was in the high range, regardless of whether that manager was rated high or low in traditional managerial behaviors.

When a manager was rated low in visionary leadership behaviors, the ratings on traditional managerial behavior did affect the mean PAVE score. In this case, managers who were rated high in traditional managerial behaviors showed a mean PAVE score for their work unit in the

middle range; managers who were rated low in traditional managerial behavior showed a mean PAVE score for their work unit in the low range.

According to the results of this study, the effectiveness of the managerial skills (relationship-oriented behavior and task-oriented behavior) of the leader is important in relation to workers' perceptions of the peak performance level of the organization only when the manager is weak in visionary leadership behaviors. Effective visionary leadership relates to a high level of peak performance no matter what the level of managerial skill. However, when one is not an effective visionary leader, then effective managerial skills are important. In this case, effective managerial skills relate to a moderate level of peak performance. Ineffective managerial skills relate to a low level of peak performance.

CHAPTER VI

DISCUSSION AND CONCLUSIONS

This chapter presents the conclusions of the study. In the first section the study is summarized. The discussion incorporates the findings of this study and compares them to the studies and theories reported in the literature. Second, the limitations of these findings are discussed. Third, the potential implications of leadership theory are explored. The final section suggests some directions for future research.

Summary and Findings of the Study

The central purpose of this study was to investigate the relationship between leadership behaviors (both traditional and visionary) and perceptions of specific indicators typical of peak performing organizations. The concept of visionary leadership is relatively new in the field of OD; also the concept of peak performing, or excellent, organizations is relatively new in the field. Because these concepts are new and exciting, many theorists and practitioners have written about these concepts and they have been described in the literature. However, they have not been adequately tested. Specifically this study examined the relationship between workers' perceptions of their manager's traditional leadership behaviors and perceptions of peak performance of the work unit. This study also examined the relationship between workers' perceptions of their manager's visionary leadership behaviors and

perceptions of peak performance of the work unit. Finally, the relationship between combinations of perceptions of traditional leadership behavior and visionary leadership behavior with perceptions of peak performance of the work unit were examined. The study examined leadership behaviors using the perceptions of subordinates because it was believed that the subordinate's viewpoint would be more objective than the manager's self perceptions.

A secondary intent of this study was to develop an instrument to measure workers' perceptions of the indicators typical of peak performing organizations based on the current literature. No adequate measure previously existed. Data obtained from the responses to this questionnaire was subjected to statistical evaluation.

Participants in this study consisted of 340 employees in a large private-sector company who rated their immediate superiors (managers) on leadership behaviors. The 129 managers who were rated represented all levels of management within the organization. The Leader Behavior Analysis (LBA) and Leader Behavior Questionnaire-Managerial (LBQ-M) were used to measure the traditional managerial skills of task-oriented and relationship-oriented behaviors. The Leadership Practices Inventory (LPI) and Leader Behavior Questionnaire-Visionary (LBQ-V) were used to measure visionary leadership behaviors. All participants were asked to complete the LBA; half were asked to complete the LPI and half the LBQ. All participants also completed the PAVE: Excellent Organizational Practices Index designed to assess workers' perceptions of their work unit's level of peak performance.

Major Findings

There were three major findings in this study. First the findings and their importance will be presented briefly. Next, the major findings, unexpected findings and other interesting findings will be presented and discussed in greater detail.

Impact of Visionary Leadership

The first major finding was: workers who rate their leaders as strong in visionary leadership also report their perceptions of the level of peak performance of the work unit as high. According to workers' perceptions, visionary leadership and peak performance of the work unit vary together. This finding is important because it is the result of one of the first attempts to quantify and measure the relatively new concept of visionary leadership. This finding strongly supports the importance of the concept of visionary leadership and it demonstrates a clear relationship between perceptions of visionary leadership and peak performance of the work unit.

Impact of Traditional Leadership

The second major finding was: workers who rate their leaders as strong in traditional managerial skills also report their perceptions of the level of peak performance of the work unit as high. According to workers' perceptions, traditional managerial skills and peak performance of the work unit also vary together. This finding is important because it makes a case that the traditional concepts of leadership continue to play an important role in relation to performance of the

work unit. In other words, although the new concept of visionary leadership is important, the traditional concepts of management are also important.

Interaction of Visionary Leadership and Traditional Leadership

The third major finding was: workers who rate their leaders as strong in visionary leadership report their perceptions of the level of peak performance of the work unit as high no matter whether the leaders' traditional managerial skills are rated as high or low. Workers who rate their leaders as weak in visionary leadership but high in traditional managerial skills report their perceptions of peak performance level of the work unit as moderate. Workers who rate their leaders as weak in visionary leadership and weak in traditional managerial skills report their perceptions of the peak performance level of the work unit as low. This is a very important finding because it examines the relationship between visionary leadership and traditional management. As noted above, this finding is the result of one of the first studies to examine the concepts of visionary leadership and traditional management together. This finding indicates that it is possible to be both a visionary leader and a good manager. Currently controversy exists in the literature regarding this matter (e.g., Zaleznik, 1977; Bennis, 1984; Bass, 1985). Another area of controversy which this finding sheds light on is whether visionary leadership is better than traditional management (e.g., Burns, 1978; Bennis and Nanus, 1985). This finding indicates that the importance of good

managerial skills is overshadowed when strong visionary leadership is present. The importance of traditional management emerges when strong visionary leadership is not present.

Leadership and Organizational Peak Performance

As noted above, the first two major findings strongly support the importance of both visionary leadership and traditional management. All correlations showed a significant positive relationship between the effectiveness of the manager's leadership behaviors and the workers' perceptions of the work unit's peak performance level. In other words, both effective traditional managerial skills correlated significantly with peak performance and effective visionary leadership correlated significantly with peak performance.

The results of this study shed some light on the controversy over the effectiveness of each leadership model. Some proponents of visionary leadership (e.g., Bass, 1985; Burns, 1978) claim the managers who operate from the traditional leadership perspective are limited. These authors claim the difference lies in the focus and intention of the leader. Visionary leaders lead. They create and articulate a vision and move towards it. Subordinates follow because the vision resonates with their own sense of what they want or believe in. In contrast, traditional managers focus on controlling and manipulating factors (including people) in order to produce desired results. These authors assert visionary leadership is future-oriented and empowering while traditional leadership is present-oriented and limiting. Thus, they claim that only visionary leadership produces peak performance of

the organization and that it is not possible for a leader to be both visionary and traditional managerial.

Other theorists (e.g., Sashkin, 1985; Bennis, 1984) take a different viewpoint. They claim that not only is it possible to be both visionary and traditional, it is essential for a good leader to be both. They claim that not only is it important to keep one's attention on the future but also to attend to managing the present. The results of this study support this viewpoint.

Position in Organizational Hierarchy

An important unexpected finding was that when managers were grouped by their position within the organizational hierarchy, the correlations for leadership with peak performance of the work unit varied. The correlations were very strong for senior level managers when using the LPI, LBQ-V, and LBQ-M. These correlations were stronger compared to the moderate correlations for middle level and first line managers. On one instrument, the LBQ-M, the middle managers showed lower correlations than first line managers.

One must ask the question: why would correlations for senior level managers be so much higher? It can be assumed that this is not a statistical aberration because the results were consistent for three of the four instruments. Why the LBA might not show the same results has been discussed in Chapter V. The researcher postulates that the difference lies with the issue of organizational structure. Senior level managers are in a better position to create structure: to define rules and to set policies. They have more freedom and power within the

organization to act on their values and beliefs, not being as confined by the rules and policies of others. For this reason, when a senior level manager has the inclination to behave as a visionary leader; she or he is empowered to act as one and to be perceived by others as one.

The literature offers little to support or contradict this viewpoint. Some authors have written about the difference between "leaders" and "managers" (Zaleznik, 1977; Tichy and Devanna, 1986). These authors describe "leaders" as people who can mobilize the organization and increase the peak performance level significantly. They describe "managers" as people who concentrate their efforts on managing and controlling subordinates in order to maintain the status quo. They describe managers as having less of a relationship with high performance of the work unit. In other words, they suggest a significant and strong correlation between some (but not all) leadership behaviors and peak performance. However, these authors usually discuss these differences in terms of personality and behavior and not in terms of one's level within the organization or the organization's influence on the manager. Most studies of the leaders who do impact peak performance have been of senior level managers only (e.g., Bennis and Nanus, 1985). The question of whether hierarchical position within the organization is related to the leadership behaviors which promote peak performance has not been explored to any extent and little evidence exists to support any conclusions.

The questions the results of this study raise are: does lower organizational position constrict one's ability to exhibit these behaviors? Are middle managers literally stuck in the middle? Does a higher position enable leaders to exhibit these behaviors? The results of this study offer one piece of evidence that suggests at least there is a stronger and more direct relationship between effective leadership behaviors and perceptions of peak performance of the work unit when the leader is positioned high in the organizational structure. If it is true that the managers at the top of the organizational hierarchy can be more effective because they have more power, then the concept of empowerment emerges even more strongly as a way to enhance peak performance of the organization.

Correlations of Scales

Other interesting findings concern the correlations for scales of the PAVE with the leadership instruments. Although all scales consistently showed significant correlations, some correlations were stronger than others. Performance (including its subscales Productivity and Team Effectiveness) consistently produced stronger correlations than the other scales. Empowerment also produced stronger correlations most of the time. The next stronger correlating scale was Alignment.

In order to examine the reasons for these stronger correlations it is necessary to review the focus of these scales. The Performance scales question the level of perceived effectiveness of the work unit, the process of achieving results. Empowerment and Alignment also question aspects of how results are achieved. Inspiration and Commitment

question the feeling tone of the workers in regards to the goals and the work of the unit. It might be postulated that the effect of leadership accounts for more of the variance associated with the process of achieving results than with the level of positive feelings about the work. Although the correlations for all scales were significant, less of the variance was accounted for with the feeling tone scales. This was most apparent with the scale of Commitment which tended to show weak correlations; a few times the correlations were not significant. It might be postulated that there is a problem with the scale itself; however 25% of the time, the scale did correlate at the same strength as the other scales. This inconsistency in correlations leads one to suspect that the scale is relatively sound and weaker correlations exist because other factors in addition to leadership affect the level of feeling tone. The feeling tone scales might be more susceptible to the influence of other factors in addition to leadership such as organizational norms and relationships among employees. Also, when messages about the vision and the procedures for achieving it are mixed or not connected, the feeling tone scales may be more vulnerable (e.g., lead to skepticism). Clearly the importance of the concepts of producing results and empowering workers for leadership have emerged strongly. Further investigation is warranted.

Other interesting findings concern the correlations for the scales of the leadership instruments with the PAVE. Again the PAVE scale of Commitment tended to correlate the least with the different scales. However, the correlation on the LBQ-M was much stronger for the

relationship-oriented dimension than for the task-oriented dimension. These correlations support the postulation discussed above of the variable of relationships generally affecting the feeling tone scales more strongly.

All scales of the LPI showed moderately strong correlations with the PAVE. However, when the correlations of scales of the LPI with scales of the PAVE were reviewed, consistently stronger correlations were displayed for the scale Enabling Others to Act with the PAVE scales of Productivity (and its subscales) and Empowerment. It would be expected that the empowerment scale of the LPI would correlate highly with the empowerment scale of the PAVE. Again the importance of the concepts of producing results and empowering workers has emerged strongly.

Combinations of Traditional and Visionary Leadership

The third major finding of the study addresses the relationship between combinations of visionary and traditional managers with perceptions of peak performance of the work unit. Only managers who were rated high (upper third) or low (lower third) on each leadership questionnaire were included. Four managerial categories were developed: (1) high visionary/high traditional, (2) high visionary/low traditional, (3) low visionary/high traditional, and (4) low visionary/low traditional. The analysis was run using each possible combination of leadership questionnaires: LBA/LPI, LBA/LBQ-V, and LBQ-M/LBQ-V. The intent was to examine how each managerial category related to

perceptions of the peak performance level of the work unit as measured by the PAVE.

Analysis indicated a significant relationship between leadership behaviors and peak performance level when managers were rated with each instrument separately. These results correspond with the results of the correlations described earlier. Only one combination, the LBA/LPI, could be analyzed statistically to determine whether the differences among categories were significant. The results of this analysis showed that category 1 (high visionary/high traditional) and category 2 (high visionary/low traditional) had a mean PAVE in the high range and that these categories were not significantly different from each other. Category 3 (low visionary/high traditional) had a mean PAVE in the middle range and was significantly different from the others. Category 4 (low visionary/low traditional) had a mean PAVE in the low range and was significantly different from the others.

According to these results, effective visionary leadership relates to perceived peak performance level of the work unit no matter whether managerial skills are weak or strong. However, the effectiveness of the managerial skills of a leader is important in relation to perceived peak performance level of the work unit only when the manager is weak in visionary leadership skills. When the manager is an effective visionary leader, perceived peak performance level tends to be in the high range. When one is not an effective visionary leader, then managerial skills are important and relate to a moderate level of perceived

peak performance while ineffective managerial skills relate to a low level of perceived peak performance.

The other two combinations of instruments (LBA/LBQ-V and LBQ-V/LBQ-M) showed trends that supported the above results. However, statistical analysis could not be used to verify this trend because the numbers in some categories were too low. This can be explained partly because the numbers were reduced greatly when the middle-rated managers were not included. Also, the numbers in categories 2 and 3 tended to be lower. It might be that these combinations do not exist as often in this organization. Generally when managers were rated as high visionary, they were also rated as high traditional manager. Conversely, when they were rated as low visionary, they were rated as low traditional manager. Possibly in other organizations such as the military, it might be possible to find more managers in category 3 who adhere strictly to rules, tradition, and the status quo. For one combination, LBQ-M and LBQ-V, the numbers were so skewed as to make one wonder if something else might also be affecting this particular combination. Results for both the LBQ-M and LBQ-V are obtained from questions on one questionnaire, the LBQ. A central tendency might be operating for subordinates who rate their managers using this questionnaire to respond consistently in a direction (high, middle, or low) when choosing answers.

Another possible explanation for the lower numbers in categories 2 and 3, which describe managers rated as high on one instrument and low on the other, is that these types of managers generally tend not to

exist as often as managers who are high on both or low on both. This explanation supports the viewpoint that not only is it possible to be both a visionary leader and a traditional manager but also effective visionary leaders are usually effective in traditional managerial skills.

In summary, the third major finding is important because it results from one of the first attempts to examine quantitatively the relationship between visionary leadership and traditional management. The finding is somewhat startling because it indicates that although traditional managerial skills are important, they are most important only when strong visionary leadership is not present.

The PAVE as a Measure of Perceived Organizational Performance

An instrument to measure the variables typical of peak performing organizations was developed for use in this research study. The questionnaire made a series of statements about the level of productivity, the process of obtaining results, and the level of positive feelings about the work. Respondents were instructed to rate each statement using a 7 point Likert-type scale ranging from strongly agree to strongly disagree. Content validity was attempted before use in the research. The questionnaire was administered to 508 employees of the large, private sector organization that participated in this study. Data were used from the 473 employees who answered every question. These responses were subjected to statistical analysis.

A factor analysis indicated five distinguishable scales, one with two subscales. Internal reliabilities were high for all scales and for the total questionnaire. Correlations for all scales with the total and with each other were significant and strong. The results of these analyses indicate that the PAVE scales can be considered interrelated and to constitute one measure. In summary, the PAVE appeared to accurately measure workers' perceptions of organizational peak performance.

Limitations

The correlations for all four leadership instruments with perceptions of peak performance are significant and considered strong. As effective leadership increases, the work unit's peak performance level increases. However, effective leadership does not account for all of the variance and apparently other variables not measured also affect perceptions of organizational peak performance.

One variable not measured or accounted for in this study is structure or systems-orientation described by Ackerman, Kiefer et al. Ackerman (1984) describes a visionary leader as maintaining a "holistic, total systems perspective, looking after the good of the whole" while traditional managers focus on components of the organization and do not see or emphasize "the relationships, dynamics, and process that exist at the total systems level" (p. 128). Kiefer and Stroh (1984) assert that visionary leaders "develop or change structures as needed to support the vision" (p. 182). The concept of creating structure that

maintains the integrity of the vision is central to the concept of visionary leadership. The importance of structure is not emphasized by proponents of traditional managerial theory.

Another variable not measured or accounted for in this study is the creation of meaning discussed by Smircich (1984), Weick (1979), et al. These authors claim an essential behavior of visionary leaders is to create a meaning from events that supports the vision; that a visionary leader interprets events, frames contexts, deals with multiple realities, and helps subordinates understand events, especially apparent obstacles, in the context of the vision. Bennis and Nanus (1985) state, "all organizations depend on the existence of shared meanings and interpretations of reality which facilitate coordinated action" (p. 39). They further assert, "an essential factor in leadership is the capacity to influence and organize meaning for members" (p. 39). The concept of interpreting events and creating meaning is not discussed in traditional management theory.

Another variable that might influence PAVE scores in addition to the influence of leadership is the pre-existing relationships among employees and the norms governing those relationships. Only the influence of the designated leader was measured in this study. Influence of informal peer leaders and other relationships among employees were not taken into account.

Finally, the variable of stage of group and organizational development was not considered as part of this study. A body of literature exists which describes a sequence of stages or life cycles

organizations go through as they develop (e.g., Adizes, 1979; Kimberly, 1980). OD theorists (e.g., Lacoursiere, 1980; Carew et al., 1984) address the changing role of leadership given the stage of the group's life cycle.

Another point that needs to be considered is that the two instruments used to assess visionary leadership (the LPI and the LBQ-V) are relatively new and are still in the process of being evaluated and revised. They do not ask questions concerning some of the characteristics of visionary leadership described in Chapter II. For example, they do not question whether the leader balances use of intuition and rational, analytic thought. They do not question to what extent the leader helps subordinates understand the meaning of events in a way that enables them to continue in their efforts to create the vision. Other examples would be the visionary leader's unswerving belief in the vision and the ability to maintain a total system's perspective. It may prove in the future that these or other factors not listed are important dimensions of visionary leadership behavior that can account for more of the variance.

The PAVE is also new and presents some limitations. It has not been tested against objective measures of peak performance; it has not been tested beyond the organization used in this current study; and it has not been tested to see how age of the respondent affects her or his responses.

The subjects of this study were primarily Caucasians below the age of 45. The managers rated were primarily male at the senior level

and female at the first line level. The employees from only one organization were included in the study. The results of this study are not presumed valid for people from other ethnic backgrounds. Furthermore, the findings are not presumed to make any statements concerning differences in male and female leadership behaviors. And because only one organization was included, the generalizability of the findings are limited.

Because this study is one of the first of its nature, it is important to view it as a preliminary study. The results need to be retested in other settings using the same and different methodologies in order to make conclusive statements. It is important to replicate and verify these results because they have some important implications for leadership theory and training.

Implications

This section first contrasts the current views of visionary leadership and relates them to the results of the study. It then provides the context for viewing visionary leadership in terms of certain organizational needs that must be met and forces that must be addressed in order to achieve a high level of performance for the organization. Finally a model is presented that integrates the concept of visionary leadership into a unified leadership theory. The ideas presented in this section are based on the results of the study. The theoretical constructs presented were stimulated by the results of the study and provide an expansion that goes beyond the scope of the study.

Visionary Leadership as a New Perspective

Recently theorists have begun to examine the type of leadership that facilitates peak performance in organizations. This study is one of the first to examine the subject quantitatively. Most authors who have written in depth about individuals who have provided this kind of leadership (e.g., Sorenson's Kennedy, 1966), have described a common set of characteristics determined through observation and/or interviews with a number of these kinds of leaders (e.g., Bennis, 1984; Kanter, 1983) or have written about the characteristics they believe these leaders possess, derived from their own experience of the leaders and their organizations (e.g., Ackerman, 1984; Kiefer and Stroh, 1984). Different labels are ascribed to this new view of leadership such as "charismatic," "visionary," and "transformational." Because this sense of leadership is so new, current descriptions share much in common but are not unified. There exists no agreed upon definition of this type of leadership or framework for understanding it.

Many of these authors (e.g., Bennis, Zaleznik, Ackerman, Kanter, and Bass) imply that there are two types of leaders. One type (often called "manager" or "traditional") coordinates and controls activities within the organization. This person tends to focus on present-time events. The other type (often called "leader") sets the course for the organization. This person is future-oriented. Certain sets of behaviors and personality traits are ascribed to each type. Most imply that the manager seeks to control and maintain the status quo and the leader

seeks/responds to the need for change. It is these two sets of leader behaviors that were examined in this study.

Some theorists see the differences as immutable; that certain types of personalities naturally fall into each category; that basically there are two types of people in this world (e.g., Zaleznik, 1977). These authors seem to feel that neither type is better than the other and that organizations need both types (e.g., Bennis, 1984). The current study did not examine personalities but results did support the idea that both types of leadership are important and relate significantly to workers' perceptions of peak performance for the organization. The evidence, however, suggests that visionary leadership is the more important in relation to perceived peak performance of the organization.

Other theorists believe that the differences are not immutable and that leadership is a behavioral process that can be learned (e.g., Tichy and Devanna, 1986). These people tend to view changing from one type of leader behavior to another type as part of a developmental process; the basic assumption being that leaders operate at a higher developmental level than managers. Therefore, it is better to be a leader than a manager. The results of this study also support this concept.

Finally, a third group of theorists view the difference as one of a paradigm shift (e.g., Smircich, 1983; Kanter, 1983) that is related to how one defines reality. These people believe that the shift is related specifically to how one views the nature of "control" and "change." They assert that the priority for leadership should be

placed on "managing meaning" associated with changing events rather than a fruitless attempt to "control" the organization. This study did not examine the role of the leader in creating meaning and therefore is unable to make inferences regarding this viewpoint. However, the results of this study do suggest that this new perspective of leadership, called visionary leadership in this study, is indeed a powerful concept in relation to perceived peak performance in organizations and is an important concept to integrate into leadership theory.

A New Model of Leadership Theory

After examining the results of this study, including what variables were and were not included in the study, the researcher has developed a model for integrating the concept of visionary leadership into the larger framework of leadership theory. In order to present this model, it is first necessary to examine the needs of the organization in relationship to leadership.

The highest observable level of complex systems is the "social organization" which consists of a collection of individuals acting in concert, with a consciousness of itself, and with a shared system of meaning. The organization must have a sense of self and a sense of meaning (Boulding, 1968). In other words, the system must have an identity. Identity consists of the purpose, the set of values, basic beliefs and needs, the vision of the future, the goals, and the reason for existence. Identity is what differentiates this level from the lower levels.

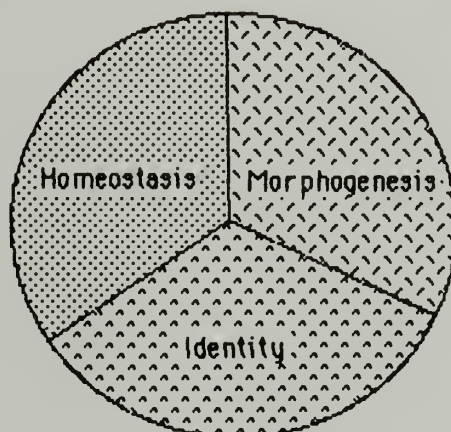
Therefore, it follows that one of the roles of leadership must be to help establish and to maintain an identity for the organization that promotes its existence. Through the use of language and by the use of self to demonstrate example, the leader can create a shared vision, can interpret events and ascribe meaning to support the vision.

However, identity alone is not enough. Family systems theory proposes that a healthy individual, family system, or group is one that maintains a balance of homeostasis (maintaining the current structure, balance of social relationships, and status quo) and morphogenesis (flexibility, adaptability, and willingness to change) (Selvini-Palazzoli et al., 1978). These concepts (control-oriented vs. change-oriented) repeatedly echo through the Organizational Development (OD) leadership literature. Family systems theory maintains that too much of one or the other generally leads to dysfunction, especially during periods of developmental transition or periods of crisis.

As OD theory supposes that groups and organizations move through different stages of development (Lacoursiere, 1980; Carew et al., 1986; Kimberly, 1980; Adizes, 1979), then an organization will need to possess both homeostasis and morphogenesis in order to make the transitions successfully. Also, given that the fast-paced world we live in today is volatile and change-oriented, the organization best equipped to survive will be the one that possesses both homeostasis and morphogenesis. It follows, then, that the highly successful leader will also be one that exhibits both "change-oriented" (morphogenic) and

"stabilization-oriented" (homeostatic) behaviors as needed. Figure 8 depicts these elements that a system must possess in order to operate effectively.

The results of this current study (e.g., high correlations of LBA-Scale 1 and LPI-ISV Scale with PAVE) support the concept that the leader who promotes peak performance must be able to articulate a vision



Homeostasis

Stabilization-Orientation

The creation and integration of reliable structures and patterns (e.g. rules and norms) that maintain the balances and status quo.

Morphogenesis

Change-Orientation

Seeking change, stimulation, and growth in relation to both the system and the environment. Flexibility. Responding and adapting to change in the system and in the environment.

Identity

Purpose; sense of self; values, beliefs, needs; vision, goals; meaning ascribed to self, others, and events.

Figure 8. Elements a System Must Possess to Operate Effectively

of a possible future which inspires members of the organization and catalyzes change and alignment around the vision and which creates an atmosphere where people can be their best and do not need to be controlled by policies. (These are morphogenic characteristics.) However, it is not enough to just articulate a vision, the successful leader must also be able to institutionalize the change so that patterns, myths, and rituals are created that sustain the vision. The results of this study (e.g., high correlations of empowerment scales) suggest that another important role for leadership is to design structures such as those that empower members of the organization to move toward the vision. The successful leader must create organizational structures that support creation of the vision. (These are homeostatic characteristics.) And the successful leader must be willing and able to modify structures if/when they hinder creation of the vision. (These are morphogenic characteristics.) In this way, both types of behaviors are needed, depending on the situation, the developmental stage of the organization, and other forces. Furthermore, as discussed in Chapter II, the successful leader must understand that the concept of total rational control is an illusion; however, there are times that it is appropriate to analyze, negotiate, etc. The successful leader relies on both intuition and rational thought (Ackerman, 1984). Table 50 displays these morphogenic and homeostatic behaviors in relation to identity development (vision).

As discussed above, the successful leader responds to the system's needs for identity, morphogenesis, and homeostasis through two types of

TABLE 50

Morphogenic and Homeostatic Leadership Behaviors
Needed to Promote Identity Development

Morphogenic Change-Oriented	Homeostatic Stabilization-Oriented
Articulates a vision of a possible future that catalyzes alignment within the organization	Sustains a sense of meaning in the organization that supports creation of the vision
Alters organizational structures (when necessary) that thwart realization of the vision	Creates and institutionalizes organizational structures that enable realization of the vision
Flexible, change-oriented, works with forces in the system and the environment rather than trying to control them	Institutionalizes the change by creating patterns, rituals, and myths that sustain the vision
Realizes the importance of learning, willing to take risks, encourages others to take risks that can lead to new learning	Never loses sight of the vision. Acts consistently within the framework of the vision, inspiring trust and confidence of members of the organization
Fosters creativity and realizes the importance of intuition and "gut feelings."	Recognizes when rational, analytic thinking and action is appropriate
Interprets events as they occur for the organization in a way that facilitates creation of the vision	Maintains an organizational climate where people can do their best and do not need to be controlled by policies

behaviors: change-oriented behaviors and stabilization-oriented behaviors. However, it is not enough to be just flexible. The successful leader must determine when a particular type of behavior is appropriate. The concept of behavior in relation to situation is taken from contingency models (e.g., Fiedler, 1967). In other words, certain

situations or, on a larger scale, forces exist to which the leader must be able to respond appropriately.

Many types of external forces (from the environment) impact the system. And, as there is a give-and-take exchange between the system and the environment, forces from the system's vision (goal output) impact the environment which in turn impacts the system. Some of these external-oriented forces are predictable (e.g., marketing forecasts, advertising campaigns, human and technological growth and development). Some of the external-oriented forces are unpredictable (e.g., new competition, an innovation that suddenly makes a product or method obsolete, a nuclear accident at Chernobyl).

There are also internal forces (within the system) that determine appropriate leadership behavior. Some of these forces are predictable (e.g., stages of group development, level of competence and commitment of members). Some of the internal forces are unpredictable (e.g., a member dies, a machine malfunctions). The types of forces impacting the leadership are:

1. External-oriented Predicted
2. External-oriented Unpredicted
3. Internal-oriented Predicted
4. Internal-oriented Unpredicted

What emerges is a model of leadership that integrates contingency models with the new emphasis on managing meaning and identity. When leadership is viewed in terms of the system's needs, four factors can be identified that impact leadership behavior:

1. the system's need for identity
2. the system's need for morphogenesis
3. the system's need for homeostasis
4. the system's need to respond to and impact forces that affect it

These factors, in terms of the elements of leadership, are diagrammed in Figure 9.

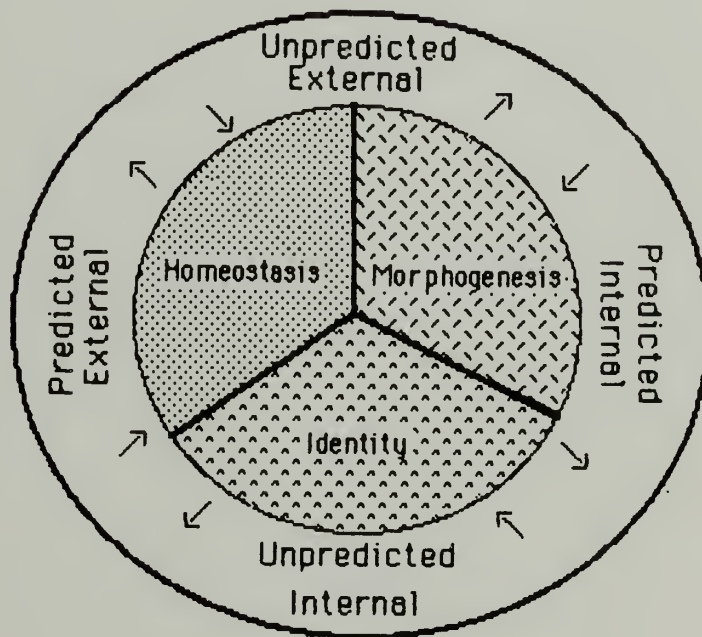


Figure 9. Leadership Behavior in Relation to Forces

In summary, leadership must manage the requirements of the system: for identity, for homeostasis, and for morphogenesis. The leader must assess the current forces to determine the appropriate change-oriented

or stabilization-oriented behavior in relation to maintenance and promotion of identity of the organization.

As discussed earlier, many theorists and practitioners have written recently about the relationship between leadership and peak performance of the organization (e.g., Ackerman, 1984; Bass, 1985; Bennis, 1985; Berlew, 1974; Burns, 1978; Kanter, 1983; Kiefer and Stroh, 1984; Posner and Kouzes, 1986; Sashkin, 1986; Smircich, 1983; Tichy and Devanna, 1986; Zaleznik, 1977).

The leadership model presented in this section offers a framework for understanding these characteristics. Table 51 presents the characteristics of visionary leaders derived from the literature and presents the aspect of the leadership theory to which it relates: identity, morphogenesis (change-oriented), homeostasis (stabilization-oriented), or forces affecting the organization.

When leadership is viewed from this perspective some important concepts emerge. The successful leader is able to understand that true power comes from giving up control (empowering others). The successful leader understands that we each shape our own destinies; that we are each the primary creative force in our lives. Although we work with existing forces, our sense of reality is determined by the meaning that we ascribe to events. The successful leader generates a sense of meaning in the organization that supports the creation of the vision and the underlying values. The successful leader understands that an incredible amount of power is generated by a group of people who share

TABLE 51

Characteristics of the Visionary Leader in Relation
to Leadership Theory

Leadership Characteristic	Element of Leadership Theory	Description
Vision	Identity	Creates a common, results-oriented vision that is congruent with the needs and values of the members of the organization to which he/she is wholeheartedly committed.
	Morphogenesis	Articulates direction. Promotes growth and exploration. <u>Underlying Belief</u> (It is important to take risks. Mistakes are not failure because they lead to new learning.)
	Homeostasis	Never loses sight of the vision. Clearly focused on the vision, not the obstacles. <u>Underlying Belief</u> (Challenges are opportunities not obstacles) Interprets events for self and others to create and maintain a constant sense of reality that supports and enhances creation of the vision.
Self Orientation	Identity	Demonstrates self-confidence; positive regard for self and others. <u>Underlying Belief</u> (You are the primary creative force in your life, that you can create what you want.)
	Homeostasis	Takes care of him/herself. Maintains physical, emotional, and intellectual health. Demonstrates commitment to the vision. Acts consistently with values and vision at all times, in all ways great and small. Total involvement; deeply involved in work. Follows through on commitments; is perceived as trustworthy and reliable.

(Continued Next Page)

TABLE 51
(continued)

Leadership Characteristic	Element of Leadership Theory	Description
Self Orientation (continued)	Morphogenesis	Seeks learning. Thinking processes are flexible. Thinks in terms of long time spans (vision) and short time spans (goals). Maintains balance between rational analytic thought and use of intuition. <u>Underlying Belief</u> (Trusts both reason- ing and gut responses)
Other Orientation	Identity	Doesn't try to control/manipulate others through rewards, etc.; rather seeks to influence others by spreading his/her vision and by interpreting meaning of events to bring about a shared image of reality.
	Homeostasis	Consistently communicates respect and caring for others. Helps others develop the skills needed to do the required work and to main- tain the organization.
	Morphogenesis	Promotes development, growth and change in others (e.g., through men- toring, career paths) Strengthens and empowers others to act (helps others move higher in needs hierarchy to levels of self-esteem and self-actualization, making sure basic needs are attended to first). <u>Underlying Belief</u> (Patience and trust in own and others' intentions to work for the good of the common goals with- out sacrificing their personal iden- tity)

(Continued Next Page)

TABLE 51
(continued)

Leadership Characteristic	Element of Leadership Theory	Description
System Orientation	Identity	<p>Perspective is of total system, not just some of the parts; loyal to the whole system.</p> <p><u>Underlying Belief</u> (Service to the larger purpose is what's important)</p> <p><u>Underlying Belief</u> (Structure can enable or thwart realization of the vision. Does not blame individuals)</p> <p>Maintains values shared by the whole system</p> <p>Creates and spreads meaning of events to bring about a shared interpretation of experience within the system (that supports the vision)</p>
	Homeostasis	Creates and maintains structures that enhance the creation of the vision.
	Morphogenesis	<p>Alters structures as necessary that interfere with creation of the vision. Flexible in regard to the system.</p> <p><u>Underlying Belief</u> (Change is an ongoing process and is desirable)</p>
Environment	Forces	<p>Does not seek to control the system and the environment; respects and works with existing forces; is aware of forces and chooses appropriate behavior accordingly.</p> <p><u>Underlying Belief</u> (Existence of the system depends on a constant interchange with its environment)</p> <p><u>Underlying Belief</u> (Total control is not possible or desirable)</p>

a common belief, vision, or definition of reality. Leadership is viewed as the attempt to kindle, develop, and shape the potential power of the group.

Summary

The results of this study have major implications for how leadership theory is conceptualized. First, visionary leadership emerges as an important concept that needs to be included with the traditional concepts of management theory. Second, the higher correlations for senior level managers with perceived peak performance of the work unit suggest that organizational structure is a variable that needs to be addressed. Also, given the high correlations for the Empowerment Scale with effective leadership, another concept that emerged from the study as important is that of empowering the self and others to act (as opposed to attempting to control others and maintain the status quo).

This section has offered a model that defines the concept of visionary leadership and provides a context for viewing it within the traditional framework. The model presented proposes that successful leadership is the result of the integration of three elements that continually impact each other. This can be summarized as: flexibility in growth-oriented and stabilization-oriented behaviors depending on the forces (e.g., situation, developmental level) in relation to maintenance and development of the identity of the organization.

Directions for Future Research

Because this study is one of the first of its kind, replication is suggested to verify the results. Replication of this study in other organizations would also provide more information on the generalizability of its findings. Because the results of this study have major implications for leadership theory, it is important to continue to investigate the subject of visionary leadership and other methods for investigating leadership from this perspective need to be developed. A case study method, using actual people and events as examples, would further illustrate the concepts.

Another way to conduct a similar study would be to use a different managerial-theory based questionnaire such as the Leader Behavior Description Questionnaire (Stogdill, 1962). Also, another instrument to measure peak performance of the work unit could be used. It is especially important to replicate the results of the ANOVA which analyzed combinations of high-rated and low-rated visionary leadership and traditional managerial leadership with peak performance level of the work unit because only one of three combinations of questionnaires could be subjected to analysis. It is important to determine whether these results can be generalized to other organizational settings or if they are indigenous to this organization.

By including some of the variables not examined in this study, it might be possible to learn more about the nature of leadership, peak performance, and the variables. One area that would benefit from

further investigation is the relationship between gender and leadership style. The demographics of the organization in this study were such that most senior level managers were male. Because the senior level managers showed stronger correlations between leadership and peak performance of the work unit than other hierarchical levels, the importance of position within the organization emerged as an important variable. However, it is difficult to justify generalization of these findings for female senior level managers. Recently research by developmental psychologists, such as Carol Gilligan (1982) and Mary Belenky et al. (1986), suggest there are fundamental differences in the ways that women and men think (perceive the world and relationships). Also, authors discussed in the literature review (e.g., Ackerman, 1984) suggest that the visioning process belongs to the domain of holistic thinking and that traditional managerial processes arise from the domain of linear thinking. The differences in the way females and males think need to be further investigated and then considered in light of visionary leadership.

The reasons for the stronger correlations for senior level managers between their leadership behavior and perceived peak performance of the work unit also needs to be investigated more thoroughly in terms of organizational structure. Most likely this higher correlation is due to the hierarchical position and not gender of the manager because middle level managers were also mostly male. Also, hierarchical position is indicative of the level of power and influence one has in the organization. These results raise some interesting questions that

would benefit from further investigation. Is hierarchical position within the organization related to peak performance of the work unit? If so, what is it about the senior level position that causes the higher correlation? Can a middle level manager be a visionary leader or is this person literally stuck in the middle? Does a lower organizational position constrict one's ability to exhibit visionary leadership behaviors? Is the first line manager more likely to affect feeling tone aspects of peak performance than the results-oriented aspects? These questions all relate to the need to study the relationship between position within organizational hierarchy with effective leadership and peak performance of the work unit.

Other leadership behaviors also need to be examined in relation to peak performance level of the organization such as the extent to which the leader effectively interprets events and creates meaning around events to support the creation of the vision, the extent to which the leader creates organizational policies that support the vision, and the extent to which the leader uses both intuition and rational, analytic thought.

Also, other variables, related to leadership but not necessarily under the direct control of leadership, need to be examined in relation to peak performance level of the organization. These would be organizational structure, organizational norms governing relationships among employees, and the stage of organizational development.

The PAVE: Excellent Organizational Practices Index would benefit from further examination because it appears to be an important instrument

that measures a new concept, workers' perceptions of peak performance level of the organization. It needs to be used more extensively and in other contexts. Data gathered could be used to give more information on the norms. Concurrent and predictive validity needs to be further developed. Also, the PAVE needs to be correlated with objective indicators of peak performance (e.g., economic indicators). The scale of Commitment needs to be examined more closely when the new data is analyzed for item-to-total reliability and alpha-if-item-deleted to determine if any questions need to be revised.

Finally, specific ways to apply the theory need to be developed and described in order to establish its practical value as a way to foster growth in people's leadership abilities. In addition, training programs and methods to foster visionary leadership need to be developed and analyzed for effectiveness. If, as the current literature suggests, the nature of visionary leadership is demonstrated to belong to a different domain of thinking, new ways to foster this way of thinking will need to be explored.

The directions for future research are unlimited and intriguing. The current study has been a first effort to investigate the concepts of visionary leadership and peak performance of the organization. The results of the study are important because they have strongly supported the validity of these concepts and give rise to major implications for the future of leadership theory and training. As the significance of the initial efforts becomes recognized, more work will need to be done to establish and understand these new perspectives.

APPENDIX A

DRAFTS, CORRESPONDENCE, AND FORMS RELATED TO CONSTRUCTION
OF THE PAVE: EXCELLENT ORGANIZATIONAL PRACTICES INDEX

Preliminary Questions for the PAVE Index
October 8, 1986

Goal Alignment

Clarity of purpose and goals

1. There is a common philosophy/sense of purpose for this unit.
2. I can clearly describe the major purpose of this unit.
3. Goals and priorities for this unit are clear.
4. Goals and priorities are related to the philosophy of this unit.
5. I am confused about what people expect me to do on my job.
6. In general, people have a clear idea of what is expected of them in this unit.
7. I am clear about how my job responsibilities relate to the work of this unit.

Alignment/Congruence

Of purpose and goals throughout the unit:

1. People throughout the unit are committed to a common philosophy or purpose.
2. Individuals' goals relate to a common philosophy.
3. Individuals' goals take priority over the unit's goals.

Of unit goals with personal values:

1. I am able to do things that don't go against my conscience.
2. My values and the values of the unit are very similar.
3. In order to meet job-related expectations, I have to do things that seem wrong to me.

Of members within the unit:

1. There is a feeling of unity/sense of community in this unit.
2. People in this unit coordinate their efforts.
3. There is a high degree of confidence and trust among members of this unit.
4. People in this unit encourage and help each other do to their very best.
5. People in this unit are cool and aloof toward each other.
6. Everyone shares the same basic values in this unit.
7. People's goals in this unit are not compatible.

Continued next page

Preliminary Questions for the PAVE Index
(continued)

Performance

Achievement

1. We do top quality/superior work in this unit.
2. I achieve more here than I ever expected I could.
3. We believe in being the very best at what we do in this unit.
4. I have strong feelings of accomplishment related to the work we do.
5. Working here inspires the very best of me in the way of job performance.
6. We maintain high standards of performance here.
7. We set high goals and are consistently able to achieve them.

Effectiveness

1. The overall level of effectiveness of this unit is excellent.
2. Compared to other units I have known, the effectiveness of this unit is excellent.
3. My superior is extraordinarily effective in meeting the job-related needs of subordinates.
4. My superior is extraordinarily effective in meeting the requirements of the organization.
5. The practices my superior uses are the right ones for getting the unit's job done.

Strong Feeling Tone

Motivation

1. I am willing to put in a great deal of extra effort beyond what is normally expected in a job.
2. I feel enthusiastic about assignments.
3. I do more than I ever expected I would do.
4. I feel it is important to succeed in meeting the unit's goals.
5. I am determined to meet whatever challenges arise.
6. I am continually learning and seeking new ideas as they relate to the work of the unit.
7. When making decisions, I consider the goals of this unit.
8. The goals of this unit are important to me.

Continued next page

Personal and Collective Power

1. I feel we can overcome almost any obstacle here.
2. I am optimistic about the future of this group.
3. I feel powerless here.
4. I have the freedom I need to use my own judgement.
5. I can use my own methods to get my job done.

Excitement

1. I am excited about the work we are doing here.
2. People here take pride and satisfaction in their work.
3. Morale is rather low here.
4. I am proud of the performance of this unit.
5. I am proud to be a member of this unit.
6. I am proud to be working in this organization.
7. I talk to people outside the organization about how excited I am about the work we are doing here.

Jessie Stoner
51 Pine Street
Amherst, MA 01002

October 11, 1986

Dear

I've been working hard on my proposal for my dissertation. I've discovered that I need to develop a questionnaire to measure the "dependent variable" (workers' perceptions of their own experience in relation to the work environment).

I need your help in constructing this questionnaire. I have written the questions. Now I need to pretest the questionnaire and I need feedback on how the questions seem to you. I will then use that information to revise it and to develop the final form which will be used in my research project.

I am enclosing a copy of the questionnaire, hoping you are willing to answer it and give me feedback. It is necessary that you answer the questionnaire honestly and that you fill out all the demographic data. In regard to specific feedback, here is what I would like you to do:

1. Circle any question that seems ambiguous to you and, in the space below, write what you thought it meant.
2. Please note, in the space below a question, any comments or suggestions about that particular question.
3. At the end of the questionnaire, please write any comments about general suggestions for improving the questionnaire (e.g., format, types of questions, order of questions, etc.)

I promise the information you give me will be kept strictly confidential and I will remove all names and identifying information if I need to go over them with my committee (which I don't think I will need to do).

I am enclosing a self-addressed, stamped envelope for your convenience in returning the questionnaire. I would appreciate your response as soon as possible (in the next day or two).

Please call if you have any questions. Thanks for helping me out!

Letter Sent to HRD Specialists

October 23, 1986

Dear ,

I've recently been working on a questionnaire to measure the dependent variable in my dissertation research project. After many conversations with professionals in the field of statistics and testing and after a lot of searching through what questionnaires are currently available, I realized I was going to need to develop my own questionnaire.

I went through the literature and listed the things authors say are happening in "inspired" organizations. I want to see if there is a relationship between workers' perception of whether these things are occurring and how they perceive the leadership. In developing the specific questions, I reviewed the following questionnaires:

1. Minnesota Satisfaction Questionnaire (MSQ) - Weiss et al., 1967
2. Job Descriptive Index (JDI) - Bowling Green State University, 1975
3. Organizational Commitment Questionnaire (OCQ) - Porter et al., 1979
4. Survey of Organizations (SOO) - Likert, 1980
5. Profile of Organizational Practices - Zigarmi et al., 1982
6. Organizational Beliefs Questionnaire - Sashkin, 1984
7. Cultural Functions Questionnaire - Sashkin, 1986
8. Organizational Climate Survey Questionnaire - author unknown, given to me by Eunice Parisi-Carew.
9. Scales of Transactional and Transformational Leadership - Bass, 1985
10. Leadership Practices Inventory - Posner et al., 1986
11. Study of Schooling Questionnaires - Institute for Development of Educational Activities, Inc., 1978
12. Organizational Effectiveness Questionnaire - Paul E. Mott, 1972

Next, in consultation with statisticians, I developed a list of 52 questions. I sent the questionnaire to 25 people to pilot it. I asked them to answer the questionnaire, to make comments about questions that seemed ambiguous, and suggest ways to improve the questionnaire. I reviewed the responses with the research consultants to analyze the feedback and to make revisions. The current revised questionnaire now has 37 questions.

I have enclosed a copy of the questionnaire in its current form. I would appreciate any suggestions or comments you have for improving it.

Sincerely,

Jessie Stoner

Construct Validity Form

November 15, 1986

Dear

I would appreciate your help in obtaining construct validity for the PAVE: Excellent Organizational Practices Index. Below is a list of the three categories of the questions on the PAVE. Attached to this letter is a copy of the PAVE. For each question on the PAVE, please write the number of the question under the category below to which you believe it belongs. At the bottom of the page, please list any questions you couldn't decide about and any comments, thoughts, etc. Thanks for your help!

Jessie Stoner

Category I

Feeling Tone - defined as: strong positive feelings including motivation, satisfaction, excitement, inspiration, confidence, feelings of personal and collective power.

Category II

Performance - defined as: competence, productivity, achievement, output and effectiveness.

Category III

Goal Alignment - defined as: the end result of the alignment of purpose, values, and goals. At an organizational level, goal clarity implies that members share a common purpose and value base from which goals are derived.

Questions that don't seem to fit anywhere and/or any comments:

APPENDIX B

PAVE: EXCELLENT ORGANIZATIONAL PRACTICES INDEX

PAVE: Excellent Organizational Practices Index

Directions:

Please answer all questions in relation to the work unit to which you belong and for which your manager is responsible. For each statement below, circle the number from the response category that best describes your perceptions or sense of your work unit. It is important to answer all questions; however, if you really cannot decide, please circle the zero.

	Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree	Undecided
1. There is a common mission/sense of purpose for this unit.	1	2	3	4	5	6	0
2. There is a feeling of cohesiveness/sense of community here.	1	2	3	4	5	6	0
3. I can clearly describe the major purpose of this unit.	1	2	3	4	5	6	0
4. I am clear about the goals and priorities for this unit.	1	2	3	4	5	6	0
5. People throughout the unit are committed to a common mission or purpose.	1	2	3	4	5	6	0
6. People in this unit are cool and aloof toward each other.	1	2	3	4	5	6	0
7. Goals and priorities are related to the mission of this unit.	1	2	3	4	5	6	0
8. There is a high degree of confidence and trust among members of this unit.	1	2	3	4	5	6	0
9. I am clear about how my job responsibilities relate to the mission of this unit.	1	2	3	4	5	6	0
10. The overall level of effectiveness of this unit is excellent.	1	2	3	4	5	6	0
11. In order to meet job-related expectations, I have to do things that seem wrong to me.	1	2	3	4	5	6	0
12. Working here inspires that very best of me in the way of job performance.	1	2	3	4	5	6	0
13. When conflict occurs, individuals' goals take priority over the unit's goals.	1	2	3	4	5	6	0
14. High standards of performance are maintained here.	1	2	3	4	5	6	0
15. People in this unit give-up when the work becomes frustrating.	1	2	3	4	5	6	0
16. My values and the values of the unit are very similar.	1	2	3	4	5	6	0

	Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree	Undecided
17. I have strong feelings of accomplishment related to our work.	1	2	3	4	5	6	0
18. My superior is excellent in meeting the requirements of the organization.	1	2	3	4	5	6	0
19. I am proud to be a member of this unit.	1	2	3	4	5	6	0
20. People's goals in this unit are compatible.	1	2	3	4	5	6	0
21. Compared to other units I have known, the effectiveness of this unit is excellent.	1	2	3	4	5	6	0
22. The goals of this unit are important to me.	1	2	3	4	5	6	0
23. When my work requires working independently, I do it well.	1	2	3	4	5	6	0
24. I feel powerless here.	1	2	3	4	5	6	0
25. I am willing to put in a great deal of extra effort beyond what is normally expected in a job.	1	2	3	4	5	6	0
26. I am proud of the performance of this unit.	1	2	3	4	5	6	0
27. Morale is rather low here.	1	2	3	4	5	6	0
28. This unit produces top quality/superior work.	1	2	3	4	5	6	0
29. The practices my superior uses are the right ones for getting the unit's job done.	1	2	3	4	5	6	0
30. I have the freedom I need to use my own judgement.	1	2	3	4	5	6	0
31. I am committed to helping the unit meet its goals.	1	2	3	4	5	6	0
32. I am optimistic about the future of this unit.	1	2	3	4	5	6	0
33. I am committed to completing work even when it is frustrating.	1	2	3	4	5	6	0
34. I am confused about what people expect me to do on my job.	1	2	3	4	5	6	0
35. People in this unit take pride and satisfaction in their work.	1	2	3	4	5	6	0
36. I am determined to meet whatever challenges arise here.	1	2	3	4	5	6	0
37. People in this unit coordinate their efforts when necessary.	1	2	3	4	5	6	0
38. I am continually learning and seeking new ideas as they relate to the work of this unit.	1	2	3	4	5	6	0
39. I feel we can overcome almost any obstacle here.	1	2	3	4	5	6	0
40. I am excited about the work we are doing here.	1	2	3	4	5	6	0

APPENDIX C

LEADER BEHAVIOR ANALYSIS



Leader Behavior Analysis

Developed by Kenneth H. Blanchard, Ronald K. Hambleton, Drea Zigarmi and Douglas Forsyth

Other Perceptions of Leadership Style

Directions:

The purpose of the LBA-Other is to provide a leader with information about your perceptions of his/her leadership style. The instrument consists of twenty typical job situations that involve a leader and one or more staff members. Following each situation are four possible actions that a leader may take.

Assume _____

(name of leader)

is involved in each of the twenty situations. In each of the situations you must choose one of the four leader decisions. CIRCLE the letter of the decision which you think would best describe the behavior of this leader in the situation presented. Circle only one choice.

BTD Blanchard Training
and Development, Inc.

A Human Resource Development Company

125 State Place, Escondido, CA 92025
(619) 489-5005

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LEADER BEHAVIOR ANALYSIS-OTHER

1. A subordinate has been asked to write a report concerning the acquisition of some new equipment for the division. He usually can be given an assignment and complete it on time with a moderate amount of encouragement from this leader. The report is now overdue. THIS LEADER WOULD . . .
 - a. Tell the subordinate when the report was due, remind him of what is wanted in the report, and check on the subordinate's progress daily.
 - b. Give the subordinate more time to complete the assignment.
 - c. Tell the subordinate what is expected, and tell him to complete it as soon as possible, but discuss with him why the report was late.
 - d. Talk to the subordinate and encourage him to complete the report.
2. This leader is in charge of an interdepartmental task force that has been working hard to complete its division-wide report. One of the task force members has been late for the last five meetings. He has offered no excuses or apologies. Furthermore, he is way behind in completing the cost figures on his department. It is imperative that he present these figures to the task force within the next three days. THIS LEADER WOULD . . .
 - a. Tell him exactly what is expected and closely supervise his work on this report.
 - b. Discuss with him why he has been late and support his efforts to complete the task.
 - c. Emphasize when the cost figures are due and support his efforts.
 - d. Assume he will be prepared to present the cost figures to the task force.
3. In the past, this leader has had a great deal of trouble with one of the people in the work group. The employee had a lackadaisical approach, and only constant prodding brought about task completion. However, recently there has been a noticeable change. The individual's performance has improved, and the leader has had to remind her of meeting deadlines less and less. She has even initiated several suggestions for increasing her performance. THIS LEADER WOULD . . .
 - a. Continue to direct and closely supervise her efforts.
 - b. Continue to supervise her work, but listen to her suggestions and incorporate those that seem reasonable.
 - c. Incorporate her suggestions and support her ideas.
 - d. Let her take responsibility for her own work.
4. The group has usually functioned effectively with considerable encouragement and direction from this leader. In the last few weeks their performance has dropped drastically. The group is not meeting deadlines and the quality of their work is unacceptable. THIS LEADER WOULD . . .
 - a. Let the group work out their problems by themselves.
 - b. Make sure that deadlines are met and the quality of the work is good, but talk with the group and get its recommendations.
 - c. Inform the group of exactly what is expected when it is needed, and supervise the group's work closely.
 - d. Help group members determine what they need to do and encourage them to take the necessary steps.
5. Because of budget restrictions imposed on the department, it is necessary to consolidate. The leader has asked a highly experienced member of the department, who is usually eager to help, to take charge of the consolidation. This person has worked in all areas of the department. While the leader feels the subordinate has the ability to perform this assignment, the subordinate seems indifferent to the importance of the task. THIS LEADER WOULD . . .
 - a. Take charge of the consolidation, but make sure the subordinate's suggestions are heard.
 - b. Assign the project to her and let her determine how to accomplish it.
 - c. Discuss the situation with her. Encourage her to accept the assignment in light of her skills and experience.
 - d. Take charge of the consolidation and indicate to the subordinate precisely what to do. Supervise her work closely.
6. A highly productive and efficient woman on the staff has asked for help on a project. She is accustomed to working effectively on her own. Recently, work problems have developed that she feels she can't solve by herself. THIS LEADER WOULD . . .
 - a. Analyze the problems and outline methods to solve them.
 - b. Continue to allow her to figure out an appropriate solution independently.
 - c. Work with her in problem-solving, but determine and implement an appropriate solution.
 - d. Discuss the problems with her and encourage her to implement any solutions.

7. This leader has asked a senior employee to take on a new job. In his other responsibilities he has performed adequately with moderate supervision and support from the leader. The job the leader has asked him to do is important to the future of the work group. He is insecure and doubts whether he can handle the job. **THIS LEADER WOULD . . .**
- Discuss the job with him, supporting his ability to do it.
 - Define the activities necessary to successfully complete the job and supervise his work closely.
 - Let him determine how to do the job.
 - Specify what he is to do, but solicit any ideas he may have.
8. A subordinate is feeling somewhat insecure about a job assigned to him. He is highly competent and this leader knows that he has the skills to successfully and efficiently complete the assignment. **THIS LEADER WOULD**
- Listen to his concerns and express confidence in his ability to complete the assignment.
 - Structure the assignment so that it is clear but consider any helpful suggestions he may have.
 - Tell him exactly what to do to get the job done and check his work daily.
 - Let him figure out how to do the assignment on his own.
9. Group members have asked this leader to consider a change in their work schedule. In the past this leader has encouraged and supported their suggestions. In this case, group members are well aware of the need for change and are ready to suggest and try an alternate schedule. They are very competent and work well together as a group. **THIS LEADER WOULD . . .**
- Allow staff involvement in developing the new schedule and support the suggestions of group members.
 - Design and implement the new schedule, but incorporate staff recommendations.
 - Allow the staff to formulate and implement the new schedule on its own.
 - Design the new schedule and closely direct its implementation.
10. This leader has arrived ten minutes late for a meeting with the staff. Based on their past performance this leader has expected a great deal of socialization to be going on, but the leader was surprised to find the group enthusiastically discussing the assigned task. This task is very different from other tasks the group has worked on. **THIS LEADER WOULD . . .**
- Let the group work on the task without any direction and not intervene.
 - Take control immediately and direct the group.
 - Direct their interactions toward task completion, but encourage their discussion.
 - Let the group continue to discuss the assigned task and provide as much support as possible.
11. A member of the department has had a fine record of accomplishment with support and encouragement but little direction from this leader. The department member has been given similar tasks to accomplish for the coming year and this leader must decide how to supervise him. **THIS LEADER WOULD . . .**
- Let the subordinate function by himself providing his own support and direction.
 - Emphasize to him the importance of meeting deadlines and direct his efforts at accomplishing assigned tasks.
 - Talk with him and set goals and objectives for his task accomplishment, but consider his suggestions.
 - Involve the subordinate in setting goals and support his efforts.
12. In the past this leader has worked closely with the staff directing and supporting their efforts. Productivity was high and people got along well together. Recognizing their abilities, this leader felt they could work well with only encouragement. The leader has redirected energies to new areas and the staff has continued to produce good results. The leader must now ask them to accept additional work. **THIS LEADER WOULD . . .**
- Assign the work to them, make sure they know exactly what to do, and supervise them closely.
 - Give them the job. Tell them that past performance has been good and that they will do well with this assignment.
 - Make sure they know what is expected of them, but incorporate any helpful suggestions they may have.
 - Let them determine how to complete the assignment.
13. A new employee has been hired to perform an important job in the office. Even though the employee is inexperienced and lacks confidence in this area this leader feels he has the potential to do the job. **THIS LEADER WOULD . . .**
- Let him determine what to do.
 - Tell him exactly what the job entails, what is expected of him, and supervise him closely.
 - Let him know what is expected of him and get his recommendations.
 - Encourage him to do the job and support his efforts.

14. Top management has asked that the division increase its production by 10%. The division leader knows that this can be done, but it will require his/her active involvement. In order to become more actively involved, the leader must reassign the development of a new cost control system to an assistant manager. The assistant manager has had considerable experience with cost control systems but is a little unsure about doing the task on her own. THIS LEADER WOULD . . .
- Ask her to take on the project. Encourage and support her efforts.
 - Discuss the project with her. Explain how the job should be done, but see if she has any ideas.
 - Assign her the project and let her determine how to do it.
 - Assign her the project and prepare a detailed memo explaining all the steps necessary to get the project done.
15. A subordinate has made a suggestion for change in the operations of the unit that makes sense to this leader. In the past, she has been able to offer and implement other helpful suggestions in a productive manner with the leader's support. The leader has confidence in her abilities. THIS LEADER WOULD . . .
- Take charge of the suggestion and direct her in its implementation.
 - Discuss the suggestion with her and support her efforts to direct its implementation.
 - Organize the implementation but include her ideas.
 - Give her the responsibility for implementing the suggestion without any leader involvement.
16. Due to illness in the family, this leader has been forced to miss the first two meetings of a committee under his/her direction. Upon attending the third meeting, the leader found the committee functioning well and making good progress toward completion of its goals. This leader is unsure about how to fit into the group and what role should be assumed. THIS LEADER WOULD . . .
- Attend, but let the group continue to work as it has during the first two meetings.
 - Assume the leadership of the committee and begin to direct its activities.
 - Do what can be done to make the committee feel important and involved and support their past efforts.
 - Direct the activities of the group, but incorporate group member's suggestions.
17. The staff is very competent and able to work well on their own. This leader has generally left them alone and delegated key responsibilities to individual members. Their performance has been outstanding. THIS LEADER WOULD . . .
- Provide continual support and encouragement to group members.
 - Direct and closely supervise the activities of the staff.
 - Continue to let the group work on its own.
 - Direct their efforts, but work closely with the staff to solicit their suggestions.
18. Top level management has decided that a new procedure has to be installed in the department if long-term gains in performance are to be obtained. In the past, when new procedures were installed, the department has been eager to use them, but has lacked the skills to do so. THIS LEADER WOULD . . .
- Closely direct the group in the use of the new procedure.
 - Make sure to direct the implementation of the new procedure, but involve the group in discussion.
 - Get the group involved in a discussion of the procedure and encourage their cooperation and involvement.
 - Allow the group to implement the new procedure on its own.
19. This leader has been recently appointed the head of a division. Under the division's former boss, the staff functioned adequately with considerable supervision and support. Since this leader has taken over, however, the staff appears to be more concerned with social activities than with carrying out their responsibilities. The staff's performance to date has been poor. THIS LEADER WOULD . . .
- Discuss the low performance with the staff, and support their efforts to specify corrective measures.
 - Define roles and responsibilities and supervise their work closely.
 - Allow staff members to define their own responsibilities and tasks.
 - Direct and organize the necessary corrective action, but make sure staff members' suggestions are heard.
20. One of the employees is eager to take on a new assignment. She has had little experience in the area in which she wants to work. She has done a good job with other tasks that have been given to her. THIS LEADER WOULD . . .
- Explain to her what she must do, but support her enthusiasm for the new assignment.
 - Give her the assignment and let her determine the best way to do it.
 - Encourage her to try the job and support her efforts.
 - Tell her exactly what must be done to successfully complete the assignment and closely supervise her.

APPENDIX D

LEADER BEHAVIOR QUESTIONNAIRE

The Leader Behavior Questionnaire

Directions:

Below is a list of statements that describe a particular way a leader might behave. Circle the number from the response category that describes how true that statement is about your manager.

	Not At All True	A Little True	Somewhat True	Mostly True	Completely True
1. ...pays close attention to what I say when we are talking.	1	2	3	4	5
2. ...does not communicate very clearly.	1	2	3	4	5
3. ...is trustworthy.	1	2	3	4	5
4. ...shows that he/she really cares about people.	1	2	3	4	5
5. ...is very concerned about avoiding failure.	1	2	3	4	5
6. ...makes me feel that my work is meaningful.	1	2	3	4	5
7. ...tries to keep at a distance from subordinates.	1	2	3	4	5
8. ...helps others set specific high goals for themselves.	1	2	3	4	5
9. ...expects people to find, on their own, ways to do their jobs better	1	2	3	4	5
10. ...tries to get people to work together as a team.	1	2	3	4	5
11. ...tries to get across to others all of the specific details of his/her views.	1	2	3	4	5
12. ...makes points in such clear and unusual ways that you couldn't possibly misunderstand or forget.	1	2	3	4	5
13. ...can be relied on to follow through on commitments.	1	2	3	4	5
14. ...does not have a great deal of self-respect.	1	2	3	4	5
15. ...tries to avoid taking any risks.	1	2	3	4	5
16. ...helps me feel more competent in what I do.	1	2	3	4	5
17. ...concentrates on developing his/her own argument while the other person is speaking.	1	2	3	4	5
18. ...encourages people to try their best rather than reaching for some specific "number."	1	2	3	4	5
19. ...provides information people need to effectively plan their work.	1	2	3	4	5
20. ...provides opportunities for people to get together and share ideas and information.	1	2	3	4	5
21. ...has a clear set of priorities.	1	2	3	4	5
22. ...often does not notice how others feel.	1	2	3	4	5
23. ...often finds it desirable to change or alter his/her position.	1	2	3	4	5
24. ...focuses on strengths of self and of others.	1	2	3	4	5
25. ...seems most alive when committed to some project.	1	2	3	4	5

	Not At All True	A Little True	Somewhat True	Mostly True	Completely True
26. ...manages to avoid being stuck with the blame when there is a problem.	1	2	3	4	5
27. ...is understanding when people come to him/her with their problems.	1	2	3	4	5
28. ...does not expect too much of people.	1	2	3	4	5
29. ...expects people to solve their own work problems.	1	2	3	4	5
30. ...makes it easier for people to work together to get the job done.	1	2	3	4	5
31. ...literally "grabs" your attention to focus on the important issues in a discussion.	1	2	3	4	5
32. ...communicates feelings as well as ideas.	1	2	3	4	5
33. ...avoids committing to a position, preferring to remain flexible.	1	2	3	4	5
34. ...knows and can express exactly how he/she "fits" into the organization	1	2	3	4	5
35. ...learns from mistakes; does not treat errors as disasters but as opportunities for learning.	1	2	3	4	5
36. ...has a no-nonsense approach to work.	1	2	3	4	5
37. ...shows people that he/she is concerned about them.	1	2	3	4	5
38. ...expects a great deal from others, in terms of performance.	1	2	3	4	5
39. ...makes sure people have the resources they need to do a good job.	1	2	3	4	5
40. ...prefers to work with individuals one-on-one, rather than improving the group.	1	2	3	4	5
41. ...finds it difficult to get your attention when talking with you.	1	2	3	4	5
42. ...is able to get complicated ideas across clearly.	1	2	3	4	5
43. ...is someone in whom people can put absolute faith.	1	2	3	4	5
44. ...shows little concern for other people's feelings.	1	2	3	4	5
45. ...communicates excitement about future possibilities.	1	2	3	4	5
46. ...makes me feel that I'm really part of this organization.	1	2	3	4	5
47. ...shows others that he/she is really listening to them.	1	2	3	4	5
48. ...helps others identify clear and specific performance goals.	1	2	3	4	5
49. ...helps people get the training they need to perform the job effectively	1	2	3	4	5
50. ...rarely spends time in work group meetings.	1	2	3	4	5

APPENDIX E

LEADERSHIP PRACTICES INVENTORY



SANTA CLARA UNIVERSITY

LEAVEY SCHOOL OF
BUSINESS AND ADMINISTRATION

September 4, 1986

Ms. Jessie Stoner
51 Pine Street
Amherst, Massachusetts 01002

Dear Jessie:

Thank you for your interest in the Leadership Practices Inventory (LPI). Jim Kouzes and I have spent over four years conducting the research that went into developing the model which underlies the LPI. More than 500 case studies have been analyzed and over 4,500 managers have been surveyed. In our book The End of Management: The Beginning of Leadership (Jossey-Bass) we describe this research and the empirical studies for the LPI. The book will be available a year from now.

Let me provide you with some information about the LPI. As I mentioned to you, I hope to complete a technical report on the LPI this Fall. After developing a leadership model from the case studies we attempted to validate it empirically and developed the first version of the LPI. Nearly 2,500 people completed the LPI (including respondents in Australia, Great Britain, Germany, and Holland). Internal reliabilities for the scales were consistently above .79 both within and across particular sample populations (e.g., companies, hierarchical levels, genders, functions, or countries) and with all samples combined. We did continue to add, subtract, and rewrite items on the questionnaire as warranted. Finally, the results of a factor analysis convinced us that we had five factors, which could be orthogonally rotated.

An effectiveness scale which we had also developed (internal reliability = .88) demonstrated that the LPI could account for nearly 75 percent of the variance. While we use the effectiveness score generated by associates (presumably subordinates) of the respondent in this analysis, we have not found a significant difference between the self-report scores of the respondents and those provided by others. In addition, the LPI was not significantly correlated with the Crowne-Marlow Social Desirability Scale in one sample (N = 30). While the sample of females is relatively small we have found only a slight tendency for one scale (Encouraging the Heart) to show a significant difference between female and male respondents. This issue is being investigated in a dissertation study underway at Western Michigan University. Finally, the LPI has been able to successfully

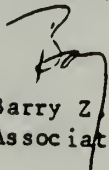
discriminate between high and low performing managers (as rated by senior management).

The Leadership Practices Inventory has substantial face validity with managers and we are continuing to collect further data about its concurrent and predictive validity. I hope you will be able to contribute toward that effort and in expanding our understanding of leadership.

Please let me know if you decide to use the LPI in your research. I would like to specifically discuss our agreement covering its duplication and usage. As of January, the LPI will be distributed by Xicom, Inc. (Tuxedo Park, New York).

Well, I hope this information has been helpful to you. If you need any further information or clarifications please do not hesitate to contact me. Best wishes with your dissertation.

Cordially,


Barry Z. Posner, Ph.D.
Associate Professor

Jessie Stoner
51 Pine Street
Amherst, MA 01002

Tel. (413) 549-4566

November 3, 1986

Dr. Barry Posner
Management Department
Santa Clara University
Santa Clara, California 95053

Dear Barry,

I am writing to confirm the agreement we made about my use of the Leadership Practices Inventory (LPI).

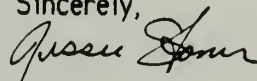
I will use the LPI as part of my doctoral research project. The instrument will be given to about 100 workers in organizations who will be asked rate their immediate superior. For this reason, only the "Other" report form will be used.

To facilitate administration, I will retype the questions with the 5 point "likert" scale next to each question. You and James Kouzes will be given credit as authors on the retyped version, the copyright symbol will appear on each page of the retyped version, and you will be given full credit in my dissertation.

Also, the LPI will not be used by me for any other purpose, it will not be sold, and I will not give copies of it to anyone who is not directly involved with the research project.

I will be glad to share the data I collect with you. Thank you for your time, help, and cooperation.

Sincerely,



Leadership Practices Inventory

Directions:

Below is a list of behavioral descriptions. Please circle the number from the response category that best describes how frequently your manager engages in the behavior.

	RARELY/NEVER	ONCE IN A WHILE	SOMETIMES	FAIRLY OFTEN	FREQUENTLY/ALWAYS
1. ...searches out challenging opportunities which test his/her skills and abilities.	1	2	3	4	5
2. ...describes the kind of future he/she would like us to create together.	1	2	3	4	5
3. ...involves others in planning the actions which will be taken.	1	2	3	4	5
4. ...is clear about his/her own philosophy of leadership.	1	2	3	4	5
5. ...takes the time to celebrate his/her group's attainment of project milestones.	1	2	3	4	5
6. ...stays up to date on the latest developments affecting our business.	1	2	3	4	5
7. ...appeals to others to share his/her dream of the future as their own.	1	2	3	4	5
8. ...treats others with dignity and respect.	1	2	3	4	5
9. ...makes certain that the projects he/she manages are broken down into manageable chunks.	1	2	3	4	5
10. ...makes sure his/her people get recognized for their contributions to the success of the project.	1	2	3	4	5
11. ...challenges the way we do things around here.	1	2	3	4	5
12. ...demonstrates a strong desire to make tomorrow's world better.	1	2	3	4	5
13. ...gives people a lot of discretion to make their own decisions.	1	2	3	4	5
14. ...spends time and energy on making certain the people he/she manages adhere to the values that have been agreed upon.	1	2	3	4	5
15. ...praises people for a job well done.	1	2	3	4	5
16. ...looks for innovative ways he/she can improve what we do around here.	1	2	3	4	5

		RARELY/NEVER	ONCE IN A WHILE	SOMETIMES	FAIRLY OFTEN	FREQUENTLY/ALWAYS
17.	...shows others how their interests and values can be realized by enrolling in his/her vision for the future.	1	2	3	4	5
18.	...develops cooperative relationships with the people he/she works with.	1	2	3	4	5
19.	...lets others know his/her beliefs on how to best run the organization he/she manages.	1	2	3	4	5
20.	...gives the members of his/her team lots of appreciation and support for their contributions.	1	2	3	4	5
21.	...asks, "What can we learn?", not "Who's to blame?" when things go wrong.	1	2	3	4	5
22.	...talks confidently about where we are headed in the future.	1	2	3	4	5
23.	...creates an atmosphere of mutual trust in the projects he/she manages.	1	2	3	4	5
24.	...consistently practices the values he/she preaches.	1	2	3	4	5
25.	...finds ways to celebrate accomplishments.	1	2	3	4	5
26.	...experiments and takes risks with new approaches to his/her work even when there's a chance of failure.	1	2	3	4	5
27.	...describes his/her sense of the future in ways that make others excited and enthusiastic.	1	2	3	4	5
28.	...gets others to feel a sense of ownership for the projects they work on.	1	2	3	4	5
29.	...makes certain others set clear goals, make plans, and establish milestones for the projects he/she manages.	1	2	3	4	5
30.	...makes it a point to tell the rest of the organization about the good work done by his/her group.	1	2	3	4	5

APPENDIX F

RECRUITMENT LETTER AND DEMOGRAPHIC DATA FORM

Blanchard Training and Development, Inc.



March 30, 1987

125 State Place
Escondido, CA 92025
619 489-5005

Dear _____, Inc. Respondent:

In April, several _____, Inc. managers will be involved in a management training program. The person whose name appears on the front of the surveys enclosed is participating in that training.

As part of the training, we would like to know how you feel about this person's leadership style. To do this, we have enclosed two surveys which ask for your personal opinions about how this person would tend to respond in a number of situations and categories. These questions are not designed to be tricky, and there are no right or wrong answers. The information you and others provide will be analyzed by BTD and the results provided to the managers in summary form, so that no individual response is identified.

DO NOT put your name on the survey. The person whose name appears on the front of each survey is the individual you are assessing, and each survey indicates the relationship you have to that person, i.e. superior, associate, subordinate.

The instrument called the LBAII Other consists of 20 situations. Please read the directions and indicate which of the four choices you think best describes what the person named would do in each of the 20 situations. Do not indicate what you would do, but what the person named on the survey would do. The Survey Of Leadership And The Work Environment consists of a number of statements that describe a particular way a leader might behave. You are asked to choose a number from the response category that describes how true that statement is about the person whose name appears on the survey.

The information from these surveys will be used to help managers who are participating in this training to see themselves more clearly and to assess areas of strength as well as areas that need improvement. In order for this to happen, it is important that your responses accurately reflect your opinions. If you have questions about the surveys, please feel free to call me at (619) 489-5005, extension 255.

Once you have completed the surveys, put them both in the envelope provided, seal it, and mail it directly to Blanchard Training and Development, Inc. AS SOON AS POSSIBLE. Your participation is essential to the success of this training program, and we genuinely appreciate your cooperation.

Sincerely,

A handwritten signature in cursive script, reading 'Corlis Good', is written over the typed name.

Corlis Good
Executive Assistant
Corporate Development

/cg

Demographic Information

In this section, we are interested in obtaining some background information to help us interpret the data and to better understand how leadership practices affect different groups of people. Your responses will remain completely confidential.

Directions: Place a check next to the description that best applies to you.

Your sex:

- ☐ Male
☐ Female

Your age:

- ☐ 25 years old or less
☐ 26 years through 35 years
☐ 36 years through 45 years
☐ 46 years through 55 years
☐ 56 years or over

How long have you been a member of the work unit for which your manager is responsible?

- ☐ Less than 1 year
☐ 1 through 2 years
☐ 3 through 6 years
☐ 7 through 10 years
☐ 11 years or more

How long has your manager been responsible for your work unit?

- ☐ Less than 1 year
☐ 1 through 2 years
☐ 3 through 6 years
☐ 7 through 10 years
☐ 11 years or more

How much formal education have you had?

- ☐ Up to some high school
☐ Completed high school
☐ Some college
☐ Completed college
☐ Completed graduate school
 (Degree obtained: _____)

Your race is best described as:

- ☐ White
☐ Black
☐ Hispanic
☐ Asian
☐ Native American
☐ Other - (Please specify: _____)

In addition to being used for management training in your organization, your responses to these questionnaires could also be used in an important national study on how leadership behaviors affect the work environment. Your responses will remain anonymous. If you are not willing to have your responses included as part of this study, please check this box: ☐ No

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