Dissertations   Theses and Dissertations

1995

A Study in Leadership: An Analysis of the Leadership Styles of Baseball Managers and What Lessons Can Be Learned by Educational Leaders

Philip G. Roffman
Loyola University Chicago

Follow this and additional works at: https://ecommons.luc.edu/luc_diss

Part of the Education Commons

Recommended Citation

LOYOLA UNIVERSITY OF CHICAGO

A STUDY IN LEADERSHIP: AN ANALYSIS OF THE LEADERSHIP STYLES OF

BASEBALL MANAGERS AND WHAT LESSONS CAN BE LEARNED BY EDUCATIONAL

LEADERS

A DISSERTATION SUBMITTED TO

THE FACULTY OF THE GRADUATE SCHOOL

IN CANDIDACY FOR THE DEGREE OF

DOCTOR OF PHILOSOPHY

DEPARTMENT OF EDUCATIONAL LEADERSHIP AND POLICY STUDIES

BY

PHILIP G. ROFFMAN

DIRECTOR: L. ARTHUR SAFER, PH.D.

CHICAGO, ILLINOIS

MAY 1995

TABLE OF CONTENTS

CHAPTER I

INTRODUCTION AND OVERVIEW

"HERE'S THE WINDUP AND THE PITCH"

> The manager does nothing but make
> decisions and issue orders. All his
> activities are mental.   Therefore,
> he is the ideal object for second-guessing.
> If things work out right, obviously
> he must be a genius for having planned it
> that way; if they don't, he's a stupid idiot
> who should be fired.
>
> -Leonard Koppett

The impact of transformational and charismatic leaders in sports such as Casey Stengel, Tommy Lasorda, Mike Ditka, Pat Riley, and Earl Weaver has been well-documented. Similarly, business leaders such as Lee Iacocca of Chrysler, Mary Kay Ash of Mary Kay Cosmetics, and Sam Walton of Wal-Mart have also been well-documented in the press, popular journals, and nonfiction bestsellers. Yet, as a subject of serious study, these leaders have received surprisingly little attention considering the profound changes that they and

others like them have brought not only to their organizations, but to entire industries. In addition, it has been ironic that despite the enormous amount of attention expended on the subject of leadership (as evidenced by Ralph Stogdill's Handbook of Leadership - an encyclopedic reference that identifies over 5,000 leadership studies published by 1981), few references exist for charismatic or transformational leadership.

There are several possible reasons for this conspicuous absence from the research literature. First, considerable controversy has surrounded the meaning of "charisma" and "transformational leadership." Likewise, these phenomena are both interpersonally quite complex as well as affected by its context. These factors have made it difficult to measure. Likewise, access to leaders has been difficult because these individuals are often time-constrained, sensitive to scrutiny, and leery of the media. Thus, the nature of the subject and also realistic limitations on the use of various research methodologies have made this area difficult in which to conduct any type of analysis.

Considerable attention, however, has been focused on transformational and charismatic leadership in political and religious contexts (Berger 1963, Davies 1954, Dow 1969, Friederich 1961, Marcus 1961, Tucker 1968, and Willner 1984). Sociologists and political scientists spent almost two decades examining the phenomenon. Their interest was spurred largely by the work of Max Weber, a German social scientist of the late nineteenth and early twentieth

centuries.

Weber introduced the idea of political and organizational charisma in his now famous notion of the three ideal types of authority - the rational-legal, the traditional, and the charismatic. Ann Willner stated that unlike the traditional or rational-legal forms that are rooted in traditions and rules or status and offices, charismatic authority is derived from the "capacity of a particular person to arouse and maintain a belief in himself or herself as the source of legitimacy" (1984, p. 4).

Weber's notions, however, raised as many questions as it helped to answer. This led to many theoretical explorations by American political scientists and sociologists (Berger 1963, Davies 1954, Dow 1969, Fagen 1965, Friedland 1964, Friederich 1961, Lowenstein 1966, Marcus 1961, Tucker 1968, and Willner 1984). While supportive of many of Weber's propositions, this group remained divided about the phenomenon's principal sources of influence. Moreover, arguments were rarely grounded in substantive detail or supported by sufficient empirical evidence.

Among organizational theorists, the topic of transformational or charismatic leadership was largely overlooked despite several decades of extensive research on the topic of leadership. Like their counterparts, the organizational theorists were divided about the locus of influence. Thus, there had been little consistency in the conceptualization of the phenomenon. In

addition, explanations had been based largely on theoretical speculation and often lacked empirical evidence to support conclusions.

Speculation, then, characterized most of the research conducted on the subject of 'charismatic and/or transformational leadership'. The subject remained a largely unexplored topic in terms of organizational theory. It was not until the subject was explored by current researchers that the subject received any detailed attention at all (Avolio & Bass 1987, Bass 1985, Bradley 1987, Conger 1989, House 1976 and 1987, Howell 1986, Rutan 1981, Tichy 1986, Tucker 1970, Willner 1984). As a subject, it has been nonexistent in research in the world of sport and education.

For educational leaders, the research on effective schooling practices provided the most comprehensive framework of the practices and character-istics associated with measurable improvements in student achievement and excellence. Among the effective schools research movement, one of the basic tenets that emerged was the prerequisite for strong instructional leadership. Among these tenets were:

1. The instructional leader portrayed learning as the most important reason for being in school.

2. The leader had a clear understanding of the school's mission and was able to state it in direct, concrete terms. An instructional focus was established that unified the organization. The leader believed that all

students can learn and that the school made the difference between success and failure.

3.   The leader knew and could apply teaching and learning principles. The leader could model effective practices, legitimize it, and foster continuous improvement by solving problems.

4.   Leaders set high expectations for quality through the use of standards and guidelines.

5.   Learning time was protected from disruption. Priorities were established, widely communicated and enforced.

6.   A safe, orderly school environment was established and maintained.

7.   Progress was checked frequently using explicit performance data. Results were made visible and progress standards were set and used as points of comparison.

8.   Leaders set up a system of incentives and rewards to encourage excellence in performance. The leader acted as the figurehead in providing the awards and highlighting the importance of excellence.

9.   There was frequent two-way communication between the leader and the public sector.

10.   The effective leader expected all staff to meet high instructional standards. Continuous improvement in performance was the focus of the leader.

11. Leaders expressed an expectation and strong desire that programs improve over time. Improvement strategies were organized and systematic, given a high priority and highly visible. Staff was supported.

12. Leaders involved staff in planning implementation strategies. Leaders also rallied support throughout the community in support of change.

The purpose of this dissertation, then, was to examine the existence of transformational and charismatic qualities, not in the business setting, but in the world of sports. This was accomplished more specifically by using a metaphor that had not been commonly associated with leadership, and, specifically, educational leaders. This study promoted the vision of schools and leadership using the organizational metaphor of baseball. This dissertation focused on the baseball manager as an almost perfect metaphor for the successful leader. In so doing, this study examined the characteristics defined as being present in charismatic leaders as they relate to the manager. In turn, the influence of the charismatic leader was extended to educational leaders.

The aim of the author in this dissertation was to undertake a study that was empirically based, employed a representative case study sample of baseball managers at two different levels of the sport, and examined the personal attributes, management practices, and influence processes from the perspective of the leader and the larger environment. This dissertation explored the topic of leadership in sports using the research on charisma with

the view that successful leaders possessed specific behavioral components working together to create the perception of leadership. The leadership effectiveness of two baseball managers was profiled with the expectation that there existed the possibility for renewed insights, connections, and understandings for the field of educational leadership.

This dissertation was threefold in its analysis of leadership. The first was to provide a case study analysis of two baseball managers (leaders). Each case study investigated what a baseball manager does, how leadership is developed, and what the manager did to foster success in the organization. Secondly, this dissertation focused on the existence of the application of charismatic leadership practices as identified by the research. Specifically, this dissertation used the research base to address three principal questions: (1) Are the personal attributes and management practices of effective leaders in sports (baseball) different from those of effective educational leaders (principals) ? (2) Are the influence practices of effective leaders in sports (baseball) different from those of effective educational leaders (principals)? (3) Finally, what lessons might one learn from an analysis of these baseball managers by examining the traits and the personal beliefs and applying the findings to the role of the educational leader (the principal)?

Since this type of research was qualitative and highly speculative, it seemed imperative that the study be exploratory, i.e., hypothesis-generating

rather than hypothesis-testing. It built upon the findings on charismatic leadership for its empirical base.

There were a number of potential methodological problems and difficulties that such a study faced. For example, there were methodological limits on the ability to measure and validate the impact of context versus the impact of the leader's attributes on the influence process. Do the times shape the leader or does the leader shape the times? This problem and the interpersonal complexity of the study made maintaining control over the research variables difficult and limited access to the underlying dynamics.

In undertaking this project, the author assumed the risks that were inherent in such studies in return for the potential rewards of exploring a rich territory of limited knowledge. This subject matter and this approach was as rigorous as possible given the existing constraints and limitations. The approach and the tradeoffs are explained in greater detail in Chapter 3 - The Research Design and Methodology.

The thesis consisted of five parts or sections. Part I contained the introduction, a review of the literature, and a description of the research design and methodology. These chapters set the stage for the thesis and explained the underlying logic behind the research and its methodological design.

Part II provided two case studies. One was of a major league baseball manager and one was a minor league manager. A third manager from a major

college was also interviewed. However, his case study revealed no compelling argument to include it in this dissertation. The cases were designed to give the reader an opportunity to 'ground' the conceptual material presented in the analysis chapters and to draw personal influences and conclusions. Part II also allowed the reader to 'test' his/her own conclusions from the case studies against the conclusions set forth in the thesis. The author chose these two particular case studies because they were accessible, cooperative, and representative of leaders who have achieved success. In addition, Oates was chosen because of his description as a quiet, effective leader who displayed a personal charisma that is not in the traditional definition of the term. Denbo was chosen because of his particular effectiveness as a teacher and as a result of his personal value system and his espousal of leadership as a key ingredient to his method of operation.

Part III consisted of the research findings. This section examined the attributes of the two leaders as a result of their interviews. It compared the dimensions of personal attributes and management practices. It also established whether either of the two leaders 'fit' the definitions of charismatic.

Part IV drew on the results of the data to provide a more exploratory, conceptual, and to some extent, speculative analysis. This section represented an attempt to extrapolate from the data in an integrative manner the influence processes that appear to underlie charismatic leadership in contrast to

influence processes underlying non-charismatic leadership. This section examined the influence process from the perspective of two essential components of leadership: (1) providing meaningful goals for the organization, and (2) motivating achievement of those goals. Part IV also examined the leader's emotionally appealing vision and mission. Vision was a particularly powerful part of the influence process since goals were the focal point around which the leader marshals the efforts of the subordinates. Andrew Pettigrew noted that the leader's vision extends beyond the stated purpose of the organization to include "the system of beliefs and language which give the organization texture and coherence . . . to create the patterns of meanings and consciousness defined as organizational culture" (1979, p.577).

The second component of the influence process involved the leader's ability to make subordinates want to achieve the mission's goals. The leader accomplished this not only through the rewards of his vision, but also through a set of personal attributes that were perceived by subordinates as rather extraordinary. These attributes fostered in the followership a strong emotional identification with the leader, so much so that his personal approval and respect appeared to become the principal reward for many organizational (team) members. This, in turn, was the primary source of motivation.

Part V looked at the role that context may play in influencing the appearance and presence of charismatic leadership. This section also drew the

parallels between the leadership role of the baseball manager with the educational leader. Finally, the conclusion provided a summary of the findings as well as a discussion of their implications for future research and for managerial practice.

CHAPTER II

REVIEW OF THE RELATED LITERATURE

Baseball is the only thing besides
the paper clip that hasn't changed.

-Bill Veeck

The review of the related literature as it pertains to this study provided

the theoretical foundation for the study of sports leaders and set the

groundwork for the analysis of their leadership styles as it may relate to the

world of educational leadership. The subject of charismatic leadership in sports

was seldom mentioned in the research literature on leadership. While there

were probably several reasons for its absence in the literature, two immediately

came to mind.

First, there were the methodological difficulties of studying such an

elusive and impressionistic phenomenon. As the field of organizational behavior

has moved toward greater rigor and control, researchers have been attracted

to phenomena that could be quantified and tested under controllable conditions.

They have moved away from the more subjectively complex topics that were

difficult to quantify or replicate in the laboratory or under quasi-experimental conditions.

In addition, organizational theorists have focused their attention on leadership at the lower hierarchical levels. While charismatic leaders were likely to exist at these levels, there was little mention of their presence. As Pfeffer and Salanick (1978) argued, the more profound impact of such leaders as well as more powerful examples of their style were to be found at the higher organizational levels.

This lack of attention to more senior levels of management was probably due to the difficulties of gaining access to these individuals. If cooperation was attained, the researcher was faced with methodological problems. The first, 'limited access', was the result of the extremely demanding schedule of higher level managers and the sensitivity to any form of psychological probing, which may limit the data collection. Secondly, the larger environment played a far more significant role in effecting and determining the policies and managerial decisions of a chief executive officer or a leader in any type of organization than those of a first-line supervisor on the factory floor.

Despite this gap in the literature of organizational behavior, however, other researchers focused on the phenomenon of charismatic leadership. The purpose of this chapter was to explore these contributions and the handful of works by organizational theorists to see how conceptualization of the topic

evolved and to determine what insights are applicable to this particular study. The discussion also incorporated the research in the area of baseball that may lend applicability to the nature of this subject.

'Charisma' was originally a Greek word meaning 'gift', and among the oldest literary references were those found in the Bible. Specifically, two letters of St. Paul - Romans, 12 and 1 Corinthians, 12 - used the term to describe gifts of the Holy Spirit. Prophecy, ruling, teaching, ministry, wisdom, and healing were among the charismatic gifts described:

> Now there are varieties of gifts (charisma) . . . But to each one
>
> (individual) is given the manifestation of the Spirit for the common good.
>
> For to one is given the Word of wisdom through the Spirit, and
>
> to another the word of knowledge, to another faith, and to another the
>
> gifts of healing, and to another the effecting of miracles, and to another
>
> prophecy,and to another . . . But one and the same Spirit works all these
>
> things, distributing to each one individually as He wills (1 Corinthians 12,
>
> 4-11).

Historically, then, charisma was a divine gift from God enabling the receiver to perform certain extraordinary feats that served the larger purposes of God and the Church. Its earliest ties to leadership were through the charismatic gifts of prophecy given to men like Moses.

The word also came to signify the basis of the ecclesiastical organization of the Church itself. The various roles that members of the Church played were determined by gifts that God has bestowed on them rather than by a set of rules or procedures determined by man. According to a leading church historian, Rudolph Sohm, the charismatic structure recognized no orderly procedures for appointment, careers, or advancement. Rather, its organization was determined by these gifts of charisma that came from 'within'. He also distinguished between two categories of charismatic gifts. One was bestowed during a priest's ordination when formal, ritualistic gifts were transferred. The second form was distributed among laymen and could take many forms, such as an ability to heal, teach, or prophesize (Sohm 1892, Vol. I, p. 26).

Max Weber took Sohm's use of the term charisma and his use of the term to describe the organizational form of the early Christian Church and applied the term more broadly in his own theory of the three ideal types of social authority (the charismatic, the traditional, and the rational-legal). Weber argued that the holder of charismatic authority is:

> set apart from ordinary men and treated as endowed with
>
> supernatural, superhuman, or at least . . . exceptional powers and
>
> qualities . . . (which) are not accessible to the ordinary person, but are

regarded as of divine origin or as exemplary, and on the basis of them the individual concerned is treated as a leader" (1947, pp. 358-359). Traditional authority was based on "an established belief in the sanctity of immemorial traditions," and legal/rational authority rests on the legality of rules.

Weber distinguished between the charismatic and the traditional and the rational/legal in four fundamental ways:

1. Rank vs. Personal Authority

While traditional and rational-legal forms of authority are embedded in a rank or office, Weber believed that charismatic authority resides in the personal qualities of an individual leader. He held that charismatic leaders are chosen by followers out of a belief that their leader may be extraordinarily gifted. Theirs is a 'revolutionary' leadership in contrast to the 'caretaker' or traditional roles assigned to an administrator. As a base of power, the charismatic used personal attributes rather than the traditional and legal-rational leaders who derived their power from positions, expertise, rewards, coercion, rules, and traditions.

2. The Rational Revolution vs.The Heroic Revolution

In contrast to traditional authority, both the charismatic and rational-legal forms originated in revolution. Weber argued that the rational-legal authority represented a revolution against the tyranny of

tradition. It sought to replace the power of the monarch with the consensus of the majority. To support itself organizationally, it created bureaucratic systems that operated on the principles of expertise, consensus, and rationality. Its revolution changed things and organizations. Its tools were structural and technical (Weber, p.231).

The charismatic revolution came from within the individual. It was personified in the charismatic leader. As such, it depended on beliefs in heroism and revelation. Through its emotional appeal, it sought to overturn the existing social order that was either stagnant or in turmoil. Its tools of revolution were the human mind and emotions. Such revolutions came from the 'margins of society' since they represented such a strong break with the existing traditions and order of things.

3.   Stable vs. Transitory

For Weber, charismatic authority was basically unstable and transitory. Its lifetime coincided with the lifetime of the charismatic leader, while the other forms transcended the leader and may have lasted for centuries. Charisma's purpose was to bridge the transition from one existing order to the next. Once accomplished, charisma faded. Rules, traditions, and institutions grew up to stabilize and guide the new order and to replace the charismatic leader who departed or became part of the tradition of bureaucracy.

If met with failure, Weber argued that the charismatic is revealed to be

less than superhuman. Conversely, success confirmed the powers of the leader and was critical to sustaining charismatic authority. Long term success, however, created the desire to institutionalize the new order. With institutionalization, charisma was replaced by rules and traditions, and the charismatic life cycle ended. This, then, became the central paradox.

4.   Formal vs. Informal Organization

Weber believed that while both traditional and rational-legal forms were organized around permanent and formal structures, charismatic authority operated informally through human relationships. It was formative and revolutionary in its structure. Thus, it was not bound by the formalities and organizational arrangements of the previous order and even rebelled against such forms. Commitment was through powerful binds to the leader rather than a sort of rules and hierarchical forms of authority that represented the status quo.

For Weber, then, charisma became Weber's umbrella term for the forces of change and innovation in society. For him, charisma was dynamic, personal, and nonrational. Tradition was stable, generally impersonal, and nonrational; and rational-legal was dynamic, impersonal, and rational.

The problem with Weber's conceptualization of charismatic authority was (1) he was too global in his use of the term as the source of change in society; (2) his conceptualization did not allow for the coexistence of all three

forms of authority; (3) his definition of a charismatic leader was vague in that it used only generalities to describe the leader's qualities; (4) he was not clear in his conceptualization of the locus of charisma. Whether it was the leader, the follower, or the context, it shifted and was not specific and 5) he gave poor examples of historical examples of charismatic movements in history.

There was considerable relevance in Weber's hypotheses for this study. Explicit in the framework were Weber's four dimensions to distinguish charismatic leadership from the other non-charismatic forms. As this author conducted these case study analyses, all four of these dimensions were drawn upon: the personal qualities of the leader (which were perceived by the followers to be "extraordinary"), an innovative form of leadership (revolutionary), an inherently unstable and transitory form of leadership because of the constant need for "proof of success" or because of pressures to institutionalize, and informally organized.

There were several problems, however, in drawing a direct connection between Weber's work and this research. For one, Weber made two assumptions that were at odds with managerial situations (and educational administrative situations). The first was that the charismatic leader was elected rather than imposed. The latter was the case in most businesses, in education, and in sports.

The second problem was in Weber's proposition that charismatic leaders arose from the 'margins of society', whereas major league managers generally emerged from existing rational-legal' institutions (such as the minor leagues). Thus, the implication of these assumptions for charismatic leaders in sports and education had more to do with differences in their relationships with followers (on whom the leaders are more often imposed) and with their institutions (coming from within) than with the types of relationships as described by Weber. In the case of baseball managers, the levels of devotion from their followers may be less extreme and the qualities of 'revolution', instability, and informality may not be as significant or as powerful as Weber described in his research.

Finally, Weber raised the following questions: (1) where was the locus of charismatic leadership? (2) how many elements were involved in the phenomenon, i.e., the personal qualities of the leader, the context, the followers, all three, or only two of them? (3) was success a precondition to the enhancement and maintenance of the leader's charisma or was it attributed to the leader by followers solely because he had proven himself?

Following on the work of Weber, the political scientists and sociologists essentially supported Weber's extension of the concept of charisma and included secular leaders and broadened its application to leaders who were already office holders in bureaucratic organizations. The charismatic revolution

was now assumed to come from within existing organizations as well as from the fringes of society.

However, this group of scholars remained divided over the larger issue of the principal sources of influence under charismatic leadership. Some argued that context was the critical determinant, especially those of crisis (Peter Blau, 1963, Eli Chinoy, 1961, W.H. Friedland 1964, and Harold Wolpe, 1968). They argued that the charismatic leader was more a product of his environment, that the times shaped the man, and the context essentially created the need for charismatic leadership.

Others (Dow, 1969 and Marcus, 1961) challenged their assertions by arguing that charisma resided within the personality of the charismatic leader and in the relationship between the leader and his followers. Dow was careful, however, not to associate charisma with a specific personality or temperament. He argued that the term also applied to a wide range of personalities (Nehru, Calvin, Luther, Rousseau, and Robespierre). He preferred instead to describe the charismatic phenomenon in terms of a relationship, that between the leader and follower. Other scholars assumed that the leader's personal qualities were the principle factor (Willner 1984), and still others implied that relational qualities as well as personal characteristics of the leader were the sources of charisma (Shils, 1965). In both cases, arguments were not generally grounded in substantive detail or supported by data.

Transactional theories of leadership were founded on the concept that leader/follower relationships were based on a series of exchanges or implicit bargains between leaders and followers (Hollander, 1964; House, 1971; House and Mitchell, 1974; Graen and Cashman 1975; Graen and Scandura, 1987). These theories all advanced the notion that when the job and the environment of the follower failed to provide the necessary motivation, direction, and satisfaction, the leader, through his or her behavior, would be effective by compensating for the deficiencies.

The leader provided that 'missing link' for the subordinates which was required for them to perform more effectively and to achieve their goals. Thus, the leader compensated for, or overcame, obstacles and deficiencies in the followers' environment. The leader also performed the role of enhancing follower competence through coaching and support by making available to followers opportunities for growth and development in the form of challenging tasks and opportunities to work under autonomous conditions.

Two transactional theories that have been extensively tested: the Path-Goal Theory of Leadership (House, 1971; House and Mitchell;, 1974) and the Vertical Dyadic Theory of Role Making (Graen and Cashman, 1975). These theories called attention to the importance of situational factors that moderate the effects of a leader's behavior. They also pointed to the dyadic relationships between superiors and subordinates and suggested that these

relationships needed to be measured along with group members' perceptions of the leader in order to predict the effects of leader behavior on individuals. These two theories emphasized the need for managers to diagnose what was missing and what action was needed to facilitate followers' performance.

In contrast to transactional theories, charismatic (or transformational) theories of leadership predicted performance beyond expectations. They also predicted the emotional attachment to the leader on the part of the followers, as well as the emotional and motivational arousal of the followers as a consequence of the leader's behavior.

Organizational theorists directed considerable attention to the study of leadership (Stogdill, 1974; Bass 1981), yet showed very little interest in charismatic forms. There was also little interest in linking theoretical paradigms to charismatic leaders. This author was only aware of seven conceptual schemes proposed specifically for business settings (Bass, 1985; Berlow, 1974; House, 1977; Katz and Kahn, 1978; Trice and Beyer, 1986; Zaleznik & Kets de Vries, 1975,). In addition, empirical studies of charismatic (and/or transformational) leadership were reported by Avolio and Bass (1985); Bass (1985); Bass, Waldman, Avolio, and Bebb (1987); Conger (1989); House (1985); Howell (1985); Smith (1982); Trice and Beyer (1986); and Waldman, Bass, and Einstein (1985). For these theorists, charisma was believed not to reside solely in the leader and his or her personal attributes, but rather in the

interplay between the leader's attributes and the needs, beliefs, values, and perceptions of the followers. Both Katz and Kahn (1978) and House and Baetz (1979) further postulated that the leader and followers must share basic beliefs and values in order to have validated the leader's charisma.

The first management theorist to discuss charismatic leadership in detail was David Berlow (1974). He proposed a model of three stages of organizational leadership - the custodial, managerial, and charismatic. The first two stages, custodial and managerial, were derived from task versus people-oriented theories of leadership (Blake and Mouton, 1964; Hersey and Blanchard, 1977). Custodial leaders were task oriented; managerial leaders were people oriented. Charismatic leaders were an extension of the people orientation with a definite emphasis on their ability to provide meaning and esteem for the followers. Four specific behaviors distinguish these leaders from the custodial and managerial leaders:

1. The development of a vision shared by organizational members;

2. The creation of activities that have value or meaning for both organizational members and the organization;

3. The development of a sense of personal confidence and control among organizational members;

4. Behavior that empowers subordinates, e.g., setting high expectations, rewarding rather than punishing, encouraging collaboration

helping only when asked, creating success experiences

While Berlew's hypotheses were not supported with empirical evidence or described in substantive detail, he drew an interesting link between charismatic leadership and human needs. He assumed that the influence process rested on specific higher order needs of followers. Through an interplay of these needs and need fulfilling actions by the leader, the relationship was the arena in which charismatic leadership took place. For Berlew, charisma did not reside solely in the leader and his personal qualities, but was dependent on a relationship.

Though Daniel Katz and Robert Kahn (1978) proposed a general theory of charismatic leadership, their most interesting insights focused on their concepts of 'distance' and 'membership fit'. They believed that social distance was an important variable for charismatic leadership in business settings. They also acknowledged the leader's need to 'fit' his followers in certain readily perceptible dimensions so common bonding could be ensured. The charismatic leader had to share in the basic values and traits of his subordinates. Like Berlew, they also neither elaborated nor provided meaningful examples.

They argued, however, that the ability to articulate or construct an emotionally meaningful vision or mission was the critical element in the leader's charisma. For them, influence was largely dependent on the leader's appealing vision, while a relational fit of certain basic values and behavioral dimensions ensured acceptance by followers. Likewise, social distance intensified the

leader's image as a superhuman individual.

Robert House (1977 and 1979) proposed a model of charismatic leadership that distinguished between type behavioral and personality characteristics of charismatic and non-charismatic leaders. Charismatics, for House, could typically be distinguished by their qualities of dominance, self-confidence, a need for influence, and a strong conviction in the moral righteousness of their beliefs. He also asserted that charismatic leaders were more apt to espouse appealing ideological goals and to engage in behaviors that created the impression of success and competence in followers and aroused motives relevant to their mission's accomplishment. House also argued that by communicating high expectations and confidence in followers, charismatic leaders were able to heighten motivation. Like Berlow, however, House's work was not based on his own empirical evidence. In his framework, charismatic leadership resided primarily in certain personal and behavioral qualities of the leader.

Abraham Zaleznik and Manfred Kets de Vries approached charismatic leadership from a psychoanalytic framework. They created a typology of leaders- 'maximum' and 'minimum' man. Maximum man led by charisma whereas minimum man led by consensus. Maximum man was the creative institution builder whereas minimum man represented the modern manager. Like House, they described the charismatic leader as a man of tremendous

self-confidence and conviction. People were drawn to the charismatic's strength and vision. His captivating style of presentation, the power of his own self-image, and the grandiose dreams attracted others, as the maximum man assumed the quality of the idealized parent (1975, p.247). They even took their analysis one step further by tracing the roots of charismatic personalities to an early childhood bond with one or both parents. They argued that charismatic leaders were the 'chosen ones' in childhood; they were perceived as special, as favored. This attention led to a strong sense of self-esteem that finally distinguished these individuals from the consensus leaders who lacked such strong personal images of themselves. Out of these strong images, the charismatic leader developed a personality that was more creative, personal, and individual than that of a traditional manager. This strong sense of independence from others led the charismatic leader to be an innovator and an institution builder. For Zaleznik and Kets de Vries, the locus of charismatic leadership closely resided in the leader's personality. His personal qualities were the source of his influence, so his power was not dependent on outside forces.

Political scientist James MacGregor Burns (1978) initiated the distinction between exchange-oriented transactional leaders, who rewarded followers for reaching established objectives, and transformational leaders, who inspired followers to transcend their immediate self-interests for superordinate goals. Peters and Waterman (1982) observed that at some point in the histories of

successfully managed companies transformational leaders have arisen and instilled purpose, shaped values, and engendered excitement. In <u>Leadership and Performance Beyond Expectations</u>, Bass (1985) argued that transformational leadership is necessary to promote follower performance beyond ordinary limits.

Conger (1989) used in-depth interviews with the subordinates of eight leaders, some described as charismatic while others were not. Based on the sample studied, he differentiated charismatic from non-charismatic leaders in business by a set of specific attributes. These tended to cluster around patterns of personal attributes and management practices. Specifically, he identified four characteristics:

1. Vision

2. Captivating and Inspiring Speaking Skills

3. An Ability to Excite

4. Countercultural and/or Unconventional Behavior Practices.

Conger also discovered in his study that there appeared to be a set of second-order attributes that are also mentioned frequently as characteristics of the charismatic leader. These included:

1. High Energy and Dynamism

2. Brilliance in Terms of Strategic Insight and Knowledge

3. Active Campaigning for Organizational Goals

Like their counterparts in political science and sociology, the organizational theorists were not in agreement in their conceptualizations of charismatic leadership, especially along the dimensions of personal attributes and relational dynamics. In addition, explanations of the influence or leadership process, itself, are often incomplete or contradictory. Where they do agree, such as the importance of a meaningful vision or ideology, they did not offer enough detail or significant empirical research.

In future research, the implications of this review of the literature are numerous. Foremost is the need to gather empirical data on the subject. Second is the need to focus on the personal attributes of charismatic leaders and apply it to other settings than business. Third, there is the need to examine the influence process under charismatic leadership and analyze the role that context plays in the phenomenon. The final need is to determine what charismatic leadership implies for managing any organization.

The above research produced several implications for organizational theory and practice. The first implication concerned the effect of the charismatic leader behavior on follower commitment to the mission of the leader or the organization. The findings of Smith (1982), Bass and his associates (1987) all demonstrated that a high level of organizational commitment on the part of the followers was associated with charismatic behavior of leaders. In turn, this kind of leader behavior provided a strong link

between the goals of the organization and the commitment of the members to the goals.

Marabell's (1970) findings with respect to the attributes of charismatic leadership in the office of the President of the United States showed that charismatic presidents were extremely active, assertive, and energetic. In addition, their effects on their followers suggested that charismatic leaders were socially sensitive to the needs of their followers. Thus, these findings suggested that it was likely that individuals who had charismatic potential could be identified through psychological testing and observation of behavior in simulated conditions, such as management games.

The findings also suggested that the conditions under which charismatic leadership was most likely to be required and effective. Those conditions were identified as those which required a combination of highly involved and active leadership plus emotional commitment and extraordinary effort by both leader and followers in pursuit of the vision. Under conditions that required routine but reliable performance in the pursuit of more pragmatic goals, charismatic leadership was not likely required and may even have been dysfunctional.

The difference between transactional theories and transformational or charismatic theories of leadership behavior are in the motivation of the followers that are affected by the leader's behavior. Transactional leaders affected follower cognitions and abilities. Charismatic leaders affected the

emotions and self-esteem of followers. Simply put, transactional theories described actions of leaders that resulted in work behavior that became more instrumental in followers reaching their existing goals while also those of the organization. In contrast, charismatic or transformational theories addressed actions of leaders that resulted in subordinates changing their values, goals, needs, and aspirations.

The idea of charismatic leadership took its life through Weber's work. Weber lifted the word from its more focused use in the Christian Church and transplanted it to the arena of politics and social institutions. For Weber, it became the personification of the forces of change and revolution in society. It also served his desire to restore power an importance to the individual as a significant social force in the world.

Weber's conceptualization, though, raised as many questions as it attempted to answer. These questions focused on the distinguishing attributes of charismatic leaders and the influence process that occurred under charismatic leadership. Are these identifiable attributes? Where are the primary sources of influence and bonding? Among the various factions of political scientists, sociologists, and organizational theorists, three camps have emerged on these questions:

1. Those who believed that charismatic leadership resided in the personal qualities of the leader and that a set of distinguishable attributes, in

all probability, does exist.

2. Those who believed that charismatic leadership is a relational phenomenon and depended on specific needs of the followers as well as the attributes of the leader.

3. Those who believed that, while personal attributes might play a role, charismatic leadership was largely determined by the situation especially contexts of crisis.

None of these issues has been adequately resolved. However, their implications remained significant for understanding the influence process that occurred under charismatic leadership and the practical applications of this leadership style. The aim of this dissertation was to specifically address these areas through an empirically-based analysis of sports leaders (baseball managers). The focus was on examining the personal attributes and management practices of these leaders (managers) and on understanding the influence process that underlied the phenomenon of charismatic leadership.

Three theories have served to deepen our understanding of how conditions shape leader behavior: role, expectancy, and adaptive-reactive theory. Role theory suggested that a principal's behavior was shaped by the perceptions of how other people want the principal to behave. The principal's perception of these role requirements was influenced by prescriptions (e.g., job descriptions, daily requests, orders and directions). Role expectations of

teachers and students were communicated in a more subtle manner. A sensitive principal learns to recognize and respond to these role expectations. At times, various people demand of the principal, creating "role conflicts" (Yukl, 1981). In addition to these expectations from other people, a principal's perception of role requirements depended on the nature of the school's mission and task. Role expectations for a principal are seldom concrete or comprehensive, and the principal usually can shape his or her own role over time.

The second theory that shaped our understanding of principal's behavior in schools was expectancy theory. Expectancy theory (Nebecker & Mitchell, 1974) suggested that a principal's behavior could be predicted from his or her own expectations about the consequences of the behavior. Research seemed to provided only modest support for such predictions of principal behavior. One determinant of principal behavior seemed to be the principal's perception of likely outcomes. Principals chose sources of action that they perceived to have a high probability of obtaining the desired outcomes. One deficiency of this theory alone is that the theory did not explain how leaders formulated expectancies or why they valued some outcomes more than others.

Finally, the adaptive-reactive theory of Osborn and Hunt (1978) suggested that principal behavior was a product of larger variables such as the structure of the school, type of decision making, the community in which the

school existed, and the size of the school itself. Tasks at hand and teacher attitudes and traits also influenced the way principals did their jobs. It was assumed that the principal adapted to the structure, size and external environment variables and reacted to teacher attitudes and traits--thus, adaptive-reactive.

When any of these theories were used singly, research seemed to provide only modest support for predictions of principal behavior. Taken collectively, however, these theories seemed to provide a good foundation for analyzing principal behavior. Since 1979 when Edmonds first identified the strong leader correlate of effective schooling practices, many measures of strong leadership in schools have been developed. These measures ranged from self-checklists to ratings done by teachers, supervisors, parents and students. Those that have been developed that have the greatest association with the effective schools movement have been reported by Andrews, Soder & Jacoby (1986); McCormack-Larkin (1985); Miller (1985); Goodlad (1984); Purkey & Smith (1982); Edmonds (1979, 1982); Murphy & Hallinger (1985); Lipham (1981); Bossert, Dwyer, Rowan & Lee (1982); Leithwood & Montgomery (1982); Rutter et.al..., (1979); and Brookover (1977). How the various authors chose to define and measure the leadership of the school principal seemed to determine the extent to which it was a key element in producing an instructionally effective school.

Over the last few years, several distinctions between effective and less effective principals emerged from the educational research. Taken collectively from all the research, the lists of characteristics suggested that strong leadership of school principals seemed to be consistent with the findings of Bennis and Nanus (1988), Kouzes and Posner (1987), and Garfield (1987) on leaders of other organizations. Strong leadership meant that a school principal functioned as a forceful and dynamic professional through a variety of personal characteristics, including: high energy level, assertiveness, ability to assume initiative, openness to new ideas, high tolerance for ambiguity, sense of humor, analytic ability, and a practical stance toward life.

CHAPTER III

THE RESEARCH DESIGN AND METHODOLOGY

> Managing a ball club is the most
> vulnerable job in the world. From the
> moment you take the job you're
> vulnerable. If you don't win, you're going to
> be fired. If you do win, you've only put off
> the day you're going to be fired. And no
> matter what you do, you're going to be
> second-guessed. The manager is the only
> person in the ball park who has to call it
> right now. Everybody else can call it after
> it's over.

> -Leo Durocher

To reiterate, the main purpose of this dissertation was to examine the existence of charismatic qualities, not in the business setting, but in the world of sports and its possible application to the field of educational leadership. This dissertation established a framework for leadership examining it from the perspective of the research on charismatic leadership. This dissertation also explored the topic of leadership in sports using the research on charisma with the view that successful leaders possessed specific behavioral components working together to create the perception of leadership. The leadership effectiveness of two baseball managers were profiled with the expectation that

36

there existed the possibility for renewed insights, connections, and understandings for the field of educational leadership.

This dissertation was threefold in its analysis of leadership. The first was to provide a case study analysis of two baseball managers (leaders) at two of the highest levels of professional baseball. The study investigated what a baseball manager does, how leadership is developed, and what the manager did to foster success in the organization. Secondly, this dissertation focused on the existence of the application of charismatic leadership practices as identified by the research. This dissertation used the research base to address three principal questions: (1) Are the personal attributes and management practices of effective leaders in sports (baseball) different from those of effective educational leaders (principals)? (2) Are the influence practices of effective leaders in sports (baseball) different from those of effective educational leaders (principals)? (3) Finally, what are the lessons that one might learn from an analysis of these baseball managers by examining their traits and their beliefs and applying the findings to the role of the educational leader (the principal)?

Since this type of research was qualitative and highly speculative, it seemed imperative that the study be exploratory , i.e., hypothesis-generating rather than hypothesis-testing. It built upon the findings on charismatic leadership for its empirical base.

The project itself was designed to be exploratory and field-based. As the preceding chapter has shown, charismatic leadership has received little attention in the research. Moreover, the existing research was based largely on theoretical speculation rather than empirical data. The literature of organizational behavior was contradictory and offered little substantive detail in terms of attributes, descriptors, or patterns of behavior.

On the other hand, the political science literature was limited in its reliability as a source of direction or hypotheses since the selection process among political leaders were sufficiently different from business leaders (e.g., election versus imposition) that there were likely to be important differences in relationships with followers.

Given the limited and speculative nature of the research literature, it was appropriate, in terms of design and methods, to study sports leaders with the intent of discovering if the qualities of charismatic leadership were evident. The findings of such an exploratory study are presented as hypotheses in themselves to be tested by eventual other larger scale studies. In addition, the findings can be used to support or challenge the more speculative and incomplete hypotheses explicitly stated or implied by the organizational theorists.

The Difficulties of Researching the Subject

In researching an impressionistic and elusive topic like charismatic

leadership in the world of sport, this investigator was presented with several difficulties. The primary difficulty was the fact that no one has adequately conceptualized the subject because of several qualities of charisma itself.

The first was its form. As mentioned in the discussion of the literature, there has been considerable debate over the locus of charismatic leadership. Some argued that it resides entirely in the leader's personal qualities. Others argued that context is the catalytic factor. Still, others say that it existed not only in the attributes of the leader but in the relationship dynamics between the leader and his followers.

There was also the difficulty with the issue of psychological depth. Some of the research suggested that charismatic leadership was psychologically a very complicated phenomenon. Researching charisma in sports figures or educational leaders was like peeling an onion, there were many levels and layers. The inner sheaths were very difficult to penetrate. This study was no different. While this author saw the leader's behaviors and the followers reactions, the emotional and psychic forces that are at play under the surface could not be seen. These inner layers of the phenomenon were difficult to measure and would require extensive clinical and psychoanalytical skills to infer.

In addition to the limitations imposed by the study of charisma in sports leaders itself, there were also methodological problems that limit the ability to capture fully the essence of charismatic leadership. First, the use of research

methods can be hindered by difficulties in gaining access to successful baseball managers who may be constrained by time and sensitive to the scrutiny to which they could be subjected. They can often be reluctant to be probed by projective tests, personality inventories, or other psychological instruments. Significant amounts of time can also be needed to gather in-depth information necessary to understand a leader , whether or not psychological instruments are used. The challenge for this researcher was to cultivate, after only two or three hours of interviewing, the level of trust required to uncover the personal attributes that make the individual an effective leader.

Another major difficulty in conducting this type of study was drawing a relationship between the subjects studied, their profession, and the logical relationship it may have for educational leaders. The research on transformational/charismatic leadership from the world of business has been transferred to all occupations without little question. This study, then, needed to establish the relationship between sports leadership and the field of education.

In conclusion, the nature of the subject itself and the realistic impressions imposed on the use of various methodologies made understanding charismatic leadership in sports difficult. However, a number of aspects of the phenomenon can be explained, given existing methods and a willingness to perform exploratory and field-based research.

The Research Design and Methodology

The author originally designed the research project to study three baseball managers at various levels of the sport (college, minor league, and major league) who had been described on an 'a priori' basis as effective sports leaders. However, the lack of depth of information gained from the interview with the major college manager redirected the nature of this dissertation. In order not to confuse leadership effectiveness with charisma, the author examined only two highly effective baseball managers. The principal research methods were interviews, personal observation, and organizational records and publications. The criteria to identify successful leaders and the protocols to validate are described later in a more detailed delineation of the research sample. The author did not, however, make an a priori judgment that any of the subjects studies were considered to be charismatic. In fact, this dissertation sought to determine whether charisma was a prerequisite for effectiveness.

Operational Definitions

For several reasons, the study intentionally did not employ a specific operational definition of either charisma or charismatic leadership, but instead relied on the behaviors described in the interviews for the analysis. First, both concepts are broadly interpreted in everyday language. As such, they are

difficult to operationalize. The author decided not to select a specific catchall definition but, rather, construed the terms as evolutionary. The author was also concerned that choosing a single definition might lead to the exclusion of connotations associated with the primitive concepts of charisma and charismatic leadership that may have proved salient in understanding and describing the phenomenon. Likewise, there was reluctance to use an interpretation from the literature since it might have been incorrect or partial in referring to only one aspect of the phenomenon.

In addition, the use of an incorrect or partial definition would have lended serious biases to the study's results. For example, an operational definition that was only a partial interpretation of charisma could have over sensitized the interview subjects to a specific set of attributes or behaviors that, while related to the phenomenon, may have represented only a portion of it. In doing this, the author would have run the risk of missing other aspects that any given interpretation or definition did not cover.

The Choice of an Exploratory Field Study

There were three reasons why the author chose to do an exploratory field study. First, as the literature review suggested, the phenomenon itself is multifaceted. It involved a complex set of interrelated behaviors and emotions that were poorly understood. Second, throughout the research literature, there was little consistency in the concept of charisma. Explanations were

often contradictory. Third, the nature of the subjects profession best suited itself to this type of study. Given these factors, I felt that there was a greater need to generate theory than to simply verify existing hypotheses. An exploratory field study offered the opportunity to examine in some depth this area of research. It also generated a set of hypotheses that would have some empirical base.

As Glazer and Strauss explained:

When the main emphasis is on verifying theory, there is no provision for discovering novelty, and potentially illuminating perspectives, that do emerge and might change the theory, actually are suppressed. In verification, one feels too quickly that he has the theory and now must 'check it out'. When generation of theory is the aim, however, one is consistently alert to emergent perspectives that will change and help develop his theory (1967, p. 40).

While the hypotheses explicitly presented or implied in the literature were helpful, the research strategy was not to introduce or test them in the field during the course of the interviews. Essentially, the author allowed concepts and hypotheses to emerge and then drew upon formal theory to generate substantive theory (See Glaser and Strauss for a fuller discussion).

In choosing to a field study, however, there were several specific tradeoffs and liabilities that inherently influenced the potential rigor and validity

of the findings. Specifically, these included the following:

1. Measurement could not be as precise as in a laboratory experiment because of the possibility of increased error and the influence of confounding variables (Stone, 1978, pp. 131-132).

2. It was not possible to manipulate independent variables.

3. Causal inferences derived from the data have to be more tenuous, since the effects of any given variable on another were generally more difficult to assess with data from field studies, due to a wider range of confounding forces.

4. The limitations of any interview process must be considered. Because of time constraints and the need for cooperation, there was no guarantee that all information that was needed will be gathered.

The Research Sample

In choosing the research sample, the author was guided by two principal criteria. The first was made on the evidence of leadership skills. Originally selected for the interview process were three baseball managers at various levels of the sport who had demonstrated strong leadership skills within their organizations and throughout the sport. As stated earlier, however, only two of the managers were finally used as subjects for this dissertation. For the purposes of this study, leadership was defined as "the act of defining (directing) organizational goals and influencing the activities of organizational

members toward the attainment of those goals" (Daniel Katz and Robert L. Kahn, p.536)

Drawing on the insights from Selznick (1957) and Katz and Kahn (1978), the author identified two leadership categories that were used as prerequisites to choosing the interviewees. These categories were the leader's demonstrated responsibility for (1) the definition of the organization's mission and role, and for (2) the institutional embodiment of purpose. Specifically, all the participants in this study had to have been responsible for formulating, in large part, the goals and overall direction of their organizations. In addition, they had to have been successful in implementing those goals into a level of organizational action that demonstrated exceptional achievement. This second criteria was most important, for as Selznick argued:

> The task of leadership is not only to make policy but to build it into the organization's social structure. This. . . is a creative task. It means shaping the 'character' of the organization, sensitizing it to ways of thinking and responding, so that increased reliability in the execution and elaboration of policy will be achieved according to its spirit as well as its letter (1957, p.63).

As Katz and Kahn also argued, implementing policy as the "most challenging of all organizational tasks" (1978, p.536) had the greatest relevance for the author. Each of the two leaders interviewed met these

criteria by demonstrating the ability to affect significant structural and social change within their organizations, as judged by knowledgeable outside information. For example, all of the participants were responsible either for creating or expanding young, highly successful teams or for revitalizing existing, mature organizations.

Beyond the dimension of leadership and charisma, the attempt to control for other factors was constrained by access and time problems. In general, gaining access to any successful baseball managers was a difficult and formidable task. To obtain qualified research participants, the author was forced to use personal networking contacts to obtain the subjects for the study. Since there was no way to control for context, it was difficult to adequately examine this dimension of the phenomenon and orient the study's emphasis more toward personal attributes and relationship dynamics.

The sample of only two was largely a function of the exploratory nature of the study. Since the phenomenon was subjectively so complex, the author decided that a small but intense field-based study would be more appropriate to capture depth and richness. Limiting the number to two managers at various levels of the sport hierarchy also allowed for extensive interviewing and reviewing of documents with some observation. At the same time, it was a large enough sample to draw some reasonable conclusions on which to base my hypotheses. It was recognized, however, that the sample size would not

permit drawing statistically valid conclusions.

The Research Methods

The principal research methods used in this study were: semi-structured interviews, unstructured observation, and the study of printed material. Psychological instruments were considered, but the sensitivity of the participants did not permit their use. Given that the study was largely exploratory, the combination of chosen methods seemed appropriate. For example, survey methods and highly structured interviews would not have been amenable to the pursuit of spontaneously interesting leads. The interview process used allowed more freedom and tended to create a greater informality. This, in turn, resulted in greater disclosure of richer and less obvious information.

As in any research study of this nature, potential problems can arise with this type of interviewing technique. Respondent bias and incomplete perceptions were always possible. A respondent could answer a question as accurately as possible, yet because of one's own mental set, it may unconsciously distort one's perceptions. Conversely, a respondent may have consciously modified the phenomenon as one saw fit to convey impressions that were self-serving. To minimize these types of distortions, the author relied on cross-checking respondent accounts with documents and other sources to detect the existence of any discrepancies. In using the interviewing

technique, the author also faced the issue of greater variability in interview responses. This made analyzing, editing, and tabulating information difficult and also required greater interpretive effort on the part of the researcher.

The second research method, unstructured observation, provided fuller coverage of the leader's behavior. However, the information provided did not reap the benefits of detecting habitual or culturally determined activities that were not obvious in the interview. In addition, the hoped for opportunity to witness relationships in action and to link and test statements from interviews with actual events was not provided.

The third research method, a study of printed material, provided historical information on the manager and his background. Generally, this material included resumes, won-lost records, coaching manuals, published articles on the organization and the manager, organizational charts, and important memos, reports, and training techniques.

The Process of the Inquiry

After identifying the candidates for the study, the researcher wrote each one and invited them to participate in the study. Included in this request was an outline of the research proposal, the sample interview questions, a description of the extent of the study, and a supporting letter of reference asking for their cooperation. It was then followed up with a telephone call to each candidate that confirmed their willingness to participate in the study. If

the candidate agree to participate, the author then mailed the appropriate questionnaire and tapes for recording their individual responses. At the same time, written information on the manager and his organization was requested. After setting a deadline with each candidate, the author then followed up to ensure that the interview was completed. In both cases, the cooperation was totally positive and responsive. Both candidates welcomed additional phone calls and any additional requests for information that arose.

Upon completion of the interviewing process, a transcription of each interview was made and returned to the candidate for his amplification and/or correction to the original comments. At the conclusion of this process, all information was organized and analyzed on a case basis. From this process, the final analysis was performed for the dissertation.

Each of the next two chapters looks at these case studies, the history of the man, his personal style, and management practices. From this information, the reader will have an opportunity to 'ground' conceptual material presented later in the thesis.

CHAPTER IV

JOHNNY OATES: MANAGER, BALTIMORE ORIOLES

> Most games are won by small things
> executed in a professional manner.
> It is a manager's job to prepare his
> team to play in such a manner. He is
> responsible for wringing the last
> drop of advantage from the situations
> that will occur in each game.
>
> -George Will

The initial contact with Johnny Oates was by telephone conversation with him from his home in Virginia. It was quite remarkable that a man of his position and influence would take the time to call me at my place of work to let me know of his agreement to participate in this study. As the transcript of his oral interview showed, he also made himself readily available at almost anytime during spring training to speak with me regarding this dissertation. Also, his wife, Gloria, was more than gracious in allowing interruptions to her husband at home and in conveying any messages to him while he was in the middle of a pennant race. In addition, he offered to meet with me on any road trips he

would make to either Milwaukee or Chicago during the course of the 1994 season.

The conversation with Johnny Oates began with a discussion of his career history. During the course of the contacts with Mr. Oates, the author had the privilege to meet with him on one occasion while the Orioles played in Chicago. In addition, there was the opportunity to speak with him at home. He was more than courteous and helpful in wanting to help with this research project. For the edification of the researcher, Mr. Oates provided the 1993 Baltimore Orioles Media Guide as a reference tool. Included in the guide was the biographical account of his career history.

At the start of the 1994 major league baseball season, Johnny Oates was beginning his third full season (and fourth overall) as manager of the Orioles with a 228-221 career record since he was named manager on May 23, 1991. As of August 12, 1994, major league baseball was in the state of a work stoppage that would eventually end the baseball season without any playoffs or World Series being played. At the time of the strike, the Orioles were trailing the New York Yankees by 6 1/2 games and were in second place in the American League Eastern Conference. The irony of the situation was that Oates would eventually be fired during the course of the strike and then be hired to manage the Texas Rangers. However, this dissertation only dealt with Oates' tenure through his work with the Baltimore Orioles.

During the 1992 season, the Orioles showed the major league's best improvement (22 games) over the 1991 season, finishing in third place at 89-73. During the 1993 season, the Orioles record was 85 wins and 77 losses. The 1992 squad was the team's best record since the 1983 team went 98-64 and won the World Series.

Oates received praise and recognition for the Orioles success in the 1992 and 1993 seasons. He placed third in the AL Manager of the Year voting behind Oakland's Tony LaRussa and Milwaukee's Phil Garner. Heading into the 1994 season, Oates was already the fifth highest manager in the American League in seniority, trailing only Detroit's Sparky Anderson ('79), Oakland's LaRussa ('86), Minnesota's Tom Kelly ('86) and Toronto's Cito Gaston ('89).

Johnny Oates was only the second person to play for, coach, and manage the Orioles (Frank Robinson was the first). He was also the only one who played in the Orioles farm system (1967-1971) and with the Orioles (1970 and 1972), then coached the Birds (1989-1991) and managed them in the minors (1988) and in the major leagues (1991-present). "As far as an amateur career, I, like everyone else, played baseball, football and basketball growing up as a kid. At the high school level I played all three sports and went on to Virginia Tech on a baseball scholarship where I played three years there before turning professional." Oates did graduate from Virginia Tech with a degree in health and physical education in 1968. He played three years of college

baseball there. He was also elected to Virginia Tech's Sports hall of Fame in 1983, the Virginia High School Sports hall of Fame in 1992 and the Roanoke/Salem, Virginia Baseball Hall of Fame in 1993.

Oates was originally drafted by the Chicago White Sox in 1966, but he never signed with them. He was then drafted by the Orioles in 1967 and played most of his minor league career under two former Oriole managers, Joe Altobelli and Cal Ripken, Sr., except for one season under Harry Malmberg.

As a major league player, Oates played with five teams in eleven season. He led all American League catchers with a .995 fielding percentage as a rookie with the Orioles in 1972 and had a .992 fielding percentage for Atlanta in 1974. He had his best season in 1975 when he was traded from the Atlanta Braves to the Philadelphia Phillies early in the season. He became a starter for the Phillies, batting .286 in 90 games and was the team;s Opening day catcher in 1976. It was on that day, however, that he broke his collarbone in a 9th inning homeplate collision with Pittsburgh's Dave Parker. This injury sidelined him until mid-June. This time on the injury list allowed a catcher named Bob Boone to earn full time status and eventually win the starting position for the Phillies. Oates then went to the Dodgers for three seasons (1977-1979) and played for the 1977 and 1978 National League Champions. It was with Los Angeles where he planted the seeds to become a manager and where Tommy Lasorda called him "one of the most intelligent catchers in the game."   In a seven

season stretch in the majors (his final years as a player and his first as a coach), he was on six title winning teams: 1976 Phillies; 1977 and 1978 Dodgers;1980 and 1981 Yankees and as a coach with the 1984 -1987 Chicago Cubs.

Johnny Oates began his managerial career in the Yankees farm system. He owned a 237-188 (.558) record in three seasons as a manager in the minor leagues. In the Yankee system, he guided Nashville (AA) to the Southern League championship in 1982. The following season, with Columbus (AAA) in 1983, he led the team to a regular season championship, but lost in the playoffs. After a sixteen year absence, Oates returned to the Orioles' organization and was named the 1988 International League Manager of the Year after his Red Wings captured the Western division crown, Rochester's first title since 1974.

His first experience as a major league manager came June 1-3, 1990, when he substituted for Frank Robinson who had been suspended for three games. Oates career as a manager for the Orioles has had a continued interrelationship with Frank Robinson that will be detailed later in this analysis. (Oates has also had an effect on two men who played for him on the 1983 Columbus Clippers (AAA). Buck Showalter, the present manager of the New York Yankees, and Butch Hobson of the Boston Red Sox played for Oates on that ball club).

During the course of the interview, the discussion led to the obvious question: why did you want to be a baseball manager? In answering this question, Mr. Oates revealed that "there was no plan in my thinking to ever be a major league baseball manager. I think it was something that happened by accident." He reveals in the interview that he knew wanted to play baseball. "My mom has pictures of me still in diapers throwing a ball around the house. People used to ask my friends what do you want to be when you grow up . . . Everyone laughed when i said that I was going to be a major league baseball player. So, from day one, my goal was to be a major league baseball player, and becoming a manager, the way I look back on it, was a time and place waiting to happen. I was sitting in the dugout in L.A. with Tommy Lasorda . . . and Tommy made a move during a ball game. I asked Tommy, 'why did you do that? ' Lasorda said 'that's the reason you'll manage someday'."

It was at that point (1977-1978) that Oates says he "started trying to learn the game as much as possible, watch as many people as possible, and see how they did things and prepare myself in case a manager's job ever opened up. It was something I enjoyed and it is something I enjoy very much today. I am thankful that I was sitting beside Tommy that day and that light bulb turned on and the accident happened."

The conversation turned to a discussion of leadership and organizational change. Oates recounted the present organizational structure of the Orioles

and where they have been in the recent past. As the conversation continued, it was apparent that Oates was a man of ideas and broad interests. As he recounted the structure, it was obvious he was aware of the forces and counter forces of change. As Oates described it, the Baltimore Orioles "can best be described as an organization in transition." He spoke of how the reputation of the Orioles has been as one which is "recognized as one of the best organizations, best run organizations, in baseball even though they have gone through four or five ownership groups" in the last forty years ("two or three in recent years"). His enthusiasm in speaking of the Orioles organization was obvious and impressive. He recounted the switch in ownership in October of 1991 when "Eli Jacobs, the majority owner, filed bankruptcy and sold the ball club to a local owner (Peter Angeles, majority owner)" and a group comprised of Tom Clancy (the author), Pam Shriver (the tennis player) and Jim McKay (ABC television), and others. Although the transition was now in its third season, the present group of owners maintained a core group of people that included the general manager, Roland Hemond, Frank Robinson, the assistant general manger (and the man Oates replaced as the field general), and the coaching staff. Despite the shift in ownership, Oates remained upbeat and optimistic in that the Orioles were "a team on the move."

Under the previous ownership, Oates spoke of a ball club that "set a record for most losses at the beginning of a season (21)" and one that had

"hit rock bottom." Oates was "brought on board to manage the Triple A ball club that year"(1988). Oates never realized that he would be coaching at the major league level the following year as part of manager Frank Robinson's staff. The Orioles proceeded to go from losing 21 straight games to "missing out winning the American league East on the next to the last day of the season, losing a ball game in Toronto, and finishing up one game out of first place." So, the team went from the disaster of 1988 to a complete turnaround in 1989. However, the Orioles returned to previous form and struggled in 1990 and early 1991 until Oates took over as manager in May. He completed the season with a record of 54-71 and the team finished sixth in the American League East.

Since his inauguration as the manager, though, Oates believed "we've been on the move, not necessarily because of the manager, but I think . . . because we have improved our personnel on the field a great deal." Oates believed a lot of young players "have progressed to the point where they can play competitively at the major league level." Oates attributed this rapid improvement to the infusion of new money into the organization. "I think money speaks volumes in this game. The previous ownership ran a very tight budget. No free agent signings. Limits have been placed on what we can do on and off the field." The new ownership spent a record 173 million dollars for the team. The ownership immediately signed four outstanding free agents in

late 1993 for the 1994 campaign. As a result, Oates' enthusiasm prior to the beginning of the 1994 season is very optimistic. He stated that "we anticipate and look forward to the 1994 season with a great deal of anticipation knowing that ball games are won on the field and not on a piece of paper or by the size of your payroll. It should present a very interesting 1994 season for the Baltimore Orioles."

The time since the interview took place (January 1994) had seen the Orioles having a very successful season. However, the Orioles are in the same conference as the New York Yankees. The Yankees had the best record in baseball at that time and, as the strike approached on August 12, 1994, the Orioles could only be assured of the newly constituted wildcard bid for the league playoffs. The pressures being placed on Johnny Oates increased during the course of the season and served as a good counterpoint in this analysis to his views in January 1994 and now in the middle of the pennant race.

An article in Sports Illustrated (June 20, 1994) featured an article on the plight of major league managers that uses Oates as its example of the mounting pressures for today's baseball managers. The analysis spoke to the point that there's no doubt that additional pressures placed on big league managers in the last few years have made what was already one of the most stressful occupations in professional sports even more so. Since 1990, twenty-one managers had been fired.

The analysis by Tim Kurkjian spoke to a few of the reasons "why the skipper's chair in the 90's is more of a hot seat than ever." He stated that (1) there's a new breed of owner who knows little about baseball and demands an instant return on his huge investment; (2) younger general managers who want to make their mark; (3) players with large salaries, but who are less skilled than their predecessors, and it's up to the managers to teach them the game; (4) a much more intrusive and influential media; (5) the unrealistic expectations of fans brought in by the newer ballparks; (6) the additional postseason spots in the new divisional realignment has increased the pressure to win; and (7) rapid expansion has watered down the talent, especially in pitching. Hal McRae of the Kansas City Royals best sums it up: "The rules have changed: adapt or your fired" (1994, p. 36).

Oates reflections on the ownership were accurate. The amount of money spent on four free agents totaled $42.85 million. One point that he did not speak to except in a positive manner was the stress placed on him not only by the owner, but also by the city (with its new ballpark) and one of the two assistant general managers is Frank Robinson. Robinson is local legend as a player and previously managed the Orioles from 1988 to 1991 when Oates took over in May. This constant presence as a potential "high-profile manager" that appealed to an owner like Angelos had to be a great stress. Although it was not part of the interview for this dissertation, the pressure to win created

a stress on Oates that he has stated he does not handle well.

Oates began exhibiting more serious stress effects of managerial pressure in September 1992, when his overachieving club started to collapse in the thick of a pennant race. He wasn't his usual outwardly calm self, and it showed in his managing. For this researcher, the surprising element revealed in the article by Kurkjian was the fact that the "pressure built between late November and late January as the four free agents were being signed." For this research, late January 1994 was when this interview was conducted. Although the circumstances of this type of interview are very different from that of the press, there was no real revelation of pressure in Oates voice. There was, however, a reasonable perception on his part that this season will be played at much higher stakes for the organization and for him.

Oates spent most of his free time during the season at his condo in Baltimore and at home in Virginia with his wife and three children. According to Kurkjian, Oates spends his time reading books by Charles Stanley, a prominent fundamentalist minister. He also reads the Bible and The Athlete's Topical Bible, which uses scripture to explain how to handle various situations, including those for a manager. Oates would rather read than be out on the town. He rarely socializes with his coaches and doesn't drink. Oates is a small-town man from Sylva, North Carolina. According to Kurkjian, he is regarded by most who know him as a decent, honest man, a great father and a devout Christian. Kurkjian

went on to state that Oates is a hard worker and prepares better than any manager in baseball.

As our conversation progressed, the author quickly discovered that Oates was a man of ideas and broad interests. He philosophized about the forces and counterforces of change and about his role in the change process with Orioles. The author was fascinated and drawn to his thoughts and quiet enthusiasm for the game. When asked to respond to what the key things are that have happened to him since he took the job as manager of the Orioles, Oates responded with the same consistency and thought.

Since assuming the leadership role with the Orioles, Oates spoke of the fact that "one of the biggest things that has happened is that I have had to prioritize my time while trying to prepare myself as a manager. I never realized how much time it took to be a major league manager." Oates referred to those stresses alluded to earlier when he spoke of this change. He noted that "I went off the deep end trying to appease everyone, to give everyone my time." He spoke of the fact that he was "not prepared to handle" the responsibility of the position. "I think over the last few years that has been the key thing that has happened since I took over was learning how to prioritize my time and making sure that i have spent most of my time on the most important things." With regard to the rapid changes, Oates cited the three biggest changes as the change in ownership, personnel, and in his

personal ability to manage time.

There was also a quiet reflection on Oates' part when asked to provide a description of his management style, how others would describe it, and how (if, at all) it has changed over the years. He referred to his family's description of himself as his first response: "I think probably the first thing would the kids have always said, 'Dad, when you manage, you're consistently blah; you stay pretty much the same all the time." Oates actively stated that this was the "image I like to project." Over the course of a 162 game schedule in baseball, plus a month and 30 something games in spring training, it's pretty hard to play with maximum intensity, maximum enthusiasm, every single day. It's just a marathon race; it's not a sprint. . . . I am pretty much the same way as a manager. I would like to think that I am fairly laidback. I like to project an image to the players that everything is under control, that they can depend on me as their leader. . . ."

The notion that charisma is equated with outward signs of emotion and verbosity is not evident in the research or in Oates' style. Captivating speaking skills is not the same as verbal intensity or berating people in public settings. Managers such as Casey Stengel, Billy Martin, or Tommy Lasorda all have intense personalities, but it is not that intensity that makes one charismatic or a leader.

Oates also referred to the fact that the game of baseball required a more

even keel in one's management style in order to be successful over the long haul. Whereas in football, where there is only one game a week for sixteen weeks, baseball is a long season with six or seven games a week. For role models, Oates cited Cito Gaston of Toronto, Bobby Cox of Atlanta, Gene Lamont of the Chicago White Sox, and Jim Leyland of the Pittsburgh Pirates as comparable managers who exhibited his style of managing and consistently win.

Oates also believed that his style was consistent over the years. "I think I played a whole lot like I manage. I believe that I give an all out effort every single day from the heart." He further stated that he didn't carry his emotions on his sleeve. "It's not an outward show of emotion." Oates asked the same of his players. "I'd like them to play as hard, run hard, slide hard, give everything they can to win." But, he noted his dislike of "false hustle." He believed this was a characteristic that players showed when they were "uptight" and "scared." "It's easier to talk a good game than to play a good game. . . . I guess in one term I am a laid back, boring manager who doesn't get too excited outwardly too much. But, believe me, on the inside I'm churning with every single pitch."

When it came to our discussion of the manager's role as a leader, Oates noted a colleague: Tom Kelly, the successful manager of the Minnesota Twins. He pointed to Kelly's belief that "when the team is playing well, your goal should be to stay out of the way and not miss the game." Oates cited his belief that

the manager should not overmanage (overlead) and cause a team to lose a game they ordinarily would win.

For Oates, leadership was derived "during hard times." When people struggled, "I think that leaders naturally step out front; followers look for someone to lead them." Oates admitted to failing at times because of being indecisive. He cited this as a fatal flaw in the leadership role. As a leader, the manager has to be the one who will "always present a positive front" and be decisive. The leader needs to "make decisions . . . stand up for the players when they need standing up for . . . prodding the players when they need prodding, [and] consoling them when they need consoling."

Oates also cited communication as a prerequisite of leadership. He likened leadership to the role of the father. "You've got to communicate, you've got to explain, you've got to be a leader." Oates noted his belief that the modern major league manager must take more time to explain to players why they are being asked to do certain things.

When the discussion moved to a description of Oates' personality, he was very frank and forthcoming in his analysis. He stated that he had progressed from a "very anxious" and "not very patient" manager to a man who had "become much more patient with players." He referred to the fact that it was easy for him to understand the "pitfalls and hardships" that beset the average player. He had a more realistic view, now, that not every player can hit for a

.300 average. Because of this "learned" patience, Oates believed he had not only benefitted the team, but he became a better communicator. Oates cited the media as the sole cause of him losing patience and "popping off" or saying things that might not necessarily be right for the situation. In the end, he expressed his belief that his style is easy going, he is "not too hard to get along with" and willing to work with anyone who is willing to reciprocate.

"I often hear . . . baseball managers say 'I don't care whether my players like me or not as long as they play hard'. Well, I'm a guy that doesn't fall in this category because . . . I think it's very important that my players do like me. Sometimes I have been accused of getting too close to my players." Oates, like his mentor Tommy Lasorda, believes that it is possible to be close to one's players and still be able to discipline them. "I am not going to shortchange myself by trying to do things or lie to players to make sure they like me. I'm going to treat them like men . . . give them an opportunity to make decisions, to have responsibilities. . . ." Oates never would embarrass a player in public. He believed it was vitally important with today's players and one that created more mutual respect. This, in turn, helped him to be a "father-image or role model" because he sees that as part of the job. Oates best summarized his feelings of creating a mutual respect and liking of his players as a precondition to the military metaphor of only two men in a foxhole: "each and every one of my players would not mind being in that foxhole with me knowing that we were

the only two left and that I would go to bat for each and every one of them."

From the personal level to the organizational level, Oates was able to translate his larger vision. Since the interview took place prior to the baseball strike of 1994, it was somewhat prophetic that his views were at the heart of the labor negotiations. As a former player and now a member of the management side, his vision was tempered by the costs to him personally on both sides of the issue. Oates noted that the game had changed drastically the last few years mainly because of the basic agreement between the players and the owners. Oates' vision has been "influenced by this basic agreement." From this agreement, there may be a decision that will influence whether players can move from team to team as readily as they do now. As a result of the present free-agent system in major league baseball, there were no long-term dynasties anymore. Because of the success of a particular team, payroll increases dictated the necessity for some teams to break up their teams in order to financially survive. As a result, Oates vision for his organization was that they would stay competitive every year and make sure they win periodically. Oates noted his desire to have an organization that is a very sound, very well run group that "do things right." What Oates did not want to happen was to be part of an organization that was like a rollercoaster. He expressed his belief that "with the visibility of our profession that it's a whole lot easier if we stay" on the peak of the hill. As an individual with a strong organizational vision,

Oates philosophized that each individual needed to look "in the mirror after the game and if you have done the best that you can, then you can go home and accept what has happened that night." If each individual in the organization made that commitment, then the vision "to stay competitive from start to finish year after year" was possible.

In order to remain competitive, it has become a major requirement of the leader of any organization to motivate people to excel. Adhering to the basics of motivational principles, Oates cited his belief that since we "are in a people business" that there was no one way to motivate people. For Oates, he expressed that "a very important way of motivating people is to give them the responsibility." It was the manager's job to find out which of his people will respond to this type of motivation. He noted that you take each individual player or coach and find out what it was that motivated him. Oates drew upon himself in an insightful example: "I know, myself, if you screamed and yelled at me, I withdrew and went in a hole and you forget about me for the rest of the ballgame. But, if you patted me on the back and explained to me what I did wrong, I would be the hardest and best ballplayer for the next ballgame."

As far as responsibility as a motivator, Oates referred in detail to a current player of his, Brady Anderson. "A couple of years ago Brady had been a player that had hopped around Boston and Baltimore with a great deal of potential, but never realizing the level of play that he should have. At the

beginning of the 1992 season, I went to Brady and told him that he was going to be my everyday player, none of this in and out of the lineup; that he was going to hit lead off, that I wanted him to run the bases, create havoc on the bases, steal bases, and just play the game anyway that he felt could help us win. Here's a guy that responded to that giving him some responsibility. . . . He went on to have a year that he had never accomplished in the American league before."

Oates did not adhere to the philosophy that you cannot successfully motivate people. He preferred to use the "Lasorda" method when it is possible. This was the use of positive motivation. He realized that players are truly the ones that motivate themselves; a manager was merely a facilitator.

When asked to speak of his own definition of success, Oates attributed any success he has had as a manager to his players. Oates quietly referred to his various experiences in his playing career with five different teams (Orioles, Braves, phillies, Dodgers, and Yankees). Whereas it may be a positive sign for some players to remain with the same organization for an entire career, he believed his "journeyman" career with many different successful organizations provided him with the lesson that "there is more than one way to skin a cat." It was this variety of successful experiences that has "been a very key factor" in his success. Oates then reminisced about what he has learned from his mentors and what it meant to him in the definition of success. He viewed Earl

Weaver of the Orioles as the best strategist and intimidator of umpires; Tommy Lasorda of the Dodgers as the best public relations guy; Danny Ozark of Philadelphia as a very low key, laid back type of manager with a bunch of superstars that got everyone to play hard with his low impact style of management; and, Oates favorite, Dick Howser. Howser made Oates as a player feel just as special as a Reggie Jackson. Howser taught Oates the concept that "it's important to take care of . . . 'less important' people on the ballclub." Oates viewed himself as one of those 'less important' people on a very successful Yankee ballclub. It was this variety of experience that gave Oates his recipe for success. Likewise, it was his espousal of continuous learning that continues to make him unique. He noted that even though he has been in the game for 27 years, he is "still learning." He realized he didn't "have all the answers and that you've got to approach the game with an open mind, listen to everything, watch everything, and use those things that will make you a better manager."

Oates approached his job as primarily improving and maintaining team morale as "one of the most important jobs." Oates tried to "project the image to the players that it [the 162 game season] is a marathon that we're running and not a 100 yard dash." For Oates, it was difficult to determine what came first: team chemistry and morale or wins? "I've seen teams with not very much talent get off to a good start, start believing in themselves and

develop a good team chemistry and the next thing you know they've got outstanding team morale and they go on to win a championship." The manager, however, had the responsibility "to do everything in your power to create an atmosphere in the clubhouse of high team morale and close team chemistry. . . ." Oates believed until the end of the shortened season that his own Orioles were a very quiet team that had good chemistry and good team morale. They were, in many respects, an extension of Oates' personality.

From the technical aspect of the game, it was important to note that Oates believed that the three most important functions of a manager were related to location. He refers to "sideline," "game," and "the clubhouse" in his description of the managing act. In reference to the "sideline" part of managing, Oates used this description to explain the public relations aspect of the job. He believed that the leader of any organization must "promote the ballclub" and deal with the press through a variety of forums, i.e., television, radio newspaper, magazine, public speaking, etc. He acknowledged that this was the aspect of the game that he had the least amount of preparation. He exhorted the ability of his former mentor, Tommy Lasorda, as "almost an ambassador for the game of baseball."

Secondly, he viewed the manager (leader) as being an integral part of the game itself. Ironically, he found this portion of the job as the easiest of the three areas. With a wry sense of humor, he likened himself to a high school

principal in the sense that major league managers are "considered the dumbest men in America." As a manager with the ultimate responsibility for the game, he realized he is the guy "who always brings the reliever in too late, or leave the starter in too long, or pinch hit at the wrong time." It was the act of being involved in the daily grind of managing the actual game as the "fun part of the game."

It was in the third area that Oates believed was the most important function of the manager (leader). Oates noted that he spent more time during the course of the year with his team than he does with his own wife and kids. It was in the interactions that a manager has with his players and staff where the greatest level of influence came. "You have to be a father, you have to be an encourager, you want to listen to your players. If the player is not mentally ready to play the game, you're not going to be able to play with a great deal of success. You have to be a father, a psychologist,a friend, a motivator, a communicator, a leader."

As a leader, Oates viewed his role as trying to put his players in a position where they have a chance to excel. His greatest satisfaction came from players who thank him for something that they shared or an encouragement given to a player. The greatest satisfaction was "to be able to look someone in the eye and know that you've made a positive influence in their life in some aspect."

CHAPTER V

GARY DENBO: MANAGER OF THE GREENSBORO BATS

Every player, in his secret heart, wants to manage
someday. Every fan, in the privacy of his mind,
already does. The second guess is the lifeblood of
baseball's appeal to the fan, and it is the field
manager of a team who is the man to be second-
guessed.

-Leonard Koppett

Gary Denbo has been in professional baseball for the past 13 years. In
1983, he was drafted by the Cincinnati Reds in the 17th round as a shortstop
from a small college in southern Indiana. He played rookie ball with the Reds in
Billings, Montana in 1983 and finished playing as an utility infielder for the Reds
for 3 1/2 seasons. He also spent two of those years in Cedar Rapids, Iowa in
the midwest League (Class A). He finished his playing career as a player in the
Eastern League at the Reds AA team. It was during that same year in 1986
that he began his career as a coach. One of the coaches on that club became

a manager with another club and Denbo took his position as player-coach with

the Reds. From that point on, his career was totally focused on coaching and

managing. After two years as a coach, Denbo assumed the position as the

manager of the Greensboro, North Carolina club for the Reds (Class A). In

1990, he made the shift to the New York Yankees organization and managed

their Prince William's club in the Carolina League. In 1991, he became a coach

with the Yankees AAA team in Columbus, Ohio. In 1992, he managed another

team for the Yankees in Tampa in the rookie league. In 1993, he returned to

greensboro (now a yankee organizational team) as the third base coach.

Midway through the 1993 season, Denbo became the manager after some

changes were made in the Yankee organization. During the 1994 season (after

the interview for this dissertation) Denbo moved the Albany AA team in the

Eastern League as a hitting instructor and third base coach. During the course

of Denbo's professional career, he has been a part of four championship

teams. He has also been a part of a winning organization at all levels of minor

league baseball (from rookie league to AAA baseball).

As was the case with most professional baseball players, Denbo began

his career with the goal of playing in the major leagues. Like Oates, he never

really thought of himself as being a manager. After his third year in

professional baseball as a player, he realized he did not have the ability to

make it to the major leagues as a player. Like Oates, he also was in the right

place at the right time and made the shift to coaching with Cincinnati in 1986. From this point, he realized his career goal shifted to that of becoming a manager "and taking more of a leadership role and assisting players in making the transition from amateur to professional baseball." Denbo also noted that he believed his role in this position would be a benefit to the players in that he believed there was a shortage of instructors and managers in baseball that demonstrated good baseball knowledge and the ability to teach. He believed he found his niche in that he could fill that role.

The interview began with a discussion of Denbo's management style. He described himself as a proactive and often impatient manager whose primary concern was staff development. He communicated directly with his players and staff, rarely using memos. His style led by example: "I believe people look to see if the boss is working as hard as they are." Denbo was also guided by genuine concern for his players and coaches and their personal well-being: "I derive a lot of pleasure out of their success. For example, one of my players had resisted changing a batting stance. Now, it's encouraging to see him alter the style for his own betterment as a player. My reward is in seeing them grow. As a manager, you almost become paternalistic."

He described in detail two aspects of his style that he felt were in large part responsible for his success: "I'm an inquisitive manager. My inquisitiveness centers around the players and the game of baseball and how we can

improve." Denbo expected a strong commitment to high standards for both the quantity and the quality of work of each player He spoke of working "to create an atmosphere where the players are aggressive, that they are relaxed physically and where they could perform without it being under a lot of pressure, but they're still mentally alert." Denbo spoke of doing his best to keep negative comments to a minimum and stay as positive as much as possible. Denbo also spoke of being available to talk with players at any time about happenings on and off the field.

"I'm also a participative manager. I love the action of the game and the people. I love to walk around the field and teach. It gives me pride and gives my players pride. It also gives me a great chance to always communicate with the players and get an unfiltered view of what is going on with the players and the team. I also do it to set an example." Denbo recounted that a big organization can become complacent when it is riddled with big egos.

Denbo described his personality as aggressive and confident. He viewed himself as people-oriented. Although Denbo sees his personality as one that is "pleasing", he also viewed himself as reserved. His personality belied his aggressive nature. As such, his players generally enjoyed working with him because he had such a sound base of knowledge and is capable of being an effective teacher. He believed his personality and style complemented his mastery of detail and his willingness to accept responsibility for mistakes.

Denbo expressed his vision as dependent upon the needs of the organization, "specifically the player development part of the Yankee organization." He stated that his role was really analogous to the staff development role of any leader in any organization. His vision included having "a player development plan where we have an expert in every area of teaching the game, that we have a progression in our teaching methods, a step-by-step approach from beginning to end, and that we pay close attention to an individual player's development plan and make sure that that's followed through on a daily basis." Denbo also stated that his vision included an organization in which all employees "showed loyalty to the organization and where we have positive relations throughout the development system." The vision involved the belief in a strong work ethic that would lead to a winning atmosphere and "one that maintained the tradition of the New York Yankees."

For Denbo, motivation at his level of expertise was not a problem. For the players, they "see what's ahead of them, they see the opportunity they have" and that the chance of obtaining long-term financial success solved most motivational problems. As a technique, Denbo spoke of keeping the players focused, giving them "a feel of doing their job correctly and following up with discussions regarding their performance." Denbo viewed his role as giving his players the confidence about their play so that the stay self-motivated. One avenue available to keep players "in line" was a fine system that took money

away from those who did not follow the rules.

Like Oates, Denbo also expressed his belief in continuous learning. "I feel like I learn something new about the game of baseball everyday. I think if you keep an open mind and realize that you are not the guru of your profession, then I think people appreciate that. I think if you continue to keep an open mind and listen and learn, then it would lead to success." In talking about success, Denbo reasserted his belief that one needs to "plan your work and work your plan." He also stated that "doing a little more than you're paid for is a key to being successful."

Denbo also was perceived as highly disciplined. He was viewed as having a controlled and regimented personality. He created an image and style that was businesslike, but he was seen as approachable by his players. Denbo came across in the interview as an extremely hard worker.

Denbo's teaching style was reflected in his own aggressiveness, his strong sense of discipline, regimentation, and his striving for excellence. Denbo expressed the belief that he was paid to maximize everyone's skills and to push people to their potential. Although his style was not intimidating, it was demanding and he could be a real taskmaster.

Denbo stated that he tried to show players that a new idea or a new plan would enhance their development. By repetition in practice, players got excited about trying new ideas. Once they did things the right way (such as in

hitting), they were able to take that "feel' into a game situation and achieve success. With success, all people will then be in the frame of mind to accept new ideas."

Private meetings were combined with team meetings in an effort to discuss the team's goals and the individual's role in the system. "To try to get the players to realize that as long as we are continuing to do things that are moving us closer to achieving some of those goals that we've set for ourselves and as a team, then we're moving in the right direction and team morale will be enhanced." Denbo also called private meetings to discuss issues of great sensitivity to a particular individual and especially issues that might be embarrassing in a larger group discussion.

When asked if he had a mission as a baseball manager, Denbo was very assertive in his answer: "Yes, I do believe that we have a mission as a manager in professional baseball, and I think it's very simple. I think the mission is to develop championship-type major league players and to do so in a winning atmosphere and one that will maintain the tradition of the New York Yankees."

The three most important functions of the manager for Denbo were quite simple for him to assert. First, he stated his belief that the most important function was to implement and monitor individual and system wide player development plans to make sure that those plans are followed on a daily basis. Secondly, he stated that at his level of management, his job was to

facilitate a young player's transition away from home and from amateur baseball to professional baseball. As a result, he and his staff concentrated on "counseling in such areas as on the field professionalism, living away from home, being able to handle their money as a professional, paying their bills on time, appropriate behavior, discipline, taking care of themselves and making sure that things that happen off the field in their lives don't affect their professional life on the field." Finally, Denbo stated that he needed to effectively communicate with his staff and players in order to develop a personal rapport with each person so that there was a freedom to talk at anytime on any subject.

CHAPTER VI

DISTINGUISHING ATTRIBUTES OF THE CHARISMATIC LEADER

> As a manager, I ask only one thing of a
> player--hustle. If a player doesn't hustle,
> it shows the club up and I show the
> player up. Hustle is the only thing I
> really demand. It doesn't take any ability
> to hustle.
>
> - Billy Martin

The purpose of this chapter was to examine the reserach findings on

charismatic leadership in light of the research questions asked in this

dissertation. Drawing on a set of _personal attributes_ and _management_

practices derived from the literature as well as from this author's own

interviews and data analysis, this author compared the samples of charismatic

and non-charismatic leaders in the research to determine whether any of these

attributes were unique to the charismatic leaders.

From this comparison, the two most significant findings were that (1)

the charismatic leaders can be distinguished from the non-charismatic leaders

in terms of a set of specific attributes and that (2) these distinguishing

attributes of the charismatic leaders appear to be "scalar" in the extent to which the attributes were perceived by subordinates.

In comparing the list of personal attributes presented in Conger's study (1989), it appeared that only three were unique to the charismatic leaders. These attributes were:

1. Vision

2. Captivating/Inspiring Speaking Skills

3. An Ability to Excite

All three were described in the research literature as attributes that distinguished charismatic from non-charismatic leaders (e.g., "Vision" in Berlew 1974, Friedland 1964, Katz and Kahn 1978, Marcus 1961, Weber 1947, Willner 1984, Zaleznik and Kets de Vries 1975; "Captivating/Inspiring Speaking Skills in House 1979, Weber 1947, Willner 1984, Zaleznik and Kets de Vries 1975, and Zaleznik 1977; and "Ability to Excite in Berlew 1974). The attribute of "vision" was the most frequently mentioned and was found to be the most consistent theme that described the baseball manager's (leader's) ability to perceive and articulate a picture of their organization's future that was inspiring and emotionally meaningful. What both managers interviewed did not display was the ability "to state, in the almost immediate language of uplift and idealism," what was distinctive about the aims and methods of the organization. It was an attribute that many theorists (Berlew 1974, friedland 1964, Katz and Kahn

1978, Marcus 1961, Weber 1947, Willner 1984, Zaleznik and Kets de Vries 1975, and Zaleznik 1977) had suggested distinguished charismatic from non-charismatic leaders.

The concept of vision can be related directly to each of the case studies. Both baseball managers interviewed in this dissertation presented a well-articulated vision for what their organizations should become. The only variation in each vision presented was in terms of breadth of purpose, grandiosity,a nd inspiration.

The other attributes - captivating/inspiring speaking skills and an ability to excite - are related to the "vision" attribute in the sense that the leader used his speaking skills and the ability to excite in a very limited fashion. Neither of the case studies provided any hint that there existed any form of captivating/inspiring speaking skills. For them, this ability to excite to garner support and to motivate others to accomplish the vision's goals was not seen as necessary. They were all successful despite this apparent lack of "style." Speaking ability and language were particularly important components of the influence process under charismatic leadership. However, the vibrancy of language and the enthusiasm "rah-rah" charges to subordinates did not mark the style of any of the two subjects studied.

The third attribute - ability to excite - overlapped with the speaking style in that much of the excitement conveyed by the leader was verbal.

Nonetheless, charismatic leaders also used certain behaviors and actions as well as organizing special forums to excite. The most common forum used with both managers were the team meetings. For example, Denbo structured motivational programs for his teams. He was tuned in to the psychology of winning. His basic bible was <u>The Mental Game of Baseball</u> (H.A. Dorfman and Karl Kuehl, 1989). He's structure "up sessions" filled with exciting speeches, great audiovisuals and graphics . . . Then, he'd have a speaker who would give the "punch" and films to get the team high on self-esteem and self-confidence. This type of motivational program or inspiratiuonal forum was not employed by the non-charismatic identified in the research.

None of the other personal attributes used in the comparative analysis between this dissertation and that of Conger's proved to be unique to the charismatic leaders. They were instead shared by both charismatic and non-charismatic leaders. This finding was interesting in itself, since the literature had suggested that several attributes as characteristics of charismatic leaders, e.g., (1) high levels of self-confidence and assurance (House 1979, Willner 1984), (2) high energy and dynamism (Willner 1984), (3) strong convictions in beliefs (House 1979), (4) above average intelligence (Willner 1984), and (5) aggressiveness (Zaleznik and Kets de Vries 1975).

In addition, another attribute emerged in the interviews -brilliance in terms of strategic insight and knowledge. From interview data, this attribute

appeared to be directly related to the leader's vision. These leaders spoke in specific terms that revealed that they were unusually gifted in their ability to see strategically the significant aspects of what it took to be a successful field general in ways that seemed almost prophetic or as unusually insightful. In the interviews, what emerged was a portrait that revealed that each manager consistently described the ability to foresee important future trends. Oates articulated the impact of future negotiations among the players and the baseball owners.

It was quite possible that, in a number of cases, attribute differences between the charismatic and non-charismatic leader identified in the research were not the result of an "either/or" situation, but rather a matter of degree. The strength or intensity of certain attributes such as "energy/dynamism" and "strategic insight" may be perceived as greater in the case of charismatic leaders, for example.

An additional interesting finding was that a number of the remaining attributes were shared by both of the managers. These included:

1. Above -average intelligence

2. High perceived depth of knowledge of the game

3. Optimism

4. Openness

5. Perseverance.

It might be inferred that these traits represent characteristics of effective leaders in general since a number of these appeared in the research literature on leadership and management. For example, Kotter (1982) confirmed the presence of "above average intelligence", and "optimism" in his study of effective general managers. Bass (1981) reported that, as of 1970, 25 studies found positive relationships among leadership, intelligence, and ability, while 12 studies found a positive relationship between knowledge and leadership. In addition, 12 other studies found the attribute of perseverance or persistence positively correlated with leadership.

One of the key components in Conger's study that was attributed to the "highly charismatic leader" was that of <u>countercultural and/or unconventional behavior and practices</u>. This definition included behavior and practices that were perceived as unconventional or countercultural, relative to the existing organizational norms. None of the non-charismatics in Conger's study were described as engaging in unconventional or countercultural behaviors and practices.

In the cases of Oates and Denbo, there was no evidence during the course of the interviews that would support the existence of any form of countercultural and/or unconventional behavior and practices. None of the managers gave evidence of such behavior that included the use of "contention", the "violation of the hierarchy", or direct confrontations with peers.

In both cases, however, one attribute appeared to be mentioned more often that would describe a charismatic leader: <u>active campaigning for organizational goals</u>. This referred to the manager's extensive use of open forums, daily talks, presentations, meeting with the press, and motivational programs as opportunities to campaign for strategic goals and personal values. Oates spoke most eloquently in his references to dealing with the press. Likewise. Denbo related his consistent "weaving of team goals" into all presentations. He spoke of being focused on the "why" of the game. He consistently challenged people and that included the public.

Two attributes hypothesized by the literature as unique to the charismatic leader, "<u>empowering behaviors</u>" (Berlew 1974, House 1977) and an "<u>informal leadership/organizational style</u>" (Weber 1947), were not distinguished in any of the interview subjects. Both men , however, shared a number of personal attributes that were descriptive of effective leaders. These included:

1. Expression of confidence in subordinates

2. An effective oral communication style

3. Delegation of significant responsibility

4. Role-Modeling behavior and values.

Given the sample of these interviews, the specific attributes that distinguished these two leaders did not match the attributes of the charismatic

leader as found in the research. Both of the managers possessed a vision and either captivating and/or inspiring speaking skills. However, there was no evidence that illustrated an ability to excite or any form of countercultural and/or unconventional behavior.

There existed, however, to some "scalar" degree, a second set of attributes that emerged far more frequently as characteristics of the leaders studied. These included:

1. High energy

2. Brilliance in terms of strategic insight and knowledge of the game

3. Active campaigning for organizational goals.

As such, these variations suggested that "charismatic" leadership was a "scalar" phenomenon.

Likewise, the interviews revealed that most, if not all, of these attributes were interrelated and any attempt to view them as discrete or isolated entities was erroneous. Like any discussion of leadership characteristics, they must be viewed as a constellation of attributes. For example, speech, language, and vision are related. Language is the main way the vision is conveyed.Thus, it became evident from this study that the perception of a charismatic and effective leader was dependent on the presence of most of these attributes, as well as certain attributes shared by effective leaders as well.

CHAPTER VII

THE VISION OF THE LEADERS

Baseball is a simple game. If you have good
players, and if you keep them in the right
frame of mind, then the manager is a
success. The players make the manager; it's
never the other way. . . . A baseball
manager is a necessary evil.

-- Sparky Anderson

One of the essential cornerstones of leadership was the element of

vision. David Berlow (1974) called it the first requirement of leadership. As the

preceding case studies have shown, it was the most consistently applied trait

of the leaders. As a component of charismatic leadership, it was vital. Vision

provided for the members of any organization a sense of direction and

assurance about the future. It also imbued the day-to-day work with meaning

and significance. From this appeared to come a greater willingness to achieve

on behalf of the leader and his mission. Its role cannot be understated in terms

of its ability to arouse and mobilize human energies. As such, it was one of the

most important elements of the influence process under charismatic leadership. The goal of this chapter was to examine the goals and strategic visions of the two leaders studied in this dissertation and examine the functions of vision and the way its precepts and values are inculcated by these managers.

According to Conger's study (1989), the specific attributes that distinguished charismatic from non-charismatic leaders included:

1. Vision

2. Captivating/Inspiring Speaking Skills

3. An Ability to Excite

4. Countercultural and/or Unconventional Behavior and Practices.

Conger also discovered in his study that there appeared to be a set of second-order attributes that are also mentioned frequently as characteristics of the charismatic leader. These included:

1. High Energy and Dynamism

2. Brilliance in Terms of Strategic Insight and Knowledge

3. Active Campaigning for Organizational Goals

The significant difference in content between the charismatic and non-charismatic leader was in the inspirational message. The visions of the managers studied are described as conveying a tremendous sense of meaning and challenge to subordinates. They spoke to their players as important individuals who are called to challenge their personal skills in order to better the

team and the organization. Each manager encouraged their players to be their best. They spoke of innovation and about greater responsibility and opportunity. Each manager presented to his players a set of ideals that are full of high expectations.

Three qualities of the visions of these leaders appeared to foster this sense of inspiration. The first was an element of grandeur. The task was not simply winning games. Rather, the organization had a more far-reaching purpose. Oates spoke about restoring pride in the Orioles organization. Denbo talked about shaping future players for the major leagues.

Secondly, the vision involved revolutionary goals. Each manager spoke of the need to be a front-runner and helping each organization to break new ground. Each man was chosen for his position because he could make the difference in leading the organization in a new and exciting way.

Finally, a quality of transcendence (Marcus 1961, Weber 1947) distinguished the visions of the charismatic leaders from the strategic goals of other non-charismatic leaders. This was certainly the case with the vision of Oates, who spoke of going beyond the present capabilities of the Orioles organization and reaching out to achieve their potential as a viable organization.

From the interviews, it appeared that the visions served several purposes for the leaders and their organizations. Foremost, they provided

focus and a sense of meaning, direction, and a unifying theme for the organization. These characteristics were more powerful and compelling under their leadership than it was previously thought to be.

In providing focus, the visions of the two leaders interviewed were surprisingly simple in conveying a few basic qualitative values and goals. Each of the managers expressed one or two simple organizational goals. For Oates, it was providing a winner through concern for the customer. For Denbo, it was transforming young players into a major market potential. All three goals are simple, but powerful. The simplicity and clarity of the vision's goals focus attention on what is important and what is rewarded. For the leader, the vision serves to screen out the unessential. As Denbo explained: "I have a clear vision. I take situations that are happening today, and I see whether they fit in my vision. My perception is that things are moving so fast, you can't lose yourself."

From this it could be inferred that the vision aided tremendously in strategic decision-making. When focused on a detailed operating plan, a team cannot give a sense of the organization's overarching purpose; instead, the purpose must be distilled from the top by the manager. Simplicity, then, provided clarity and focus. In turn, this ensured recall. The vision became a handy memory tool as a constant reminder of where the organization was headed and what was important.

Perhaps more importantly, the vision appeared to provide genuine meaning for organizational members (Selznick 1957). David Berlew (1974) identified five types of opportunities which the charismatic leader, through his vision and related activities, created for organizational members in terms of greater meaning and purpose. Berlew identified these opportunities as:

1. A chance to be tested

2. A social experiment

3. A chance to do something well

4. A chance to do something good

5. A chance to change the way things are

While this research was not designed to investigate or test the validity of these opportunities, some of them were confirmed in the interview responses. Each interviewee reported a greater sense of meaning, purpose, excitement, creativity, challenge, direction, and focus.

Just as important, vision provided a unifying theme for all team members. It drew them together as a team and as a community. This sense of teamwork added to the momentum in each case. The work of Blake and Mouton (1961) helped to make clear why a strong vision and sense of teamwork could heighten internal cohesiveness. Their research showed that especially when groups were in competition with others, they tended to become more tightly knit and loyal within, internal differences were buried, concern for

task accomplishment increased, and leadership patterns changed. Neither manager studied in this dissertation instilled an 'us versus them' mentality into their visions. In the case of Oates, he was replacing a popular player turned manager. Part of his cause was to prove the organization was the real strength and not the individual manager. It was the vision that became the battle flag for Oates.

The vision, however, could result in liabilities for the leader, for his followers, and for the organization. Nowhere was this more apparent than in the Baltimore Orioles organization where the commitment of the new owners to a pennant winner as a result of an increased payroll turned the vision of winning into a vision that was threatening the continued leadership of Oates. At the same time, the increase in the payroll devoted to winning a championship led the organization to combine with the other teams in the baseball strike of 1994. Perhaps this commitment was all part of the vision. Angelos expected the overachievers to achieve at even a greater level.

The vision then raised the expectations and, in turn, commitments of both human and financial resources. Significant investments may be made that cannot be recouped. In addition, the leader also faced the loss of his credibility. It was a precarious state for both the leader and the organization. On the one hand, the leader must paint a picture of a bright future if he was to inspire and motivate his organization. On the other hand, the organization must make a

level of commitment to the vision if there was to be any chance of success. Yet, at what point does the organization withdraw its support if the vision begins to fail? David Berlew referred to this as the 'Camelot' phenomenon:

> The articulation of a shared vision that is both meaningful and exciting, but so unrealistic that people must inevitably be disillusioned. Whether the responsibility in such cases lies with the seducer or the seduced is difficult to say, but the end result is a step backward into cynicism (1974, p. 184).

Not only was the vision inherently motivating, but certain attributes and practices of the charismatic leader were useful in inculcating the vision. For example, one's captivating speaking skills were enormously helpful in inculcating vision in organizational members. In addition, his confidence, enthusiasm, and willingness to campaign for his vision seemed to facilitate further inculcation of the vision.

Though little research has ever been conducted on the relationship of leadership and language in organizational contexts, two authors have suggested its potentially significant role. Louis Pondy commented that "the effectiveness of a leader lies in his ability to make activity meaningful for those in his role set . . . If in addition, the leader can put it into words, the meaning of what the group is doing becomes a social fact." It gave the person "enormous leverage" (1978, pp. 93-95).

Pfeffer in his review of research in the political science literature says "language can mobilize support by convincing others of a commonality of interests. . . . It is an important substitute for the use of raw power or brute force. . . . It is used to provide the meanings and justifications for desired choices so that the use of power is not necessary and when it occurs, it is much more subtle and indirect." (1981, p.193.)

The leader's speaking ability was critical since the vision appeared to be conveyed largely verbally. The leader's speaking style must be strong and inspiring. Both from personal observation and interviews, both subjects could be described as good speakers, although each one exhibited a much more reserved manner of speaking. Neither of the interview subjects exhibited the typical "rah-rah" style that was generally associated with a Tommy Lasorda or the late Billy Martin. However, each one exuded a strong sense of assurance that many subordinates appeared almost unquestionably to accept what they said. Both men articulated his thoughts clearly and conceptually while drawing on emotional words and sprinkling their interviews with stories, slogans, cliches, and metaphors. In addition, the tone of their voices was reassuring and often intense. Oates and Denbo also generally accompanied his speaking style gestures.

The greatest link between both was that each man spoke with great optimism about their leadership role. This characteristic was particularly

important since both organizational environments were undergoing significant change. Much of this optimism seemed to come from an ability to see opportunity in crisis or change. Each one seemed willing to probe barriers, either personally or organizationally.

Also, from interview data, it appeared that each manager was able to tailor the language and the content of his speeches to audiences at all levels of the organization. Likewise, when the opportunity arose, each one would generally convey an empowering message to team members.

Visibly campaigning for the vision also appeared as a relevant theme in each of the interviews. This helped to inculcate the vision's goals and values. The leader's active 'stumping' for the vision demonstrated what was important and what the team must focus their attention on everyday. Each manager was very active in taking their 'campaign' to the team and in role-modeling the behavior and attitudes needed to accomplish their vision.

Vision, then, was a critical element of charismatic leadership. The challenge and opportunities offered by the vision provide a level of inspiration that the team must experience to be successful. Vision was also an important basis of motivation for all in the organization. Their visions were not so abstract and general so as to lack a central strategic focus. They contained inspirational messages that were empowering and transcendent in terms of goals. Moreover, they contained inspirational messages to team members at

appropriate times that were empowering. Likewise, both leaders were skilled in their abilities to convey and "stump" for their visions.

Because the goals of his vision are so lofty and ambitious, the charismatic leader must ensure high levels of task accomplishment if he is to achieve his mission. Motivation, then, was a critical concern. The charismatic leader must somehow create in his players a deep desire to achieve his mission's goals – to transform the vision into a reality. The vision, then, was itself a powerful source of motivation. Its emotional appeal was often irresistible in the opportunities and rewards it offered. It also provided a strong and reassuring sense of direction that focused the energies of the subordinates and instilled confidence and optimism.

Yet, vision was only part of the equation. In reality, the leader himself was the primary source of influence and motivation. For while the vision provided challenge and purpose, through his actions the vision was defined and given life. Through trust in the leader's skills and his effectiveness, team players come to believe in the vision and, in turn, were willing to pursue its ambitious goals.

What motivated, however, was more than trust. It was a perception that the leader and his mission were indeed rather extraordinary events. In addition to being perceived as an effective leader, his qualities of vision, strategic insight, unconventionality, dynamism, and an ability to excite

contributed to the perception of a highly unusual individual. These attributes not only served as powerful sources of attraction, but also formed the bases of motivation.

In a general sense, the charismatic leader effectively brought or restored a sense of personal growth, inspiration, and drama to the lives of his players. He made them feel fuller as human beings by recognizing their emotional needs to a greater extent than many other types of leaders. At least on the intuitive level, the charismatic leader appeared to know that the real energy for motivation came from the emotions. To truly excel, one must tap the 'hearts and souls of men.'

While vision was certainly one of the most important of the leader's attributes contributing to the perception of the leader as an extraordinary individual, there appeared to be additional personal attributes that foster this perception and that were either described as unique or as usually strong qualities of the leaders in this sample.

The first of these attributes was brilliance in terms of strategic insight and knowledge. The charismatic leaders were perceived to be unusually wise and prophetic in their ability to understand their profession. They were also considered exceptionally skilled in their area of expertise. The second category of attributes involved behaviors, actions, and perspectives that were seen by subordinates as highly unconventional. These two qualities appeared to be

important bases of influence for the charismatic leader. From interview data, it appeared that these attributes in conjunction with the leaders' dominance helped to foster the high levels of dependence that characterized and distinguished the charismatic leaders.

What distinguished both managers in the research sample was the perception that each man possessed strategic as well as functional expertise. This perception created in the players high levels of trust in the leader's vision and his ability to make it happen. Moreover, the players felt they were in the presence of men from whom they could learn and grow. In addition to possessing certain innate skills and intelligence, the charismatic leaders were, relative to their contexts, significantly 'wiser' than their players in terms of experience and track records of success. Because of their leaders' experience, knowledge, and strategic abilities, the players looked to both managers for direction and insight. The wisdom of each manager also created a basis for subordinate trust and encouraged dependency. The players believed they were in a learning mode and willingly accepted their dependence on the manager as a source of personal growth.

Primary among the differences between the charismatic and non-charismatic leaders according to Conger (1989) was the quality of unconventionality. Whereas a Billy Martin or a Tommy Lasorda enjoyed being the "showmen", both managers studied did not share in this flair for the

flamboyant. Neither did they act as countercultural mavericks. They did not continually go against the grain of the organizations. Neither manager enjoyed being the center of attention. Whereas a Lasorda would use humor, attention-grabbing language, and dramatic acts to get into the spotlight and convey his values, neither Oates nor Denbo filled this description. Risk taking was not part of either manager's outward makeup, either. Neither man reveled in being outrageous. For both, unconventionality did not equate to excitement and fun.

Thus, the two subjects studied did not fit this descriptive aspect of the charismatic leader. Neither man overtly energized and excited their subordinates nor added a heroic and risk-taking dimension to the leader's character. Oates and Denbo had tremendous appeal for their players, added an element of excitement and courage, but they did not buck the system. Thus, they did not 'fit' the definition of the charismatic leader as defined in the research.

CHAPTER VIII

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

> I believe managing is like holding a dove
> in your hand. If you hold it too tightly,
> you kill it; but if you hold it too loosely,
> you lose it.
>
> -Tommy Lasorda

What conclusions can thus be drawn between this study of effective baseball managers (leaders) in sports and the educational leader? This dissertation addressed three principal questions: (1) Are the personal attributes and management practices of effective leaders in sports (baseball) different from those of effective educational leaders (principals) ? (2) Are the influence practices of effective leaders in sports (baseball) different from those of effective educational leaders (principals)? (3) Finally, what are the lessons that one might learn from an analysis of these baseball managers by examining their traits and their beliefs and applying the findings to the role of the educational leader (the principal)?

In all studies of effective leaders (including this one), there were common

characteristics of effective leaders. They included the following personal attributes and management practices:

1. Clear Sense of Purpose. In both case studies included in this dissertation, the sense of purpose was the distinguishing factor as to what made the manager effective. Each manager was concerned with outcomes. Each manager was able to vividly express what needed to be dome on a day-to-day basis. Each one gave examples of how they moved in that direction to accomplish their goals.

2. Persistence. If there was a dominant theme that ran throughout the interviews in this dissertation, it was this characteristic of leadership. This trait was best illustrated by each manager who cited the notion that he would spend whatever time or effort was necessary to achieve the results desired. Neither Oates nor Denbo had an effortless path to his present success. Each manager believed in his individual ability to achieve success. Each man accepted both professional and personal sacrifice. The time taken away from the family was the best example of personal success given. In order to achieve the success for the organization, this was part of the persistence and dedication necessary.

3. Continuous Improvement. Each manager expressed the continuing need and personal desire to continue to develop the skills that will separate the manager from their followers. In order to be successful, each one made the

effort to be informed and to develop his skills.

4. Self Knowledge. Oates was the best example of a leader who was perceptive enough about his own abilities. He spoke of his inability to separate his talent from his work. As an effective leader, each manager expressed that he had the ability to capitalize on his strengths and minimize his weaknesses. Each one also maintained a high level of confidence. As such, each manager in this study was able to delegate and never feel they can do it all themselves.

5. Love of the Game. Renewal and fun are the two words that best describe how each manager saw the job. As is the case with most professional athletes, there was the sense of amazement that one can be making money at something that was fun. Because of the personal sense of focus, each man had no sense of time, forgot about personal problems, and did not worry about recognition. Rather than being driven by pressure, both were driven by the pleasure of the job.

6. Ability to attract and energize people. As a successful manager, each leader studied was able to draw and unite people around them in an united effort. The team members fed off the enthusiasm of the manager and wanted to follow. Each manager motivated by example.

7. Maturity in relationships. Each leader studied trusted people. Although both men stated they appreciated it, they did not require constant approval from others. Both were willing to invest time in people. Each man

was able to open up to his followers without fear of risk or danger. Both
Oates and Denbo made decisions based in the present and not the past. Both
accepted people the way they were.

8. Risk Taking. Because each leader had a strong sense of purpose, he
took risks and was not afraid of failure. Both men were willing to take
chances, explore, and experiment with anything that would lead a team to a
win.

9. Fail-safe. Neither leader used the word failure in the interviews.
Both managers transformed any mistake into a learning experience. Oates lost
his job in Baltimore and moved to a new position in Texas. Denbo continued to
move up within the organization.

10. Servant. Each manager studied was guided by the human needs
he sought to serve. Both men were so good as followers that it propelled both
into leadership positions.

11. Challenged the process. Each manager studied was involved in
some type of challenge which required a change from the status quo. Both
were willing to step out into the unknown and "challenge the system."

12. Inspired a shared vision. Each manager caused others to want his
leadership. Both managers inspired the team to accept the vision as their own.

13. Enabled others to act. Oates and Denbo enlisted the support and
assistance of all those in the organization who made the team successful.

Each manager involved, in every way, those who had to live with the results and encouraged collaboration.

14. Modeled the way. Oates was best when he described that "only the job gives you the authority. The way you act earns the respect." Each manager knew that the little things made a big difference in an organization.

15. Celebrate. When all is said and done, it was recognized by each manager that it was vitally important to take the time to celebrate and share success.

During the course of the last decade, a series of studies of "good leadership" has been spawned. The genesis of this research has been primarily in the private sector (Bennis and Nanus, 1985; Conger, 1989; Kotter, 1982,1988; Kouzes and Posner, 1987; Levinson and Rosenthal,1984; Maccoby, 1981; Peters and Austin, 1985; Vaill, 1984). Like this dissertation, all have been qualitative studies of organizational leaders, mostly corporate executives. Also, these studies have varied in methodology from the recording of impressions to the use of systematic interviews and observations.

Only one characteristic of effective leadership has emerged as being universal in all studies: vision. Each study established that effective leaders helped to establish a vision, to set standards of performance, and to create a focus and direction for the efforts of the organization.

No other universal characteristic has emerged, but several themes

reoccur. One that has emerged explicitly (Kouzes and Posner, 1987; Peters and Austin, 1985) was the ability to communicate a vision effectively to others (often through the use of symbols). Another characteristic that was often mentioned was that of passion or commitment (Vaill, 1984; Peters and Austin, 1985). Each leader cared deeply for the organization. A third frequently mentioned characteristic was the ability to inspire trust and build relationships (Kotter, 1988; Maccoby, 1981; Bennis and Nanus, 1985). Beyond these characteristics, consensus broke down.

Based on the sample studied and the case study analysis provided in this dissertation, the effect of charismatic leadership in sports can be differentiated by a set of specific attributes. These tend to cluster around patterns of personal attributes and management practices. Specifically, four were identified in this study:

1. Challenging the process by displaying an ability to excite

2. Inspiring a shared vision

3. Enabling others to act

4. Modeling the way using counter cultural and/or unconventional behavior and practices.

In addition, a set of second-order attributes emerged from the findings. These included:

1. High energy and dynamism

2. Brilliance in terms of strategic insight and knowledge of the game.

3. Active campaigning for organizational goals.

From the data obtained in the course of the two interviews, it was this author's hypothesis that most, if not all, of these attributes were interrelated and that viewing them as discrete or isolated entities would be erroneous. Rather, they must be seen as a constellation. I also concluded that the attribute of vision was shared by leaders, charismatic or not. In addition, it was quite possible that, in a number of cases, attribute differences between charismatic and non-charismatic leaders are not the result of an "either/or" situation, but rather a matter of degree. The strength or intensity of certain attributes may be perceived to be greater in the case of charismatic leaders.

In brief summary, this dissertation did find a set of attributes that distinguished the effective leaders and these tended to cluster around patterns of personal attributes and management practices. What emerged from this dissertation that was of overriding importance was the leader's vision as well as certain attributes as the primary sources of influence.

Vision, as a cornerstone of the influence process, provided meaning and direction for the team members as well as inspiration and motivation. Not only was the vision itself inherently motivating, but certain attributes and practices of the managers were useful in inculcating the vision. For example, the two managers studied used their expertise and sense of confidence, enthusiasm,

and willingness to campaign for the vision as a means to further facilitate the inculcation of the vision.

The vision, however, may have potential liabilities for the leader, for his followers, and for the organization. If reality fails to deliver what the vision has promised, then the organization may face serious problems of overcommitment. Significant investment of human and material resources may have been made that cannot be recouped.

The meaning provided by the vision and the powerful example set by the leader create attraction and, ultimately, emotional dependence on him. It appeared in this study that the players came to believe that by identifying with the specific manager, they were able to share in his power, ensure their own success in the organization, and partake of a truly unique opportunity to be a part of a winning team. In this type of relationship, the players were motivated to excel to meet the leader's expectations and to obtain his approval. In turn, this will translate to a higher level of personal acceptance and, thus, preserve the marginal player's stability with the team. The superstar player, however, does not need the overt approval to maintain the status, but it may impact his longevity with the team. It was this quality that appeared to distinguish to a significant degree between the influence processes of the charismatic and the non-charismatic leaders.

In a general sense, the author has presented an argument in this

dissertation that the charismatic leader effectively brings or restores a sense of personal growth, inspiration, and drama to the lives of his players. This leader makes them feel fuller as human beings by recognizing their emotional needs to a greater extent than other types of leaders. At least on an intuitive level, this leader called upon the emotions for the real energy for motivation. Given this sample, there are differences in the influence processes under charismatic leaders. The subordinates of these leaders are motivated largely by the reward of the leader's personal approval.

Context was also shown to play an important and interactive role in charismatic leadership. This dissertation argued that context facilitates the process of charismatic leadership by tapping or fomenting certain needs held by the followers or players. In doing so, it heightened their sensitivity and receptivity to the manager who possessed charismatic attributes and who, through a vision, offered actual or symbolic resolution of these needs.

Though it was argued by many in the literature that charismatic leadership was precipitated by conditions of crisis and distress, exceptions were found in the research sample. Oates, for example, operated in an environment not so much of crisis and distress, but rather of great opportunity and "enthusiasm."

In terms of distinguishing attributes of charismatic leaders, this dissertation illustrated that there appeared to be general agreement among

the authors around the following: (1) vision, (2) emotional expressiveness, (3)

articulation skills, (4) high activity level, and (5) exemplary behavior. There was

more limited agreement around risk taking and unconventional behavior.

One of the most consistent findings of the research on both excellent

businesses and effective schools was the importance of strong leadership. This

dissertation also illustrated that strong leadership in sports is also essential to

being excellent. The research on effective schools focused particularly on the

leadership of the principal. The principal, like the manager of the team,

functioned in one of four roles: (1) promoter and protector of values, (2)

empowerer of teachers, (3) instructional leader, and (4) the manager of

climate. In short, the effective principal must be both a leader and a manager.

In baseball, the effective manager must be both an leader and a manager. As

a leader, the principal and the manager must promote and protect the values

of the organization, empower their team players, and monitor and evaluate the

effectiveness of the players. As a manager, both the principal and the baseball

"skipper" must work to maintain a climate that is both productive and

satisfying. If that leader is also a charismatic leader, the effectiveness of that

leader is enhanced.

The research on effective principals cited the importance of principals

who serve as strong instructional leaders and closely monitor student

achievement. This dissertation also illustrated that the effective baseball

manager also needs to be a strong instructional leader who has a vision of excellence and who can effectively monitor player development and performance. Various studies have described effective principals as forceful, dynamic, assertive, energetic and quick to assume the initiative. Good principals and good managers have a sense of commitment and direction for attaining their goals. They take charge and have a vision of how the organization should look.

This study also sought to provide a snapshot view of the relationship of effective leadership practices in two professions that deal with leading a team. It used the research on transformational/charismatic leadership and the correlates of the effective schools model to draw these conclusions. It used two case studies to support these findings:

Recommendations for Further Study

As a result of this study, the following recommendations are presented for further study:

1. Replicate the study using other professions and sports to validate conclusions of this study.

2. Replicate the study at a later date and compare the perceptions of the managers to their answers in this study to see if there has been any

significant change.

     3. Complete a study with larger sample sizes and an emphasis on hypothesis-testing.

     4. Psycho-histories along the line of Erik Erikson's work (1969) could provide important insights into the personality structures of leaders and help in answering the question, "Are charismatic leaders born or made?"

     5. There is a need to analyze more closely the needs of the followers. A study that also interviews the followers to gain there perceptions and insights would of great value. Examining their life stages, experience, and relationships with the leader are potentially rich areas for exploration.

     6. Future research should also include a careful examination of the leader's attributes and the role that they play in fostering the charismatic appeal, especially the characteristics of vision, speech, an ability to excite, and unconventional behavior and practices.

     7. Charismatic leadership may not be an unitary phenomenon. There may exist a range of charismatic types. Research aimed at discerning differences among charismatic leaders would be helpful in understanding the phenomenon more completely.

     8. Finally, research on the contexts of charismatic leaders is also needed. Are there specific contexts that are more conducive than others to charismatic leaders?

Final Implications

The insights in this dissertation go beyond any case study analysis and the research findings. This dissertation did not study leadership from the viewpoint of managerial effectiveness per se. Since only two subjects were studied, it was difficult to provide prescriptive findings.

One of the values of charismatic leaders can be their ability to create the perception of certainty and direction in otherwise turbulent environments. Moreover, they can excite people by highlighting the opportunities that change offers. For a mature organization facing change, they may prove to be powerful transition managers.

There can also be a downside. Charismatic leaders can provide a cultural shock. As leaders, they are generally countercultural forces and, in some cases, may create antagonism with the organization. Billy Martin moved to five different teams as a change agent. Where ever he went, antagonism followed. As a "shaker and mover" this type of leader may jolt the organization too much. In some cases, it may rebound in resistance that seriously hampers the organization's and the leader's ability to get things done.

Another liability can be the problem of overcommitment to the vision. The leader's enthusiasm for his vision can cause unrealistic expectations. If the vision is not fulfilled in a timely fashion, failure and disappointment may likely

result.

Since few can ever hope to be truly charismatic leaders, the question might be asked: "Are there lessons to be learned from such leaders that other leaders and managers can apply to their own work?" This author believes so.

The foremost lesson derived from this study was the concept of vision. Organizational members are looking for greater meaning. All team members want a sense of purpose that goes beyond the "game." One of the primary tasks of leadership is to create that meaning, whether it be an altruistic appeal like Oates' emphasis on working within the organization or an innovative "leading edge" appeal like Denbo's push for the mental game of baseball. Organizational members want to contribute to or be challenged by something bigger. While crafting a successful vision required a real depth of knowledge about one's "sport" as well as a strong strategic sense, it was certainly not an arena limited to charismatic leaders. Denbo and Oates were excellent examples of men who did not emerge as strongly charismatic, yet each man created an emotionally-appealing and meaningful vision.

While generalizing about creating a vision can be difficult, a vision must have both an external focus and an internal message to followers. It must be logically and powerfully make sense of the future and clearly spell out the team's (organization's) role in shaping the future.

A second lesson derived is that, while the charismatic leader does nor

hold the secret key to vision, the charismatic excels at "marketing" ideas. They know how to get people excited and inspired by their vision. Leaders must be sincerely and visibly excited about their organization's mission. They must take advantage of every opportunity to sell their vision. The ability of the leader to speak in inspiring and powerful ways appeared to be the principal sources of their charisma. Denbo and Oates exemplified this.

Effective leadership will always be the most powerful competitive advantage an organization can possess. The key question that can be drawn from this dissertation is: what is the relationship between paradigm shifting and leadership? As Barker notes in his work on paradigms, "you manage within a paradigm; you lead between paradigms (1992, p.164). That is the relationship of paradigms to leadership. What allows you to 'manage' within a paradigm? The rules, the guiding principles, the system, the standards, the protocols. Give a good manager the system and a manager will optimize it. That is a manager's job. It is called paradigm enhancement. (1992, p.164).

Paradigm enhancement takes the rules and makes them better. This concept is the root of the Total Quality movement. To be able to enhance leads to success and is the job of the manager.

Finally, author Thomas Boswell offered some final thoughts from his famed essay "Why Time Begins on Opening Day." In this essay, Boswell brought together for this author the leadership metaphor that helped focused what

educational leaders can learn from baseball managers about leadership. Five

of his ten commandments are offered here for the educational leader:

1. Judge slowly. Never judge a player over a unit of time shorter than a

month. You must see a player hot, cold, and in between before you can put

the whole package together. The rush to judge is the most certain

sign of a baseball outsider.

2. Assume everybody is trying reasonably hard. In the majors, you

seldom try your hardest; giving 11o percent, as a general rule of operation,

would be counterproductive for most players. The issue in baseball is finding

the proper balance between effort and relaxation.

3. Pay more attention to the mundane than the spectacular. Baseball is

a game of huge samplings. The necessity for consistency usually outweighs the

need for the inspired. In judging any player, never measure him by his

greatest catch, his longest home run, his best-pitched game. That is the

exception; baseball is the game of the rule.

4. Players always know best how they're playing. At the technical level,

they seldom fool themselves--the stakes are too high. Self-criticism is ingrained.

If a player on a 10-game winning streak says he's in a slump, then he is; if a

player who's one for 15 says that he's 'on' every pitch. . .then assume he's

about to go on a tear.

5. Stay ahead of the action, not behind it or even neck and neck with it.

Remember the immediate past is almost always a prelude.

Like the game of baseball, this dissertation has come down to one final inning, one final out. What has happened in this game? What can we do with what we have learned? Let go, give it everything we have, hang in tough at the plate, take two and go to right. I have gone through my delivery and what you have read is my best Koufax fastball. The rest is up to you.

APPENDIX A

APPENDIX A

THE INTERVIEW GUIDE

Each baseball manager was interviewed for an average of two hours.

Each subject was asked to respond to the following questions giving as much specific information and detail as possible.

1. Describe your career history (attach a resume or biography, if available).
2. Why did you want to be a baseball manager?
3. Describe your present organization.
4. What was the situation in your organization like before you assumed your present position?
5. What are the key things that have happened since you took this job?
6. How would you describe your management style? How would others describe it?
   Has it changed over the years? If so, how?
7. How do you see your role as a leader?
8. How would you describe your personality?
9. How much do you want your players to like you?
10. What is your vision for your organization?
11. How do you motivate your subordinates? In other words, how do you get them to do what you want them to do?
12. What do you believe have been the key factors to your success?
13. How do you get your players excited about trying new ideas?
14. What do you do to improve and maintain team morale?
15. As a baseball manager, do you believe you have a mission? (If "Yes") What is your mission?
16. What are the three most important functions of a manager?
17. Can a manager give too much praise or recognition to members of the team? How do you give recognition to your team?
18. What is it about your job that brings you the greatest satisfaction?
19. What are your basic beliefs about people and life?
20. How persuasive are you? How do you persuade people?

APPENDIX B

APPENDIX B

SELECTED SAMPLE ANSWERS FROM THE INTERVIEW

WITH JOHNNY OATES

2.   Why did you want to be a baseball manager?

Believe it or not, there was no plan in my thinking to ever be a major league baseball manager. I think it was something that happened by accident. I knew that I wanted to be a baseball player, a major league baseball player, or at least a professional baseball player. My mom has pictures of me still in diapers throwing a ball around the house. People used to ask my friends what do you want to be when you grow up and of course they had the usual answers doctors and lawyers and indian chief. Everyone laughed when I said that I was going to be a major league baseball player. So from day one my goal was to be a major league baseball player, and becoming a manager, the way I look back on it, was a time and place waiting to happen. I was sitting in the dugout in L.A. with Tommy LaSorda then the manager of the Dodgers, sitting next to me and Tommy made a move during a ball game. I asked Tommy, I said, "Tommy, why did you do that"? He said, "that' the reason you'll manage someday". And up until that point like most players, I thought

that I was going to play baseball for the rest of my life. When my baseball career ended as a player, my career in baseball would end and I would go off into the sunset somewhere. But it was at that point that I thought wow, maybe I do want to stay in this game of baseball and maybe manage somewhere. It was at that point, 1977--78, that I started trying to learn the game as much as possible, watch as many people as possible and see how they did things and prepare myself in case a manager's job ever opened up in the minor leagues or major leagues once my playing career ended I would be prepared. It was never a situation where I had to manage or my professional baseball career would not be complete. I think it was something that I fell into. It was something I enjoyed and it is something that I enjoy very much today. I am thankful that I was sitting beside Tommy that day and that light bulb turned on and the accident happened. So, it was not a case of wanting definitely to be a baseball manager, it was just something that fell into place.

6. How would you describe your management style? How would others describe it? Has it changed over the years? If so, how?

I think probably the first thing would be the kids have always said, dad, when you manage you're consistently blah, you stay pretty much the same all of the time. That's the image I like to project. Over the course of 162 game

schedule in baseball plus a month and 30 something games in spring training, it's pretty hard to play with maximum intensity, maximum enthusiasm, every single day. It's just a marathon race, it's not a sprint. I think near the end of the season when you are in the pennant race then it becomes a sprint in that you can play with much more intensity and much more enthusiasm because you know you're near the end and can see the end of the finish line. I am pretty much the same way as a manager. I would like to think that I fairly laid back, I like to present an image to the players that everything is under control, that they can depend on me as their leader to make sure that I don't make any mistakes that would cost us a win. I received a lot of criticism this past year in Baltimore for being too laid back, not emotional; but I think there's times in baseball I can see where a very emotional leader, it may be in football where you play one game a week 18 games a year in professional football or something like that, where an emotional leader can get players up and psych them up to play to a higher level maybe one day a week. I believe in baseball after awhile that wears off. If we look on the success in major league baseball this year, Cito Gaston won the world series, Gene LaMont who lead the Chicago White Sox to the American League West Division Championship, Bobby Cox of Atlanta, Jim Leyland who has been very successful in Pittsburgh over the last few years. I would consider them laid back type managers also. I don't think it's all bad, especially in baseball, where you have to play so many days. I don't

think that over the years my style has changed even from a player to a manager, I think I have played a whole lot like I manage. I believe that I give an all out effort every single day from the heart. I play as hard as I can, I manage as hard as I can, but I really don't carry it on my sleeve. It's not an outward show of emotion whether it be as a player or as a manager. That's what I would ask of my players. I'd like for them to play as hard, run hard, slide hard, give everything they can to win, but I like to label it as false hustle. A lot of talk, a lot of jabbering, a lot of hand slapping and things of that nature. Sure there's a time for that, but I think a lot of times that can be what I call false hustle in the fact that really you're scared, you're uptight. It's easier to talk a good game than it is to play a good game. Don't tell me what you can do, show me what you can . I would like to think that that's the way my management style is that I don't tell you that I can manage a ball game, I'd rather show you that I can manage a ball game. I think that's more important. Over the years, 27 years in professional ball, I'm a pretty low key kind of quiet type guy. If you look around my ballclub that I am managing right now, and I do have input as to what players I select. A lot of my players are in that same way that they don't do a whole of talking, they don't do a whole lot of popping off, but they go out and go about their job. You look at Cal Ripkin Junior, Harold Baines, Mike Mussina, Greg Olsen, people of that nature just to name a few, Chris Hoyles, Mike Deveraux, they're very quiet individuals. You don't hear

them popping off in the media a whole lot, you don't hear them verbally promoting themselves, they just go out and play hard every single day. That's the type player that I like. I guess in one term I am a laid back boring manager who doesn't get excited outwardly too much, but believe me on the inside I'm churning with every single pitch.

7. How do you see your role as a leader?

To paraphrase the statement, Tom Kelly, a very successful manager with the Minnesota Twins who I managed against in some of our leagues, I think he has managed two World Series winners in Minnesota. His theory is as manager of a major league baseball team, when the team is playing well your goal should be stay out of the way and not miss the game. I look at it pretty much the same way. When the team is playing well and everything is falling into place and you're getting all of the breaks, the thing you don't want to do is over lead or over manage and cause your team to lose a ball game that they could ordinarily win. I think the role of a leader becomes very important during hard times. I think that's a nature of life when you're struggling, I think that leaders naturally step out front, followers look for someone to lead them. I think that that's something that our players look for when you are in trouble during a ball game, they look to their leader or their manager to make a move or do something that will put them over the hump. As a leader, I've got to be

the one who can take that position whenever we are having hard times. I think there's times where I've failed at this where I may have been indecisive, and I think that's one of the most important things that whether it's right or wrong. I think the manager has to always present a positive front, you have to be decisive in decision making, you've got to make the decisions, you've got to be blunt with them. They're not always going to be right, but I think the players respect you when you are able to make decisions, that you are able to stand up for the players when they need standing up for, you need prodding the players when they need prodding, you need to console them when they need consoling. The role of a leader of a baseball team is very much like the role of a leader as a father. You've got to communicate, you've got to explain, and as the word says, you've got to be a leader. I think that it's a very in depth detailed job that you have to be when you're being a major league manager because of today's ballplayers. There's got to be a lot of communication there, and I think this is one of the biggest parts of being a leader nowadays. I think when I came to the big leagues if someone told me to jump I said how high. Now if you tell someone to jump, they want to know why. My role as a leader is much in that of a communicator that you've got to sit down and talk with people and explain to them why they're being asked to do certain things. The manager of a baseball team is a very, as we all know, is a very big industry. A lot of people are depending on you whether it be on the field, in the

stands, or in the front office. Your role of a leader is varied in different phases of the game.

8. How would you describe your personality?

I think we talk about changes before and after becoming manager. I think this is on area that has probably undertaken some changes. I think that before I became manager I was very anxious, not very patient with players. I think, fortunate for me I was a marginal player at best, a has been that never was and never will be. It's been easy for me to understand some of the pitfalls and hardships that fall upon the average player. I don't expect everyone to be a 300 hitter, but when I first started managing I certainly wanted them to. I wanted everybody I sent to the plate to get a hit or every time I put a pitcher in to strike the guy out. I think that I was wanting to, very selfishly, get off to such a good start that I wanted everyone to perform not only to the best of their ability, but above their ability. I think over the last couple of years I've settled down quite a bit. I have become much more patient with players. I think in the long run it's been a benefit not only to the team, but to myself in that I've become a better communicator even though I've still got a long ways to go. I think that my personality has been one, again as the kids say, very blah that I don't get too excited over too many things. I have to be pushed to fall off of the deep end even though sometimes the press do a pretty good job

of it. Again, all of this seems to tie in prioritizing time. Who gets most of your time? Who causes you to lose it most of the time? All of those things are tied in and has a direct reflection on my personality because I'd like to think that I am a pretty easy going guy. The people that usually can get me aroused to a point of popping off or saying things that might not necessarily be right for the situation is the media. I think sometimes that's one of the things that creates that change in my personality, but overall I think that the best way to describe me is easy going. I am really not too hard to get along with, I'm pretty willing to work with anyone as long as they are willing to give me a chance also.

9.   How much do you want your players to like you?

I often hear football coaches, head coaches, basketball coaches, and baseball managers say I don't care whether my players like me or not as long as they play hard. Well, I'm a guy that doesn't fall in this category because again, maybe it's my personality, maybe it's my insecurity, but I think it's very important that my players do like me. Sometimes I have been accused of getting too close to my players. I think that maybe I'm giving myself too much credit, but I think that I can divide it between--put that line up between friend and manager and player. I know that I played for Tommy Lasorda and Tommy gets very close to some of his players but yet he has no problem disciplining those same players. I would like to think that I have the same

ability. I think that it's easier for me to go and talk with a player who I have earned their respect by communicating with them and being honest with them and being up front with them. I think that there certainly who don't like you because there's no way you are going to keep all 25 guys on a major league roster happy at all times. They may not like how I have not played them, but I think that the bottom line is I want them to know that I have been honest with them. If there is a player that is not going to play, I tell him why he is not playing. He may not like me for that, but I think that he will respect me for that. I am not going to short change myself by trying to do things or lie to players to make sure they like me. I am going to treat them like men, I'm going to give them an opportunity to make decisions, I'm going to give them an opportunity to have responsibilities, we're going to sit down and talk when they don't or when they mess up. I think that one of my goals is never to embarrass a player in public. Whenever we have something to talk about we're going to do it behind closed doors one on one and that's where it ends. I think with today's players if you can do that, they will respect you a great deal and that's one of my goals. I want players to like me, I want to, at times you come across a lot of young players, and if I can be a father image or role model to them whether I want to or not, that's part of my job. I think that's very important to the statement that I don't care whether the players like me or not as long as they play hard. I think that if the players, I don' know if like is

the word I'm looking for as much as respect. I think they go hand in hand though to a certain point. If a player likes or respects me, he's going to play harder for me when the chips are down. I would like to think that if we were in a foxhole and there were only two of us left, each and every one of my players would not mind being in that foxhole with me knowing that we were the only two left and that I would go to bat for each and every one of them. I think it is important that players like you and that they know that they can count on you.

I think the game of baseball has changed drastically the last few years mainly because the basic agreement between the players association and management. As we are talking today, they're in negotiations under a new basic agreement as far as how the relationship of the owners and the players union work with each other. My vision, believe it or not, for our organization long term sometimes will be influenced by this basic agreement. As you can see, there are no long term dynasties in the game right now. Maybe two or three years you have the Pittsburgh Pirates and Atlanta Braves, and you had the Oakland A's who won big for two or three year. I think what happens is you have a winning organization that stays together three or four years, their payroll gets so high you start having to break them up. I think the Oakland A's is a prime example of it. Gradually the players have gone by the way side either by becoming so high priced or getting older that there's no way you can keep

them all together for more than more than three or four years together, then you have to start rebuilding. My vision for our organization is that we stay competitive every year and make sure that we win once in awhile to keep everybody excited because you know you're not going to be able to win all of the time. I think that what we have in Baltimore is very special. It's a city with a new stadium that we sell out every ball game. The last two years we finished in third place but yet we've drawn way over 3 million fans. Our goal this year is to play in front of 81 sellouts, the maximum number of sellouts. That may not be possible, but we certainly would like to fill the stadium to 90-99% capacity for the season. I think that that's the vision I have for our organization is that we continue to have that image of a very sound, a very well run organization, that they do things right. The team on the field does not beat itself, it plays fundamentally sound baseball. The front office is one of the best in the game, that we know we have some of the greatest fans that they come out whether we start the season with 21 straight losses or win a world series, they pack the stadium every night. We want to be a competitive, well run, oiled organization that's competitive in the thick of things every single year so that we have a little bit of turnover every year but yet we stay competitive every year and we're not first place one year and last place the next. That's like a roller coaster and that's something that I want to stay off of as an organization and it's something that I want to stay off of as an individual. I

think we can go back earlier to what type of manager I am. That's the type of life I like to lead. I don't want it to be a roller coaster because it's easier for me to handle those peaks than it is for those valleys. When you fall in those valleys sometimes, it's tough to dig yourself out. I think with the visibility of our profession that it's a whole lot easier if we stay on that even hill. Sure, there's going to be a time to enjoy that peak and that's at the end of the season when you have won the world series or you've had an outstanding season and go home in the off season and enjoy three of four months without having to go to the ball park. Believe me, if during the season you try to play off the peaks and stay out of the valleys and you get down in those valleys you can't get out of them for weeks at a time. Just don't get too excited when you win and don't get too depressed when you lose. Look in the mirror after the game and if you have done the best you can, then you go home and accept what has happened that night. If you've player poorly, you say what did I do wrong and do it better tomorrow. If you played to the best of your ability and still lost, then you just come back and give it your best the next day. I got off of the subject a little bit there but it really also encompasses what I feel is a vision for our organization is that we have a goal ahead of us and that goal is to be a competitive type organization that's in the thick of things every year, but yet we don't get too excited in July about being in first place. We realize that not too many championships are crowned in the middle of the summer. We want

to stay competitive from start to finish year after year after year.

13. How to you get your players excited about trying new ideas?

I think there is an old saying that you don't fix the wagon unless it's broken. I think if a player is going good, and a team is going good you don't try to fix it - you let it go until it has a breakdown. I think most players are accepting to criticism or encouragement or new ideas when they are struggling, and I think in addition to this preparation has a big part in it. You see a player struggling just don't throw something out there - like - Oh, try this. I think as a manager or a coach you've got to before approaching the player, you've got to sit down and explore all the possibilities of how can I explore this guy, how can I teach him this new idea and have a sound basis for wanting him to make a change if a change is in the future. I think as a team if you sit down and communicate and explain to the team why we are going to put in a certain play, why we've been deficient in a certain area think the bottom line is, number one, having a sound idea and no. 2, thinking it through and making sure you have covered all the points and no. 3 communicating it to the players in a level that they will understand and get excited about trying.

16. What are the three most important functions of a manager?

I'd like to think that we can break this major, major category functions of a manager down to three areas and then touch on them a little bit. I think what we have is No. 1 - what I'd like to think of is side line part of managing. And then, 2 - the actual game part of managing and 3 - the club house part of managing. And in the part of side line managing I think the functions of a manager is to promote the ball club to deal with the press to do tv shows, to do radio shows, to do newspaper or magazine interviews, to do public speaking engagements, to go on a caravan and represent the team whenever necessary, all of this is part of a manager's job which a lot of people don't realize is a function of the manager. And it was probably the part of the manager's job that I did the least preparation for as I've already alluded to again that I did not realize the amount of time it took to be a major league manager, the amount of your time that is required to answer all the questions, to make all the appearances. So this is a very important function of the manager, and Tommy Lasorda does a great job of it and he almost an ambassador for the game of baseball, but that is one of your functions, and 1/3 of your job as manager. The second function is the game itself, and I believe of the three areas, this is probably the easiest to accomplish. I know that 28 major league managers a lot of time are considered the dumbest men

in America. We're the guys who always bring the reliever in too late, or leave the starter in too long, or pinch hit at the wrong time. Danny Murtaugh, the ex-manager of the Pittsburgh Pirates used to say, "I'd love to send the right guy to the plate all the time or every time I bring a pitcher in he strikes a guy out, but up front it's tough to get that guy to set his cup of beer down, come out of the stands and do those things." So, the managing of the game, or the nature of the game of baseball is the second guessing the manager. This is the fun part of the game. I think if you talk to most minor league managers they love it when 7:30 or 8:00 - whenever game time is rolls around, because that's part of the game that we love the most. Once we've gotten through with the press and all the public speaking and all the appearances that we have to make, actually, you arrive at the ball game at 1:00 in the afternoon for a 7:34 game and it's non stop answering questions and teaching and doing this interview and that interview and finally - then it's not always pleasant those parts of the job, but when 7:30 rolls around the game starts and you start deciding when to hit and run what lineup to play, when to change pitchers, this is the fun part of the game and I think this is the part of the game that our fans enjoy most also. So we've got two phases covered now, the what I call the side line part of managing, and then we got the game part of managing. I think these are the two areas that most fans recognize as part of the job of a manager. Now we come to the third area and I believe that this is the most

important function that a manager has and I classify this in the club house part of managing. I spend more time with the baseball club then I do with my wife and kids. Spring training begins the middle of February and runs, hopefully, till late October. And during those months, some days I spend more than 100 % of the time away from the family. We have road trips but the other days I spend 50% of the time away and all that time away from my family is spent with the ball club. I think that this is where you perform your greatest function. I think that a lot of things that you do and say in the club house, on the planes, in the hotels, have a direct influence on what your team does when the 7:30 game time starts. You have to be a father, you have to be an encourager, you want to listen to your players, whether it's about the disappointment of not playing or whether it's a batting slump, or whether it's a family problem, or whether a death in the family that you need to go take care of, all these things I believe is the most important function that a manager has. It's a people business.

There's a lot of people that can answer the question of why you do not pinch hit in a certain situation, but I think it's, including those two areas and then the ability to sit down and communicate and listen to major league players, is a very, very important function of a manger. I think a lot of times this carries over on the field more than being able to hit a home run or strike a hitter out because if you're not mentally ready to play the game, you're not

going to be able to play with a great deal of success. So I think the demeanor or the actions that a manager takes in the clubhouse has as much to do with the result of the game as anything that he may do. So we have the three functions of a manager is handling the press or all outside activities, the actual game itself, and the handling of the players--dealing with the players. We know that with today's games we deal with a lot of egos and a lot of needs. You almost, as a major league manager, have to be a father, a psychologist, a friend, a motivator, a communicator, a leader, all of these areas. I'm sure there's more that become very evident in the clubhouse section as we've labeled this, off the field when we are with the players becomes a very important function of the manager.

18. What is it about your job that brings you the greatest satisfaction?

One of the goals I have as a manager of a ball club, I believe one of my duties as manager of the ball club is to try or attempt to put my players in a position where they have a chance to excel. I would like to think that I prepare as well as the next guy for a game. I think there's no doubt about it there's so many things about my job that brings me satisfaction. Number one, you win a ball game, that's very satisfying. You're able to present a new idea to an individual that works, that brings great satisfaction. There's so many things

about this job that really satisfies you. A big homerun, you send a pinch hitter up and he hits a homerun, you bring a relief pitcher in and he strikes the guy out, you put a squeeze play on that works. All of these managerial decisions, strategy decisions you make during a game--when they work they bring you a great deal of satisfaction. I know where I get the greatest satisfaction from is when a players comes into my office and thanks me for something I've shared with him or an encouragement that I've given him, or I see a result of say a Brady Anderson where you gave him a responsibility and he went out and took advantage of it. It just, it's very rewarding and flattering to have a player to come in your office and say thank you. You see this goes back to the same thing I said early, one of your questions was do you care if your players like you. I think this has a lot to say about it. You can be a good manager and players dislike or you can be a good manager and have your players like you or you can be a bad manager and have both of these. I think there's no doubt about it is my greatest satisfaction is the game, is to be able to look someone in the eye and know that you've made a positive influence in their life in some aspect. That's my goal as a manager. Again, you've got the mission of winning a world's championship, but I certainly don't like to step on any toes getting to that goal. It's a nice feeling when a player says Skip can I talk with you a few seconds, and it turns out not to be something that's bothering him or a mistake he's made. He is wanting to thank you for a plus that you've

been in his life. I think that's where I get my greatest amount of satisfaction.

19.   What are your basic beliefs about people and life?

I think that one of the things that I try to go by is I try to treat people the same way that I would like to be treated. When it comes to the baseball players, I don't treat them all the same but I certainly treat them all fairly. I think if you go through life doing that and living by those standards and just trying to remember that it doesn't matter whether you're a manager in baseball or a player or front office personnel, you in your mind make sure that you attempt to treat people the way that you would like to be treated. It doesn't matter how they treat you back, you continue to stand steadfast. There's so much hate in the world and so much disbelief. I think if you can be honest up front, communicate, and treat people the way you'd like to be treated, I think that's my basic belief about how to treat people and how life should be lived.

APPENDIX C

APPENDIX C

SELECTED SAMPLE ANSWERS FROM THE INTERVIEW

WITH GARY DENBO

2. Why did you want to be a baseball manager?

Initially, I think this is the case with most managers in professional baseball, the dream was to play in the major leagues and that was mine. I never really thought of myself as a manager, I really didn't look that far down the road as a player until about my third year as a player and I started to realize that my ability as a player was not going to take me into the major leagues. At that point I started looking into coaching positions, possibly a managerial position in the Reds Organization. Luckily enough I was in the right place at the right time in 1986. We had a move in our organization. One of our coaches moved to a managerial position in the organization and the Reds offered me a position as a player coach and then as a coach in the Eastern league in 1986 and I accepted that position realizing that my career as a player was probably coming to a close. So I think that the decision to stay in professional baseball was kind of led into my becoming an instructor, coach, or a manager in professional baseball so that I might continue to enjoy what I

considered to be a great career. After that point that I became a coach I think I started to take seriously the becoming a manager and taking more of a leadership role and assisting the players in making the transition from amateur to professional baseball. When we began to look at how I might help them and help their individual development and helping their advancement throughout the minor leagues, I found that I enjoyed working with the players and working with the upper management of the Reds organization almost as much as I enjoyed playing. I also had some definite ideas about what I thought I could do to make things a little bit easier for the players after spending the last year and a half prior to becoming a coach writing some things down and observing some different instructors throughout the game. I also noticed a shortage of instructors and coaches and managers in baseball that demonstrated good baseball knowledge and the ability to transmit that knowledge to the players. I thought that was something that I might be able to add to the organization.

6. How would you describe your management style? How would others describe it? Has it changed over the years? If so, how?

About my management style, I would say that I expect a strong commitment to high standards for both the quantity and the quality of the work that a player does, and also that a staff member does under my

supervision, I would work to create an atmosphere where the players are aggressive, that they are relaxed physically, that they were in an atmosphere where they could feel like they could perform without being under a lot of pressure, but yet they're still mentally alert where it's not a totally relaxed and laid back situation. I do my best to keep negative comments to a minimum regarding the players and I try to stay positive as much as I can regarding every situation that comes up. I make an extra effort to remain available for any early or extra work that's needed by the players and also remain available to talk with players regarding situations that may arise having to do with their career or things that happen off of the field.

As far as how others would describe my management style, that's a tough question to answer. I have been told in the past that I was a bit too rigid and unwavering, you might say. But over the past few years as my communication skills have improved and my organizational skills and my ability to deal with different situations that arise has improved and then I have not received any negative comments or heard of any on my management style, but I guess you would have to ask around other than that to find out. Has it changed over the years? Yes. Hopefully it's changed quite a bit. My first year of managing was a major learning experience for me. I thought that I knew a little bit about the game of baseball, a little bit about how to deal with people before I started my first year of managing in 1989, but I quickly found out that

I didn't know nearly as much as I thought I did and that I had a lot to learn about dealing with people. So I have made some changes. I think my ability to communicate with the players in particular has improved . I think I am a bit more organized than I was before. I am able to deal with the front office personnel. It's much better than it was before, so I've made some adjustments over the past few years. I have managed and coached and I hopefully it's made me a better instructor and a better leader.

7. How do you see your role as a leader?

I think it's my role to make sure that there's a commitment from the players to high standards for the quality and quantity of their work. I think it's my role to demonstrate superior based on knowledge and as well as the ability to transmit that knowledge to the players, and it's my role to communicate with the players and use my motivational skills to enhance their development. My role is to supervise staff and to organize field activities and administrative activities, I think to keep a positive relationship with players, staff , and front office personnel.

9. How much do you want your players to like you?

I think players generally enjoy working with a coach or manager that has a good knowledge of what he is trying to teach. A guy that shows a certain

amount of self control, that is self-assured. Going back to your last question, that shows a kind of pleasing personality, that shows a mastery of detail and is willing to accept responsibility for mistakes . I think that if I show those qualities, and it's been my experience that people that show those qualities, the players generally enjoy working for somebody that is able to do those things. I think if you show them those qualities that I just described then I think liking somebody, the instructor that you're working for generally takes care of itself.

10.   What is your vision for your organization?

My vision for the Yankee organization, specifically the player development part of the Yankee organization, is to have a player development plan where we have an expert in every area of teaching the game, that we have a progression in our teaching methods, a step-by-step approach beginning to end, that we pay close attention to an individual player's development plan and make sure that that's followed through on a daily basis, an organization in which all of the employees show loyalty to the organization and where we have positive relations throughout the development system. Again, that we have instructors that show a strong commitment to a good work ethic and all of those guys just demonstrate a superior baseball knowledge. I think if you add all of those things up and the end result is that we have a player development system that's developing championship major league players and doing so in a

winning atmosphere and one that maintains the tradition of the New York Yankees and even enhances that tradition.

11.   How do you motivate your subordinates?   In other words, how do you get them to do what you want them to do?

From my experience, motivation at the levels that I have been working in the minor leagues has not been a major problem for me. These players are, I think they see what's ahead of them, they see the opportunity that they have and I think looking at the chance to have to go out and make serious financial success and to live a lifestyle that alot of people only dream of, I think that's a big part of their motivation to make it to a higher level. I try to give them a feel of doing their job correctly through early extra work sessions and I try to follow up with discussions regarding their performance in these sessions. Generally to give them a confidence about what they're doing so that motivation never really becomes a problem. I feel as long as they're confident and they feel like they're making improvements daily and they can see a future in what they're doing and we can see a improvement in their development, then I think the motivation generally takes care of itself. We have a system in place in our organization whereby we can actually take money away from the player when they do not do what we want them to do or when they don't feel it's necessary to follow the rules of the team.   But I found that it's not necessary

to fine a player to get him to do what you want to do and generally it doesn't have a positive effect on them anyway. So, earlier in my career I've kind of used the fine system as a motivating factor for the players, but over the last 2 1/2 years now I think I've fined maybe only two players. These were for instances that could not be overlooked or could not be ironed out through communication.

13. How do you get your players excited about trying new ideas?

I try to show the players that a new idea or a new plan, generally what we are speaking of would be a new plan to enhance their development. I do my best to show them that the new plan will allow them to have more success, and we have a plan whereby we use drills for every subject that we talk about. Using hitting as an example, we have several drills that gives hitters a feel of doing things the right way. I think once they get that feel of being able to do things correctly and being able to take that feel into a game situation after we've worked in early work or extra work sessions, then I think that excites players and I think that they have no trouble accepting new plans or new ideas once they realize that they are going to be successful if they give the new idea a chance to work for them.

18. What is it about your job that brings you the greatest satisfaction?

I think that's an easy question for me to answer because to be able to work with these players on a daily basis as a manager and perceive their development is something that I enjoy very much. To see the results of hard work and to see a player have success and then to look at that success and realize that I had a little bit to do with that player achieving that success, I think that the part of the job that gives me the greatest satisfaction. I'll just relate a story to you that happened a few years back to me that players that I had my first year managing in the Reds organization. I visited Cincinnati shortly after our minor league season ended and caught a Reds game. They were playing the Dodgers and had two or three of my players come out of the clubhouse in River Front Stadium when they heard that I was in the stands and made an extra effort to come out and thank me for the things that I did for them in the minor leagues and to tell me that even though they didn't understand why I emphasize certain things in their first few years as a professional that they did now understand what I was talking about since they've made it to the highest level of baseball. For them to thank for some of the things that I taught them on their way up, I think that gave me alot of satisfaction. I think that's the case with most minor league instructors. Just

to see the results of alot of hard work and alot of anguish and to see the players have success and for things to come a little bit easier to them as they advance throughout baseball because of some of the work that you had done with them, that gives you a great amount of satisfaction.

19.   What are your basic beliefs about people and life?

After giving alot of thought to that question, I'm still not quite sure how to answers it. My basic beliefs about people are that I think most people are good, and I think people want to be happy. I think they want the best for themselves and the best for their families. I think the majority of the people put on this earth are good people. I think that people think that at times they are not given the opportunity to be successful, to have the things they feel like they want to have or need to have for themselves or their families, the opportunities aren't there to have those things. So, I think that's where you get what some people might say your bad element. As I said, the majority of the people I think just want to be happy and want to have good things for themselves and their families and to live a good life. I think that how you are raised and who you were raised by has alot to do with your outlook on life and I think that, myself, I've been very fortunate to have a family that cared about me and I've ended up living what I think is a very good life.

APPENDIX D

WRITTEN CONSENT FORM

I am Philip G. Roffman, a graduate student at Loyola University in Chicago. The subject of my doctoral research is "A Study in Leadership: An Analysis of Four Baseball Managers and What Lessons Can Be Learned by Educational Leaders." You are one of five possible participants in this study.

As part of this study you are being asked to participate in one in-depth interview that can be described generally as open but focused. It will consist of a set of questions on leadership that are carefully worded and arranged with the intention of taking each respondent through the same sequence and with essentially the same words. The interview will be approximately sixty minutes in length. It will be audiotaped and then transcribed.

My goal is to analyze the material from your interview in order to better understand your view of leadership in your specific setting. As a part of the dissertation, I will compose the material from your interview as a case study "profile" that uses your words. The analytic process will be used in composing the profile and the identifying themes which emerge from the data. I view this analytic and interpretive process as a combination of the meaning that you make of your leadership experience and the meaning that I, as researcher, find in your words. The presentation of the results will be the profile and also the interpretation of the thematic material that emerges from the transcripts.

I do not plan to use this material for any other purpose than for this dissertation. I do not wish to write a book based on the dissertation. If I were to decide to use any materials in any way not consistent with what is stated above, I will ask for your additional written consent.

I, **Gary Denbo**, have read the above statement and agree to participate as an interviewee under the conditions stated above.

_____
Gary Denbo

_____
Nov 20, 1993
Date

_____
Philip G. Roffman
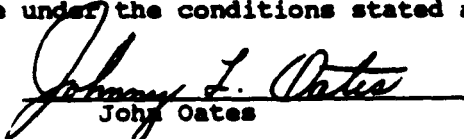
WRITTEN CONSENT FORM

I am Philip G. Roffman, a graduate student at Loyola University in Chicago. The subject of my doctoral research is "A Study in Leadership: An Analysis of Four Baseball Managers and What Lessons Can Be Learned by Educational Leaders." You are one of five possible participants in this study.

As part of this study you are being asked to participate in one in-depth interview that can be described generally as open but focused. It will consist of a set of questions on leadership that are carefully worded and arranged with the intention of taking each respondent through the same sequence and with essentially the same words. The interview will be approximately sixty minutes in length. It will be audiotaped and then transcribed.

My goal is to analyze the material from your interview in order to better understand your view of leadership in your specific setting. As a part of the dissertation, I will compose the material from your interview as a case study "profile" that uses your words. The analytic process will be used in composing the profile and the identifying themes which emerge from the data. I view this analytic and interpretive process as a combination of the meaning that you make of your leadership experience and the meaning that I, as researcher, find in your words. The presentation of the results will be the profile and also the interpretation of the thematic material that emerges from the transcripts.

I do not plan to use this material for any other purpose than for this dissertation. I do not wish to write a book based on the dissertation. If I were to decide to use any materials in any way not consistent with what is stated above, I will ask for your additional written consent.

I, John Oates, have read the above statement and agree to participate as an interviewee under the conditions stated above.

_____   _____
                                        John Oates

_____   _____11-11-93_____
Philip G. Roffman   Date

BIBLIOGRAPHY

Avolio, B.J. & B.M. Bass. (1987). "Charisma and Beyond." In J.G. Hunt, B.R. Baliga,H.P. Dachler, and C.A. Schreisheim (eds.). Emerging Leadership Vistas. Boston: Lexington.

Barker, Joel A. (1992) Future Edge: Discovering the New Paradigms of Success. New York: William Morrow and Company, Inc.

Baylor, Don and Clair Smith. (1989). Don Baylor. New York: St. Martin's Press.

Bass, B.M. (1990). Bass and Stogdill's Handbook of Leadership. New York: The Free Press.

Bass, B.M. (1985). Leadership and Performance Beyond Expectations. New York: The Free Press.

Bass, B. M. (1990) Bass and Stogdill's Handbook of Leadership Theory, Research and Managerial Application. New York: The Free Press.

Bendix, Reinhard. (1960). Max Weber: An Intellectual Portrait. Garden City: Doubleday & Company.

Bennis, W. and B. Nanus. (1985). Leaders: The Strategies for Taking Charge. New York: Harper and Row.

Bennis, Warren. (1989). On Becoming A Leader. New York: Addison-Wesley Publishing Company, Inc.

Berger, P.L. (December 1963). "Charisma and Religious Innovation: The Social Location of Israelite Prophecy." American Sociological Review. 28. pp. 940-950.

Berlew, David E. (1974). "Leadership and Organizational Excitement." California Management Review, Vol. 17, No. 2, Winter.

Bradley, R.T. (1987). Charisma and Social Structure: A Study of love and Power, Wholeness and Transformation. New York: Paragon House.

Burns, J.M. (1978). Leadership. New York: Harper& Row.

Chinoy, Eli. (1961). Society. New York: Random House.

Conger, J.A. (1991) The Charismatic Leader: Behind the Mystique of Exceptional Leadership. San Francisco: Jossey Bass Publishers.

Creamer, Robert. (1984). Stengel. New York: Simon and Schuster.

Davies, J.C. (1954). "Charisma in the 1952 Campaign." American Political Science Review. 48, 1083-1102.

Deal, Terrence & and Kent D. Peterson. (1994). The Leadership Paradox: Balancing Logic and Artistry in Schools. San Francisco: Jossey-Bass Publishing.

De Pree, Max . (1988). Leadership Is An Art. Dell Publishing.

De Pree, Max. (1992). Leadership Jazz. Dell Publishing.

Dorfman, H.A. & Karl Kuehl. (1989). The Mental Game of Baseball: A Guide to Peak Performance. South Bend, Indiana: Diamond Communications, Inc.

Dow, T.E. (1969). "The Theory of Charisma." Sociological Quarterly, 10, pp. 306-18.

Downton, James V. Jr. (1973). Rebel Leadership. New York: The Free Press.

Eisenstadt, S.N., editor. (1968) Max Weber: On Charisma and Institution Building. Chicago: University of Chicago Press.

Fagen, Richard. (June 1965). "Charismatic Authority and the Leadership of Fidel Castro." Western Political Science Quarterly 18. pp. 278-282.

Friederich, C.J. (1961). "Political Leadership and the Problem of the Charismatic Power". The Journal of Politics. 23, pp. 3-24.

Friedland, W.H. (1964). "For a Sociological Concept of Charisma." Social Forces. 43, pp. 18-26.

Fullan, M. and S. Stegelbauer. (1991). The Meaning of Educational Change. New York: Teachers College Press.

Gardner, John W. (1990). On Leadership. New York: The Free Press.

Glaser, Barney G. and Anselm L. Strauss. (1967). The Discovery of Grounded Theory: Strategies for Qualitative Research. Hawthorne, New York: Aldine Publishing.

Golenbock, Peter. (1994). Wild, High and Tight: The Life and Death of Billy Martin. New York: St. Martin's Press.

Graen, G. B. & J.F. Cashman. (1975). "A Role-Making Model of Leadership in Formal Organizations: A Developmental Approach." In J.G. Hunt and L.L. Larson (eds.). Leadership Frontiers. Kent, Ohio: Kent State University Press.

Graen, G.B. & T.A. Scandura. (1987). "Toward a Psychology of Dyadic Organizing." In L.L. Cummings and B.M. Staw (eds.). Research in Organizational Behavior. Greenwich, Conn.: JAI Press.

Hersey, P. & Kenneth Blanchard. (1977). The Management of Organizational Behavior. (3rd ed.). Englewood Cliffs, N.J.: Prentice-Hall.

Hollander, E.P. (1964). Leaders, Group, and Influence. New York: Oxford University Press.

Hollander, E.P. (1978). Leadership Dynamics. New York: The Free Press.

House, R.J. (1977). "A 1976 Theory of Charismatic Leadership." In J.G. Hunt and L.L. Larson (eds.). Leadership: The Cutting edge. Carbondale: Southern Illinois University Press.

House, R.J. & M.L. Baetz. (1979). "Leadership: Some Empirical Generalizations and New Research directions." In L.L. Cummings and B.M. Staw (eds.). Research in Organizational Behavior. Greenwich, Conn.: JAI Press.

House, R.J. & T.R. Mitchell. (1974). "Path-Goal Theory of Leadership." Journal of Contemporary Business. 5, 81-94.

Howell, J.M. (1986). "Charismatic Leadership: Effects of Leadership Style and Group Productivity on Individual Adjustment and Performance." Unpublished doctoral dissertation, Faculty of Commerce and Business Administration, University of British Columbia, Vancouver.

Katz, D. & R.L. Kahn. (1978). The Social Psychology Of Organizations. New York: Wiley.

Koestenbaum, Peter. (1991). Leadership: The Inner Side of Greatness. San Francisco: Jossey-Bass Publishing.

Koppett, Leonard. (1992). The New Thinking Man's Guide To Baseball. New York: Crown Publishers.

Koppett, Leonard. (1993). The Man in the Dugout: Baseball's Top Managers and How They Got That Way. New York: Crown Publishers.

Kotter, J.P. (1982). The General Managers. New York: The Free Press.

Kouzes, J.M. & Posner, Barry Z. (1987). The Leadership Challenge: How to Get Extraordinary Things Done in Organizations. San Francisco: Jossey-Bass.

Levinson, Harry. (1981). Executive. Cambridge: Harvard University Press.

Lowenstein, Karl. (1966). Max Weber's Political Ideas In The Perspective Of Our Time. Amherst, University of Massachusetts Press.

Macoby, Michael. (1981). The Leader. New York: Simon and Schuster.

Maranell, G.M. (1970). "The Evaluation of Presidents: An Extension of the Schlesinger Polls." Journal of American History, 57, 104-113.

Marcus, J.T. (March 1961). "Transcendence and Charisma." The Western Political Quarterly 14. pp. 236-241.

Nanus, B. (1989). The Leader's Edge: The Seven Keys to Leadership in a Turbulent World. Chicago: Contemporary Books.

Pascarelli, Peter. (1993). The Toughest Job In Baseball: What Managers Do, How They Do It, and Why It Gives Them Ulcers. New York: Simon and Schuster.

Peters, T.J. & Nancy Austin. (1982). A Passion for Excellence. New York: Random House.

Peters, T.J. & R.H. Waterman. (1982). In Search of Excellence. New York: Harper & Row.

Pettigrew, Andrew. (Dec. 1979). "On Studying Organizational Cultures." Administrative Science Quarterly. Vol. 24, No.4. pp. 570-581.

Pfeffer, J. (1981). Power in Organizations. Marshfield, Mass.: Pitman Publishing.

Pfeffer, Jeffrey & Gerald R. Salancik. (1978). The External Control of Organizations: A Resource Dependence Perspective. New York: Harper and Row.

Pondy, L. (1978). "Leadership as a Language Game." In M. W. McCall, Jr., and M.M. Lombardo (eds.), Leadership: Where Else Can We Go? Durham: Duke University Press.

Riley, Pat. (1993). The Winner Within: A Life Plan for Team Players. New York: G.P. Putnam's Sons.

Rutan, J.S. & C.A. Rice. (1981). "The Charismatic Leader: Asset or Liability?" Psychotherapy: Theory, Research, and Practice. 18, pp.487-492.

Senge, Peter M. (1990). The Fifth Discipline. New York: Doubleday.

Sergiovanni, Thomas J. (1992). Moral Leadership. San Francisco: Jossey-Bass Publishing.

Shils, E. (1965). ""Charisma." In D.L. Sills (ed.). International Encyclopedia of the Social Sciences. Vol. 1. New York: Macmillan and Free Press.

Stone, Eugene F. (1978). Research Methods in Organizational Behavior. Glenview, Illinois: Scott, Foresman.

Tichy, N.M. and M.A. Devanna. (1986). The Transformational Leader. New York: Wiley.

Trice, H.M. & J.M. Beyer. (1986). "Charisma and Its Routinization in Two Social Movement Organizations." In L. Cummings and B. Staw (eds.). Research in Organizational Behavior. Vol. 8. Greenwich, Conn.: JAI Press.

Tucker, R.C. (1970). "The Theory of Charismatic Leadership." In D.A. Rustow (ed.). Philosophers and Kings. New York: George Braziller.

Vaill, P.B. (1984). Managing as a Performing Art: New Ideas for a World of Chaotic Change. San Francisco: Jossey-Bass.

Waldman, D.A., Bass, B.M. & W.O. Einstein. (1987). "Effort, Performance and Transformational Leadership in Industrial and Military Service." Journal of Occupational Psychology. 60. pp.1-10.

Weber, Max. (1947). The Theory of Social and Economic Organization, Translated by A.M. Henderson and Talcott Parsons. New York: Oxford University Press.

Wheatley, Margaret J. (1992). Leadership and the New Science: Learning about Organization from an Orderly Universe. San Francisco: Berrett-Koehler Publishers.

Will, George F. (1990). Men At Work: The Craft of Baseball. New York: Macmillan Publishing Company.

Willner, A.R., (1984). The Spellbinders: Charismatic Political Leadership. New Haven: Yale University Press.

Wolpe, Harold. (November 1968). "A Critical Analysis of Some Aspects of Charisma." Sociological Review. 16, pp. 305-318.

Yukl, G.A. (1989). Leadership in Organizations. Englewood Cliffs, N.J.: Prentice-Hall.

Zaleznik, A., and Kets de Vries, M.F.R. (1975). Power and the Corporate Mind. Boston: Houghton Mifflin.

VITA

The author, Philip G. Roffman, was born in Streator, Illinois on December 5, 1948. He obtained his elementary education from the Franciscan sisters at St. Anthony's Grade School. He graduated from Streator Township High School in 1967.

In June of 1972, he earned the degree of Bachelor of Science in Education from Illinois State University in Normal, Illinois. After serving with the United States Special Forces from 1972-1974, he began his teaching career in English at Ottawa Township High School in Illinois. During that period, he graduated from Illinois State University in 1978 with a Master of Science degree in English. In 1981, he graduated from Boston College with a Certificate of Advanced Education Specialization. In January of 1991, Mr. Roffman began his doctoral program in educational Leadership and Policy Studies at Loyola University.

Mr. Roffman's administrative career has included three years as an assistant principal at Immaculate Conception High School in Elmhurst, Illinois, two years as assistant principal and four years as principal at Lake Zurich Senior High School in Lake Zurich, Illinois. Since 1990, he has been the principal and instructional leader of Warren Township High School in Gurnee, Illinois. He resides with his family in Mundelein, Illinois, and still has trouble hitting behind the runner.

159

APPROVAL SHEET

The dissertation submitted by Philip G. Roffman has been read and approved by the following committee:

Dr. L. Arthur Safer, Director
Associate Dean, School of Education
Educational Leadership and Policy Studies
Loyola University of Chicago

Dr. Max Bailey
Associate Professor, Educational Leadership and Policy Studies
Loyola University of Chicago

Dr. Philip L. Carlin
Associate Professor, Educational Leadership and Policy studies
Loyola University of Chicago

The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

_4-3-95_
Date

_____
Director's Signature