

**SHEDDING LIGHT ON A MUDDLED FIELD:  
A CHRISTIAN ETHICAL APPRAISAL  
OF TRANSFORMING AND TRANSFORMATIONAL LEADERSHIP**

by

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# Declaration

**Student number: 45322643**

I declare that the dissertation entitled **“SHEDDING LIGHT ON A MUDDLED FIELD: A CHRISTIAN ETHICAL APPRAISAL OF TRANSFORMING AND TRANSFORMATIONAL LEADERSHIP”** is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

Burbach, February 2014

Elke Meier



## Summary

- Title:** SHEDDING LIGHT ON A MUDDLED FIELD: A CHRISTIAN ETHICAL APPRAISAL OF TRANSFORMING AND TRANSFORMATIONAL LEADERSHIP
- By:** Elke Annette Meier
- Degree:** Master of Theology
- Subject:** Theological Ethics
- Supervisor:** Prof. Louise Kretzschmar
- Joint Supervisor:** Prof. Volker Kessler
- Summary:** Principles of “transforming leadership” have been widely promoted since the publication of James McGregor Burns’ book *Leadership*, especially among Christian leaders. The purpose of this study is to examine the ethical foundations of his model and Bernard Bass’ “transformational leadership”. Imprecise use of the terms “transforming”, “charismatic”, and “transformational” leads to an adoption of methods without adequate understanding of the underlying value system. This literature review compares and evaluates the source texts within a framework of world view, intention, character and *menschenbild*, as well as the Christian ethical mandates of Dietrich Bonhoeffer. Valuing the *imago Dei* in others has significant implications for a leader-follower relationship. Bonhoeffer’s mandates will help leaders reflect their position within their organisations and the wider society. Though the incentive for this research was leadership within the context of the Wycliffe Global Alliance, its findings will be relevant to Christian leadership in general, especially in intercultural contexts.
- Key Terms:** Transformational leadership; Transforming leadership; Charismatic leadership; Christian ethics; imago Dei; James McGregor Burns; Bernard Bass; Dietrich Bonhoeffer; Vision; Character

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## Abbreviations

ALD	Authentic Leadership Development
FRLM	Full Range of Leadership Model
GLOBE	Global Leadership and Organizational Behavior Effectiveness
HR	Human Resources
IC	Individualised Consideration
II	Idealised Influence
IM	Inspirational Motivation
IS	Intellectual Stimulation
LBDQ	Leader Behavior Description Questionnaire
LPC	Least Preferred Coworker
MbE	Management by Exception
MLQ	Multifactor Leadership Questionnaire
NGO	Non-governmental Organisation
SIL	Summer Institute of Linguistics
WBT	Wycliffe Bible Translators
WBTI	Wycliffe Bible Translators International
WGA	Wycliffe Global Alliance

## 1. Introduction

Leadership is in vogue! And transforming/transformational leadership in particular. At the time of writing a quick search in Amazon.com for books with the keywords “transformational leadership” yields more than 6,000 titles—with a rapid upwards trend, as the following chart shows:

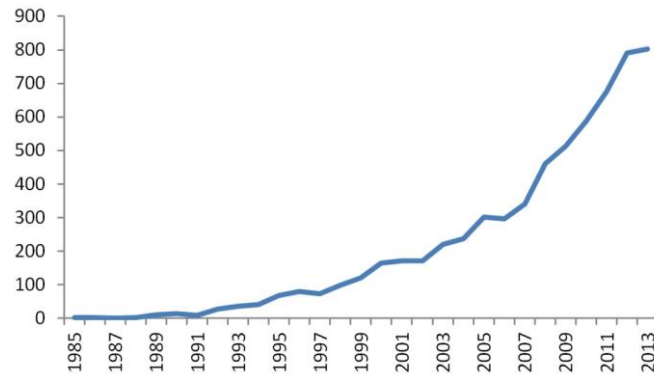


Figure 1: New publications per year with the keyword “transformational leadership”

And it is not just society in general which seems to be very interested in the topic. My own work situation as a consultant within the Wycliffe Global Alliance<sup>1</sup> is such that to succeed in my area of work I cannot rely on a position of formal authority, but rather I am dependent on people voluntarily accepting my advice and changing their ways.<sup>2</sup> Ever since being confronted with the model of transforming leadership during a course in an earlier study programme, I have been intrigued by the thought that there could be such a model which would ensure successful transformation. So I am personally very interested in the topic. And the Wycliffe Global Alliance, the organisation I work with, faces ever increasing leadership challenges as partner organisations from very diverse cultural, historical and theological backgrounds keep joining the Alliance (see section 1.5.3), and the organisation needs to adjust to such constant change in composition.

The title of the dissertation indicates two main fields of investigation: one concerned with clarification of terms, the other with a Christian ethical appraisal. This first chapter will outline the background and the reason for this study as well as the perspective from which I want to explore it. It will thus become clear why this twofold focus was chosen. The chapter will further indicate the relevance of the dissertation for the area of theological ethics<sup>3</sup> and

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<sup>1</sup> The Wycliffe Global Alliance is an alliance of over 100 national partners with a common goal: Giving minority languages access to God’s Word, and doing this in a holistic way (see section 1.5).

<sup>2</sup> William Bridges (2003:3) would contend that this is not just the case for people without a formal leadership role, but that *any* real change needs the *inner* participation of the people involved—and this cannot be “ordered” by leadership but is always the result of a voluntary decision by the people involved.

<sup>3</sup> This refers to Christian theology. Since this dissertation looks at TRANSFORMATIONAL LEADERSHIP from a Christian perspective, the terms “theological ethics” and “Christian ethics” are used interchangeably.

leadership studies as well as for the organisation I work with. A brief overview of the structure of the rest of the work will conclude the chapter.

### **1.1. Leadership theories through the centuries**

The topic of leadership has occupied thinkers since ancient times. Centuries before Christ, philosophers in east (e.g. Lao-Tse or Confucius) and west (e.g. Plato with his works *Republic* and later *Statesman*) concerned themselves with understanding and explaining the role and function of a leader. Interestingly enough, Ciulla (2006:334) notes that, unlike most leadership studies in later times, these ancient writers were heavily concerned with the ethics of a leader!—What a difference to Machiavelli who close to 2000 years later wrote down his leadership principles in *The Prince* (Machiavelli & Bull 2003), and whose instructions until today are considered a prime example for leadership with one overarching goal: to have and keep power (Crainer 1999:178–179) without any ethical considerations.

For centuries, leadership was associated with the image of the great man,<sup>4</sup> endowed with an extraordinary personality, able to lead others (:181). During the first half of the last century, Max Weber with his definition of CHARISMATIC LEADERSHIP was probably the one that fuelled the discussions around leadership most.<sup>5</sup> His was the time of the TRAITS THEORY of leadership, which until the mid-20th century dominated leadership thinking and research.

It was then that research into leadership methods picked up, fuelled by such thinkers as Peter Drucker (1909–2005), and, in the search of the secret of leadership, new leadership models started to be developed in rather quick succession. But all this was still no comparison to the current hype about leadership—in spite of organisational consultant John B. Miner’s prediction not even 40 years ago: In 1975 he had expressed the assumption that “the concept of leadership itself has out-lived its usefulness” (quoted in Hunt 1999:129). Just a few years later interest in the topic had flared up again, and since then it has not lost momentum. What had happened? Conger (1999:147–149) provides some insights:

For many years, leadership research was the domain of a small group of mainly American<sup>6</sup> sociologists. The drive behind their research was a feeling of discontent with the existing models of leadership which seemed no longer adequate in an environment where a leader was increasingly expected to be a “change agent” (:147). Which models of leadership could

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<sup>4</sup> See Carlyle (2006), whose book on heroes was first published in 1841.

<sup>5</sup> See section 3.2.2 for a more detailed explanation of his perspective.

<sup>6</sup> It would be interesting to find out (but that would go beyond the scope of this work) why mainly American scientists dedicated themselves to such an extent to this topic (Alvesson [2011:154] sees a reason for this in the role “outstanding individuals creating exceptional deeds” play in the US value system). At the same time they observed that their way of approaching the topic did not appeal very much to European scientists. For European scientists the topic of leadership “if explicitly considered at all, [...] was examined as part of broader organisational phenomena” (Hunt 1999:130).

serve as examples in such a situation? How would they shape followers and organisations? Few of the studies, however, had practical results. This was not really problematic though, since the economic situation in the United States was rather stable and growth seemed to be possible, however good or bad a leader was.

Then, from the early 1980s on, the market dominance of the USA was shaken by rapid economic advances in Asia (and partly in Europe), and the US economy needed to face the question why their companies reacted so inadequately to required change. Instead of showing more dedication, employees lost confidence in their companies—and all of a sudden the need for effective leadership became urgent. In 1975, Zaleznik and Kets de Vries (1985, 2<sup>nd</sup> edition) had started investigating the phenomenon of leadership from a psychoanalytic perspective, shortly afterwards Zaleznik (1977) voiced the concern that the concepts of leadership and management should not be confused any longer. Around the same time, in 1978, James McGregor Burns in his seminal work “Leadership” made the distinction between transactional and transforming leadership. Bennis & Nanus (1985:218; quoted in Conger 1999:149) followed up on these two thoughts and equated management with transactional leadership; “true” leadership, however, which should aim at empowering employees, they equated with transformational leadership.

As a parallel development the discussions around charismatic leadership (which had been initiated by Weber—see section 3.2) also began again. However, they did not develop the same momentum nor gain the same ready acceptance as Burns’ model of TRANSFORMING LEADERSHIP—too numerous were the examples in history that showed the dark side of charismatic leadership (:149).<sup>7</sup> The repercussions of these examples for the study of leadership can be observed to this day, for example in Ciulla (2006:341) when she refers to “the Hitler problem” while talking about the challenge of coming up with a comprehensive definition of leadership, one that would also take into account the possible misuses of a leadership position.

## **1.2. Leadership theorising—a muddled field**

The more I concerned myself with the topic though, the more muddled it seemed to become. The confusion begins with the very concept of leadership and its definition. On the one hand there is Ciulla’s analysis of 221 (!) definitions of leadership from 1920 to the end of the century (collected by Joseph Rust) and her conclusion that the problem is not the definition of leadership per se, since all the definitions agree that “leadership is about one person getting other people to do something” (Ciulla 2006:340). On the other hand there are Carroll & Washbush who consider talking about leadership at all superfluous “because there simply is no

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<sup>7</sup> Burns had deemed it wise to refrain from using the term “charismatic” wherever possible.

such thing as leadership” (in Kort 2008:410). Instead of trying to maintain a theoretical discussion concerning the concept of leadership fraught with “semantic discontinuities” (Washbush 2005:1081), Washbush argues for taking a practical approach and concentrating on that which will “help members of organisations, particularly those in power and authority positions, contribute to better organisational performance” (:1082–1083).<sup>8</sup>

Since this work is not concerned with general questions of leadership but rather with the models of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP, I will at this point only clarify that I base my discussion of the topic on the assumption that there is such a thing as leadership, and that, based on this assumption, it is valid to explore a little deeper—as Ciulla suggests—the “normative assumptions” (Ciulla 2006:341) underlying a particular leadership style, for example the question of *how* this influence is exercised in TRANSFORMING and TRANSFORMATIONAL LEADERSHIP.

But even within the field of TRANSFORMING LEADERSHIP there seemed to be confusion on a number of levels.

### **1.2.1. Confusion within the field of TRANSFORMING LEADERSHIP**

#### **1.2.1.1. Confusion about terms**

Is it “transforming leadership” or rather “transformational leadership” we are talking about? Or even “transformational/charismatic leadership” as a number of authors call it, for example Megerian and Sosik (1997), Hunt (1999), House, Woycke and Fodor (1989), Den Hartog, House and Hanges et al. (1999), Brown and Lord (1999), or Conger (1999), for whom charismatic and transformational leadership became “twins of almost equal stature—so much so that by many they are assumed to be practically identical twins” (:146). Another indication for this kind of missing clarity is du Plessis’ claim that Bass “conceptually arranged charismatic leadership” along what Bass in his turn considers the four components of TRANSFORMATIONAL LEADERSHIP (du Plessis 2009:134). However, the question is whether conceptually these ideas *can* even be considered to be so closely related. Chapter 4 will investigate these questions in more detail.

The title of this work refers to “transforming and transformational leadership”. It became clear during the investigation that consistency in the use of words would be a real challenge. If a clear reference is made to Bass, normally the word “transformational” is used. References to Burns normally speak about “transforming” leadership. But it is not always possible to follow this pattern, since in the literature the two terms are generally not distin-

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<sup>8</sup> Section 2.2 will mention Middendorp’s (1991) challenge to “explicate” the roots on which a claim is built. In this quote Washbush implicitly reveals the theoretical foundation on which his own practical approach is founded: Leadership is about improving organisational performance.

guished. So in some parts of this work the terms “transforming” and “transformational” will also be used synonymously. However, section 4.3 will be dedicated to a detailed discussion of the difference between the use of the two terms.

### **1.2.1.2. Confusion about origins/foundations**

The general understanding is (as will be shown in section 3.4) that Burns formulated the model of TRANSFORMING LEADERSHIP and Bass made it usable by developing methods that would take it beyond the philosophical into a practicable domain. This would imply that one basically is a clarification and further development of the other—a claim that is only appropriate and reasonable if they share the same foundational principles. It remains to be seen whether this is actually the case.

### **1.2.1.3. Confusion about concepts**

In addition to the confusion about origins and terms there seemed to be a confusion about concepts. It is surprising, for example, that within the area of TRANSFORMING LEADERSHIP there is hardly any reference found to SERVANT LEADERSHIP—even though the principles and goals of the two models seem to overlap quite a bit.<sup>9</sup>

In a way, however, this kind of confusion is natural and to be expected as long as there is no clarity about the use of terms. With regard to charismatic and transformational leadership, there is the added problem that “transforming/transformational” or “charismatic” are not just technical terms denoting specific models. Rather, the words are so popular in common parlance that their usage can be rather ambiguous: Does “transforming leadership” in a certain context refer to the specific leadership model or does it just denote leadership which resulted (or should result) in some kind of transformation? To avoid this kind of ambiguity, in this dissertation references to specific leadership models will be tagged with SMALL CAPS.

Leadership models are often concerned with methods. This is not surprising. One reason a model is developed is to understand and explain a phenomenon. If this phenomenon is of a positive nature, e.g. successful leadership, the intent of the model is to facilitate replication. But the process of constructing a model in social sciences has been under discussion for a long time, and social scientists have proposed changes in this process to avoid common pitfalls (e.g. Middendorp 1991; Faber & Scheper 2003). This dissertation does not intend to propose a solution to a muddled field, but to *understand* what is happening. Middendorp’s distinction (see section 2.2) between a theorist and a modellist approach has been helpful in this regard, as it refers to a time when CHARISMATIC and TRANSFORMATIONAL LEADERSHIP became

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<sup>9</sup> The same cannot be said for references to TRANSFORMATIONAL LEADERSHIP within the area of SERVANT LEADERSHIP. Several scholars have investigated the relationship between their field of SERVANT LEADERSHIP and TRANSFORMATIONAL LEADERSHIP (see section 4.5)

a focus in leadership discussions. The ongoing conceptual struggles in the area of CHARISMATIC and TRANSFORMATIONAL LEADERSHIP with different researchers defining and redefining the concepts according to their own facet of the overall theory confirm his analysis, and some of the struggles about definitions of “good” and “bad” TRANSFORMATIONAL LEADERSHIP would be superfluous if his advice had been adhered to.

Missing clarity in the definition of a concept naturally has repercussions both for research about and for the implementation of the concept. Kellerman (2002a:x), who laments that leadership scholars often do not specify their frame of reference, and Collinson, who considers a substantial part of leadership research “at best fragmented and at worst trivial” (Collinson & Grint 2005:5) are two people who have pointed out the results of this problem. And Neuberger’s scathing criticism (2002:212, 215–221) also exposes in part exactly this kind of confusion.

Gary Yukl (2006:12–19) sheds light on the confusion from a different angle: The description of a leadership model is heavily influenced by the main focus of the related leadership research. Yukl distinguishes research which focuses on key variables of the leadership setting (the leader, the follower, or the situation), research focussing on the level of conceptualisation of the leadership process (investigating the individual, the leader-follower dyad, the group, or the organisation), and research concentrating on some other type of classification, for example leader- versus follower-centred theories, descriptive versus prescriptive theories, or universal versus situation specific (contingency) theories. Most research (and the resulting theories), however, find themselves somewhere on a continuum between the different poles, and theories like CHARISMATIC and TRANSFORMATIONAL LEADERSHIP, “integrative models”, draw from many different streams.

In the literature some authors try to escape the confusion by subsuming these related streams under a new genre, for example “neocharismatic leadership” (House & Aditya 1997:439) or “new leadership” (Bryman 1993:22).

For the Christian context, there is yet another specific problem in relation to an evaluation of TRANSFORMATIONAL LEADERSHIP. Much of what can be seen in the Bible, in the teachings of both the Old and the New Testament, is a call to transformation on a personal, ecclesiastical and societal level. Shouldn’t the church be happy to have found a model of leadership that claims exactly that: being able to produce and sustain transformation?<sup>10</sup>

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<sup>10</sup> A similar dynamic happens in the area of SERVANT LEADERSHIP: Jesus calls us to serve one another (Mt 20:28; Lk 22:26; Phil 2:5–8), so the natural conclusion would be: A model called SERVANT LEADERSHIP just *has* to be in line with what Jesus would teach, too. For SERVANT LEADERSHIP there has been critical examination of the model in light of biblical values (see for example Russel 2003; Niewold 2007—the School of Global Leadership & Entrepreneurship of Regent University is leading in this area of research). Niewold (2007:120) even warns of the “benign presence” that SERVANT LEADERSHIP seems to have become. Others (for example Chin & Smith 2006; Parolini 2007; Smith, Montagno & Kuzmenko 2004; Stone, Russel & Patterson



When it comes to the models of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP, in terms of content most people just seem to accept Bass' claim of having further developed Burns' model, which in turn is considered inherently ethical and good (chapter 5 will consider this claim). Few people (for example Khanin 2007, Yukl 2006:250, Graham 1991:110, and to some extent Bryman 1993:130) have pointed out the *fundamental* differences between Burns and Bass and the implications this has for their approach to leadership. To my knowledge nobody has approached this difference from a Christian ethical perspective.

There is much to be learnt from these leadership models. However, this should not be done without reflection. But critical evaluation is not really possible as long as there is such confusion about the origins, the concepts, and the use of terms as is the case in the area of TRANSFORMATIONAL LEADERSHIP. For me, some clarity came when I started to look at the terms in their historical development. For this reason this dissertation also starts by expounding on the antecedents of the models and the development they have gone through over the years (see chapter 3).

### **1.3. Research question and goal for the dissertation**

My personal motivation for approaching this topic is as a staff member of the Wycliffe Global Alliance, an alliance of close to 100 partners from all over the world united in the common goal of making God's word available to everybody in the language s/he understands best. The Alliance strives to not only be multi-national in composition but become truly multi-cultural, even in the aspects of leadership and organisational governance. As will be explained in section 1.5.2, the Wycliffe Global Alliance has just gone through a substantial restructuring process. This process also effects the re-evaluation of leadership training and leadership principles globally. My goal for this dissertation is to aid this process by clarifying concepts.

In evangelical Christian circles in Germany, methods which derive from the model of TRANSFORMING LEADERSHIP are widely used and heavily influence leadership training and practices—without reflecting on the roots and thus on the ideological and ethical foundation on which the model is built. This is true for both the church context and the context of NGOs like the Wycliffe Global Alliance.

There are two obvious reasons for this:

1. One reason is that the words “transforming” or “transformational” are used by different scholars in very different ways—resulting in quite a bit of confusion as to what “transforming/transformational leadership” really is. Middendorp (1991), as explained in

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2003) have investigated the difference between SERVANT LEADERSHIP and TRANSFORMATIONAL LEADERSHIP (see section 4.5). However, this dissertation will also only look at SERVANT LEADERSHIP as it relates to TRANSFORMING LEADERSHIP and will not specifically consider SERVANT LEADERSHIP's connections with biblical principles.

section 2.2 (see page 30), has one explanation for this process: the difference between a theorist and a modellist approach. Twelve years before him, Riggs (1979) had already pointed to this problem—from a slightly different angle, but with the same result: Natural scientists tend to accept neologisms to describe new concepts, whereas social scientists generally insist on using familiar words to describe new or revised concepts. “The result is a phenomenon that may be called ‘terminological overloading,’ defined as the proliferation of stipulated new meanings attached to any given word” (:174).<sup>11</sup>

A similar process can be observed in the business world. TRANSFORMATIONAL LEADERSHIP was developed during a time when the market dominance of the United States started to be shaken. Over the last decades, change at an ever increasing pace has characterised the business world, necessitating increasingly a type of leadership that could cope with this demand for extreme flexibility and constant adaptation—transformation is needed! It is only natural that in such an environment the interest in TRANSFORMATIONAL LEADERSHIP would grow exponentially, and that in the course of this the clarity of the original concept could become obscured by the process which Riggs described.

2. Another reason for the widespread influence lies in what Kessler (2013) has called one of the “pitfalls” in the development of a leadership model for the Christian context: A so-called “biblical” leadership model is reconstructed from a secular model by a 4-step process:

1. *Perception*: A secular model of leadership becomes popular.
2. *Acceptance*: This model is examined, parallels with the Bible are determined and it is pronounced useful in the context of the church.
3. *Assimilation*: It is claimed that leaders in the Bible worked exactly as described in the model. Books are written about ‘Biblical leadership’, exemplifying the model. The original, secular sources for this model of leadership become obsolete.
4. *Standardisation*: Following the realisation that this is the way leadership worked in scripture, this model of leadership is declared to be the Biblical norm. (Kessler 2013:6)

The model of TRANSFORMING LEADERSHIP claims to do exactly what the Wycliffe Global Alliance is looking for: offer principles for ethically sound leadership useful in a multicultural context. Both claims affect my area of interest: The question of ethics is a crucial one in any leadership situation, and the question of universal applicability naturally is of interest in a multi-national organisation.<sup>12</sup> Since this dissertation is not in the field of anthropology, but

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<sup>11</sup> He explains this using the example of “development”, a word which has attracted growing attention as globalisation (and thus an interest in countries which formerly were not in focus) became an issue. As attention to the concept grew, the meaning of it expanded with each new participant bringing his or her own understanding to it.

<sup>12</sup> However, the claim of universal applicability is not only of interest to an international organisation. It equally applies to some church situations in Germany. In my own church, for example, about 50% of the

rather in the field of theological ethics, the claim of universal applicability will be examined as it relates to Christian leadership only.

It is for these reasons that this study focuses on the model of TRANSFORMING LEADERSHIP as it was described by Burns and further developed by Bass. Since the field of CHARISMATIC and TRANSFORMATIONAL LEADERSHIP has become rather unwieldy, it is necessary to investigate the roots underlying the construct of TRANSFORMATIONAL LEADERSHIP. Once the roots of a system have become clear it will be easier to evaluate the many later developments.

The effectiveness of TRANSFORMATIONAL LEADERSHIP has been researched and confirmed numerous times. Therefore this will not be a concern of this dissertation. Rather, in light of the confusion which has been described, it is the following questions that have triggered this reflection on the models:

1. What is TRANSFORMATIONAL LEADERSHIP really and how did it develop?
2. What are the relationships between TRANSFORMING/TRANSFORMATIONAL LEADERSHIP and related leadership models like CHARISMATIC LEADERSHIP?
3. Questions relating to the claims of TRANSFORMATIONAL LEADERSHIP:
  - a) What are the ethical foundations on which the model of TRANSFORMATIONAL LEADERSHIP is built?
  - b) In the light of Christian ethics, could TRANSFORMATIONAL LEADERSHIP be a suitable paradigm for Christian leadership within a multi-cultural context?

Chapters 3, 4, and 5 respectively will be dedicated to the investigation of these questions.

#### **1.4. Relevance of the dissertation to leadership studies and theological ethics**

Yukl (2006) and Kellerman and Webster (2001:492) talk about the healthy tensions between practitioners and scholars in the area of leadership studies. As one that is concerned with the use of terms within the models, and at the same time with the question of whether TRANSFORMING or TRANSFORMATIONAL LEADERSHIP could be a suitable leadership paradigm for a Christian multi-cultural non-profit organisation like the Wycliffe Global Alliance, I find myself in the middle of this tension. Therefore, the contribution of this dissertation will be in the following areas:

- Contribution to the field of leadership studies: The goal of this work is not the scholarly refinement of the methods the models offer but rather the *clarification of underlying concepts*. More specifically: The relevance of this dissertation for the area of leadership studies within the field of Christian leadership lies in the critical examination of something that is traditionally considered a kind of a “marriage” (Bass’ model of

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membership has a migrant background: of German descent but having lived for several generations in a Russian environment with a specific cultural and denominational imprint.

TRANSFORMATIONAL LEADERSHIP as a mere continuation of Burns' TRANSFORMING LEADERSHIP),<sup>13</sup> and where—on the basis of Khanin's (2007; see section 4.3) and Tourish's (2013) considerations—the theological implications of their observations would rather suggest a “divorce”.

- Contribution to the field of theological ethics: “Ethical behaviour” is a term filled with positive connotations. So when Burns (2004:ix-x) makes the distinction between ethical virtues, ethical values and moral values (with each of these areas playing a role in certain leadership styles and TRANSFORMING LEADERSHIP exemplifying the most complete practice of what he calls moral values), or when Avolio and Bass (1994:204) talk about the “highest levels of ethical standards” of transformational leaders, it is very easy to follow their conclusions without questioning the foundations on which they are built. Transformation is an important concept in the Christian context, and ethical considerations need to play a prevalent role in any type of leadership—especially if it considers itself Christian. Burns specifies clearly that his ethical foundations are based in enlightenment values (Burns 2004:xi). Therefore, it is of crucial importance to clarify the difference between secular moral philosophy and theological ethics, and the implications this has for the applicability of TRANSFORMATIONAL LEADERSHIP within the Christian context.

Furthermore, this dissertation will contribute to the field of theological ethics (although to a smaller extent) by raising the question of the relationship between ethics and culture.

- Contribution to the field of leadership practice: Once the definition of terms has been clarified it will be much easier to critically evaluate offers about this proven method or that one which come across a leader's way, and make an informed decision as to what aspects of TRANSFORMATIONAL LEADERSHIP would be most suited in a certain situation, without the danger of compromising one's own ethical stand, or of just copying methods indiscriminately. My hope is that this will be a help for the Wycliffe Global Alliance in their current discussions about leadership questions.

In order to reach these goals, this dissertation—as indicated in the research questions stated above—will first clarify the concepts related to TRANSFORMING LEADERSHIP by describing the different streams of the model as they developed historically, and critically analysing their ideological and ethical foundations and the relationships between them. On this background implications for Christian leadership will be indicated, with special consideration of a culturally diverse organisation like the Wycliffe Global Alliance.

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<sup>13</sup> See Ford (1991:21–22) for an example: He states that Burns introduced the concept of a transformational leader and continues in the next sentence by explaining this transformational leader in Bass' terms.

## **1.5. Relevance of the dissertation for the Wycliffe Global Alliance**

This section will briefly introduce the development and current situation of the Wycliffe Global Alliance. It will start with a biographical sketch of the founder, William Cameron Townsend, highlighting especially those aspects in his life which had a lasting impact on his leadership style and his ethical outlook. Townsend's value system has left a deep imprint on the organisation up to today—on the vision, the relational ethics (for example on the importance of valuing small and often overlooked people groups), the work ethics, but also on the beliefs about leadership. A review of the different stages Wycliffe as an organisation has gone through will then set the stage for an understanding of the leadership challenges the organisation faces today. This will aid in connecting the claims of TRANSFORMATIONAL LEADERSHIP with the context of the Wycliffe Global Alliance. In the second part of this section the organisation's current approach to leadership selection and development will be specified.

### **1.5.1. History of the Wycliffe Global Alliance**

#### **1.5.1.1. *William Cameron Townsend***

William Cameron Townsend, often called “Cam”, was born on July 9, 1896. He and his four elder sisters and the younger brother grew up with a father with strong principles and a mother who loved anything beautiful. Apart from a determination to abide by a course of action considered proper and right—even in the face of seemingly insurmountable opposition—other parental, ethical values which Cam had internalised were honesty, hard work, dedication and high expectations of commitment, both of himself and others. All this was paired with a strong faith in God.

Even as a young boy, Cam not only had an irrepressible urge to look for ways in which things could be done differently and better. He also seemed to have had a special power of conviction, for example when he tried to win his brother Paul for his own plans, or when he had to convince him that what he, Cam, wanted, in reality also was Paul's own wish.

During his time in college, as preparation for entering seminary, Cam came into contact with the “Student Volunteer Movement”, a group of students interested in missions. It was after a talk by John Mott, the founder of the movement, when Cam started wondering whether he should go overseas as a missionary. However, the final incentive for his first trip overseas was not a deep theological “calling” but rather a challenge by a female missionary. During a time when scores of young men were being enlisted to fight in the first world war, she questioned their courage and challenged their sense of reality for preferring to fight some senseless war and leaving the really important work—missionary work—to women (Hefley & Hefley 1974:20).

As a result of this challenge, in 1917, at the age of 21, Cameron, together with another friend, interrupted his studies to go to Guatemala as a Bible colporteur. During the first longer trip in the area assigned to him he developed a lasting friendship with a Cakchiquel Indian man. Through him Cam received deep insights into the life and world view of Indians in this region. This resulted in an attitude toward Indians quite distinct from mainstream missionary perspectives—let alone from the attitude Spanish speaking Mestizos would show toward Indian people. He saw the potential of the people, but also learned of their suffering because of unethical treatment by powerful others: medicine men (who nurtured superstitions and gained from performing costly rituals to redeem people from impending evil), even the church (who imposed a religion people could not understand and also gained from performing costly rituals like baptisms), or bar tenders collaborating with large landowners in the area (who lured Indian workers into alcoholism and perpetual financial dependencies; :33). These experiences with the Cakchiquel Indians shaped his conviction that “the Bible was the Indian and peasant’s best liberator” (:31). Another conviction growing during these months was that for the Cakchiquel Indians this kind of liberation could not happen if they continued to hear the Gospel using only the Spanish language or a Spanish Bible.

At the end of his time, his Indian friend invited him to stay with them and become a missionary for the Cakchiquel people. Cam settled in the Cakchiquel area and started to learn and analyse the Cakchiquel language. Even during these early years of his ministry, his holistic understanding of missions became obvious. It was important to him to consider the whole person in his/her social environment. Cam could not separate his ethical convictions about interpersonal relationships from his social ethical perceptions. He did personal evangelisation, but also founded a hospital and the first school for Indians in Central America, in which the students would be taught in their mother tongue. This holistic approach would be a trademark of his work throughout his life. The means differed: it could be through development of schools and hospitals or training health promoters, through farming, setting up of small industry (for example a printing press), or improvement in the infrastructure or animal husbandry. Theological work (evangelism, Bible translation) and practical services should always go hand in hand.

We want to help by carrying out a thorough investigation of the Indian languages. In doing this, we want to serve our fellow-man in any way possible. I disagree with scientists who use people as laboratory specimens in their research but do nothing for their welfare. (:81)

Cam's actions thus demonstrated his ethical values, for example his deep respect for the dignity of every human being.<sup>14</sup> Cameron's focus on holistic ministry seems noteworthy. Especially since it happened long before liberation theology forced the Christian majority to notice the plight of oppressed groups, and long before the promotion of a more holistic view of missions through the Anglican Communion's declaration of "the five marks of mission"<sup>15</sup> in 1984 (*Bonds of affection* 1985:49), which has been very influential in current missiological thinking. It seems noteworthy also in that it has shaped the values of the organisations he founded to this very day (see the mission statement in section 7.4 in the Appendix). Over the years the extent to which members of his organisations were involved in activities outside of actual Bible Translation and concerned with questions of social justice depended on the situation in a certain environment: There was always a strong focus on raising the prestige of a minority group's language (which inevitably results in an increased self-worth of the people affected), and in providing educational opportunities which would enable people even in remote areas to eventually stand up for their rights as citizens and resist exploitation. Often the work was accompanied by providing health care, and sometimes by such concrete actions as assisting remote jungle communities to legalize their land claims and thus avoid being evicted by intruders.

Within the mission society with whom he was associated during his first years, Cam's work with Indians was tolerated, even though it did not really fit the goals of the society. It was not just in the *kind* of work where they differed (work among Spanish speaking population versus work among Indians). Cam also followed different principles in *how* he conducted his work. The mission society wanted to have all work under the supervision and leadership of missionaries, Cam's goal from the very beginning was to train Indian co-workers so that they could take responsibility and fill key positions. However, in later years, as general director of the organisations he had by then founded, a tension could be observed between his missionary practice and the official obligations he felt for the rapidly growing organisations and the growing task: On the one hand there was this early desire for indigenous local leadership (Cowan 1979:217), on the other hand a strong preference to have more missionary involvement (:207). And even though he very strongly encouraged local involvement, yet this to him did not mean that local people would actually join the organisation (Franklin 2012:25–26)—a perception which has greatly changed since (see section 1.5.2).

In 1934, some years after the translation of the New Testament in the Cakchiquel language was finished, and when Cam had begun to notice the situation of other minority

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<sup>14</sup> Section 2.3.5.4 will explore the relationship between ethical convictions and one's *menschenbild* in more detail.

<sup>15</sup> The five marks of mission are evangelism, teaching, compassion, justice, and creation care.

languages, he started to regularly share his expertise with other Americans: analysing and describing an unwritten language not along a Latin pattern but rather following the language's own logic. Within a few years, the motto which the growing group of students chose for themselves was already: "To translate the Bible in every language upon the earth" (Hefley & Hefley 1974:64–65). Cameron's basic principle was: "What we know, or think we know, about that Book and the way we live it should not be the mold we pass on to the world, but rather the Book itself" (:111). Several important convictions are expressed by this short sentence:

- Culture has shaped the missionary's theological perceptions.
- This perception is not *the* correct one, but each culture needs to find their own "mold" in how biblical truths are lived out in their specific situation. The Bible contains all the information necessary to find out how to become a Christian and also how to lead a life according to God's principles. And depending on the value system of a culture, local Christianity will express biblical truths in ways different from the missionary's theological upbringing or will weigh aspects differently.
- Local Christians are *able* to translate biblical truths into their local situation, just as missionaries have to do it for their own cultures. This conviction rests on the foundation that local believers in the same way as missionaries are dependent on the work of the Holy Spirit in them to experience a transformation of their lives and thinking, and that this work of the Holy Spirit does not depend on long theological tradition.

These are crucial thoughts not just in terms of theological reflections, but also for ethical evaluations across cultures. For example, in terms of the claim TRANSFORMATIONAL LEADERSHIP makes of being inherently ethical and universally applicable (see chapter 5), one question that needs to be asked is: Does the model value others as equals, does it leave room for this kind of evaluation and translation into a local situation, or is it a recipe of the "knowledgeable" for the "ignorant"? Cameron Townsend's example would be well worth noting.

In 1936, the first of Cam's students went to Mexico. The political situation in Mexico at the time did not allow for missionary work, but the key that opened the door to this country was (apart from prayer) Cam's holistic approach. The government of Mexico was more than willing to receive help for education and community development within the Indian groups.

#### **1.5.1.2. Wycliffe and SIL**

In 1942, the yearly training course happened for the first time in connection with a university. Out of the small beginnings eight years earlier had grown a course with 120 students. The same year it became necessary to develop an appropriate organisational structure for the growing numbers of workers. To this effect, Cameron Townsend founded two organisations:



Wycliffe Bible Translators (WBT) as an organisation which would take responsibility for administrative matters in the home country, for recruitment of new workers and for informing churches and individuals interested in the work (none of the missionaries received a salary, rather they were expected to trust God that he would support them through donations from churches and individual friends). They took John Wycliffe as an eponym, who in the 14<sup>th</sup> century translated the Bible into English and who lived (and greatly suffered) for the vision that each Englishman should have the right to read the Bible for himself and in his own language.

The Summer Institute of Linguistics (SIL), named after the linguistic courses taking place during the summer months. SIL was responsible for the actual linguistic, translation and educational work in the different countries, for negotiating contracts with governments and universities, and for training new workers. For many years, Cameron Townsend was general director of both organisations.

17 years after Wycliffe and SIL were officially established, about 1000 members were contributing to the vision which drove Cameron Townsend. By then, SIL had language projects in several Latin American countries, in the Philippines (since 1953) and in Papua New Guinea (since 1956). In 1961, work was started in the first African country, Ghana. The membership also became more diverse: In 1951 and 1954, Wycliffe as a recruiting and sending organisation started work in Canada and Australia respectively, in the sixties Wycliffe organisations in several European countries were established.

The movement continued to grow and change, and by the end of 2010, what had started in 1934 with two students, had grown to 6500 workers involved in the Bible Translation movement through one of the 45 Wycliffe organisations or through participating partner organisations. SIL has been involved in the translation of the New Testament into close to 800 languages and of the complete Bible into more than 30 languages. At the time of writing (2014), partners organisations of the Wycliffe Global Alliance are involved in around 1700 languages.<sup>16</sup>

For the sake of historical accuracy, both Wycliffe and SIL were introduced into this discussion. The two organisations still partner closely, but structurally Wycliffe as the recruiting and sending organisation has undergone many changes, and the rest of this work will focus on the structure of Wycliffe. However, to understand some of the leadership challenges the Wycliffe Global Alliance faces today (see section 1.5.3) it is important to understand these roots.

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<sup>16</sup> <http://www.wycliffe.net/resources/scriptureaccessstatistics/tabid/99/Default.aspx>

### **1.5.1.3. Cameron Townsend and TRANSFORMING LEADERSHIP**

Cameron Townsend was a visionary who inspired others, and who could see enormous results. He had hoped to reach all languages with the Word of God during his lifetime. This hope was not fulfilled, he died in 1982. Instead of the assumed 500 languages in Amazonia which were his first focus, we know today that there exist around 6900 languages, out of which close to 2000 still do not have access to the Word of God in their language.

TRANSFORMATIONAL LEADERSHIP was not known during the time of his leadership. I have not experienced his leadership personally, but in the research for a paper about his “life-style”<sup>17</sup> (Meier 2008) a picture of his character started to form, and in my interaction with his former neighbours and colleagues in Peru I also could observe the traces he left. Several characteristics stand out which are closely connected to TRANSFORMATIONAL LEADERSHIP and the related leadership models (see chapter 3):

- Vision, which is such an important element in all the models around TRANSFORMATIONAL LEADERSHIP, was a very strong and driving element in his life.
- He would fit the description Conger and Kanungo give of a charismatic leader: the vision—in his case of giving everyone access to God’s Word—was a goal which was truly “highly discrepant from the status quo” (Conger 1989:29); the risks he took (and expected his followers to take) and the new and unconventional measures he introduced while pursuing this vision; the “realistic assessment ... of ... resources and constraints” (:29), which in his understanding included the very strong element of faith in an unlimited God; and the ability to communicate the vision—something he did tirelessly and to great effect during his whole lifetime.
- Characteristics that would rather fall in the area of TRANSFORMATIONAL LEADERSHIP are his personal example (“Idealised Influence”—in his own commitment to the task during difficult times, in teaching by taking people alongside him [Hefley & Hefley 1974:119ff], or in his willingness to sacrificial giving [:110, 130]), his belief in people, challenging them to grow (“Intellectual stimulation”—one example would be his assessment of Ken Pike, a then unpretentious young student [:87]), and his deep love for people (“Individualised consideration”), which showed itself in a genuine interest in everybody around him—be they cleaning ladies or presidents of states.

Section 5.3 will deal with possible negative effects of TRANSFORMATIONAL LEADERSHIP. In Cameron Townsend’s case, some of the shadow side of such a strong and charismatic personality could be seen in his first marriage: His first wife was not able to live with the effects

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<sup>17</sup> According to Alfred Adler, the “life-style” is the unity of thinking, feeling, and acting in a person. This life-style is formed through early life experiences and relationships. It remains a driving force throughout a person’s life and the decisions one has to make (Adler, Ansbacher & Antoch et al. 1995:144).

which the strong vision and his drive had on their relationship. She developed a mental illness and died after 15 years of marriage. It would be naïve to assume that such discrepant expectations as the two partners held would leave a partnership untouched. It would be equally simplistic to attribute her illness solely to this cause. However, this situation can serve as an example of an ethical dilemma a Christian leader can face, when the demands of relationships and the demands of work are in conflict. Schirrmacher (2002:93)<sup>18</sup> talks about the necessity to weigh values in ethical decision, and for the higher value to take precedence in a case of conflict of duties. For Cameron, the feeling of duty to follow the course which he felt God had set before him clearly took precedence over considerations for the needs of his wife. How much of this sense of duty was due to his own inner drive rather than God's calling will remain an open question. In terms of a Christian ethical discussion, however, it can serve as an example of the difficulties one might encounter in the striving to live an integrated life.

## **1.5.2. Current developments affecting the Wycliffe Global Alliance**

### **1.5.2.1. Intraorganisational developments**

In the beginning—as would be expected—WBT was incorporated in the USA and was structured according to US law. New organisations which started up became divisions of this central organisation. As the membership grew more diverse, it became difficult to sustain the notion that a US-organisation should be called “home” to all the members. So in 1980, “Wycliffe Bible Translators International” (WBTI) was founded as an umbrella organisation to mirror the growing diversification of the membership and their organisations (Franklin 2012:26).

In 1991, WBTI took a radical step and changed its status from an organisation of individuals to become an organisation of organisations. The member organisations changed from being “divisions” of a US organisation to being completely independent. This step had become necessary, especially because of the growing number of European organisations. They saw themselves in conflict with national laws if they, with their status of non-profit organisations locally, continued to be structurally dependent on the decisions of an organisation located outside their own countries.

One of the foundational principles of WBTI was that not only individual members of the organisations should follow Christian values of honesty and integrity, but also that the

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<sup>18</sup> Since I come from a German background, some of the sources used are German. All sources from German texts are translated by myself unless otherwise referenced. In the case of Bonhoeffer, an official translation was available, but the original German text will still appear in a footnote for reference. Original wording of the Schirrmacher quote: “Keine Ethik kommt ohne eine Güterabwägung aus, also ohne die Sicht, dass die einzelnen Werte einen unterschiedlichen Rang haben und im Falle einer Pflichtenkollision der höhere Wert Vorrang hat.” (Schirrmacher 2002:93)

practices of the organisations themselves (their business ethics) should mirror such values—which would include conformity to national laws in the registration of their associations and the formulation of association documents, transparency in financial transactions, or in board composition, etc. Membership in WBTI became a voluntary action to express the commitment to shared goals, core values and motivations of the participating organisations.<sup>19</sup>

Another decisive event was the International Conference of Wycliffe and SIL in 1999. The then Executive Director of Wycliffe and SIL, John Watters, presented his findings concerning the progress of Bible Translation worldwide: If Bible Translation would continue at the same pace as in the previous years, another 150 years—meaning basically three generations—would be necessary for the last language group to gain access to God’s Word. This was a rather shocking insight for the representatives present, and they decided to adopt a motion which became known within the organisations and their constituencies as “Vision 2025”:

Motivated by the pressing need for all peoples to have access to the Word of God in a language that speaks to their hearts, and reaffirming our historic values and our trust in God to accomplish the impossible, we embrace the vision that by the year 2025 a Bible translation project will be in progress for every people group that needs it.<sup>20</sup>

In the following years, this vision greatly challenged and changed the mode of operation of both Wycliffe and SIL. At the same time it was instrumental in moving WBTI toward becoming a global alliance.

#### **1.5.2.2. External developments and the move to a Global Alliance**

Changes did not just occur within the Wycliffe world. As has been amply shown (Johnstone 1999; Sanneh 2003; Jenkins 2011; Walls 2002; Walls 2004), Christianity is no longer a predominantly western religion. The centre of Christianity clearly has shifted from the northern and western (from a German point of viewing the globe) to the southern and eastern hemisphere. Countries, which for the time of the modern mission movement<sup>21</sup> had been the recipients of missionary work, began to participate in missionary work and to send out missionaries themselves (Müller 2002). *Vision 2025* came along at a time when this movement gained momentum, especially in Latin America (Franklin 2012:29), and many of the emerging organisations adopted Bible Translation and the use of the Scripture as one of their foci.<sup>22</sup>

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<sup>19</sup> B. Schöttelndreyer, personal conversation. B. Schöttelndreyer was part of this process as a (German) member of the board of Wycliffe International at the time.

<sup>20</sup> For the complete wording of the resolution see <http://www.wycliffe.net/resources/vision2025/tabid/98/Default.aspx>

<sup>21</sup> The start of the modern missionary movement is often associated with William Carey’s publication in 1792 about Christians’ responsibility for world missions (Tucker 1983:115).

<sup>22</sup> This is one of the differences to “traditional” Wycliffe organisations which were founded for the exclusive purpose of furthering Bible translation and ministries related to this goal (Linguistics, Literacy, use

This development opened the door to new and increased partnerships—and at the same time necessitated far-reaching structural changes within the organisation to accommodate the participation of all and to appropriately reflect this new reality. One outward sign of this process is the adoption of a new name, “Wycliffe Global Alliance”, to indicate the changing relationships of the member organisations.

#### **1.5.2.3. Shift in organisational focus**

However, the real challenge lay at a much deeper level: As has been mentioned, historically, Wycliffe had always considered itself a para church organisation, bringing their special expertise to the communities that needed it. Missiological reflection within the organisation had moved the focus to Vicedom’s *missio Dei* paradigm (Vicedom & Brandl 2002). Changing from an anthropocentric view of missions (doing something *for* God) to the more theocentric approach the *missio Dei* paradigm promotes (doing something *with* God) requires more than cosmetic changes. It requires a change in the conception of oneself: the Wycliffe Global Alliance not as a para church organisation, associated with a number of denominations, but as a part of the world wide Church of God—with the first identity as being part of a movement rather than an institution, with acting and serving as part of the global Church, rather than a closed circle of specialists, etc. This changed perception has found expression in new vision and mission statements and in a revision of the core values (see Appendix 7.4). It is a lengthy process, though, until such changes truly permeate a diverse organisation and become the driving force for action on all levels.

#### **1.5.3. Leadership challenges**

When I mentioned the topic of my dissertation to the leader of one of the organisations participating in the Global Alliance, his spontaneous response was: “Why do you even think about this? It is so clear that Situational Leadership is the way to go.” However, this reaction rather confirmed the necessity of clarifying concepts. It was by no means clear whether he referred to the model of SITUATIONAL LEADERSHIP as developed by Hersey and Blanchard (1996), or just to any leadership adjusted to the specific cultural and organisational situation of a participating organisation.

The leadership team of the Global Alliance lives constantly with this tension between the specific and the general: On the one hand they advocate “a contextualized approach where biblical, cultural, national and best practice standards are followed in governance” (Franklin 2012:1), on the other hand they are expected to give clear guidance in these matters.

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of the Scriptures). Many of the new partner organisations have Bible translation only as one focus among others (Franklin 2012:34–35).

Indeed, it will not be possible within the framework of this dissertation to give a comprehensive description of the leadership challenges facing leaders within the Wycliffe Global Alliance. Situations are extremely diverse across the many different partner organisations. The focus will rather be on some of the ethical challenges resulting especially from this diversity, and for which TRANSFORMATIONAL LEADERSHIP claims to have answers. As will be noticed, the challenges cannot always neatly be separated into categories. Often they influence and reinforce each other.

#### **1.5.3.1. Challenges concerning relational ethics**

**Challenges resulting from member diversity.** Even in culturally homogeneous organisations, it is of crucial importance that leadership take into account the varied expectations of leadership toward staff, and staff toward leadership, expectations formed by gender, personalities, or even generational differences (see for example Dulin 2008:35, 43). Within the Wycliffe Global Alliance this is then exacerbated by the multinational and multi-cultural workforce.

An additional factor within the organisations of the Global Alliance is the fact that the vast majority of their members joined the organisations because of deeply shared values. While this in general should be counted as a leadership advantage rather than a challenge, the challenge enters because of the changes explained in section 1.5.2 and the consequences these have for individuals and their work focus. It requires a deepened level of humility, living out the example Jesus gave (e.g. Jn 13:12-17), to step back in one's project, let others take the initiative, and serve them instead of doing it *for* them.

**Challenges resulting from cultural diversity.** These challenges show themselves on various levels:

- Followers' expectations of a specific leader and of leadership in general are greatly influenced by culture, with Hofstede's categories of power distance, uncertainty avoidance, and individualism (Hofstede & Hofstede 2005) having the greatest impact on leadership prototypes (Gerstner & Day 1994, quoted in Lord & Emrich 2000:560). For example, how would someone from a highly collective culture perceive "Individualised Consideration", one of the trademarks of TRANSFORMATIONAL LEADERSHIP? Or thinking about the weighing of conflicting values, which Schirrmacher talked about: Often in intercultural relationships the Christian values of honesty and love can get into conflict with each other. One culture would express love and respect for the dignity of the other person by telling even unpleasant truths, another culture would express the same things by *not* telling the truth.

- Leaders' expectations of their own roles are shaped not only by their shared Christian faith but by their cultural background. How, for example, would the Christian value of humility be expressed in a culture shaped by high power distance versus one with low power distance?
- Members of a partner organisation shaped by their specific cultural background get to know and work in other organisations shaped by other cultural and philosophical backgrounds. For example, someone coming from a rather hierarchically structured society (it is to be expected then that the organisation which is part of the Wycliffe Global Alliance would function similarly to the overall society) might work in another situation where they are maybe for the first time exposed to a democratically structured organisation. This not only poses a challenge for the receiving organisation, but the members also portray their changing expectations back to the sending organisation.

### ***1.5.3.2. Challenges relating to organisational ethics***

**Challenges resulting from organisational diversity.** The above mentioned cultural challenges do not just apply to differences between Wycliffe organisations. Often leaders of the organisations are chosen from the existing membership and their leadership experience has been in a SIL context, which is rather distinct from the local Wycliffe context.

Historically, Wycliffe member organisations have been founded with the help of other Wycliffe organisations. Even in these circumstances diversity was encouraged. However, due to the very fact that often the organisation was shaped and influenced by another organisation that served as a model, quite naturally there was a lot more similarity in the value systems and structures of the organisations than what we now observe with the growing number of partner organisations joining the Alliance—partners which were founded outside of the “sphere of influence” of the traditional Wycliffe culture. What should binding principles be for organisations coming from very distinct backgrounds (e.g. from countries where corruption is deeply woven into the social fabric)? How can the leadership of the Global Alliance help organisations, and how can organisations help each other to be examples of financial integrity in their environments?

**Challenges resulting from changing work environments.** Communication has always been an important topic in all of the organisations. While in earlier years the greatest challenge was to ensure communication with people living in very remote areas, today the challenge lies in other areas: Increasingly team members are spread over great geographical distances. Internet connections make communication possible in most areas of the world, but virtual

teams necessitate adjustments in leadership—something which Purvanova and Bono (2009:253) claim TRANSFORMATIONAL LEADERSHIP is especially suited to provide.

### **1.5.3.3. Ethics and the ecclesiastical tradition**

**Challenges resulting from theological diversity.** From the very beginning Cameron Townsend invited people into the organisation from many different theological backgrounds. The organisation's statement of faith purposefully refrained from denominational specifics.<sup>23</sup> A common love for the Bible and the desire to make it available to others were the unifying forces within the group. Theological unanimity among members was limited to such basic statements of faith as formulated by the World Evangelical Alliance.<sup>24</sup> While this is one of the real strengths of the Global Alliance, in the day to day questions of leadership it still presents challenges on many different levels, as the understanding of church, of relationships, or of leadership differ. People coming from different denominations might be aware of the obvious special focus of their denomination (e.g. issues of infant versus adult baptism, the role of the spiritual gifts, or the role of women in the church). But few people are aware of the deep imprint their denomination has left on their value system, for example on their expectations of the role of a leader and a follower within a Christian organisation; or on the relative importance and the interpretation they put on such ethically relevant issues as honesty, integrity or community—let alone the shape they expect these issues to take within the organisation.

### **1.5.3.4. Challenges relating to social ethics**

**Challenges resulting from unjust historical situations.** As organisations from all over the world interact, one aspect should not be neglected: the fact that history has deeply shaped not just situations but also the image people of a certain area have of themselves and of others. This can pose a real challenge to leaders as they strive to develop mature relationships between organisations and between individuals. This dissertation is not specifically concerned with questions arising from this aspect, so two examples shall suffice to just indicate the kinds of challenges before Christian leaders:

- Economic imbalances. How should Christian leaders of organisations from very different economic backgrounds address this imbalance within an international alliance? And in terms of TRANSFORMATIONAL LEADERSHIP's promise of success: What does success mean in non-profit organisations from such disparate backgrounds?
- Historical baggage. One perceives differing reactions: on the side of people coming from former colonial powers there is often a feeling of guilt for being part of a

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<sup>23</sup> Although in fact all members belong to denominations following the protestant/evangelical line of Christianity.

<sup>24</sup> See <http://www.worldea.org/whoweare/statementoffaith> (accessed Aug 29, 2013).



country with such a suppressive history. On the side of people from former colonies, there is the desire to finally “be someone”, finally have power. Both attitudes inhibit truly mature relationships.

Christian leaders of the organisations within the Wycliffe Global Alliance have the moral responsibility to work toward justice (see Amos 5:15.21–24), but at the same time they have to function in a world which is far from just.

#### **1.5.3.5. Leader selection**

In this area, again, the distinction needs to be made between “traditional” Wycliffe member organisations and the newer partner organisations joining the Global Alliance. As has been mentioned before, unlike member organisations, the partner organisations were not founded with the express purpose of furthering the goals of the Bible translation movement. Rather Bible translation is *one* of their goals among others. This normally means that their organisational development or leader selection are completely separated from the Wycliffe Global Alliance. This section on leader selection will therefore refer to the Wycliffe member organisations only, specifically, the European context.

Since the organisations belonging to the Global Alliance are all independent bodies, naturally, leader selection is in the hands of these bodies. Traditionally (and in most Wycliffe organisations this is still the case), the members of an organisation selected their leader from among the membership. Democracy, while not specifically mentioned in the core values, has been a driving factor in practise.<sup>25</sup> Often the decision to choose someone among their own membership was driven by rather practical considerations: Members of the organisation are self-funded (by friends and churches), and the income of the organisation did not allow for a salaried director.

During a process of leader selection the board of an organisation does look for people who have leadership skills. However, more important than skills is the character of a person: people known for their integrity, who have proven in their work and relationships their commitment to Christian values and their ability to live these values in their spheres of influence (see section 2.3.5.3 for a more extensive discussion on character).

The fact that leaders normally need to be self funded certainly helps in finding people who are motivated by the vision of Wycliffe to make God’s Word available to all instead of by financial gain. This motivation, based on their own love of Christ, enables them to invest their lives for this purpose. Leaders normally have cross-cultural experience themselves. This is

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<sup>25</sup> This does not only manifest itself in the decision to choose their own leader, but also in the strong separation between issues of the sending organisation and issues relating to the work in the country of destination: Work related questions should not be decided by people in the sending countries, but rather by people on site who are acquainted with local circumstances.

important because of the above mentioned challenges. At the same time, a leader needs to be rooted in his/her own culture, because “an encounter with the unfamiliar can only be successful if we have experienced and know ‘home’” (Chu 2001:236).<sup>26</sup>

In order to continue to learn and to critically reflect one’s decisions, Kirk Franklin, the current Executive Director of the Alliance, calls for leaders within the Global Alliance to be “reflective practitioners”, who “demonstrate an integrated nature—action and study that is local and global, yet Christ-centred and biblical”. Only if leaders are “rooted in the permanent, intimate relationship with the incarnate word, Jesus”, can they find the courage to live up to the ethical challenges confronting them in their everyday situations both in their relationship to their staff as well as the challenges their organisations face in their interaction with wider society. Only then will they also find the inner strength to admit mistakes and change where necessary (Franklin 2012:119ff). These aspects play a big role in leadership training within the Global Alliance.

#### **1.5.3.6. Leadership training**

Leadership training has been an issue in the organisations for many years. An early approach was the so-called “Townsend institute”, a leadership training package developed by SIL with a strong focus on public relations and on human resource management. It was never introduced in Europe, since European leaders at the time felt it was very US-American focused.<sup>27</sup>

This dissertation is not concerned with a comparison of the different leadership training efforts within the organisation. Therefore it shall suffice here to say that in looking at the different leadership training approaches many of the topics seem to stay the same (cultural/communication issues, organisational development, character development, etc.). Even the content of the topics covered seems to be rather similar. I suspect that what made it unacceptable to a differing cultural context lay in the approach to the topics and in the weight a certain topic would receive—a point that would be well worth investigation in the future.

One study which goes in this direction is Schubert (2007). He compared the value systems of Tanzanian and Western leaders and found that while the same words were used by leaders to define their values (e.g. mercy, love, humility, faithfulness, justice), the application of these values differed greatly depending on the cultural background. Leadership training needs to take these semantic discrepancies into account. Another point, following from the above, which complicates leadership training on a global level is the fact that because of

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<sup>26</sup> Original: “Die Begegnung mit dem Fremden gelingt nur, wenn wir selbst beheimatet sind.” (Chu 2001:236)

<sup>27</sup> P. Kingston, B. Schöttelndreyer, personal conversation.

these differing interpretations leaders from different cultural backgrounds need to develop in distinct areas. Not only does a leader need to develop in the areas where s/he has weaknesses personally, but also in areas of cultural blind spots, for example in the weight one gives to task accomplishment versus people orientation (:195ff).

Within the European setting most leadership/organisational development was accomplished in one of three ways:

- Close connection with other existing Wycliffe organisations. An established Wycliffe organisation would “adopt” one of the starting Wycliffe organisations and be a resource for encouragement, financial aid, and—if requested—guidance during the first years of the new organisation.
- Personal coaching and consultation from the Europe Area Team. This went as far as an experienced older leader from one organisation spending six months in another organisation and working alongside the newly established director.
- Leaders were encouraged to take advantage of professional leadership training offered in their country, for example the “Leadership Matters”-Course, or other secular or Christian leadership training courses.

On the Global Alliance level a series of leadership development events took place under the label “Leaders moving forward”. These events focused on foundations of the Alliance: the spiritual foundations, missiological foundations, leadership foundations, partnering foundations, and organisational foundations. It was in these meetings that within the leadership foundations topic the concepts of life-long learning and of “reflective practitioners” were introduced (Franklin 2012:32, 118ff, based on Taylor 2000)—concepts that are still key elements in the leadership discussion.

In light of this topic, another noteworthy element of the leadership foundations within the “Leaders moving forward” events is the stress on visionary leadership, since charisma and vision play a prominent role in TRANSFORMATIONAL LEADERSHIP. However, within the Wycliffe Global Alliance one can observe a similar impreciseness in the use of terms as has been described in section 1.2.<sup>28</sup>

Since 2011 leadership development topics have been considered together with several other Christian international agencies. So far, two Leadership Development Roundtable meetings have taken place out of which an “Organisational Development Process” for the Wycliffe Global Alliance has been formulated which focuses on three areas: character, skills & capacity, and direction & identity (Franklin 2012:132).

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<sup>28</sup> See for example Franklin (2012:143): “...in order for WGA to stay relevant to the *missio Dei*, it must place more effort in defining a transformational leadership model.”

All of these areas are closely connected with ethical questions, with virtue ethics playing a crucial role in the development of character. Integrity as a key virtue in turn will have great impact on how a leader approaches any development in the other two areas: A virtuous leader will keep a watchful eye on the direction the organisation takes, s/he will make sure that s/he builds up skills and capacity in such a way that the value system of the organisation will not be undermined but strengthened, and s/he will also pursue the vision of the organisation in an ethical way—a way which is good and helpful not only for him/herself, but also for the relationship to other members of the organisation, as well as for the organisation's interactions with other organisations and its stand in the overall society. TRANSFORMATIONAL LEADERSHIP claims to offer ethically sound methods that deal with these questions. Chapter 5 will investigate further the legitimacy of this claim.

### **1.6. Structure of the dissertation**

In this introductory chapter the background for the topic was specified as it relates to leadership studies on the one hand and the development within the Wycliffe Global Alliance on the other.

**Chapter 2** will specify the methodology used in this dissertation based on the research questions and goals for the dissertation specified in the previous chapter (section 1.3). It will explain why a literature review with critical analysis was chosen as the appropriate method for this dissertation and describe the steps taken in this process. Since this dissertation is located in the field of Christian leadership, drawing from theological ethics as well as leadership studies, the distinction between secular moral philosophy and Christian ethics will be explored to specify the framework for the later discussions. Also key concepts relating to leadership and culture which will be of importance in this dissertation will be described. And based on these discussions, the interplay of world view, intention, character, and *menschbild* will be introduced as an evaluative parameter to be used throughout the dissertation, and especially in chapter 5. The chapter will also include a short introduction to the main primary sources on which this dissertation draws.

**Chapter 3** is dedicated to the description of TRANSFORMATIONAL LEADERSHIP and its placement within leadership models of the last century. The chapter will present a chronological overview of influential leadership models as they present themselves in the literature. This will assist in understanding the development of TRANSFORMATIONAL LEADERSHIP as part of a bigger phenomenon.

Since charisma plays such an important role within TRANSFORMATIONAL LEADERSHIP, it is crucial to also understand the roots of CHARISMATIC LEADERSHIP and the different streams

which have influenced TRANSFORMATIONAL LEADERSHIP. Therefore the chapter starts with Max Weber as the “father” of the sociological notion of charisma. Today the lines between the different leadership models are anything but clear cut. Comprehending Max Weber’s approach is helpful for understanding some of the discussions between different proponents of CHARISMATIC/TRANSFORMING/TRANSFORMATIONAL LEADERSHIP today (for example Conger versus House, or Beyer versus Bass).

Special consideration will also be given to Robert House and his theory of CHARISMATIC LEADERSHIP, as well as to Robert Greenleaf and his theory of SERVANT LEADERSHIP. The former because of the close connections between this theory and TRANSFORMATIONAL LEADERSHIP, the latter because of the surprising *missing* connections, especially between SERVANT LEADERSHIP and TRANSFORMING LEADERSHIP.

The remaining part of the chapter will then explain the development, and outline the ideas of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP, starting with Burns and continuing with Bass, who claims to have further developed Burns’ model.

The chapter will close with a brief explanation of newer developments within the field.

**Chapter 4** will investigate the relationships between the different streams of TRANSFORMING/TRANSFORMATIONAL LEADERSHIP. In the introductory part of the present chapter, reference has been made to the confusion within the field of TRANSFORMATIONAL LEADERSHIP. Sections 4.2 and 4.3 will show that Burns and Bass do not actually propose the same model, but follow very different manifestations of what they call TRANSFORMING/TRANSFORMATIONAL LEADERSHIP with Burns’ foundations being much more in line with the SERVANT LEADERSHIP model than with Bass’ TRANSFORMATIONAL LEADERSHIP.

**Chapter 5** will give a critical examination of TRANSFORMATIONAL LEADERSHIP’s claim concerning the inherent ethical nature of the model. Much of the confusion around the model and the criticism it receives has its origin in this claim. The first step will be to look critically at the ethical foundations of the model. It will then be possible to show how this assumption influences (and hinders!) a fruitful discussion about negative examples of leadership. Special consideration will be given to the critiques of Tourish and Neuberger, since they are concerned not with methodological but with ethical aspects, the use of power and the question of affiliation based on the ideological nature of the models respectively.

The chapter will close with an application of the framework introduced in section 2.3.5 and will indicate a few areas where this framework reveals the limitations of TRANSFORMATIONAL LEADERSHIP’s claim to universal applicability.

**Chapter 6**, finally, will wrap up the discussion by evaluating the findings in the light of a specific Christian ethical concept, Bonhoeffer’s understanding of the four mandates (work,

marriage and family, government, Church) in the interplay of responsibility and freedom. This will give Christian leaders in general, and leaders within the Wycliffe Global Alliance in particular, a framework on which to base their own evaluation of the many offers of “proven methods” which come their way.

## **2. Methodology**

### **2.1. Introduction**

As has been stated elsewhere, the reason for this study is a rather indiscriminate incorporation of promising secular leadership techniques by Christian leaders without careful evaluation of the principles on which the techniques are based. Unquestioning acceptance of methods can result in two problems for a leader: A loss of personal integrity by using methods that compromise or undermine the ethical foundations of the leader, and—for leaders working in a multicultural context—failing one’s staff by subjecting them to a culturally inappropriate leadership style. This dissertation aims to look into these problems.

The methodology chosen in a dissertation needs to match the stated goals for the dissertation. This will affect both the research design as well as the discipline(s) from which it will draw. Mouton (2001:57) makes the distinction between empirical studies, which are concerned with the analysis and interpretation of data (gathered by the researcher or by others), and non-empirical studies, which are concerned for example with the analysis of concepts. This chapter will describe the reasoning behind choosing a non-empirical approach. It will also clarify why a cross-disciplinary approach was deemed necessary, specify the disciplines this work draws from and the limitations such choices imply. It will describe the theoretical paradigm from which this dissertation investigates TRANSFORMATIONAL LEADERSHIP and introduce the parameters for evaluation, which will be applied throughout the following chapters. An introduction to the literature will also be provided. Lastly it will give some specifications concerning the ethical standards of this dissertation—it would contradict the essence and findings of this dissertation to write about ethics without following a code of ethics in one’s own work.

### **2.2. Research design**

Mouton (2001:138) introduces the concept of the “3 Worlds” to explain levels of analysis within science. Applied to the area of leadership, “World 1” would refer to the practical questions of everyday life: leadership challenges, for example as specified in section 1.5.3. Reflection on these challenges Mouton would place in the realm of what he calls “World 2”, the world of science, where people look for truthful answers to the questions posed in “World 1”. This is the framework within which leadership models would be developed, tested, evaluated, and refined. However, research questions 1 and 2, as stated in section 1.3 (page 9) do not deal with the effectiveness of a theory, nor do they aim at further refining a theory. Rather they are concerned with how the theory of TRANSFORMATIONAL LEADERSHIP evolved and with

the underlying assumptions on which it is built. Such reflection on the results of reasoning on a “World 2”-level Mouton would place in “World 3”, a framework of meta-science.

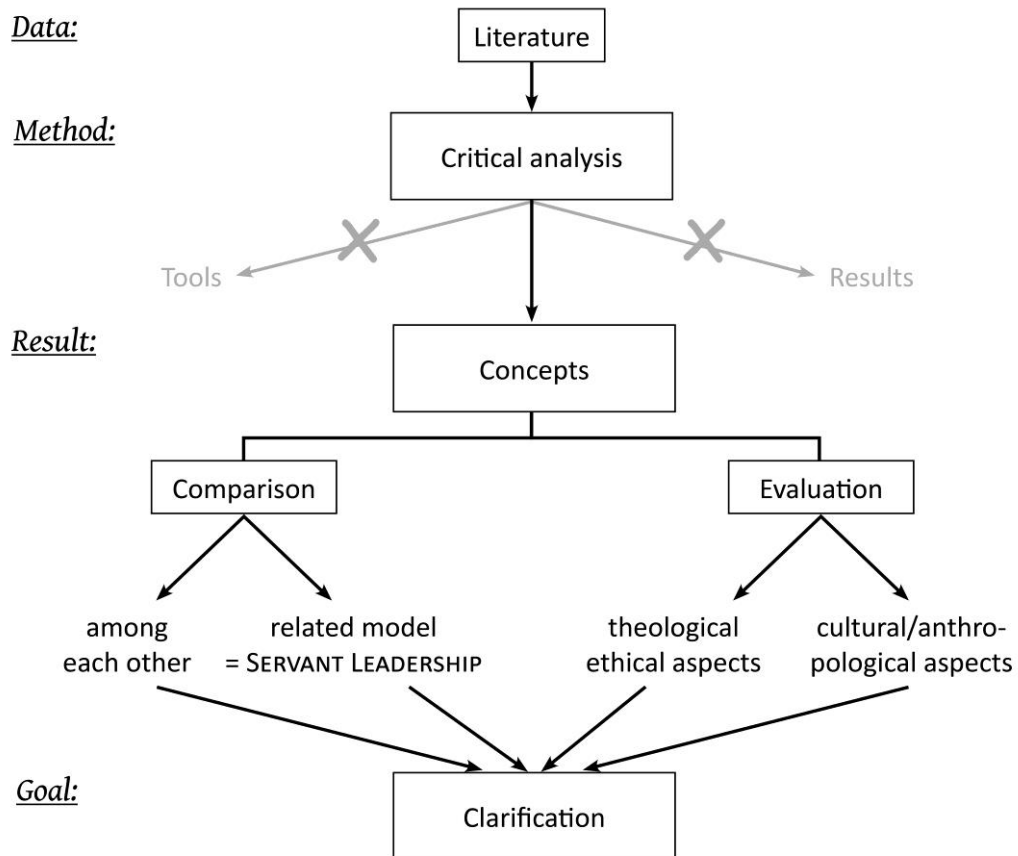
An empirical research method measuring effect or impact of TRANSFORMATIONAL LEADERSHIP (and thus reflecting on TRANSFORMATIONAL LEADERSHIP on a “World 2”-level), would therefore not be conducive to the research goals listed. Rather than empirical research, a critical analysis of the literature on which the theories are based, together with content analysis of the key concepts involved, offers itself as an appropriate method of investigation for these kinds of questions. A typical literature review would give a comprehensive overview of the literature dealing with TRANSFORMATIONAL LEADERSHIP. However, as will be explained in section 2.4, the field has exploded in such a way that it will not be possible within a dissertation like this to give a truly comprehensive overview and still find room to answer the research questions. The literature review within this chapter will therefore only indicate the main sources on which this dissertation draws.

In terms of the ethical appraisal the situation is slightly different: The question here is not an evaluation of ethical theory. Rather, it is the application of one ethical approach, Christian ethics, to concrete situations; something which, in Mouton’s framework, would be a discussion on a “World 2”-level.

Theories can be developed in different ways: Middendorp makes the distinction between a “modellist approach” and a “theorist approach”. The modellist starts with observed results and extracts from them generalised principles. The danger of this purely inductive approach is that theories resulting from a limited range of data will also have limited applicability—and thus fall short of the claim of producing comprehensive theoretical constructs. On the other hand, theories constructed by using the deductive theorist approach do not normally specify clearly the contingencies influencing different aspects of the model—and thus open the way for a researcher working with the theory to “‘operationalize’ it in a manner that suites his [sic] particular ‘auxiliary theory’” (Middendorp 1991:236). Observing what is happening in the field of CHARISMATIC and TRANSFORMATIONAL LEADERSHIP, one can watch the effects of his diagnosis. He then calls for a synthesis of the two approaches, carefully “explicating definitions” pertaining to the construct to give researchers a comprehensive framework from which to conduct their research.

While this dissertation is concerned with understanding existing leadership models and not with conceptualising a new model, his distinction has influenced the method used in this work, following a more deductive approach in the “Comparison” part of the dissertation, a more inductive one in the “Evaluation” part.





**Figure 2: Overview of the methodology**

Figure 2 gives an overview of the steps I plan to take:

The starting point is existing literature: source texts by the founders of the models as well as writings of their followers and opponents. TRANSFORMATIONAL LEADERSHIP has been developed on a rich heritage of leadership research and model development. To “explicate”—as Middendorp would call it—the roots on which it is built and clarify the influences that have shaped it, the starting point will be a critical look at preceding theories, culminating in CHARISMATIC LEADERSHIP. This will show what influenced the development of these roots, and indicate the changing focus in leadership research. Without the development which these earlier models have gone through, TRANSFORMATIONAL LEADERSHIP would probably not have developed the way it did.

Based on these insights TRANSFORMATIONAL LEADERSHIP will then be investigated by a critical analysis of the different streams of the theory. The focus of analysis will be solely the concepts underlying the model, not research tools developed for evaluating the model nor the results of empirical research. The latter two areas would have to be considered if the goal was to prove or disprove the claims of TRANSFORMATIONAL LEADERSHIP based on research results—in other words: if the effectiveness of TRANSFORMATIONAL LEADERSHIP was to be confirmed or refuted. Numerous studies have proven the effectiveness of TRANSFORMATIONAL

LEADERSHIP in a variety of circumstances.<sup>29</sup> As specified in the previous section, the goal of this dissertation, however, is of a more evaluative nature and can better be reached by a theoretical discussion, concentrating on the concepts.

Once the concepts governing the different streams of TRANSFORMATIONAL LEADERSHIP have become clear they can be compared among each other and to a small degree with the related model of SERVANT LEADERSHIP. This latter comparison will be necessary to undergird the claim that in fact there are two very distinct models of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP which are wrongfully considered one. Chapter 4 will be dedicated to this comparison. In a second step, in Chapter 5 the models will be evaluated using the parameters which will be introduced in section 2.3.5.

### 2.3. Definition of parameters

It was Kellerman who said that some of the confusion in the field resulted from researchers not specifying their frame of reference (Kellerman 2002a:x). I therefore want to clarify that this dissertation will approach TRANSFORMATIONAL LEADERSHIP mainly from the perspective of Christian ethics as specified in section 2.3.2. This approach seems logical for two reasons:

- (a) A main concern of the dissertation is whether and in what ways the model of TRANSFORMATIONAL LEADERSHIP could be beneficial for leadership within a Christian context.
- (b) It has been mentioned before that one of the main claims of TRANSFORMATIONAL LEADERSHIP is that it is inherently ethical. So it is natural to approach this topic within the field of Christian theology from the perspective of Christian ethics and investigate what the ethical foundations of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP are.
- (c) TRANSFORMING LEADERSHIP frequently employs vocabulary borrowed from the religious realm (vision, mission, charisma, commitment, spirituality). It seems therefore appropriate that it should also be investigated from a religious angle—in this case from the religion that is close to this writer's life and thought: Christianity.

Within this theological approach the special interest of the writer lies in cross-cultural leadership, which implies an anthropological perspective. Working as a multi-national and multi-cultural organisation in equally diverse environments poses a host of challenges for the leadership teams of member organisations of the Wycliffe Global Alliance (see section 1.5.3). Answers are proposed from many different sides, and especially the model of TRANSFORMATIONAL LEADERSHIP claims universal applicability. Leaders of the different Wycliffe organisations constantly have to decide which voices and recommendations they want to follow. The

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<sup>29</sup> Choosing a leadership method just for being proven to be effective, however, from an ethical standpoint would be a rather questionable decision. It would clearly reveal the prime value of the one making such a decision: success without consideration of the consequences for others.

intention of this research, therefore, is to give them the opportunity to get clarification about the concepts—concepts which are based on *principles* rather than on *methods*. Once *principles* have become clear, categories for evaluation can be established and it will be possible to decide which of the *methods* a certain leadership model offers would be applicable in a certain context. In other words: Out of this process will grow the freedom to differ—the freedom of adaptation of a model.

Much of the confusion in the field of TRANSFORMATIONAL LEADERSHIP is the result of imprecise definitions. In order not to further the resulting imprecision, this section will serve to clarify basic assumptions for this dissertation:

- the use of the term “model”;
- the difference between secular moral philosophy and theological ethics;
- the use of the term “cultural leadership” in the literature and in this dissertation;
- the place of Christian leadership within the leadership discussion.
- Lastly, this section will, on the basis of one’s world view, introduce intention, character, and *menschenbild* as concepts that will be used throughout the rest of the dissertation as evaluative parameters.

### 2.3.1. Leadership models

Leadership models (including TRANSFORMATIONAL LEADERSHIP) are very much concerned with methods (see section 3.4.2.1 for an example). This is quite understandable. Methods can be taught and thus organisations hope to replicate success which happened somewhere on account of these methods. However, the myriads of definitions and refinements of definitions of *the* successful leadership model are a clear indication of the futility of such an approach. Chapter 3 will give an overview of the leadership models that have been developed over the last decades and how they influenced TRANSFORMATIONAL LEADERSHIP. It is striking how models have been refined and adjusted over and over again, new aspects included, and others discarded. Even without looking at proof by empirical studies which confirm it, a simple observation of what is and has been happening in the field very strongly suggests that there is not *one* leadership style/method that would be applicable across all cultures. The same is true for “biblical” leadership: A single form of biblical leadership does not exist (see section 2.3.4).

Leadership models—like any other philosophical construct developed by people—are shaped by the personal experience, the life and ultimately by the world view of the person(s) behind it. As in an iceberg one cannot just separate the visible part (methods [=behaviour] suggested or even prescribed by the model) from the underlying invisible part (values, beliefs, perception of reality). Therefore, it is important to clearly indicate the situations when one refers to such a model. By indiscriminately adopting a model, one also tacitly accepts the

underlying values. It is for this reason that in this dissertation the use of SMALL CAPS was introduced to distinguish specific leadership models from a more casual use of a term (i.e. transformational leadership as basically any type of leadership action that leads to transformation versus TRANSFORMATIONAL LEADERSHIP as the type of leadership characterised by the elements defined by Bass).<sup>30</sup> This dissertation is concerned with such models.

Only if leadership scholars manage to look beyond methods and start defining underlying principles will it be possible to arrive at definitions that can be used more widely. Chemers (1997) with his approach to leadership studies by defining leadership functions and processes goes in the direction of looking behind methods, and Heifetz (2000) with his definition of leadership as helping people deal with adaptive challenges, and with his stress on explicating the values underlying a certain approach takes it even to a deeper level.

### **2.3.2. Christian ethics and moral philosophy**

The driving force behind any kind of moral philosophy is the question: What is a good life? And how can it be realised? To come to an answer to this question, ethical decision making happens on different levels. The foundation are basic convictions about morality: What is the source of morality? What is the essence of a good life? How can it be achieved, and where does the motivation to lead a moral life come from? Does it come from human reasoning, is it a feeling inherent in human beings, or is it defined by an outside force or Being, like God? On this foundation people then define their moral standards and apply them to concrete situations.

#### **2.3.2.1. Theological ethics**

Through the 18th century the questions about the source and content of morality were the main concern of moral philosophers. Explanations for what constituted a good life and a good person and how it could be achieved varied from one philosophical school to the next. However, there was one question which kept coming up and on which one school after another had to pass: How can self-interested people be motivated to do the right thing? Why should one act justly, if one could gain more by an unjust action?<sup>31</sup> Plato had been convinced that once people had really understood virtue they would automatically act virtuously—an assumption which later philosophers very much questioned—however, without being able to provide a satisfactory answer either. John Butler, for example, had introduced the notion of

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<sup>30</sup> Naturally, this differentiation was only applied to text by the author of this dissertation, not to quotes from other sources.

<sup>31</sup> On first sight, this question seems pertinent especially in an individualistic culture. However, it applies equally to collectivistic cultures. The only difference is the point of reference: Whereas in an individualistic culture the reference point is the individual as against “the other”, in a collectivistic culture it would be the in-group as opposed to an out-group.

conscience. But he could not explain why people would want to follow their conscience if they could see that by doing so they would curtail their own happiness—a hard question indeed if one has proclaimed the attainment of happiness to be the ultimate goal of a moral life. Similarly to Butler, Sidgwick, an influential utilitarian, had to contend in the end that he had not found an answer to the question how utilitarianism and egoism could be reconciled—over and over again moral philosophy came to a point of inertia in relation to this question. This is an aspect which needs to be kept in mind as one considers the ethical claims of TRANSFORMATIONAL LEADERSHIP.

Even though theological ethics and general moral philosophy were close companions for several hundred years and have influenced each other, in terms of its foundations, theological ethics needs to be distinguished from moral philosophy. Schockenhoff defines Christian ethics as:

a theory of human behaviour under the claim of the Gospel. [Theological ethics] investigates a good life and right actions from the perspective of the Christian faith, and considers the implications for such life and action as resulting from the fact that the questions about their ultimate goal will be answered in the light of a specific concept of human fulfillment, a concept based on biblical revelation. (Schockenhoff 2007:19–20)<sup>32</sup>

Because this concept places the personality of God as described in the Bible and the principles God defined at the core of ethical thinking, and because this biblical concept is also not identical with the understandings of other schools of moral philosophy of what constitutes happiness (see Mt 5:3–12), theological ethics will necessarily be experienced as a critical counterpart for secular moral philosophy.<sup>33</sup>

Any ethical system is heavily influenced by the cultural background in which it develops. In the case of Christian ethics there was clearly a strong hellenistic influence. Nevertheless, the roots are found in a Hebrew understanding of ethics, an understanding where happiness was a result of living in the covenant Yahweh made with a whole people group. The New Testament gave early Christians a deepened understanding of the character of this God: 1 John 4:16 formulates it very simply as “God is love”—God as the prototype of morality

<sup>32</sup> Original: “[Theologische Ethik] versteht sich als eine Theorie der menschlichen Lebensführung unter dem Anspruch des Evangeliums. Sie fragt nach dem guten Leben und richtigen Handeln in der Perspektive des christlichen Glaubens und bedenkt die Konsequenzen für dieses Leben und Handeln, die sich daraus ergeben, dass die Frage nach seinem letzten Ziel im Lichte einer bestimmten, nämlich einer der biblischen Offenbarung entnommenen Vorstellung menschlicher Erfüllung beantwortet wird.” (Schockenhoff 2007:19–20)

<sup>33</sup> Chris Wright compares the Biblical account of reality with postmodern thinking and finds many areas where they would conform. But then he indicates the point where the two part, which is in the Bible’s “insistence that through all this variety, locality, particularity and diversity, the Bible is nevertheless actually *the* story. This is the way it is. This is the grand narrative that constitutes truth for all” (Wright 2006:47). Both the decision for as well as the decision against the acceptance of such a reality is a decision based on faith.

(Bruce 1909:38, quoted in Schirrmacher 2011b:27), as someone who in the very essence is a moral Being.

Such a claim as equalling God with love is only possible on the premise of the trinity, because the concept of love presupposes relationship (Nullens & Michener 2010:154ff; Schirrmacher 2011b:34, 200). The triune God does not need creation to give or receive love. Jesus, as part of the trinity refers to this when he prays: “Father, I want those you have given me to be with me where I am, and to see my glory, the glory you have given me because *you loved me before the creation of the world*” (Jn 17:24; emphasis EM).

In terms of the relationship with the created world, God’s character of being love shows itself in passionate concern:

- for justice (Ex 23:1–3; Dtn 24:14,17; Isa 10:1–2; Jer 9:6–8; Amos 1:3);
- for the care of the weak, the abandoned, or strangers (Ex 23:9; Amos 2:6; 3:9; 4:1–2; 8:4–7; Jer 7:5–6);
- for mercy (Ex 22:22–26; Jer 9:23; Mt 18:23–35);
- for the wellbeing of creation and human life (Ex 23:4–5; Dtn 28:2; Isa 35:4–7; Hos 11:12);
- for reconciliation and restoration (Is 48:17–18; Prov 16:7).<sup>34</sup>

The fact that God’s passion for these things needed to be formulated shows that human life does not happen in a perfect world. Theological ethics takes the fallenness of human nature into account, which “goes deeper than the ethical concept of lack of virtue or the legal concept of crime” (Kretzschmar 2009:29), because it indicates separation from God—the result of which is the desire of human beings for personal gain even to the detriment of others, which is at the root of many of the immoral situations that can be observed even today. But it is the strength of theological ethics that it also counts on God’s answer to the fallenness of human nature: redemption made possible through the death and resurrection of Jesus, and the resulting possibility of profound change (see section 2.3.5.3 for a further development of this thought). Through the indwelling of God’s Spirit a believer would be enabled to follow God’s example of love.

Love can only command whoever can awaken it. It is something bestowed before it is commanded. It is an offering before it becomes a task, it is given before it is demanded. Because love only develops out of love, it is always requited love. Therefore it can only be a gift of the creator, an echo of the

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<sup>34</sup> It will be noted that some of the passages quoted refer to several of these points. It is difficult to separate them neatly into distinct categories—which is not surprising, because they are expressions of the unified character of God.

creator's love, which—as the creator's love—in itself is creative.  
(Lütgert 1938:30; quoted in Schirrmacher 2011b:201)<sup>35</sup>

It is important to note that the difference between secular moral philosophy and Christian ethics does not originate in the areas of normative ethics or even applied ethics; it is in the basic convictions about the foundation of morality where the distinction between the two is to be found today, and it is indeed a very distinct foundation! According to Bonhoeffer, “the source of a Christian ethic is not the reality of one's own self, not the reality of the world, nor is it the reality of norms and values. It is the reality of God that is revealed in Jesus Christ” (Bonhoeffer, Floyd & Green 2008:49).<sup>36</sup>

Such a starting point in the person and character of God has profound effects on many aspects of normative ethics: “Of ultimate importance, then, is not that I become good, or that the condition of the world be improved by my efforts, but that the reality of God show itself everywhere to be the ultimate reality” (:47–48).<sup>37</sup> The question which Christian leadership therefore needs to ask of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP is: Do the principles and methods promoted by these leadership methods contribute to the manifestation of this reality of God in a leader's sphere of influence?

### 2.3.2.2. Normative ethics

Since the beginning of the 19th century the focus within moral philosophy has been on questions of normative ethics: On what grounds should actions be considered morally good or bad? As can be expected, the answer to the question how moral behaviour should be defined was influenced by a philosopher's answer to the basic question of the source of morality. The main streams of normative ethics are as follows:

**Deontology.** Deontologists consider an action good or bad for its own sake, regardless of the result. What makes it good or bad is conformity to some authority who has the prerogative to

<sup>35</sup> Original: “Daher kann Liebe nur der gebieten, der sie erwecken kann. Sie ist zunächst etwas Gegebenes, ehe sie etwas Gebotenes ist. Sie ist Gabe, ehe sie Aufgabe ist, sie wird geschenkt, ehe sie gefordert wird. Denn sie entsteht nur aus Liebe und ist immer Gegenliebe. Darum kann sie nur Gabe des Schöpfers sein, ein Wiederhall seiner Liebe, die als Liebe des Schöpfers selbst schöpferisch ist.” (Lütgert 1938:30; quoted in Schirrmacher 2011:201)

<sup>36</sup> Original: “Der Ursprung der christlichen Ethik ist nicht die Wirklichkeit des eigenen Ich, nicht die Wirklichkeit der Welt, aber auch nicht die Wirklichkeit der Normen und Werte, sondern die Wirklichkeit Gottes in seiner Offenbarung in Jesus Christus.” (Bonhoeffer 1958:56)

<sup>37</sup> Original: “Wo sich das ethische Problem wesentlich in dem Fragen nach dem eigenen Gutsein und nach dem Tun des Guten darstellt, dort ist bereits die Entscheidung für das Ich und die Welt als die letzte Wirklichkeit gefallen. Alle ethische Besinnung hat dann das Ziel, daß ich gut bin und daß die Welt durch mein Tun gut wird. Zeigt es sich aber, daß diese Wirklichkeiten des Ich und der Welt selbst noch eingebettet liegen in eine ganz andere letzte Wirklichkeit, nämlich die Wirklichkeit Gottes, des Schöpfers, Versöhhners und Erlösers, dann tritt das ethische Problem sofort unter einen völlig neuen Aspekt. Nicht, daß ich gut werde, noch daß der Zustand der Welt durch mich gebessert werde, ist dann von letzter Wichtigkeit, sondern daß die Wirklichkeit Gottes sich überall als die letzte Wirklichkeit erweise.” (Bonhoeffer 1958:55)

define norms and values (for example the Ten Commandments of the Bible, or duty, like in the case of Immanuel Kant). If one accepts God as this reality, “then that reality (or rather his reality) authorizes a range of responses as appropriate, legitimate and indeed imperative. These include not only the response of worship but also of ethical living in accordance with this God’s own character and will” (Wright 2006:54). God’s principles therefore have binding character and are not only suggestions for a successful life.

However, theological ethics is not purely deontological. This can be seen even in the Old Testament, where God had given Israel laws governing life. In Lev 18–20 God introduces the laws regulating the day-to-day interactions with the repeating pattern: “Follow this and that *because I am Yahweh.*” The basis for these laws lay in God’s *character*. The people of Israel, as partners in the covenant with Yahweh, were supposed to keep them with the reasoning that they belonged to this God (Lev 11:45) and that only high moral standards could be appropriate for a people associated with Yahweh, who was perceived as the source of goodness (Ps 23:6; 1 Chr 29:11–14; Ps 145:7–16). Loving God was put down as the foundation on which the law rested (Dtn 6:4–5).

Early Christians needed to scrutinise their Jewish roots on the basis of Jesus’ teaching and his challenge not to get stuck with the letter of the law but follow the higher principle of love (Mt 5:20ff). Jesus formulated it for them when he clarified the law in the double commandment of love (Mt 22:37–40): Loving God and loving one’s neighbour as the fulfillment of the whole law and as the way to a truly good and meaningful life in communion with God, with one’s fellow human beings and with creation. This love would not invalidate the law (Mt 5:17), rather it would show itself in behaviour which would go far beyond what the law had demanded (see Mt 5–7).

In addition, ethical evaluations are often not straightforward. Sometimes they necessitate a decision between two or more options that include elements which are right or wrong.<sup>38</sup> Bonhoeffer points to two dangers if one considered Christian ethics as purely deontological:

- One tries to escape this possible dilemma in decision making by retreating to “the safe way of duty” (Bonhoeffer, Floyd & Green 2008:79),<sup>39</sup> putting the responsibility for an action on the one from whom the order originated.
- One limits the boundaries for which one feels ethically responsible. In the German context, through our historical background we are extremely sensitised to the

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<sup>38</sup> Bonhoeffer’s involvement in the resistance movement during Hitler’s regime would for example force him to consider which was the worse crime: to kill someone (a despot) or to look on as the despot killed others.

<sup>39</sup> Original: “Aus der verwirrenden Fülle der möglichen Entscheidungen scheint der sichere *Weg der Pflicht* herauszuführen.” (Bonhoeffer 1958:13)



dangers of resorting to duty. But within German Christianity one still can observe this second pitfall.

In flight from public controversy this person or that reaches the sanctuary of a private virtuousness. Such people neither steal, nor murder, nor commit adultery, but do good according to their abilities. But in voluntary renouncing public life, these people know exactly how to observe the permitted boundaries that shield them from conflict. They must close their eyes and ears to the injustice around them. Only at the cost of self-deception can they keep their private blamelessness clean from the stains of responsible action in the world. (:80)<sup>40</sup>

Theological ethics cannot resort solely to duty. The goal of duty is to not do anything which is wrong. The challenge of theological ethics, though, is not just to evade the wrong, but to do right: to live in a way which is appropriate to the God who is at the root of theological ethics.

**Consequentialism.** Consequentialists (who employ a teleological approach) judge the morality of an action by looking at whether it contributes to a certain *telos* (goal, purpose, or direction). The best known theory in this camp is utilitarianism. Within the realm of utilitarianism a number of styles have developed which differ in what they consider a preferable *telos*. Classical utilitarianism for example, as introduced by Bentham, judged each action according to its contribution to an increase of pleasure or a decrease of pain. And even though later proponents, like Mill, encouraged following some rules (e.g. “promises should be kept”), the morality of the action still does not lie in following the rule, but in pursuing the *telos*, for example the increase of happiness. It just so happens that it is conducive to this goal if one keeps one’s promises.

For Christian ethics the main question in this regard is the content of the *telos*. Christian ethics cannot be content with anything less than what God considers the good of all of creation as described above: *Shalom* in the relationships between God, humans, and creation. However, since theological ethics is based on the *reality* and the *character* of God and not just on the *telos* which—based on God’s character—is declared as good, theological ethics is equally concerned with developing the character of the people following God.

**Virtue ethics.** This area of normative ethics combines elements of the two preceding ones, but focuses on personal character and conduct. In terms of Christian ethics, in this area the

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<sup>40</sup> Original: “Auf der Flucht vor der öffentlichen Auseinandersetzung erreicht dieser und jener die Freistatt einer *privaten Tugendhaftigkeit*. Er stiehlt nicht, er mordet nicht, er bricht nicht die Ehe, er tut nach seinen Kräften Gutes. Aber in seinem freiwilligen Verzicht auf Öffentlichkeit weiß er die erlaubten Grenzen, die ihn vor dem Konflikt bewahren, genau einzuhalten. So muß er sein Auge und Ohr verschließen vor dem Unrecht um ihn herum. Nur auf Kosten eines Selbstbetruges kann er seine private Untadelhaftigkeit vor der Befleckung durch verantwortliches Handeln in der Welt erhalten.” (Bonhoeffer 1958:13)

questions of freedom and responsibility have to be considered. The deontological aspect of Christian ethics presupposes an outside authority. However, according to Wright (2006:53), “authority is not just a list of positive commands; authority includes legitimating permission. Authority authorizes; it grants freedom to act within boundaries” and turns one into “an *authorized* person, liberated by, while still subject to, the authority of the realities” issuing the authorization. Out of this freedom to decide and to act grows responsibility. Ethics is concerned with the good life and becoming a good person—in contrast and in combat with factors inhibiting or destroying life. This can only be achieved, if people look beyond rules and engage as full persons in truly responsible behaviour: “Those who limit themselves to duty will never venture a free action that rests solely on their own responsibility, the only sort of action that can meet evil at its heart and overcome it” (Bonhoeffer, Floyd & Green 2008:79).<sup>41</sup>

Section 2.3.5 will explore these connections further.

### **2.3.2.3. Applied ethics**

Applied ethics is concerned with the practical questions of how to live a good life, i.e. how one’s normative ethical convictions, based on one’s beliefs about the source of morality, are put into practice. It is the fact that human beings live in community—and thus constantly make decisions which affect others in the community—which constitutes the necessity to reflect about these decisions. Moral philosophy, therefore, in the end is concerned with how a person should “live her life when she takes into account in a sympathetic way the impact of her life and decisions on others” (Copp 2011:4). The areas of concern for applied ethics are as varied as life itself. They include:

- every aspect of life and death (e.g. the questions of abortion, euthanasia, or suicide);
- relationships between individuals (e.g. questions of marriage, family, sexuality, gender);
- relationships in and between organisations (e.g. work, financial accountability, exploitation, code of conduct in business dealings);
- the society at large (e.g. education, slavery, role of the state, war);
- science (e.g. genetic manipulation, cloning, animal or human experiments);
- the environment (exploitation of environmental resources).

Naturally, this dissertation will have to limit itself only to a very small aspect of applied ethics, namely ethical questions of leadership, and even more specifically, how Christian

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<sup>41</sup> Original: “In der Begrenzung auf das Pflichtgemäße aber kommt es niemals zu dem Wagnis der freien, auf eigenste Verantwortung hin geschehende Tat, die allein das Böse im Zentrum zu treffen und zu überwinden vermag.” (Bonhoeffer 1958:13)

ethics would evaluate the ethical questions which arise in connection with TRANSFORMATIONAL LEADERSHIP. It is logical that depending on the stand one takes in the normative ethical realm one would reach different conclusions as to how to judge an act and also as to how to develop morally.

#### **2.3.2.4. *Christian ethics and Bonhoeffer***

For this writer one specific ethical approach has been of great importance: the approach of the German theologian Dietrich Bonhoeffer.<sup>42</sup> As a young person, I was intrigued by his radical honesty and his integrity. He did not shirk from unpleasant questions and was willing to stand up for what he considered right and good—even willing to pay for it with his life. His thoughts on community (Bonhoeffer 2001) were challenging for a typical German individualist.

During the years when I lived in an intercultural context another aspect of Bonhoeffer's theology became important: For the first time, coming from a rich Western country, I was confronted with a much poorer environment in South America and the questions of justice, equality, and guilt needed to be dealt with. What was my responsibility as someone from an affluent country? How could I live responsibly knowing that quite a bit of the affluence of the Western world has resulted from exploitation of the not so privileged parts of the world? Was it possible to face these issues and yet not become paralysed by a sense of helplessness or guilt? In this context, Bonhoeffer's stress on a Christian's reliance on the grace and forgiveness of God and his challenge to not retreat to the area of "private virtuousness" (Bonhoeffer 1986:67) by evading these kinds of questions became important (Bonhoeffer, Floyd & Kelly 2001). For Bonhoeffer, ethics is not a ready made system in which someone could pick answers for any question. He did not avoid the complexity of the world in which he lived, but in all the complexity he brought the Christian back to the reality of and the relationship with God. Firmly grounded in God's redeeming grace, Christians could obey God's call on their lives and, in freedom and responsibility, make decisions before God.

Moral theology so construed is not a program, but a theologically attuned ear which directs the constant rediscovery of, and reorientation within, our place in creation. Ethics thus serves human salvation as the processes of hearing, repentance and sanctification. (Brock 2005:28)

Since Bonhoeffer's approach seems especially pertinent to the questions raised in the context of this dissertation, an outline of the relevant aspects of his ethical perspective shall be introduced here.

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<sup>42</sup> For a detailed biography of Bonhoeffer see Metaxas (2010).

**Bonhoeffer's four mandates.** According to Bonhoeffer, God's relationship with this world manifests itself in four mandates which God instituted through the Bible: work, marriage and family, government, and the Church (Bonhoeffer 1986:207ff, 287ff). Bonhoeffer's use of terminology indicates that he does not consider these static institutions, but rather dynamic processes in which God wants us to participate (Nullens 2013:21) and in which we are to "[tease out] the theologically relevant facts of our context in order to situate prayerful judgment about the way forward" (Brock 2005:23).

Work. This mandate finds its beginning in Genesis 2:15 and includes ultimately not only physical labour, but everything connected to human work life (i.e. also science or art). The goal of work as a divine mandate is to participate in God's creative activity by using God's creation to shape and "create" new things which can serve human beings and ultimately serve to glorify God.

Marriage and Family. This is the place where human beings have the privilege and the calling to live out unity and to participate in God's creative activity by "creating" new human beings which, as God's representatives, they are then called to educate and bring up for the glory of God.

Government. The mandate of government is not a creative mandate as the two previous ones. Rather, it is entrusted with preserving the creative work resulting from the two previous mandates.

Church. This mandate is slightly different from the other three, as it is "the task of enabling the reality of Jesus Christ to become real in the preaching and organization of the Church and the Christian life. It is concerned, therefore, with the salvation of the whole world" (Bonhoeffer 1986:211) and influences each of the other mandates. However, this does not place this mandate above the others, nor does it separate it out of the world into a purely spiritual realm.

Several points are noteworthy about the mandates:

- They are not choices as if one person were under a work mandate, another one under the family one. Rather, human beings live in all four simultaneously. The mandates are concerned with holistic living—a person cannot separate his/her mandate as part of the Church from the work, family, or government mandate. The *whole* person is to live before and for God.
- They cannot be divided into three worldly versus one spiritual mandate (the Church). Rather, since they are geared toward (and *only* in the sense that they are geared toward) Christ's purposes with this world and get their substance from Christ, they are all divine mandates. They are the area of practice for development as a Christian character.

- A person's perception of self-worth must not come from one of the mandates. For one: Each person participates in each mandate. But more importantly: A person's ultimate reality in life is not his/her activity in the mandates, but that s/he is created by and redeemed for God.
- Mandates are a divine authorisation to act as God's representative in a certain area (:288). As such they award human beings with an enormous dignity and authority. Inherent in each of the different mandates are differing possibilities of demanding compliance. However, this authorisation is also characterised by a clear delineation of authority (see the thoughts below on responsibility) as being given under the authority of God and limited by the authority of the other mandates. Bonhoeffer does not paint an illusionary picture of an ideal world. Rather, he sees the mandates with their clear protection *and* limitation of authority as God's way of dealing with the fallenness of humankind. "The protection affords encouragement for the observance of the divine mandates, just as the limitation gives warning against the abuse of superiority" (:291). If a person does not recognise this connection of his/her authority as derived from God's mandate, there is great danger of misuse of power and position.

**Bonhoeffer on freedom and responsibility.** Interwoven with his thoughts on the four mandates as ways to live out one's life in this world before God, are Bonhoeffer's thoughts about the relationship of freedom and responsibility: "The structure of responsible life is determined in a twofold manner, namely, by life's bond to human beings and to God, and by the freedom of one's own life" (Bonhoeffer, Floyd & Green 2008:257). Responsibility means taking "vicarious representative action" on behalf of another person in the same way that Christ took vicarious representative action on behalf of humanity.

Responsibility can never be absolute. Rather, its limitation (and the limitation of the accompanying authority) is in acceptance of the other person's responsibility (Bonhoeffer 1986:234). A responsible person will not hurt the sphere of responsibility of the people for whom s/he is responsible. Rather, s/he will encourage these people to take up the responsibility they are given in fulfilling their respective places in the four mandates. Responsible living requires balance by neither absolutising one's own person (which would lead to a misuse of power, a violation of the people one is responsible for, and ultimately to tyranny) nor absolutising the people for whose welfare one is responsible. This latter action would lead to arbitrary decisions and a neglect of one's other responsibilities. "In both cases there is a denial of the origin, the essence and the goal of responsible life in Jesus Christ, and responsibility itself is set up as a self-made abstract idol" (:226).

These aspects of Bonhoeffer's theology will be picked up again in the Christian ethical appraisal of TRANSFORMATIONAL LEADERSHIP in the final chapter of this dissertation.

### 2.3.3. Cultural leadership

“Cultural leadership” is an elusive term which within the literature has been used in various contexts. Sometimes TRANSFORMATIONAL LEADERSHIP is even equalled with cultural leadership.<sup>43</sup> This would turn “cultural leadership” from a term describing certain aspects of leadership into a leadership model itself. In order to specify the use of the term in this dissertation, the use of “cultural leadership” within an organisational setting<sup>44</sup> as encountered in the literature will be briefly explicated:

1. “Cultural leadership” can refer to the shaping of organisational culture (Trice & Beyer 1991). Section 3.3 will show the development which leadership models have gone through over the years, starting with a focus on the leader and opening up to include situational factors and other processes. A similar development can be observed related to organisational culture: Like in leadership studies in general, early proponents focusing on organisational culture stressed the role of a leader in shaping relationships and values within an organisation (Schein 2004:11). “Cultural leadership” would then refer to the processes by which a leader would shape the value system of an organisation and its expressions in daily interactions (Beyer & Browning 1999:485). Newer discussions of organisational leadership criticise this view as too narrow, both in their perception of culture as well as of the role of leadership: Alvesson (2011) rather stresses the interaction and mutual impact which leadership, the culture of the wider society, and a specific organisational culture have on each other.

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<sup>43</sup> Trice and Beyer (1991:163) consider both charismatic and transformational leaders as “cultural innovation leaders” (as opposed to “cultural maintenance leaders”) with a charismatic leader creating a new culture and a transformational leader changing an existing culture.

<sup>44</sup> This limitation means that within this discussion two additional uses of the word will be neglected. Firstly, the reference to leadership within the area of “culture”, indicating the elements within a civilisation associated with the fine arts, sport, or music (e.g. Strauss 2002). Hewison and Holden (2011) associate this with “creative leadership”. Secondly, Wren's (1995) somewhat related use of “cultural leadership”. However, his focus is not the leadership of cultural events or development of this area. Rather, he wants to draw attention to elements of the culture (sport, music, etc.) which can themselves take a leadership role by helping a group in their adaptation to challenges they face. This use of the word by is based on Heifetz' (2000:22) definition of leadership as adaptive work (Wren 1995:124), and on Valentine's description of “culture as the product of adaptive change” (Wren 1995:126). It further draws on Kerr's idea that the person of a leader is not automatically a prerequisite for leadership to happen, but that elements of the situation can substitute for the leader person (Kerr & Jermier 1978). “Cultural leadership” in Wren's case denotes the process by which these elements of the society influence adaptive change.

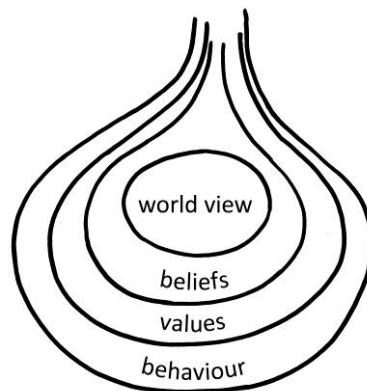
Burns, while not calling this “cultural leadership”, is nevertheless very aware of the impact these aspects of culture have and even calls them “the most lasting and pervasive leadership of all” (Burns [1978] 2005:454).

2. With the growing globalisation of the last two decades the aspect of leadership involving more than one culture has increasingly come into focus. While most authors specify their intent by talking about “cross-cultural”, “multi-cultural”, or “trans-cultural” leadership, the plain term “cultural leadership” is also used by some proponents—thus forcing one to look closely to distinguish whether the author is referring to the culture of affected individuals or to an organisational culture.
3. David Rowe (2007) coined a somewhat interesting use of “cultural leadership”, which does not really correspond to any of the preceding cases. He identifies the role of religion in meaning-making processes and calls for “cultural leadership” as a kind of leadership intending to lead “mythically closed systems” which are prone to violence trying to protect the myths which constitute their meaning into “open systems cultures” embracing diversity. His use of the word touches on both areas: the cross-cultural aspect in leading from closed to open systems, and the different aspects mentioned under organisational culture above which influence each other. However, in this case the meaning-making aspect of organisational culture would apply not only to an organisation, but also to the wider society.

In this dissertation, where “cultural leadership” is mentioned, quite obviously it will not refer to culture as the fine arts, but to culture as “the collective programming of the mind that distinguishes the members of one group or category of people from others” (Hofstede & Hofstede 2005:4), the area touched on by the second of the above points. Within this understanding, the main concern of the dissertation is not organisational culture, nor the inter-relatedness of leadership, organisational culture and the wider culture of the society, but rather cross-cultural aspects affecting a leader-follower relationship. In other words: the concern is culturally acceptable leadership—specifically within a Christian context—meaning leadership which deals appropriately with the cultural backgrounds of all involved. The second concern is TRANSFORMATIONAL LEADERSHIP’s claim to provide such leadership appropriate across cultures. However, part of what Alvesson (2011) described will also affect this area of concern: the impact leadership and the affected culture have on *each other*. It is not possible to separate leadership and culture. They are always intertwined. In the case of the Wycliffe Global Alliance it is especially important to be aware that even though the participating organisations share certain values (they are together in the Alliance because of their shared vision for Bible translation), their interactions and leadership styles will still be influenced by much more than just this shared value!

In the discussion about leadership models the image of an “iceberg” has been mentioned to indicate that only a small part of what drives one’s leadership is visible. Kwast (2009) describes levels of the nature of culture, which can help to gain an awareness of the fact that

the “invisible” part of the iceberg in the case of culture is a multilayered process. It can only be understood if one considers not just the outer layer, but goes to the core. Culture, in this way, could be compared with an onion:



**Figure 3: Levels of culture following Kwast (2009)**

One has to peel through the different layers to get to the heart of culture: The outer layer is the observable behaviour (“What can be seen?”). This is influenced by values (“What is good/best?”), which in turn are formed by the beliefs a person holds (“What is true?”), and these are based on the world view of the person (“What is real?”).

#### **2.3.4. Christian leadership**

It has already been mentioned that this writer does not think that one can speak of “biblical leadership” *per se*. Looking at the Bible one finds a myriad of different leadership styles—which one of those would one then claim to be *the* biblical one? Often, the leadership of Jesus is claimed to be *the* biblical leadership model.<sup>45</sup> However, even the leadership of Jesus is not so straightforward: It happened during only a few years of his life and in rather limited situations (he never was in charge of an organisation, for example; basically, he “only” shaped and led a group of originally disconnected strangers). One would not do Jesus’ leadership justice if one took his actions in these specific situations and tried to make a mould of them fitting for all current leadership challenges.

There are many other leadership situations in the Bible that merit attention, and which would leave one a little puzzled if one wanted to extract blueprints for leadership action from them. One may for example think of such different leaders as Paul and Barnabas (see Stenschke 2010): Barnabas as a respected member of the early church, who saw the potential in others (first in the case of Paul, later in the case of John Mark) and who quietly encouraged and motivated them, and used his influence to smooth their way (Acts 9:27; 11:25–26; 15:37–39). He was the leader of the first missionary journey with Paul, but willing to step back

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<sup>45</sup> For example, the German translation of Ford’s book *Transforming Leadership* (Ford 1991) is *Leiten wie Jesus* (= Leading like Jesus).



and let Paul take the lead later (from Acts 13:13 on). Paul, on the other hand, even though he learned much under the mentorship of Barnabas, still appeared as a very different leader: boldly speaking out, not shying away from conflict, taking the lead to the very end, even in situations where he obviously was *not* in leadership (Acts 27:10, 21-26).

Thinking about Old Testament examples, two similarly different, yet exemplary, leaders come to mind: Moses and Nehemiah. Moses, who basically singlehandedly leads a huge crowd through difficult situations and who only starts to share responsibility after being strongly advised to do so because of an imminent burnout (Ex 18:14), versus Nehemiah who strikes one as a leader much more concerned with motivating people, rallying a team around his vision and building up support from the ground before attempting a task (Neh 2:18). Yet Nehemiah, Moses, Paul, or Barnabas are equally considered great biblical leaders.

However, what one *can* extract from these biblical examples are *values* that drove the leaders. These values then need to be translated into principles for action according to the cultural context. Then one can learn from the courage of a Paul, the humility of a Barnabas, the spirituality of a Moses or the wisdom and discernment of a Nehemiah. One can look at how they changed and how certain *virtues* took more and more root in their personalities. It is the task of theological ethics to aid in this translation of principles into a specific context.

Leadership in general is a topic which touches on many different disciplines. Each discipline approaches the practical questions of leadership from a different angle. For Christian leadership, what distinguishes it from other approaches to leadership is that, as expected, it also draws on the theological disciplines. In this dissertation leadership will be approached from three different angles: Management sciences, theological ethics, and cultural anthropology (see Figure 4).



**Figure 4: Christian leadership in dialogue with management sciences, theological ethics and cultural anthropology**

The goal of management sciences is to find out how to lead effectively; cultural anthropology is concerned with leadership appropriate to a specific cultural environment; and the

concern of theological ethics is to lead according to God's character, will, and principles. Theological ethics, as specified in section 2.3.2, will influence all aspects of the leadership situation, be it the relationships between leaders and followers, the code of ethics an organisation decides to follow, or the social responsibility the organisation assumes in its wider context.

TRANSFORMATIONAL LEADERSHIP as promoted by Bass clearly was developed on the background of management sciences, looking for an *effective* leadership model. It did not stay purely in this field: As time went on, ethical and cultural aspects started to be taken into consideration. For a Christian, however, the first question cannot be: Is this leadership effective? The first question needs to be: Is this leadership ethically right and good? As one considers whether this leadership model would be a suitable paradigm for Christian leadership, one therefore needs to look at ethical questions not as an add-on, but—through the lens of Christian ethics—one needs to ask the fundamental question: Does TRANSFORMATIONAL LEADERSHIP help a leader to lead according to God's character, will, and principles? This is the main perspective from which this dissertation approaches TRANSFORMING and TRANSFORMATIONAL LEADERSHIP. To a lesser degree the viewpoint of cultural anthropology will be taken into consideration.

The three areas, as will become clear through the rest of this dissertation, are in tension with each other. In each leadership decision this tension has to be reconciled. Sometimes the values governing the areas are not just in tension but in real conflict with each other, for example, when the market pressures demand success from a leader to a degree which inhibits the leader's desire to consider the needs of staff, or to exhibit honesty in his/her dealings.<sup>46</sup> In such a case conflicting values are weighed against each other (Schirrmacher 2002:93). Evaluation always follows a code along which the one doing the evaluation makes his/her decision. It would be a sign of integrity in a leader to make this code explicit! All too often, as will be seen in the coming chapters, one experiences a discrepancy between the proclaimed values (e.g. the good of the society or empowerment of staff) and the ones actually guiding a decision (e.g. organisational effectiveness or the leader's success).

### **2.3.5. Evaluative parameters**

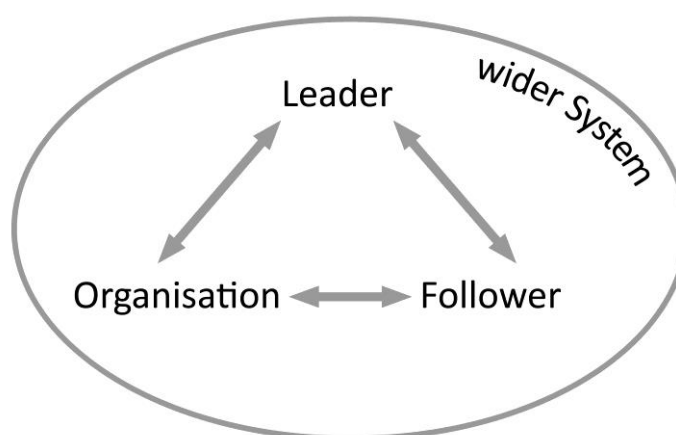
It has been mentioned before, that apart from normative ethics, another important aspect of ethical theory is applied ethics, "the application of normative ethical theories to practical problems" (*Ethics* 2013:par 256). This has been the focus of moral philosophers in the last 50

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<sup>46</sup> In this respect, Figure 4 is not limited to Christian leadership, but applies to any type of leadership. One might not agree with the question theological ethics brings to leadership, but no matter what ideological background one follows, one would still need to consider questions of secular moral philosophy and would still find oneself in a similar area of tension.

years—and it is also the focus of the people concerned with the relationship between ethics and leadership. If one looks at the leadership field in general, however, it is surprising that even though there has been an enormous amount of research conducted, yet there has still been relatively little consideration of the ethical aspects of leadership. Ciulla, who is probably the strongest voice pointing to this deficiency, sees the reason for this neglect in the fact that research normally goes into details in its investigation, whereas ethics always needs to be concerned with the bigger picture. So she considered it an important step when Gardner started talking about “morality as a *dimension* of leadership, rather than a part or element” (Ciulla 2004c:8), but noticed that even this claim would not go deep enough. In her understanding the discussions about leadership are in reality implicitly a search for *good* leadership, leadership which is morally good and effective. And this means “that ethics lies at the heart of leadership studies” (:18). Heifetz (2000:13ff) is another one who pointed to the necessity to explicate values. Similar to Ciulla, his position is that leadership is an emotionally charged term because it is implicitly connected with values.<sup>47</sup> However, the moment one admits to leadership being based on values, one enters the field of ethics again.

Values influence relationships. This means that leadership situations, which are in essence relationships between different parties, are replete with aspects that necessitate ethical consideration. The four major players in this system of relationships are the leader, the followers, the organisation and the wider system. “Wider system” can refer to very different things: For an individual it can mean his/her family relationships or relationships within the community outside the family circle. For an organisation it can mean its relationship to other organisations, but also to the global community.<sup>48</sup>



**Figure 5: Relationships in a leadership situation which necessitate ethical consideration**

<sup>47</sup> He considers it an intellectual dishonesty to speak about a “crisis” of leadership on the one hand and yet still claim leadership a value-free concept.

<sup>48</sup> This is in contrast to Tichy and Devanna (1986:13–14) and other proponents of TRANSFORMATIONAL LEADERSHIP, who consider the leader, the follower and the organisation—a viewpoint with serious shortcomings, as chapter 5 will show.

In the previous section the tension has been mentioned which Christian leadership experiences in its placement between management sciences, theological ethics, and cultural anthropology. These tensions enter because of differing expectations and demands the players described in Figure 5 bring to this net of relationships. Ethical considerations have to be applied to all of these relationships and will raise a plethora of questions, for example:

- Is a leader's treatment of followers or staff fair, or is it based on personal sympathies or financial preferences (e.g. through bribes)?
- What expectations do followers have of leaders? Are they ethically justifiable?
- What should a leader's or a follower's sense of responsibility toward the organisation be in comparison with his/her commitment to family and to the wider society?
- Does the organisation display fair behaviour, e.g. does it pay fair wages, or is it exploiting many to benefit a few?
- And what about the organisation's responsibility in the face of exploitation of workers in supplying industries? Does it even consider this an area of concern and responsibility?
- Are the methods an organisation uses in global competition morally good?
- How does the organisation use finite resources on this earth?
- How does one of the players (leader/follower/organisation/wider system) react if s/he observes unethical behaviour in another player?

The relationship most often investigated is the one between leader and follower/staff. If one wants to foster morality within an organisational setting, this relationship is crucial, since commitment to moral behaviour in followers/staff is modelled by leadership (Gini 2004:41; Murphy & Enderle 1995).<sup>49</sup> But most often, the focus in this relationship is only on leader *behaviour*. Conger and Kanungo (1998:214) for example, have developed a chart to distinguish between ethical and unethical behaviour of charismatic leaders. The motive for ethical leaders would be to consider what is good for others, unethical leaders would be concerned with what is good for themselves. These motives would affect the strategies the leaders would employ: unethical leaders using control mechanisms to make followers/staff comply, and ethical leaders using empowerment. However, investigating behaviour alone is not enough. In the case of empowerment, for example, extrapolating motives from an observation of behaviour only, will fail to consider what empowerment will entail (answering the question what would distinguish true empowerment from bogus empowerment (Ciulla 2004b) and to what end—with what *intention*—people should be empowered. This last aspect touches

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<sup>49</sup> O'Connell and Bligh (2009) report on a study where they investigated the role of the media in encouraging an ethical climate in a company. While the media has great influence in this regard, this influence is still triggered by the leadership as the ones whose action the media reports on.

on the question of what a healthy relationship between the follower and the organisation would look like (see section 5.3.4).

Since this work is concerned with the evaluation of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP, which are specific leadership models that stress the relationship between leader and follower, naturally, this relationship will be the main focus. It would go beyond the scope of this discussion to investigate in detail questions of applied ethics which arise from the other relationships, for example, a leader's relationship with the organisation or even the organisation's relationship to other organisations or to the wider system in our increasingly global situation.<sup>50</sup>

### **2.3.5.1. The role of world view**

For a discussion based on theological ethics, the teachings of the Bible, interpreted through theological traditions and Christian experience, need to be the basis on which the practical questions of how to live a Christian life are decided. It has been mentioned before and will be explained in more detail shortly that these “practical questions” concern not only actions, but go far deeper: On the basis of one's world view—one's perception of reality—one approaches the questions of one's own and other people's existence and the resulting relationships.

The term “world view” has been interpreted in many different ways. In section 2.3.3, Kwast's use of the term in his explanation of culture has been introduced. Philosophers concerned with an examination of how world views are constructed would probably cringe at Kwast's explanation and consider it oversimplified. For many of them a person's world view encompasses far more than just “what is real”—and they are right. Kwast's distinction nevertheless seemed helpful to show how the perception of what is real influences aspects of life that build on this conviction. His explanation aims at raising awareness for people approaching other cultures so they would not fall into the trap of judging observable behaviour by their own world view. It is a tool that can help to reflect first on one's own life and discern the different “layers” in one's own background, and second to investigate the “otherness” of other people's cultural layers. Where Kwast and other philosophers would agree is that it is a distinctive element of human existence that everybody *has* a certain world view, which shapes every aspect of one's life.

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<sup>50</sup> This dissertation is mainly concerned with ethical aspect of a leadership *relationship*. Kellerman and Webster (2001:505) point to another very interesting aspect of ethics and leadership which unfortunately also cannot be considered any further: The vast progress in the area of technology and for example genetics, they feel, will in the future pose increasing ethical challenges that should be investigated not only from a technical but from an interdisciplinary perspective—something leadership scholars are used to doing. They should bring their expertise to this developing field, and they should also train leaders to be able to deal with such questions.

Vidal (2008:4) gives a more comprehensive explanation of “world view”, based on Leo Apostel’s work. According to them, a person’s world view answers six questions:

1. What is?
2. Where does it all come from?
3. Where are we going?
4. What is good and what is evil?
5. How should we act?
6. What is true and what is false?

He claims that scientific world views often concern themselves with the first three questions, whereas religious world views are stronger on the last three questions (:10–11). To a certain extent Vidal is right with this distinction. Christian ethics is indeed concerned with the last three questions; the reason being that it reckons with a moral world and that a truly good life in this world—experiencing justice, peace, and the love a moral God has in mind—is only possible if one follows God’s principles. But one would not do the biblical concept of God justice if one reduced a Christian world view to being mainly concerned with just these three questions. It has already been mentioned in section 2.3.2 and will become clearer in the explanation of the evaluative principles introduced shortly that the essence of the Christian world view is not a religious evaluation of what is good and evil, or true and false, or a certain code of conduct. Rather the Christian world view is based on the existence and reality of God (Ex 3:14; Ps 90:2) as an answer to the first question, on the creative activity of the triune God (Jn 1:3; Rom 11:36; Col 1:16) as an answer to the second, and on their redemptive activity (Col 1:20; Rev 21:3–5) as an answer to the third question. It is from this world view that in this dissertation the questions posed by the claims of TRANSFORMATIONAL LEADERSHIP will be approached.

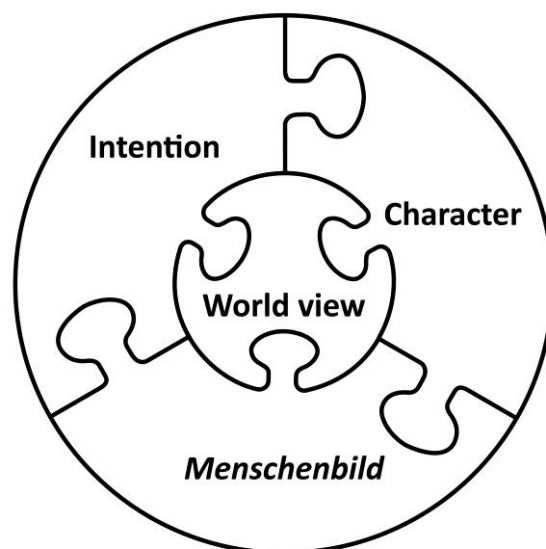


Figure 6: World view, intention, character, and *menschenbild* as interrelated paradigms

People's intentions in their actions, their character, and their *menschenbild* are deeply intertwined with their world view. One could easily argue that to separate them would promote an artificial categorisation which in reality cannot be upheld. However, in this discussion, for the purpose of illustrating the differences between a Christian ethical approach to leadership and a secular approach it seemed helpful to have this distinction. For a Christian, God at the centre of one's world view and the foundational relationship with God will shape the perception of oneself and of the world around—and this perception in turn has profound ethical implications:

- It will impact a person's behaviour toward other people, but even more: one's *intention* behind an action—the area of moral relationships.
- It will manifest itself in whether one considers it worthwhile and necessary to seek to be morally formed and to develop one's character—to become a virtuous person.
- It will shape the value one ascribes to oneself and other people and thus it will influence one's relational ethics, which will also have great consequences for one's social ethic, one's interaction with society (including one's work relationships) and the environment.

Naturally it also impacts leadership and the relationships associated with it as investigated in this dissertation. The implications of one's world view as evidenced in one's *menschenbild*, one's character, and one's intentions will be constant companions throughout the rest of this dissertation.

#### **2.3.5.2. Intention**

This dissertation aims at reaching conclusions in terms of the ethical implications of a certain leadership model. Most often leadership models are examined in order to determine their usability and, in the end, their effectiveness. Christian ethics, however, as being concerned with what the Bible considers good and worthy of pursuit must not submit to just accepting effectiveness as its measure for evaluation. It will always have to look deeper and reflect on the underlying ethical assumptions and goals.

Intention is a personal and rather elusive aspect, one that has to be approached with caution. Often one can only speculate about the intentions of someone. In terms of the “cultural onion” introduced in section 2.3.3, intentions would grow out of the area of values and thus influence behaviour. Intention, as it is used in this context is closely related to motivation. However, since this work is concerned mainly with the leader-follower-relationship, it seemed wise to make this distinction and introduce intention as a specific area in the wide field of general motivation: It is the motivation which, in an interpersonal relationship, directs action toward an intended goal. Intention will therefore always manifest itself in

certain actions. If one knows the intention of someone, one might not be able to predict all actions, but one might be able to predict what kinds of actions will *not* happen. Considering the reverse situation, however, one has to be careful not to infer intention from observed action. Otherwise one would not only, as in the saying, use an end to justify the means, but— even worse—one could use a means (seemingly good behaviour) to mask any end. A seemingly good action (empowerment) can be driven by far from positive intentions—and would then have to be named for example “manipulation”. Making pronouncements about a model’s or a person’s intention requires a scrupulous self reflection of the one doing the evaluation in order to apply the same ethical standards to the process of investigation that are applied to the evaluated model.

If intention is to serve as an evaluative feature in looking at a leadership model, it must be clearly distinguished in one’s mind from impression, observation, and interpretation. It would be helpful if leadership research would indicate which of these areas it investigates. One reason for having so many differing models lies in the fact that the levels of analysis explained here are often indiscriminately mixed. Some of the discussions might become superfluous once it becomes clear that the proponents are actually comparing apples with oranges. Because these four elements will be referred to at various points in the coming chapters, their relationship to each other will be briefly introduced here.

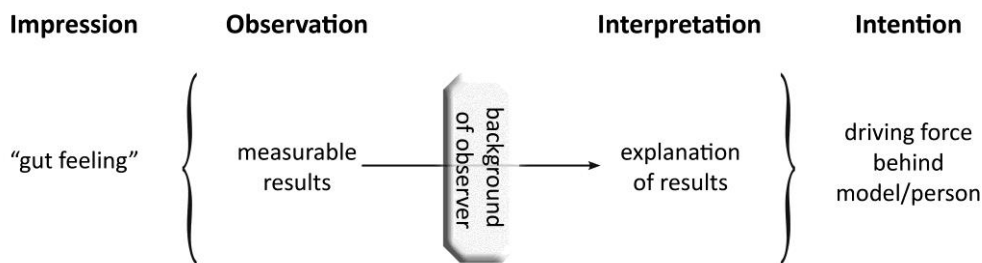


Figure 7: Intention as evaluative paradigm

**Impression.** This refers to a *prima facie* impression a certain leadership action/situation leaves on oneself. The opinion one forms is based on “gut feelings”, which means on one’s unreflected reaction to the phenomenon.

**Observation.** Impression needs to be separated from observation—that which can actually be measured. Observations are then interpreted through the specific lens a researcher brings to the data.<sup>51</sup> Observation and interpretation are typically the areas empirical research is concerned with.

<sup>51</sup> In section 3.3 (page 82), it will be mentioned that often research results are criticised because of a missing distinction between perception and objective observation. “Perception” in these examples does not completely equal impression as used here, but it claims to be “observation” while sharing the subjective elements inherent in “impression”—and thus is another indication of the importance of separating the two elements.



**Interpretation.** It is the different lenses that people wear when they try to explain what they have observed which lead to so many contrasting explanations. Contrasting explanations or differing interpretations are by no means problematic. They only become problematic if people do not specify what their lenses are, and if they do not separate their findings and the resulting claims from the fourth step, intention.

**Intention.** Motives, intentions, values, and goals are all concepts deeply intertwined with ethics. Chapter 5 will consider the ethical implications of TRANSFORMATIONAL LEADERSHIP. As will become clear in this chapter there are continuous discussions about the “goodness” or “badness” of TRANSFORMATIONAL LEADERSHIP, i.e. how should TRANSFORMATIONAL LEADERSHIP be judged from an ethical standpoint? These discussions are crucial, especially for a prescriptive leadership model like TRANSFORMATIONAL LEADERSHIP. If one thinks about evaluation of a leadership model in terms of the four areas indicated here, it becomes clear why such discussions cannot really lead to a satisfactory solution as long as one indiscriminately mixes the area of intention with impression, observation, or interpretation and tries to attach ethical evaluations to the latter three. Christian ethics especially as a paradigm so heavily concerned with the character of a person cannot limit its evaluation to superficial observation, and intention is the only one of the four elements which allows ethical evaluations on a deeper level.

### 2.3.5.3. *Character*

From very early on virtues had played a substantial role in ethical theories with Plato defining the four cardinal virtues of wisdom, justice, courage, and temperance as the foundation of a good life. For him justice played a particularly important role, because a just person would live a life of inner harmony under the guidance of reason. Virtue ethics is concerned with a transformation of character. Virtue ethicists therefore face the question: How can people transform themselves—indeed—*can* they transform themselves? How can they become just, wise, temperate, and courageous people? Being a virtuous person does not just mean acting virtuously every so often. It means that virtues are so deeply ingrained in a person and have become part of them that it is just about impossible *not* to act virtuously.

Aristotle believed that through practice such a transformation is possible. Acting courageously one would become with time a courageous person. In his—as in all secular theories of virtue ethics—people have to draw the power for transformation from their own resources (Schockenhoff 2007:113–114).<sup>52</sup> The question which remains is: If development of virtue is an

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<sup>52</sup> Proponents of TRANSFORMATIONAL LEADERSHIP also talk about the need for transformation. Burns as the founder of TRANSFORMING LEADERSHIP is of the conviction that “by pursuing transformational change, people can transform themselves” (Burns 2003:25–26). However, in his case transformation is not linked

evolving, cyclical process with the practice of virtuous acts entrenching the virtue ever more into the character of a person and thus making acting virtuously more and more natural, where does the initial impulse come from to set this process in motion? Obviously there needs to be something already present which would trigger this process (:162). None of the secular theories of virtue ethics have a satisfying answer to this issue, an answer that would not just be intellectually conclusive, but that would also stand the test of reality.

Augustine, as the first to describe a Christian ethical system, added the specific Christian virtues of charity/love, faith, and hope to Plato's list, with love taking the prominent role (Augustine [s a]:Chap 15). However, in his opinion virtues did not develop through reason or practice, but rather they were dependent on God's grace, which would enable humans to love God and keep God's commandments. Thomas Aquinas later concerned himself with the question, *how* God's work of grace would actually manifest itself in a changed life. He brought Aristotle's reasoning back into the Christian ethical discussion and developed a system of Christian virtue ethics. However, one would not do Christian virtue ethics (nor Thomas Aquinas) justice if one considered it a mere addition to Aristotle's approach, as if he had merely *added* some Christian virtues like forgiveness, humility, or loving one's enemy to an already complete system. Rather, Schockenhoff stresses the importance of "inner coherence of faith and life, of understanding and action" (Schockenhoff 2007:24) within the Christian faith.<sup>53</sup>

It has been alluded to in the discussion about leadership and ethics that norms-based and consequence-based approaches use different reasoning for declaring an action as morally good, with ethicists following a teleological approach looking at whether this action contributed to a certain *telos*, and those following a deontological approach judging the action according to its conformance with a certain ethical norm or code. In terms of the differentiation between impression, observation, interpretation, and intention, introduced in the previous section, both these ethical approaches stay in the realm of observation and interpretation—the empirical elements of the process. However, as has already been mentioned, only evaluating observable actions would fall short of an adequate understanding of leadership situations. If one wants to distinguish between motivation and manipulation in a leader-follower-relationship, one would have to look at a deeper level of personality—of the leader as well as of anyone else. It is the realm of virtue ethics which reaches into this level of

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to specific virtues. Rather, it is supposed to result in increased self-worth and in exceeding one's own narrow self-interest and pursuing the interests of the organisation.

<sup>53</sup> Original: "Von seinem eigenen Selbstverständnis her kann sich der christliche Glaube nicht damit zufriedengeben, sich nur nachträglich in ein ihm äußerlich bleibendes Verhältnis zur Moral zu setzen. Das biblische Offenbarungszeugnis setzt vielmehr eine innere Einheit von Glaube und Leben, Erkenntnis und Handeln voraus." (Schockenhoff 2007:24)

personality, because virtue ethics—living the norms and values one has accepted as a person of integrity—is concerned with the world view, the motives, the *menschenbild* and the character of a person, and not only with outward conduct.<sup>54</sup>

Theological ethics can not really be adequately described by ethical theories with a heavy focus on behaviour such as both deontological and teleological theories have. Nor can it be truly captured by a system of virtue ethics as proclaimed by Aristotle, which is restricted to human endeavour only. Instead, a Christian ethical system starts with the assumption that human nature since the fall (Gen 3) is in need of redemption through the saving work of Christ. This redemption by grace results in a fundamental change within people (2 Cor 5:17): With regards to their relationship with God, their sin which separated them from God is forgiven and through the indwelling of God’s Spirit they partake of divine life; and with regards to their relationship with fellow human beings, through the working of God’s Spirit they become “‘liberated’ and ‘motivated’ in order to live a moral life” (Nürnbergger in Kretzschmar 2009:19).

This liberation affects the whole person. It is the basis for ongoing transformation, for becoming a truly moral person. Kretzschmar (2007) talks of the “five conversions” in this process. The mind (intellectual capacity), the heart (affective capacity), the will, relationships and the hands (actual behaviour) will need to be submitted to this ongoing process of transformation, of aligning them along God’s principles (Rom 12:2). Depending on one’s cultural background, one’s personal background, and one’s personality, the need for transformation in these areas will look different.

In the end, character development is always an individual answer to the call of Jesus. A virtuous character will learn where his/her pitfalls are. The importance of living responsibly in one’s God-given freedom has already been mentioned. Bonhoeffer links the ability to live in such a way to a response to the individual call of Jesus on a person’s life. For example, in terms of the question of responsibility, he talks about the danger of an inappropriate expansion/presumption of responsibility on the one hand and fearful curtailment of one’s responsibility on the other. In the process of moral transformation (or as Bonhoeffer would call it: in answering to the call of Jesus on one’s life), a naturally fearful person will learn not to confound caution with the call of Jesus to restrict his/her responsibility, and, as the other extreme, a person given to fighting for reforms, or to overstep boundaries, will learn not to confound this natural inclination with the call of Jesus to expand his/her responsibility

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<sup>54</sup> The separation of the personality and his/her actions seems to be typical of western thought. Crainer (1999:143) quotes Pascale who contrasts this with the Japanese situation, where a small grammatical feature in the language leads people to constantly pay attention to their essence as persons while doing something. This leads to Japanese people being much less prone to fall for new “how-to-fads” in management. Rather they are concerned with a coherence between being and doing.

(Bonhoeffer, Floyd & Green 2008:293–294). Moral formation in the five areas mentioned is a highly individual process, but the result in each case will be a mature character with the inner freedom to joyfully take up one’s responsibility in one’s area of influence.

Aquinas with his focus on *development* of a moral character and Augustine with his focus on the *redeeming grace* of God cannot be played off against each other. Rather, one builds on the other. The work of life changing grace which Augustine and later Luther described is the foundation on which a virtuous life can develop. On this ground it also becomes clear that Christian ethics can provide a solution to the question other ethical systems had to contend that they could not provide an answer for: What would make a person choose ethical behaviour when unethical behaviour would provide more pleasure? And in terms of virtue ethics: How could this cycle of virtue be initiated? The answer of Christian ethics would be: not by adding some missing element, but by placing the whole system on a different foundation, which will drastically change one’s perception of oneself as well as of the people one relates to.

This dissertation is concerned with leadership. The development of a mature moral character is important for every person, but especially so for leaders. Leaders who know their own character, who have learned to reflect on their motives (their intention) for an action, can live a life of integrity. They will not deceive themselves, for example, about their motives for using the power inherent in their position. Rather, they will be moral examples themselves, and thus be strong moral agents contributing to a world in which love, peace, justice, and the other attributes of God’s character can be enjoyed.

#### **2.3.5.4. Menschenbild**

*Menschenbild* is a German word which is hard to translate into English with the whole depth of connotations it carries. “Convictions and beliefs about people” is one translation one finds (McGregor 2000:157); “assumptions about human nature and human behavior” is another one employed by McGregor and Bennis (1985:33), and “conception of the fundamental nature of man” is what Kellerman (2002c:72) uses; “concept of humankind”, “image of man”, “view of mankind”, or “vision of the nature of humanity” are some others. Not one of these terms by itself really portrays the full meaning. For this reason the German term will be used and explained. Fahrenberg gives the following definition of the term *menschenbild*:

*Menschenbild* is the sum of assumptions and convictions about the nature of human beings, about their way of living in their social and physical environment, and about the values and goals a person should pursue in life. It

includes a person's self-image, his/her image of other people and of humanity in general. (Fahrenberg 2008:305)<sup>55</sup>

A person's *menschenbild* develops in the interaction between one's experience of oneself and of others. As it takes shape, it does so not necessarily as a solid edifice built on certain ideas, but rather as a developing net of assumptions, with some parts tightly knit and others with holes, and in which "knots" are added as a person's life experience grows (:215–216).

Giving an in-depth discussion of the different *menschenbilder* found in the literature and their consequences for leadership theory and practice would go beyond the scope of this work.<sup>56</sup> Classifications of *menschenbilder* are as diverse as the *menschenbilder* themselves—a scientist's own world view und associated *menschenbild* will greatly influence how s/he approaches the topic!

Fahrenberg (2008:215ff) lists three general aspects which are of importance no matter from which philosophical viewpoint one approaches the topic: the question of human nature and the relationship of body and soul, the question of a free will, and the question of pluralism. However, this dissertation is concerned with a specific theoretical perspective: the Christian one. Therefore it shall suffice to explain this writer's use of the term and indicate where she sees special areas of concern as relating to Christian ethical questions of leadership.

One question is who defines human nature. Is it something that is defined within humanity or culture, or does a definition of humanity come from outside the human realm? Fromm (quoted in Fahrenberg 2008:58) feels one would choose an easy way out if one resorted to God or some natural law in trying to explain, for example, people's desire for justice and truth. Frankl (quoted in Fahrenberg 2008:79) in contrast feels that human existence indeed points to an instance or a person outside its own existence. And Görres feels that psychology or psychoanalysis—while being able to say something about humans—are not able to make assertions "about the overall reality, its meaning, purpose, or origin, neither in a positive nor in a negative way" (quoted in Fahrenberg 2008:127).<sup>57</sup>

In the Judeo-Christian perspective the biblical concept of *imago Dei* is important in defining human nature. Gen 1:26,27 talks about humans (man and woman) being created in the "image" of God, a word normally used for the statue of a god, which in these cultures was

<sup>55</sup> Original: "Das Menschenbild ist die Gesamtheit der Annahmen und Überzeugungen, was der Mensch von Natur aus ist, wie er in seinem sozialen und materiellen Umfeld lebt und welche Werte und Ziele sein Leben haben sollte. Es umfasst das Selbstbild und das Bild von anderen Personen oder von den Menschen im allgemeinen." (Fahrenberg 2008:305)

<sup>56</sup> Kellerman (2002c:72–73) is one who has pointed to the great influence a leader's *menschenbild* has on his/her perception of leadership and thus on the leadership style s/he chooses.

<sup>57</sup> Original: "Die Psychologie kann etwas über den Menschen sagen, aber sie hat überhaupt keine Möglichkeit, auch die Psychoanalyse nicht, etwas über die Gesamtwirklichkeit auszusagen, über ihren Sinn, ihr Ziel, ihre Herkunft, weder in positivem noch in negativem Sinne." (Fahrenberg 2008:127)

“not merely a portrayal of a divine being, but the presence of divine power” (Nullens & Michener 2010:176): humans as God’s representatives on earth. It is a concept that has been ground for much speculation through the centuries, and until today there is much variation in how this phrase is interpreted. Is it something that was lost in the fall and that can be restored—though only partially in this world—through receiving new life through Christ’s redemptive death and resurrection, as Luther believed (Garner 2006:85)? Is it something that needs to be interpreted only from a New Testament perspective of Christ as the perfect *imago Dei*? In this case, after the fall and the loss of the original position of humanity, human beings can only experience the *imago Dei* as a reflection of the glory of Christ (Vollenweider 1998:138). Or can the *imago Dei* best be observed in human rationality (Augustine and Thomas Aquinas—Garner 2006:82)?

In terms of the questions relating to the ethical dimension of leadership, it is another aspect which seems to be of special relevance. In Gen 9:6—long after the fall and the supposed loss of the *imago Dei*—God forbids the taking of human life on the grounds that they are created in God’s image. No matter how one interprets this passage in terms of how much or little of the *imago Dei* would still be present in human beings after the fall, one thing seems clear:

Dignity is inherent in each human person because human beings are, from the biblical creation narratives, the goal of God’s creative intention, signified by humans bearing the image of God. The meaning of this image is not to be restricted to a particular quality, such as free will or intelligence, but rather as a complex metaphor describing human worth. (Garner 2006:133)

Considering the relationship between a *menschenbild* and virtue ethics another question comes into view: Why should one develop virtues? The difference between *menschenbilder* shaped by Enlightenment thinking and the biblical account has already been described in the previous section. A biblical view of a person’s reality bases the answer to the question *how* change/transformation can happen on the redeeming work of God in a person’s life (2 Cor 5:17). But this still does not answer the question *why* such a development of virtues should even be pursued. For Fromm, the answer to this question does not necessitate a call on religious or ethical demands. He sees selfishness and other vices as a danger to human society and considers a “radical psychological change of humans” as a prerequisite for survival of the human race. The only incentive for such a transformation, however, he sees in drastic changes in the economic and social environment. Human suffering, reflecting on the reason

for the pain and discovering ways to overcome it were his driving factors for action (quoted in Fahrenberg 2008:61–62).<sup>58</sup>

The concept of *imago Dei* provides quite a different reason for action. Humanity as an image—a “statue”—of God is called to truly represent the person s/he images. As carriers of the *imago Dei*, and empowered through the new life in Christ, it is the Christians’ privilege through their own lives to make God’s character known in their environment.

This will greatly affect how one treats the gift of one’s own life, as well as the gift of relationships, and the gift of the world around us. As an “image” of God one is called to take care of those relationships and of the world around us in a way that is an indication of the God of love, as described in section 2.3.2 (see also Nullens & Michener 2010:179–180).

On the background of *imago Dei*, “ethical practice in leadership” as it relates to the leader-follower-relationship can be defined “as the desire and capacity to recognize, and respond to, the intrinsic worth and individuality of the other” (Binns 2006:267). What this response looks like will be very different depending on the culture of a leader. The driving force, however, will be the same regardless of the cultural background: As one who is aware of the *imago Dei* in his/her own life, a Christian leader will be concerned about the protection of the *imago Dei* in other people and will do everything in his/her power to strengthen the growing expression of it in their lives and character.

## 2.4. Introduction to literature

It has already been mentioned in section 2.2 that the body of literature about TRANSFORMING/ TRANSFORMATIONAL LEADERSHIP is increasing exponentially (see also Figure 1, page 1). In 1994, not even 10 years after the publication of Bass’ *Leadership and Performance Beyond Expectations*, Bass and Avolio already mentioned 25 theses based on research about TRANSFORMATIONAL LEADERSHIP (Bass 1994). Only five years later, Bass points to 140 known studies in progress using the research tool he had developed (Bass 1999:548)! Within a dissertation like this, it will be impossible to do justice to such an enormous amount of literature. But throughout this dissertation, at least a small glimpse into this vast field shall be provided. This section will give a brief introduction to the main source texts. In order to avoid tiring repetitions, the detailed explanation of Burns’ and Bass’ standpoints as well as of other material relevant for the discussion will be introduced in the appropriate chapters.

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<sup>58</sup> Original: “Zum erstenmal in der Geschichte hängt das physische Überleben der Menschheit von einer radikalen seelischen Veränderung des Menschen ab. Dieser Wandel im ‚Herzen‘ des Menschen ist jedoch nur in dem Maße möglich, in dem drastische ökonomische und soziale Veränderungen eintreten, die ihm die Chance geben, sich zu wandeln, und den Mut und die Vorstellungskraft, die er braucht, um diese Veränderung zu erreichen.” (Fahrenberg 2008:61–62)

For the area of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP, James McGregor Burns and Bernard Bass were the founding fathers. Burns was known for his biographies of American presidents before he published *Leadership*, the highly successful book which introduced the notion of TRANSFORMING LEADERSHIP (Burns [1978] 2005). He described his ideas of TRANSFORMING LEADERSHIP referencing historical examples (Great Britain, Russia, and America as examples of reform leadership; France, Russia, and China as examples of revolutionary leadership) and contrasted this kind of leadership with TRANSACTIONAL LEADERSHIP. Coming from the realm of politics, Burns' TRANSFORMING LEADERSHIP was geared not toward business organisations, but toward producing deep societal change. He does not provide methods in his book which a leader should employ. Rather, he describes the situations and processes which are conducive for the emergence of such leadership.

In his follow-up volume, *Transforming Leadership: A New Pursuit of Happiness* (Burns 2003), Burns developed the ideas of his first book further, describing the processes happening in the leader–follower relationship using great political leaders as examples. In some aspects his perceptions had changed. One example is the role he gave democracy for the appearance of TRANSFORMING LEADERSHIP. In his first book, dissent was such a foundational value within TRANSFORMING LEADERSHIP, that the strong focus on consensus which he perceived within democratic structures seemed rather detrimental to this process. In the second book he stated that democracy was the foundation necessary for this process of a fruitful dealing with dissent. Other values—like the role of dissent and conflict, or the moral base for his model—he still confirmed.

Bass published his first book about TRANSFORMATIONAL LEADERSHIP in 1985 (*Leadership and Performance Beyond Expectations*—Bass 1985), building on Burns, but at the same time distancing himself from Burns in certain aspects (see section 4.3). His goal was to equip leaders with the methods they needed to be successful in the challenges businesses found themselves in. He defined the the four I's<sup>59</sup> as elements of his version of TRANSFORMATIONAL LEADERSHIP. He also made a distinction between TRANSACTIONAL and TRANSFORMATIONAL LEADERSHIP; however, his conclusions as to the relationship between the two differed markedly from Burns.

Another major publication is *Improving Organisational Effectiveness through Transformational Leadership*, a volume edited by Bass (Bass 1994). The title of this book gives a clear indication of the direction of the book: It is—like his first publication about TRANSFORMATIONAL LEADERSHIP—not so much a philosophical discussion about leadership. Rather, different authors evaluate the strengths and weaknesses of his Full Range of Leadership Model with regard to “development, individual, group, and organisational decision making, information

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<sup>59</sup> Idealised Influence, Inspirational Motivation, Individualised Consideration, and Intellectual Stimulation; see section 3.4.2.1.



processing, communication, change restructuring, total quality issues, and human resource policies and strategies” (Avolio & Bass 1994:203). In all these areas TRANSFORMATIONAL LEADERSHIP with its four I’s is presented as an excellent tool to master these challenges. They demonstrate which part of TRANSFORMATIONAL LEADERSHIP has the biggest influence on each of the areas mentioned. Although the expressed purpose of the authors is to develop a framework which considers individual, team, and organisational change, the driving question—consistent with Bass’ approach in his earlier publication—seems to be: How can organisational goals best be reached? The starting point is clearly the organisation and its success, not the person.

*Transformational Leadership* (Bass & Riggio 2006) has a similar focus as the earlier publications. Bass and Riggio describe research results about TRANSFORMATIONAL LEADERSHIP in relation to different topics: women in leadership, the reactions of the followers, TRANSFORMATIONAL LEADERSHIP’s effect on stress in the workplace, the appearance of TRANSFORMATIONAL LEADERSHIP, effects of transformational organisations, and also how transformational leaders can be developed.

Apart from these major publications, Bass promoted the ideas of TRANSFORMATIONAL LEADERSHIP through numerous articles in academic journals. In 1990 he was one of the founders (and its first director) of a new journal, *The Leadership Quarterly*, which was intended as a platform where leadership scholars and researchers could discuss their research relating to TRANSFORMATIONAL LEADERSHIP and its results. This, consequently, has become the main source for anybody wanting to observe the development of the model. In this dissertation also, *The Leadership Quarterly* is referenced more often than any other academic journal.

This does not mean that information about TRANSFORMATIONAL LEADERSHIP can only be found in *The Leadership Quarterly*! On the contrary, if one wants to get a balanced view one is well advised to look outside of *The Leadership Quarterly*. Especially in the first ten years of its existence, there were very few critical voices included. This started to change as ethical discussions became more prevalent and TRANSFORMATIONAL LEADERSHIP started to be further developed (see section 3.4.2.2 and section 3.5). Other critical voices, for example by members of the California State University, Fullerton, are found in the *Journal of Leadership Studies*, or in *Leadership*, a European based journal. An in-depth discussion of the critique and an introduction to the two main critics considered in this work will follow in section 5.3.

Because this dissertation is concerned with the original models, the focus is on literature from the time when the models were developed until roughly the end of the 1990s. Newer publications have been consulted if they clarified the relationships between the earlier concepts (e.g. Avolio, Walumbwa & Weber 2009). A critical reader will notice that there is little reference to the well known *Journal of Business Ethics* as one of the longest standing academic

journals concerned with the topic, even though the title of this dissertation and the research questions in section 1.3 clearly locate it also in the area of leadership and ethics. The *Journal of Business Ethics* is concerned with many concrete questions of ethics in businesses. And yet, this writer found Ciulla's (1995:5) and Rost's (1995:132) assessment correct: Especially for the time frame which is the concern of this dissertation, while there is an abundance of literature about leadership methods, there is very little to be found relating to the *ethics of leadership*, and specifically of TRANSFORMATIONAL LEADERSHIP.<sup>60</sup> One article of interest in the *Journal of Business Ethics* was an evaluation of the relationship between a leader acting along the lines of TRANSFORMATIONAL LEADERSHIP and being perceived as a leader with integrity (Parry & Proctor-Thomson 2002). What is especially interesting in this article is that the authors mention the necessity of looking behind behaviour and considering the intentions of a leader to truly come to a conclusion concerning leader integrity (:93). However, they also point to the difficulty in really getting to the root of intentions.

To answer the research questions specified in section 1.3, Yukl (2006) with his detailed description of leadership models was a good introduction indeed. His book acquaints one with the complexity of leadership studies. He explains the different approaches to theorising (leader versus follower centred, descriptive versus prescriptive, universal versus contingency focused) and research (e.g. focus on key variables like the leader, the follower, or the situation; focus on the level of conceptualisation like the individual, the leader-follower-dyad, the group, or the organisation, etc.) and alerts one thus to why there can be such confusion reigning in the field. Chemers (1997) and Felfe (2005) were two other important sources in understanding the overall picture.

However, the incentive for studying the relationship between the models came from Khanin (2007) as the first author I read who pointed clearly to the distinction between Burns and Bass instead of just considering one a further development of the other. This seemed an important point. While Khanin was concerned with how the theories could be used in the *future* without ignoring the differences between Burns and Bass further, this author became concerned with the question where the *reasons* for such different approaches could lie and where this dissertation now can fill a gap in the existing literature.

## 2.5. Limitations

The most obvious limitation of any literature review is the subjective nature of the author. As the author it has been my desire to approach the topic objectively to honour and value the

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<sup>60</sup> For the *Journal of Business Ethics*, this situation has changed since: In the last few years (since 2010) there has been much more consideration of aspects of TRANSFORMATIONAL LEADERSHIP and the newer developments. However, since this dissertation is concerned with the original models, these were not included in the discussion.

work and intent of the scholars behind TRANSFORMATIONAL LEADERSHIP. And yet, it is not realistic to think that this desire would constitute objectivity. The choice of works to include, the understanding or misunderstanding of source texts, what one sees and does not see in a text, the conclusion one draws—all this is shaped by the author’s own background and value system. It is my hope that in spite of all this subjectivity this dissertation will provide insights worthy to be considered.

A drawback having to do with this specific topic is the huge amount of literature which exists because of the popularity of the topic, both within and without the scholarly field. While it has been the desire of the author to gain a broad understanding of what is happening in the area of TRANSFORMATIONAL LEADERSHIP, the sheer volume of literature available has made it impossible to cover all aspects. Part of the reason for this overwhelming amount of literature lies in the very fact that the foundations are not clear. It shows that others have had at times similar notions, noticing some inadequacy in the models and trying to “fix” this by enlarging it, tightening measuring tools, emphasising one aspect to counter this perceived inadequacy, etc.<sup>61</sup> This dissertation is concerned with the foundations of the models, therefore the main focus is texts by the founders of the models. But the author is well aware that specific aspects of the area of concern for this dissertation have also been touched on by newer developments of the models—or even led to these newer developments. As an example, authentic leadership will be considered briefly, especially as it relates to questions of ethics and/or culture, but within this dissertation it will not be possible to cover the new theories adequately in-depth.

Some of the concerns relating to the universal applicability of the model have also been raised by people evaluating the tools<sup>62</sup> used for measuring the effects of TRANSFORMATIONAL LEADERSHIP.<sup>63</sup> However, including results-based arguments in the reasoning within this dissertation, or focussing on methodological flaws of the measuring tools would turn the attention to the area of effectiveness and applicability—and thus distract from what the author considers the more crucial and foundational issues. Therefore she chose not to include these aspects in this analysis, even though they could have been used to strengthen the argument.

TRANSFORMATIONAL LEADERSHIP has grown on a rich heritage of leadership models. It is important to consider these roots to be able to understand the influences they have had on TRANSFORMATIONAL LEADERSHIP. However, since each of these roots would deserve a study of their own, their mention here can necessarily only be a very superficial one, and, again, the

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<sup>61</sup> A good example for this process is the discussion as described by Bass himself which led to the coining of the term “pseudotransformational leadership” (Bass & Riggio 2006:viii).

<sup>62</sup> Mainly the “Multifactor Leadership Questionnaire”, which has gone through several revisions. Currently in use is the MLQ-5X.

<sup>63</sup> See for example Yukl (1999).

choice of what to mention and what not is left to the author's discretion. However, this decision has not been made arbitrarily. Rather, those aspects have been chosen which had a direct or indirect effect on the subject under study.

## **2.6. Ethical considerations for this dissertation**

Working with other people's data always poses the danger of violating a person's dignity and rights. Since this dissertation does not use primary data collected through interviews, data protection and the protection of a person's privacy is not an issue. Working with secondary data, however, poses the special danger of plagiarism. Personal integrity is an important topic in my life, and I am deeply grateful for teachers who extended this topic to include the importance of intellectual integrity.

If one works with research results, it is relatively easy to ensure accurate reporting of data.<sup>64</sup> This is different in the area of philosophical arguments. Drawing conclusions means that one interprets what others have written. There is a great danger to only consider those parts of the literature that would fortify one's own argument; or to wilfully misinterpret ideas in order to make a point. It was the expressed desire of the author of this dissertation to read widely to gain a broad understanding of the field in order not to fall into these traps. If one looks only for confirmation of one's own thoughts, one will not be able to grasp and describe adequately and accurately the concepts communicated by the authors of the source texts. However, without an accurate understanding of their view, a valid conclusion cannot be reached.

As has been mentioned before, the field of TRANSFORMATIONAL LEADERSHIP is so vast that it is impossible in this kind of dissertation to include all possible aspects. A reader will only be able to follow a thought if s/he understands the frame of reference of the writer. Therefore it was especially important for the author of this dissertation to not make intuitive claims, but rather prove her interpretations and conclusions by examples and reference her train of thought in such a way that readers can follow the argument and decide for themselves whether based on the evidence provided they would reach the same conclusions. What good would a conclusion be that would crumble under the first questions addressed to it? It is my conviction that a good argument need not fear questioning. It will remain valid and true even if put to the test.

My supervisors have been very good and helpful examples, challenging me to always adhere to the standards I claim to have. And Ridley (2011:97–98) was especially helpful in alerting me to different ways in which texts can be even unwittingly plagiarised. I expect that

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<sup>64</sup> Although even in this area there are those who maintain that one can basically claim anything by juxtaposing the right kinds of data...

with all these helps I will have succeeded in respecting other people's dignity both in my way of talking about them as well as in referencing all the sources.

## **2.7. Conclusion**

This chapter has laid the theoretical foundations on which the following discussion will build. It has described why a non-empirical approach was chosen and explained the steps which this dissertation will take to find an answer to the research questions posed in section 1.3. It introduced the parameters within which this dissertation is developed; it explained the use of the terms "leadership model", "cultural leadership" and "Christian leadership", and specified the author's ethical framework as being influenced by Bonhoeffer. In addition, world view, intention, character and *menschenbild* as parameters for evaluation of the leadership models under discussion were proposed. These can now serve as guidelines for the introduction and evaluation of the actual models in the following chapters. This chapter included only a very brief introduction to the main source texts, since most of the discussion of literature will happen in the subsequent chapters.



### 3. TRANSFORMING LEADERSHIP—the historical development

#### 3.1. Introduction

As has been mentioned before in this dissertation, the topic of TRANSFORMATIONAL LEADERSHIP will be approached from a historical perspective. In the last 25 years studies and publications about leadership topics have exploded. It is not the intent of this study to repeat what others have very elaborately discussed. Rather, the intent is to show the historical developments and the changing shift in perspective that led to TRANSFORMATIONAL LEADERSHIP.

The chapter will start with a section on Max Weber (section 3.2) because of his foundational influence in the area of sociology, and because he introduced the notion of charisma into the sociological discussion. Even though modern conceptions of CHARISMATIC LEADERSHIP differ from his, it is important to know Weber's understanding of charisma as he still is the reference point for many of the newer models. Because of the important role charisma plays within TRANSFORMATIONAL LEADERSHIP, in this area also discussions keep coming up about whether or not, and if so, in what way Weber's type of charisma would still be relevant for TRANSFORMATIONAL LEADERSHIP.<sup>65</sup>

The next section (3.3) will give a general overview of important models that have shaped the leadership discussion over the last century. This overview will serve to put TRANSFORMATIONAL LEADERSHIP into a broader perspective, showing how the focus in leadership research and development changed over the course of the century (from a practically exclusive focus on personality traits in the beginning to increasingly taking into account leader behaviour and situational factors) and naturally paved the way for the development of a model like TRANSFORMATIONAL LEADERSHIP. In this section, a special focus will be given to two models: House's version of CHARISMATIC LEADERSHIP as a very important influence on the development of TRANSFORMATIONAL LEADERSHIP, and Greenleaf's description of SERVANT LEADERSHIP. The latter model does not seem to have had a direct influence on the development of TRANSFORMATIONAL LEADERSHIP, but it is important for the distinctions which will be made in chapter 4.

Section 3.4 is dedicated to the different manifestations of TRANSFORMATIONAL LEADERSHIP itself, starting with the original concept of TRANSFORMING LEADERSHIP developed by Burns, and followed by Bass' TRANSFORMATIONAL LEADERSHIP, which is considered a continuation and "operationalisation" of Burns' original ideas.

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<sup>65</sup> See for example some of the articles in the special issue, Vol. 10 (2), of *The Leadership Quarterly* (Beyer 1999a; Shamir & Howell 1999; Conger & Hunt 1999; Hunt 1999), and the discussion these articles triggered in a later issue (Bass 1999; Shamir 1999; House 1999; Beyer 1999b; and even Wofford 1999, who unlike the others did not discuss Weber's concepts as compared to the newer versions, but looked at the "researchability" of the different approaches).

The chapter will close with a brief introduction to authentic leadership as one of the newer leadership paradigms that have been developed on the basis of TRANSFORMATIONAL LEADERSHIP. This dissertation is concerned with ethical aspects of the original models of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP. To also investigate the ethical concepts behind the authentic leadership paradigm would go far beyond the scope of this work. However, to ignore developments which have also been initiated by ethical concerns would question this writer's scholarly integrity and sincerity. Therefore, at least a brief introduction and an indication of the ethical aspects relevant for this dissertation will be provided.

On the groundwork laid in this chapter a detailed evaluation of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP will then be possible in the following chapter.

### **3.2. Max Weber and the notion of CHARISMATIC LEADERSHIP**

The confusion explained in section 1.2.1 is not limited to TRANSFORMING/TRANSFORMATIONAL LEADERSHIP. On top of dealing with different concepts which will be explained shortly, the area of CHARISMATIC LEADERSHIP struggles with the fact that not only leadership researchers, but just about everybody approaches the topic with a certain preconceived idea of what “charisma” and a “charismatic leader” is. Burns ([1978] 2005:244) has made a valid point when he claims that “the word has been so overburdened as to collapse under close analysis”.

Wikipedia for example describes charisma as having two meanings: First, a “compelling attractiveness or charm that can inspire devotion in others”, and second, “a divinely conferred power or talent” (*Charisma* 2013). The Encyclopædia Britannica calls it an “attribute of astonishing power and capacity ascribed to the person and personality of extraordinarily magnetic leaders” (*Charisma* 2013a). These two descriptions already indicate one area of disagreement between different proponents of CHARISMATIC LEADERSHIP: Is charisma a divine gift, a charm that someone possesses, or is it something which is ascribed to someone? And if indeed it can be something that someone possesses: Is it an innate personality characteristic or can it be learned? This question is of great consequence to *organisational* charisma which is the focus of the newer theories of charismatic leadership.

#### **3.2.1. Source of the concept and general overview**

The Greek root for the word charisma is *χαρις*, meaning grace, favour (both the favour given to others as well as the favour received from others), care, gratitude (Bauer 1988:1734–1738). In Greek mythology, *Χάριτες* was what the (usually) three goddesses of charm and beauty were called (sometimes one of the three was actually called *χαρις*, according to other traditions *Aglaea*, *Euphrosyne*, and *Thalia* belonged to the *Χάριτες*).



In the New Testament, the word *χαρισμα* (originally a gift of grace, a benevolently bestowed favour) received a new meaning, differing from common Hellenistic use: the apostle Paul used it to describe *divine* gifts with which God through the Holy Spirit would empower those who believed in Jesus Christ. *Χαρισμα*, in Paul's use of the term, was clearly something which could neither be produced by human beings, nor could they claim a right to these gifts. Wang (1997:38) refers to Friedrich Grau who claimed that in the theology of Paul, the linguistic history of the word *χαρισμα* converged with the “pneumatic experiences” which had already played a role in the Old Testament.

Over the course of the first centuries, the term lost some of this original meaning. It was rediscovered by Rudolph Sohm (1841–1917), a German jurist with a special interest in ecclesiastical law. It was through Max Weber's contact with him that the term was introduced into sociology.

In much of the literature, the common question is whether charisma is an innate feature or something that can be learnt. Taking into account the theological meaning of *χαρισμα* though, one would have to consider a third option: the gift of God which is neither an innate part of a personality nor does it have to be learnt later in life. However, since this composition is concerned with the use of the word in current sociology and organisational settings, it will limit itself to the two prevalent explanations and will not consider the specific theological *χαρισματα* as they are described in the New Testament.<sup>66</sup>

After the “rediscovery” of charisma in theology and subsequently in sociology, it was mainly discussed as a phenomenon of political leadership, with Weber as the main proponent, and Downton ([1973]—his approach will be referred to again in section 3.4) as another example.<sup>67</sup> It was David Berlew, who in 1974 introduced the concept into the area of management and business (Conger 1989:27–28) and who was influential in laying the ground for the development of House's theory of CHARISMATIC LEADERSHIP (House 1996:333–334). Berlew differentiated three stages of leadership: custodial, managerial, and charismatic. The first two stages were based on task versus people oriented leadership theories, like Blake & Mouton's MANAGERIAL GRID of 1964 (Blake & Mouton 1972—17<sup>th</sup> edition), or Hersey & Blanchard's SITUATIONAL LEADERSHIP from the mid 1970s (Hersey, Blanchard & Johnson 1996—7<sup>th</sup> edition), with custodial leaders being task oriented and managerial leaders being people oriented. Charismatic

<sup>66</sup> It is with a feeling of regret that this limitation is implemented. Especially since *κυβέρνησις*, leadership, is specifically listed as one of the *χαρισματα*, this aspect of charisma does indeed have bearings on leadership within a Christian context and should be considered if one wanted to get a broad picture of Christian leadership. However, since the focus here is not Christian leadership *per se* but the model of TRANSFORMATIONAL LEADERSHIP, it is justified to neglect this aspect.

<sup>67</sup> As early as the early 1970s, Downton cautioned against an “indiscriminate” use of the term, since it would lead to the concept losing “its usefulness for analytic purposes, except as a residual category for describing what we cannot fully understand or explain” (Downton 1973:209).

leaders—in contrast—who take the people orientation onto a new level can “provide meaning and esteem for subordinates” (Conger 1989:27). In making these distinctions, he was also the first to connect leadership styles with human needs. His custodial leader would cater for the three lower levels of needs in Maslow’s needs hierarchy (physiological needs, safety, and belonging); the managerial leader would fulfil the need for esteem, while the charismatic leader would address the highest need in Maslow’s hierarchy, the need for self-actualisation (Maslow 1943). This aspect will be considered in more detail in section 5.3.2.2.

The leadership scholar and clinical psychoanalyst Abraham Zaleznik also had a strong influence in the development of charismatic leadership theories. His distinction between leaders and managers (Zaleznik 1977) already shows some of the differences later theorists would attribute to charismatic versus non-charismatic leaders, especially as it relates to vision (when he speaks of a leader needing to “project his ideas into images that excite people” [:72]) and to the willingness of leaders—in contrast to managers—to take unconventional and at times risky measures. In an earlier work (Zaleznik & Kets de Vries 1985—2<sup>nd</sup> edition, the 1<sup>st</sup> edition was published in 1975), he had already spelled out where he saw the difference between the two: *Minimum man* is a consensus leader, one that could also be called a modern manager. *Maximum man* is one who leads by his/her inner voice, unaffected by the surroundings. S/he is the true leader, an institution builder (:237ff). According to Zaleznik, it is this charisma which “distinguishes the ordinary manager from the true leader in organizational settings” (Bass 1989:61).

Today there are three main streams of charismatic leadership theories: by House, Shamir & Arthur, by Conger & Kanungo, and by Bass & Avolio. However, in every publication about charismatic leadership the name of Max Weber as the founding father of charismatic leadership theory appears. His definition of “charisma” has influenced sociology profoundly, and even the ones who today follow a concept different from his, often define their concept in *contrast* to Weber. For this reason Weber’s paradigm will be introduced at this point. The newer models of CHARISMATIC LEADERSHIP will be explained in sections 3.3.1, 3.4.2, and 4.4.1. This order has been chosen to facilitate a logical flow of the argument.

### **3.2.2. Max Weber**

Max Weber (1864–1920), a German jurist and political economist, was one of the founding fathers of modern sociology in Germany (and beyond). His interests included broad areas of both the sociology of religion<sup>68</sup> as well as political sociology. In the latter realm he concerned

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<sup>68</sup> Best known in this field is probably his claim for protestant ethics to be one of the sources that contributed toward the development of modern capitalism (see for example Weber 2002:54).

himself for example with the relationship between power and authority<sup>69</sup>. But he is especially known for introducing the concept of charisma into sociological studies. One of his teachers had been Rudolph Sohm, the German jurist, who brought charisma back into the theological discussion. Weber in turn expanded the theological concept to make it fruitful for sociology. He saw charisma (“Gottes Genade”, meaning “grace of God”) acting as a foundational concept even in Calvinism or in Luther’s understanding of a profession (Wang 1997:42). In terms of modern charisma, Weber deemed it to be one of the three legitimate (i.e. not coerced) forms of authority (Weber & Parsons 1997:328). Within the field of legitimate authority the person with authority is always met with followers willing (at least to some extent) to obey this exercised authority.<sup>70</sup> The basis though, on which this compliance happens, differs from one kind to the other, depending on underlying convictions which the followers bring to an authority relationship. See Table 1 for an overview of Weber’s three types of legitimate authority.<sup>71</sup> The question of power/authority is a crucial topic for any ethical discussion, because the ethical or unethical use of it has such great impact on any relationship. Max Weber’s understanding of it will not be evaluated in detail. However, power and authority as they relate to TRANSFORMATIONAL LEADERSHIP will be a topic for investigation in section 5.3.3.

<i>Form of authority</i>	<i>Underlying conviction</i>	<i>Obedience is owed ...</i>
<b>Rational-legal</b>	It is <u>right</u> to obey the appointed authority	“to the legally established impersonal order” (Weber & Parsons 1997:328)
<b>Traditional</b>	Traditions and their forms and hierarchies are <u>holy</u>	“to the person of the chief” (:328) based on personal loyalty within revered structures
<b>Charismatic</b>	<u>Devotion</u> to an extraordinary (holy, heroic, exemplary) person and to the norms this person has set	to the leader because of “personal trust in him and his revelation” (:328) and in his/her extraordinary qualities

**Table 1: Legitimate authority according to Weber**

<sup>69</sup> “Authority” does not seem a very felicitous choice for the translation of the German term “Herrschaft”. The German term implies not just authority as a theoretical construct, but the exercise of said authority. “Applied authority” or even “dominion” would be a more fitting term. But since the English translations of Weber’s work have decided on using “authority” it will be used here also.

<sup>70</sup> Heifetz would probably contest Weber’s automatically relating followers willing to obey to the legitimacy of an authority structure. Compliance to authority relationships, according to him, is not always given consciously and voluntarily on the basis of one of the underlying convictions (or values) as Weber indicates. Often, he claims, it is “produced by habitual deference” (Heifetz 2000:58).

<sup>71</sup> Generally in the literature, Weber is associated with these three types of legitimate authority. Wang (1997:34), however, mentions the fact that Weber in a lecture around 1917 introduced “democratic authority” as a fourth type of legitimate authority.

It is interesting to note that at this point Weber does not refer to a leadership model called CHARISMATIC LEADERSHIP. Rather, he talks about *authority structures* that undergird a leadership situation. Willner (1984) rightfully points out that it would be helpful if this distinction had not been lost in the discussion. Weber was concerned with what he called “ideal types”, which means he would rather overdraw characteristics of a certain type for the sake of identifying clear categories. Some of the current discussions among proponents of different streams of CHARISMATIC LEADERSHIP seem to stem from either disregarding the distinction between an authority structure and a leadership style which is based on this authority,<sup>72</sup> or from a misunderstanding of Weber’s approach using ideal types. Weber wanted to define categories, regardless of emotional values associated with a certain term. But it seems that the word “charisma” nowadays is so highly valued and emotionally charged that it just about seems an insult *not* to grant somebody the label “charismatic” if he or she is a successful leader (see Bass 1989:46 for an example of this).

Even though his claim was to define ideal types, Weber’s definition of charisma was anything but clear cut and static. The discrepancies between current definitions referred to in section 4.4.1 are not a modern development. They can be observed even in Weber himself. Möller (2004:7) points to the difference between Weber’s portrayal of a charismatic leader in his sociological writings and in his political publications. Downton (1973) even claimed that Weber “failed to develop a theory of charisma” (:272) and that Weber’s own inconsistent use of the term was in fact indicative for his having given “only a broad definition” instead of a clear theory.<sup>73</sup> Wang (1997:18)—being more forgiving with Weber in his elaboration of CHARISMATIC LEADERSHIP—mentions nine variations which his charisma theory had gone through in the course of Weber’s own studies. Unlike his early focus on the magical component of charisma (Schmidt-Glintzer & Weber 1989:120),<sup>74</sup> the definition in Weber’s *Economy and Society* already stressed the role of the follower who attributes charisma and values the leader as charismatic. During all the stages of his charisma concept, charisma can get lost if the leader is not successful.<sup>75</sup> But the focus for followers’ reaction changes: Faith and devotion on the

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<sup>72</sup> For example, Shamir et al. talk more about such an authority structure than a leadership style.

<sup>73</sup> Actually, according to Downton, it was Weber’s failure to define CHARISMATIC LEADERSHIP as thoroughly as he had defined the other two elements of his typology which during later years led to the widespread and “indiscriminate” use of the term “to describe the emergence of popular leaders” (Downton 1973:209).

<sup>74</sup> Original: “Es soll bei den nachfolgenden Erörterungen unter dem Ausdruck: ‘Charisma’ eine (ganz einerlei: ob wirkliche oder angebliche oder vermeintliche) *außeralltägliche* Qualität eines Menschen verstanden werden.” (Schmidt-Glintzer & Weber 1989:120)

<sup>75</sup> The definition of “success” though changes: In the beginning the focus was on the confirmation of powers perceived extraordinary/supernatural, later it lay in continued improvement of the wellbeing for the followers (Wang 1997:30).

part of the followers as the early reply to charismatic authority was later superseded by the followers' duty to obey and follow the leader (Wang 1997:30—see Table 2).

<i>Era/writings of Weber</i>	<i>Focus</i>	<i>Charisma as...</i>	<i>Legitimation of Charisma</i>
<b>Sociology of dominion</b> <sup>76</sup>	<b>Charismatic authority</b>	... magic/supernatural gift, personality trait	Trust in and devotion to leader because of the power of his/her personality = <i>reason</i> for legitimacy
<b>Sociology of the State</b>	<b>Charismatic rule</b>	... attributed to the leader by followers	Obedience is the <i>duty</i> of disciples

**Table 2: Main variations of Weber's conception of charisma according to Wang (1997)**

Trice and Beyer have summarised the elements essential to Weber's concept of charisma:

(1) an extraordinarily gifted person, (2) a social crisis or situation of desperation, (3) a set of ideas providing a radical solution to the crisis, (4) a set of followers who are attracted to the exceptional person and come to believe that he or she is directly linked to transcendent powers, and (5) the validation of that person's extraordinary gifts and transcendence by repeated successes. (Trice & Beyer 1986:118–119, quoted in Beyer 1999a:313–314)

This definition clearly focuses on the gifted person and is therefore based on the early Weber. For the later Weber to define charisma, it is completely irrelevant what the "correct" (i.e. ethical, aesthetical, etc.) evaluation of the extraordinary gift of a charismatic leader would be. "What is alone important is how the individual is actually regarded by those subject to charismatic authority, by his 'followers' or 'disciples'" (Weber & Parsons 1997:359).<sup>77</sup> Charisma is attributed to the leader by the followers—which means it can also be lost again, for example in the continued absence of success.

Unlike rational and traditional authority, which are based on and preserve the past, "charismatic authority repudiates the past, and is in this sense a specifically revolutionary

<sup>76</sup> The original terms describing these periods in his writings are "Herrschaftssoziologie" (= sociology of dominion) and "Staatssoziologie" (= sociology of the State).

<sup>77</sup> Original: "'Charisma' soll eine als außeralltäglich (ursprünglich, sowohl bei Propheten wie bei therapeutischen wie bei Rechts-Weisen wie bei Jagdführern wie bei Kriegshelden: als magisch bedingt) geltende Qualität einer Persönlichkeit heißen, um derentwillen sie als mit übernatürlichen oder übermenschlichen oder mindestens spezifisch außeralltäglichen, nicht jedem andern zugänglichen Kräften oder Eigenschaften [begabt] oder als gottgesandt oder als vorbildlich und deshalb als 'Führer' gewertet wird. Wie die betreffende Qualität von irgendeinem ethischen, ästhetischen oder sonstigen Standpunkt aus 'objektiv' richtig zu bewerten sein würde, ist natürlich dabei begrifflich völlig gleichgültig: darauf allein, wie sie tatsächlich von den charismatisch Beherrschten den 'Anhängern', bewertet wird, kommt es an." (Weber & Winckelmann 2002:140)

force” (:362).<sup>78</sup> The charismatic leader “preaches, creates, or demands new obligations” (:361),<sup>79</sup> which are accepted by the community s/he leads. Devotion to the leader and to his/her ideas “is a duty” (:361)<sup>80</sup> for the followers, opposition is considered a sin by the leader and the community—a dynamic which almost invites unethical behaviour: On the side of the leader it tends to prevent critical reflection of the leader’s vision and behaviour, on the side of the followers acceptance at all costs by the leader becomes the driving force for action. In Weber’s concept of charisma there is no room for codetermination or democracy. This point will become important in section 4.4, when the relationship between CHARISMATIC and TRANSFORMING LEADERSHIP is under inspection. And section 5.3 will discuss ethical questions relating to such charismatic relationships.

The revolutionary force of charisma also explains the situations most amenable to its appearance: some crisis situation that posits a special adaptive challenge for the society, whereas under normal circumstances “traditional and bureaucratic forms of authority suffice in helping to hold the community together and solve routine problems” (Heifetz 2000:64).

Charismatic leadership according to Weber “has a character specifically foreign to everyday routine structures” (Weber & Parsons 1997:363).<sup>81</sup> This also means that it normally has a limited life span. If it is to become a more stable institution, it has to be traditionalised or rationalised. To designate a successor, charisma has to be legitimised specifically, for example by a succession upon death (hereditary charisma, :365) or by special rituals (charisma of office, :366). Much of Weber’s writing about charisma is concerned with exactly this aspect: the routinisation of a concept that ordinarily would naturally disappear again after a short time (Willner 1984:204). This aspect of the longevity of charisma is of even more crucial importance for those proponents of CHARISMATIC LEADERSHIP who are mainly concerned with charisma in a business setting.

Trice and Beyer (1991:151) highlight the aspects where they see Weber’s definition foreshadowing later well known leadership theories:

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<sup>78</sup> Original: “...die charismatische [Herrschaft] stürzt (innerhalb ihres Bereichs) die Vergangenheit um und ist in diesem Sinn spezifisch revolutionär.” (Weber & Winckelmann 2002:141)

<sup>79</sup> Original: “...der genuine Prophet sowohl wie [...] jeder genuine Führer überhaupt verkündet, schafft, fordert *neue* Gebote...” (Weber & Winckelmann 2002:141)

<sup>80</sup> Original: “Aber diese (= die Anerkennung durch die Beherrschten; Anm. EM) ist (bei genuinem Charisma) nicht der Legitimitätsgrund, sondern sie ist *Pflicht* der kraft Berufung und Bewährung zur Anerkennung dieser Qualität Aufgerufenen.” (Weber & Winckelmann 2002:140)

<sup>81</sup> Original: “In ihrer genuinen Form ist die charismatische Herrschaft spezifisch *außeralltäglichen* Charakters.” (Weber & Winckelmann 2002:142)

<i>Element of Weber's charisma definition</i>		<i>Leadership theory</i>
Extraordinarily gifted person	→	Traits theory
Situation of crisis	→	Contingency theories
Followers believing in transcendent power of leader	→	Attributional theories

**Table 3: Weber's charisma concept and later leadership theories**

Not everybody would agree with such a comprehensive appraisal of Weber's work, as will be seen in section 4.4.1. But it is clear that he went way beyond the traits approach to leadership which was prevalent at his time. In fact, Smith and Peterson (1988:14) see as his most significant achievement the fact that he disassociated his models from the person of the leader and took the social structure into consideration, and Hunt—on a similar note—calls him “the first sociologist to bring to his craft an appreciation of the role played by psychological processes in social action and of the need for the interpretation rather than mere description of the content and form of social events” (Hunt 2002:160).

Today nobody would negate Weber's groundbreaking role in introducing charisma into the sociological discussion. However, the point of dissent among neo-charismatic proponents of CHARISMATIC LEADERSHIP lies in how far it is permissible or even advisable to divert from Weber's concept (see section 4.4.1.1).

### 3.3. Leadership models leading up to TRANSFORMING LEADERSHIP

Leadership studies did not start with Max Weber (in fact, his contributions started to gain importance in the field only years after his death). But during his time, changes in leadership models came in much slower succession. It was from the middle of the last century on that leadership development started to gain momentum. Figure 8 (page 78) shows how the different leadership models interconnect and build on each other. In the development of this chart Chemers (1997), Conger (1989, 1999), Hentze, Graf and Kammel et al. (2005), Felfe (2005), Crainer (1996), Hunt (1999), Lowe and Gardner (2000), and Boal and Hooijberg (2000) proved very helpful by shedding light on this increasingly complex field. Charts like this necessarily fall short of portraying complex relationships adequately. Moreover, it was not possible to include *all* influencing factors. However, for the sake of giving an overall sketch of this vast field with the goal of illustrating the background on which TRANSFORMATIONAL LEADERSHIP developed, it seemed wise not to get lost in secondary details. So here the focus is on those models that notably have had an influence on further developments (Chemers 1997:53).

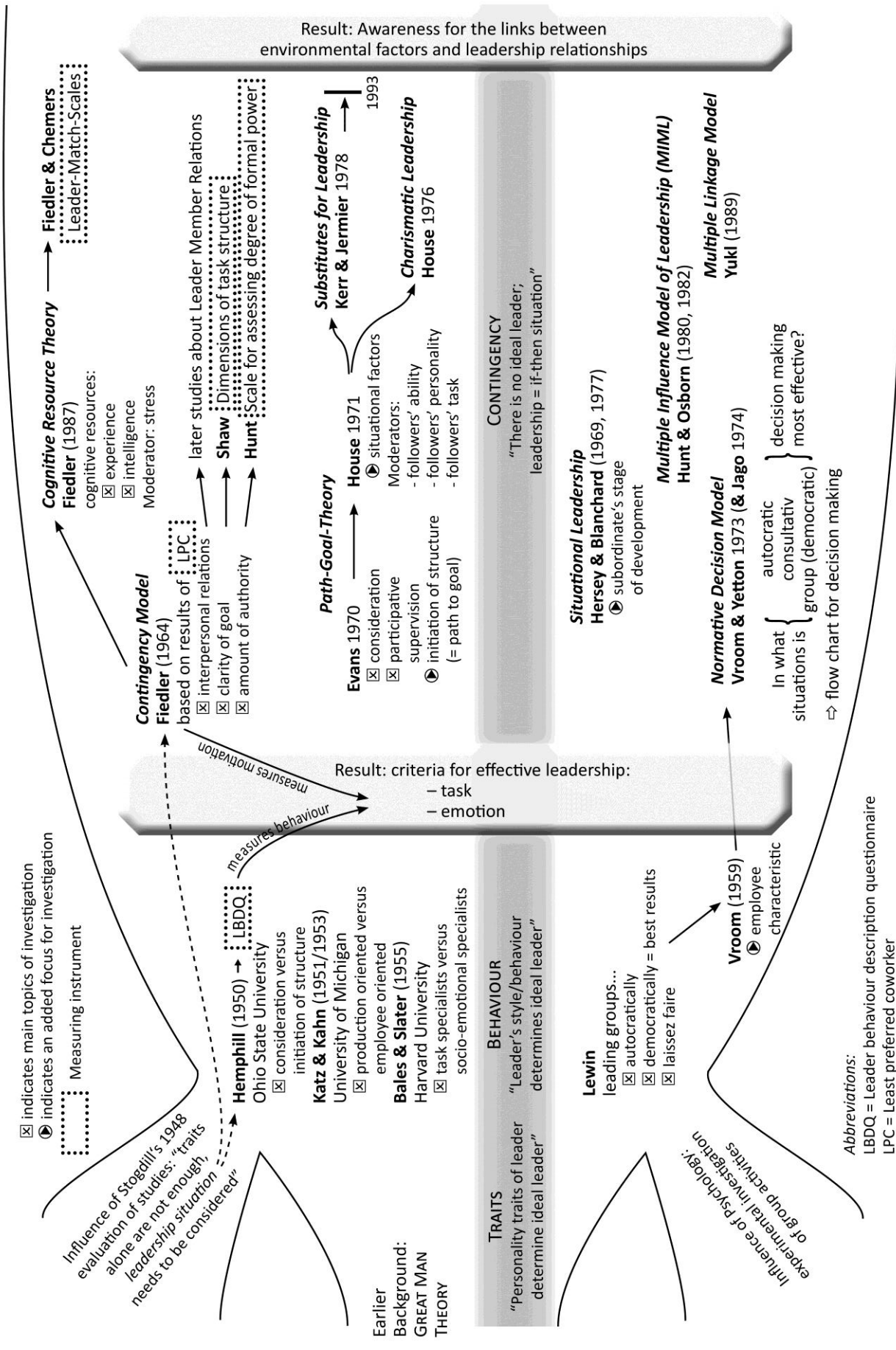


Figure 8: Development of leadership theories



Preceding the traits approach (and serving as a basis for it) was for several centuries the GREAT-MAN-THEORY, as represented even in the early 16<sup>th</sup> century by Machiavelli (Machiavelli & Bull 2003), and by later writers like Thomas Carlyle (2006; first published in 1841) at the end of the 19<sup>th</sup> century. The following traits approach dominated the first half of the last century—up to 1948, when Stogdill’s evaluation of 124 leadership studies yielded such inconclusive results that it became clear that the traits approach was not providing the necessary answers. Rather, he challenged researchers to look for other elements influencing the leadership situation, since “leadership must be conceived in terms of the interaction of variables which are in constant flux and change” (Stogdill 1948:64).

Despite Stogdill’s challenge to take the situation into account, he himself still had a strong focus on the person of the leader, but started to point to the behaviour of leaders rather than just to characteristics of their personalities (:65). He thus stood at the threshold of the behavioural era of leadership studies. Another crucial influence resulting in a closer look at the behaviour of a leader and consequently also of the led came from the area of psychology (Chemers 1997:21). During this time “task” and “emotion” were established as defining criteria for evaluating effective leadership.

This was followed by the period of contingency models of leadership, where the view was expanded to include situational factors. As researchers started to look at differing situations, naturally more and more elements came into view, and a number of models were developed depending on what a researcher’s findings seemed to classify as central factors. The general result at the end of this boom was a realisation that the links between environmental factors and leadership relationships have a defining influence on a leadership situation.

It needs to be noted that during the time of the contingency theories the *role of the followers* was generally seen as “targets of influence or sources of support” (:61). This changed notably with Burns’ development of TRANSFORMING LEADERSHIP. Later versions of the model claim to follow in his tradition. However, as will be shown in section 3.4 and chapter 4, evidence does not really support this claim.

In other areas—because of the ever expanding inclusion of contingent factors—the contingency theories of leadership started to diverge markedly. Some of the models were built on rather *diverse basic assumptions*. For example, Vroom et al. with their prescriptive NORMATIVE DECISION MODEL work under the assumption that leaders have the ability to adjust their behaviour freely according to the needs of a certain situation, if only the “prescriptive statements” indicating an appropriate answer to a certain leadership problem were formulated in such a way that they would not just contain vague informational value (e.g. leaders need to show concern for the led), but be specific and operational so that they could be applied to a certain problem (Vroom 1973:11–12). On this basis they developed their guide for decision

making. Fiedler and Chemers on the other hand question the unlimited ability of leaders to adjust their behaviour, but rather assume leaders' actions to be mostly influenced by rather stable and "highly ingrained motivational patterns" (Chemers 1997:52). However, neither assumption has been empirically proven or refuted.

Another area of diversion is the *focus* of the studies (see Figure 9). For example, when Fiedler looked at leadership, he focused on the outcome of a leader-follower interaction: the proof of effective leadership was always that the task was accomplished. In doing so he neglected the process. For proponents of the PATH-GOAL-THEORY, however, motivation and follower satisfaction (and thus, aspects of the leadership process), were the main motives of study.

The challenge for future leadership models trying to capture this complex field, though, would be to "bring together person, situation, process, and outcome" (:55).

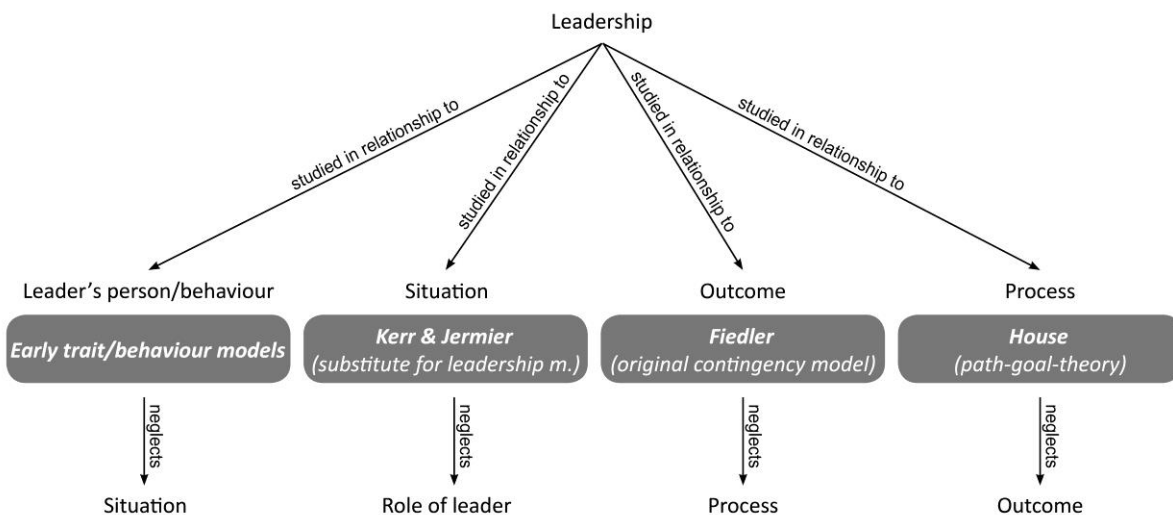


Figure 9: Focus of study in early leadership theories

Some of the contingency models did not last very long,<sup>82</sup> even though all of them had an influence on further research and leadership theory. However, it is Fiedler's CONTINGENCY MODEL (Fiedler 1964), House's PATH-GOAL-THEORY (Evans 1970; House 1971), and Vroom & Yetton's NORMATIVE DECISION THEORY (Vroom 1973) that left the strongest imprint on empirical research in the field. SITUATIONAL LEADERSHIP THEORY (Hersey, Blanchard & Johnson 1996; 1<sup>st</sup> edition in 1972), though never thoroughly backed by empirical studies, has had a strong influence on the field as a widely used tool in leadership training.

A general weakness of the instruments for measuring effective leader behaviour was that most of them measured *perception* of leader behaviour instead of actual actions. However, in such a case it is always the question which is the cause and which is the effect: Is a leader's

<sup>82</sup> For example, the SUBSTITUTE FOR LEADERSHIP model was refuted through a later study (Podsakoff, Niehoff & MacKenzie et al. 1993).

behaviour the reason for a good result, or is the good result the reason for attributing a behaviour to the leader which is expected to bring this result?<sup>83</sup> On the other hand, it was exactly the inconclusive and partly contradictory results yielded by studies based on the LBDQ and later on the LPC that kept the field moving: They forced researchers to look for the “missing link”, the contingent factors that would account for the discrepancy. Now, more than 30 years later, the overall knowledge and insight into the field of leadership has increased, but the search for *the* answer to an all encompassing leadership theory is still on, and people like Chemers (1997) and Heifetz (2000) have come up with different approaches, trying to grasp the complexity of the field.

Charts like Figure 8 have an additional weakness in that it is not possible to show graphically *all* the streams of influence that bear on a certain “new” finding.<sup>84</sup> And what might be discarded one moment might be reconsidered at a later time: In 1970, Stogdill himself continued his work from 1948, evaluating 163 newer studies (Stogdill 1974:73). His conclusion then was that as a result of his 1948 study in the following years too much attention had been given to situational factors, and the influence of personality factors was prematurely discarded.<sup>85</sup> Even though it was very clear that the GREAT MAN THEORY of early leadership thinking could not satisfactorily explain effective leadership behaviour in the increasingly complex and globalised world of the 20<sup>th</sup> century, later theorists (Chemers [1997] mentions McClelland & Boyatzis [1982] as an example) picked up the notion again that leadership traits should not be neglected.

### 3.3.1. Robert House, Boas Shamir and Michael Arthur

Weber, as described in section 3.2.2, looked at Charisma from a purely sociological perspective. However, this was no longer considered an adequate approach for modern sociologists. In line with the developments happening in the areas of psychology and psychoanalysis, they demanded not only an appreciation but a deeper investigation of the psychological phenomena which are part of charismatic leadership: Which behavioural patterns, motives, and personality and character traits do charismatic leaders share that make them such extraordinary leaders? How do charismatic leaders motivate their followers? For them charisma manifests itself in one of three ways:

<sup>83</sup> Chemers (1997:23–24) points to an additional problem: Perception of leader behaviour is also tainted by the rater’s knowledge of whether or not a group activity was successful. The same problem applies to the evaluation of Individualised Consideration as part of TRANSFORMATIONAL LEADERSHIP (Chemers 1997:47).

<sup>84</sup> Beyer for example (1999a:320) points specifically to the strong influence the human-relations-movement had on the contingency theories.

<sup>85</sup> However, for the overall development of leadership research, this necessary search for factors other than personality traits had been a helpful impulse (Bryman 1993:4).

(1) a relationship between an individual (leader) and others (followers) based on deeply shared ideological (as opposed to material) values; (2) an individual who accomplishes unusual feats through the efforts of followers who are exceptionally loyal to the leader, have a high degree of trust in the leader, and are willing to make personal sacrifices in the interest of the leader's vision and the collective led by the leader; (3) a complex set of personal characteristics and/or behaviors of an individual that leads to the above outcomes. (House 1999:564)

In contrast to Weber, the main focus was no longer on how charisma was anchored in the overall society but rather on how it was anchored within organisations (“organisational charisma” [:564]). Proponents of the different streams of modern charismatic theories focus on different aspects of this definition: either the relationship between leader and followers (definition 1), the outcomes of this relationship (definition 2) or the qualities of the leader (definition 3). For House, the crucial factor is the relationship:

I view *organisational charisma* as an extraordinary relationship between an individual (leader) and others (followers) [...]. The outcome of this relationship is extraordinary accomplishments as a result of the vision and inspirational ability of the leader and the loyalty and trust of the followers, their cohesiveness as a collective, and their willingness to make personal sacrifices in the interest of the leader's vision and the collective led by the leader. (:564)

Robert House had been researching the area of organisational leadership and management for many years. In 1971, he developed the PATH-GOAL-THEORY of leadership (House 1971) as a continuation of Evans' (1970) explanation of path-goal relationships. Evans had stressed the importance of *consideration and participative supervision* (see Figure 8, page 78) as the means of a leader to convey to subordinates the idea that their higher order needs can be fulfilled. However, this alone would not yet show how this goal can be reached. It needs to be combined with a leader's *initiation of structure* to show the path that would lead to the goal (Chemers 1997:45). His expectation was that the combination of these two factors in a leader's behaviour would render the best results.

However, research did not show clear support for Evans' theory, so House developed a slightly different PATH-GOAL THEORY and included situational factors: the follower's ability and personality and the follower's task, with the latter becoming the main focus in later research concerned with this theory. This was then the foundation on which his first CHARISMATIC THEORY of 1976 (House 1977) was developed.

In light of the later developments, the decision to put the focus of investigation on the job (Is it intrinsically fulfilling or boring? Is it ambiguous or clear and well structured?) seems rather important. Because from this starting point it is a natural conclusion to arrive at TRANSFORMATIONAL LEADERSHIP, where there is also such a strong focus on making a *job* intrinsically fulfilling. What direction would leadership theories have taken, had the personality

and ability of the leader and the follower remained the focus of the studies? One would not—after countless leadership scandals filling newspaper reports—have had to realise that in spite of extensive discussions about ethical leadership some crucial element seems to be missing in the equation and notice that a stronger focus should have been put on the character of the leader. If the person and the dignity of the follower had been more of a focus one would have naturally realised for example the danger of misusing a relationship for the purpose of the leader’s goals.

Leadership research can have quite an impact on the direction “fashionable” theories take.

### **3.3.1.1. Robert House’s 1976 theory of CHARISMATIC LEADERSHIP**

Robert House strikes one as a true scholar, always searching for better explanations, refining his theory, putting out revisions with the clear expectation that his new hypotheses would be tested again and further refined or completely changed. According to his own appraisal, PATH-GOAL-THEORY had only been an antecedent for the later CHARISMATIC THEORY (House 1996:334). Discussions with David Berlew, who was the first to draw a connection between human needs and charismatic leadership (Conger 1989:27), had been instrumental in triggering the development of House’s first version of CHARISMATIC LEADERSHIP, the first such theory geared toward an organisational setting. Berlew in turn had been a student of David McClelland, who in his theory of personality stressed the role of three big motives driving human behaviour: achievement, affiliation, and power (McClelland 2009; first published in 1987).<sup>86</sup> Arousal of such motives could substantially enhance a leader’s impact. In House’s words:

From my discussions with him, I concluded that effective leaders also arouse motives that are relevant to particular followers’ tasks. [...] As a result of motive arousal, the intrinsic valence of selected behaviors and outcomes is substantially increased. From this line of reasoning, and discussions with Berlew, I developed the theoretical notion that path-goal theory needed to be supplemented with a set of propositions concerning leaders who empower followers and arouse motives to enhance intrinsic valences. (House 1996:334)

Imagining a leader who acted in such a way, he argued, one would arrive at an image “likely to be strikingly similar to the stereotypic charismatic leader” (:334). This charismatic leader would show high levels of self-confidence, dominance, a strong conviction in the moral righteousness of his/her beliefs and a high need for influencing others. S/he would engage in role modelling, image building, goal articulation, exhibiting high expectations and at the same time showing confidence in the followers (and as a result influencing followers’ goals),

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<sup>86</sup> Section 5.3.2.2 will look at the aspect of motivation in more detail.

and in actions that would arouse motives appropriate for the followers' situations (House 1977:193ff). A crisis, in House's opinion (and in contrast to Weber), did not constitute a necessary *requirement* but rather an element *encouraging* the emergence of charisma. What he did consider essential though was the opportunity to articulate the goal and the possibility to define the role of the follower "in ideological terms that appeal to the follower" (:205). Based on these assumptions he formulated seven propositions,<sup>87</sup> which he hoped would serve as a basis for research confirming or modifying the theory. True to his own understanding of the role of theory, this first theory of 1976 has since been modified to form the 1993 SELF-CONCEPT BASED THEORY OF CHARISMATIC LEADERSHIP and was further changed by conceptions of value based leadership into the 1996 REVISED PATH-GOAL THEORY OF LEADERSHIP (House 1996). House's stress on image building is one of the points where he markedly differs from Weber. For House the appearance of accomplishments was sufficient proof for a charismatic leader, whereas for Weber the proof was always the actual accomplishment. It is also a point that is prone to unethical behaviour—no matter how morally righteous a leader considers his/her goals. Image building is much easier than character building, and a leader will have to make a conscious decision to make sure that the image which is developed is consistent with his/her character. Otherwise integrity is lost.

### **3.3.1.2. The 1993 self-concept based theory of Shamir, House and Arthur**

Robert House had described the behaviour which he foresaw a charismatic leader to show and the effects it would have on the relationship between leader and follower. Boas Shamir, coming from the area of social psychology, was not content with just a description of a relationship. He wanted to know what mechanisms could *explain* these effects. So he compared two psychoanalytic, a sociological-symbolic, and two attributional explanations of CHARISMATIC LEADERSHIP (Shamir 1991b) with a new, self-concept based explanation he had developed together with Robert House and Michael Arthur and which would eventually be published in 1993 (Shamir, House & Arthur 1993).<sup>88</sup> According to them the complexity of a charismatic relationship could—though not fully, but at least best—be explained if one considered the motivational forces at hand in the formation of the self-concept of human beings.

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<sup>87</sup> See Appendix 7.1.

<sup>88</sup> Psychoanalytic: explanations looking for roots in early childhood experiences and based either on Freudian transference and projection or on narcissistic idealised transference (Kets de Vries 1988:269ff; 1989; see also section 4.4.1.3);  
Sociological: psychological explanation of Weber's model, charisma as a connection to the "symbolic center", the values and beliefs which each society has;  
Attributional: explanations which either explain charismatic qualities as an attribution of followers *regardless* of a leader's personality or behaviour (e.g. the "romance of leadership" theory by Meindl et al. [1985], which considers the attribution of leadership to a member of a group merely a necessary crutch to alleviate the feeling of helplessness of the group [Kets de Vries 1989:241]), or as an attribution by followers *based* on a leader's behaviour (Conger & Kanungo 1987).

The main question for Shamir, House & Arthur became: In what ways do charismatic leaders affect the self-concepts of followers to produce the extraordinary outcomes that seem to result from their leadership? They concluded that by expressing organisational goals in ideological terms and relating them to followers' inherent values, by expressing confidence in the followers and strengthening their worth and efficacy, and by focusing on the collective identity and value system of the followers as a group, the motivational basis of a follower's self-concept would be activated and would practically automatically result in deepened commitment to the organisation and the organisational tasks (:581).

Two points are especially noteworthy:

1. Their theory is an *explanation* of the motivational processes happening in a charismatic relationship, and as such is first and foremost a description of processes, not a prescription for effective behaviour. In their theory they point out that such motivational processes can be used for good or bad:

We believe that these risks should not be neglected, but rather that we need more studies of the nature and effects of charismatic leadership and the conditions under which it produces harmful versus beneficial effects for followers and collectives. (:582)

2. Their theory is not so much concerned with the dyadic relationship between a leader and a follower, but rather with the effects a leader has on a *group* of followers. The vision or goal of a leader will only be effective if it taps and reinforces values already inherent in the collective. This is in contrast to Weber, who considers the extraordinary personality of the leader to be the basis for unquestioning devotion, or to Conger and Kanungo who stress a vision radically different from the status quo (see section 4.4.1.2).

These two points are important to note, especially since Shamir, House and Arthur have been accused of manipulating followers' self-concepts through a "process of inner colonization, by which external values (should) become internal ones" (Neuberger 2002:142).<sup>89</sup> Or—by stating it a little less accusatory—that their charismatic leaders use the self-concept of followers to accomplish a certain purpose (e.g. Chemers saying that the leaders are effective by "engaging followers' self-concept" [Chemers 1997:89] and by arousing group focused motives [:63]). However, studying Shamir, House & Arthur's original concept, one does not find in their explanations the secret recipe a leader should employ to be successful. Rather, it is a description of how, based on motivational theory, leadership situations always and automatically influence the formation of the self-concept of followers—up to the point where in

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<sup>89</sup> Original: "Statt eines äußerlichen Zwangsregimes erfolgt eine innere Kolonialisierung, weil die fremden Werte zu eigenen gemacht werden (sollen)." (Neuberger 2002:142)

the case of a charismatic relationship followers' self-esteem becomes “contingent on their involvement in the vision and the mission articulated by the leader” (House & Shamir 1993:86).

Indicating the danger of a misuse of a motivational process is not necessarily the same as promoting it. Rather, it is of utmost importance to take the processes and results they describe into account as one key to identify and counteract possible misuses of charismatic relationships (see section 5.3). On the other hand, awareness of such processes does invite misappropriation, especially by ethically unstable leaders preoccupied with their own careers.

Having thus defended the noble intentions of Shamir, House and Arthur's concept, a cautionary note has to be added, because even though the original concept did not prescribe certain behaviour but rather described processes, Neuberger's reservations were not completely unfounded. In a later publication Shamir himself talks of the desire to further investigate these “underlying mechanisms that *enable* transformational leaders to influence followers' identifications”, i.e. the processes “by which transformational leaders *can exert their influence* on followers” (Kark & Shamir 2002:68; emphasis EM). It will indeed need a strong ethical character for leaders not to let themselves be tempted into misusing their knowledge about such processes. From the point of theological ethics three aspects need to be kept in mind in this regard:

- A leader needs to reflect on his/her intentions when engaging in a charismatic relationship.
- A leader needs to develop a character of integrity to resist the temptation to misuse his/her influence over followers in this process.
- The self-concept is part of the *menschenbild* a person holds. A leader who is aware of the *imago Dei* in the follower and the dignity this gives to every person, cannot allow the self-esteem of the follower to become solely dependent on the participation in his/her great vision and mission.

### **3.3.2. Robert Greenleaf and SERVANT LEADERSHIP**

It has been mentioned already in section 1.2.1.3 that it is surprising that there is so little reference to SERVANT LEADERSHIP within the publications on TRANSFORMATIONAL LEADERSHIP. One should think that two leadership models who both claim that they are deeply concerned with the ethical aspect of leadership would draw from each other. To lay the groundwork for understanding why this lack of reference is surprising the main ideas of SERVANT LEADERSHIP will be introduced in this section. Section 4.5 will explain in more detail the connections between the two models. This will shed further light on the distinct approach of



TRANSFORMATIONAL LEADERSHIP to the deeper ethical questions relating to a leader's intention, character and *menschenbild* and the consequences this has for the ethical evaluation of the model.

SERVANT LEADERSHIP as a concept was formulated by Robert Greenleaf (1904–1990), an American engineer and mathematician, who spent his 38 working years at AT&T, where he within a few years entered the field of management within the organisation. Most of his years at AT&T he was busy with researching management and organisational questions, advising the many organisations associated with this giant, and promoting his ideas about leadership within the organisation. His nearly 30 years of retirement he dedicated to consulting other organisations and promoting SERVANT LEADERSHIP as a way of approaching leadership which would address the problems he had perceived in the society and in organisations.

The idea of SERVANT LEADERSHIP (first published in 1970 in the essay *The servant as leader*) was not born out of extensive research, but rather started as an intuition (Greenleaf 1991:12). His consulting work and his desire to truly understand the people he dealt with had led him to reading Hermann Hesse extensively (Greenleaf 1995:20). It was in reflecting on the person and role of Leo in *Journey to the East*<sup>90</sup> that Greenleaf realised the connections between serving and leading and the immense potential which these “opposites [...] brought together in a creative and meaningful way” (Spears 1995b:2) held for leadership practice. From the very beginning Greenleaf stressed that the essence of SERVANT LEADERSHIP was not a method, but an inherent quality of the person of the leader—it was rooted in the leader's character, not in leader behaviour. Leadership positions could be bestowed on people or withdrawn, the quality of being a servant would stay with the person whatever position s/he would occupy and would shape the leader's relational ethics. In this way, servant leaders are first and foremost servants and “assume leadership only if they see it as the best way they can serve” (Blanchard, Hybels & Hodges 2001:42). Under their leadership the people being led will “grow as persons, [...] become healthier, wiser, freer, more autonomous, [and] more likely themselves to become servants” (Greenleaf 1991:13–14). Followers are seen as people worthy of being served. And in terms of questions of social ethics, Greenleaf was convinced that the impact of SERVANT LEADERSHIP will not be confined to the organisation/company, but that it will always also have a positive effect on the underprivileged of society.

The natural inclination to serve will manifest itself in certain behaviour. Spears (1995b:5ff) lists ten characteristics of a servant leader: Listening, empathy, healing, awareness

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<sup>90</sup> In this story, Leo, a servant, accompanies a group of travellers on a journey, serving them in all their needs. At one point he leaves the group, which eventually leads to the failure and abandonment of the journey. Much later one of the group meets him again and realises that he is not a servant, but the leader of the group who had financed the journey.

(including self-awareness), persuasion (in contrast to coercion),<sup>91</sup> conceptualisation, foresight, stewardship, commitment to the growth of people, and building community; Barbuto and Wheeler identified an eleventh element: calling (in Bugenhagen 2006:32).<sup>92</sup> In contrast to such servant leaders who use a leadership position to better live out their natural inclination to serve, a leader who is “leader first” might later also serve, but not as an expression of natural desires, but “out of promptings of conscience or in conformity with normative expectations” (Greenleaf 1991:14).<sup>93</sup> The strong focus on the person and character of the leader will be considered again in section 4.5, since it seems to be one of the defining factors distinguishing Greenleaf’s SERVANT LEADERSHIP and Burn’s TRANSFORMING LEADERSHIP from Bass’ TRANSFORMATIONAL LEADERSHIP.

In 1964 Robert Greenleaf founded what in 1985 became the *Greenleaf Center for Servant Leadership*. However, the name he originally had given to his organisation was *Center for Applied Ethics*—another indication for where his focus lay. Greenleaf died in 1990, but the *Greenleaf Center for Servant Leadership* continues to offer training in SERVANT LEADERSHIP and to organise conferences where leaders dedicated to this philosophy of leading meet and interact.

Greenleaf did not limit SERVANT LEADERSHIP to the person of the leader. In the four years after the publication of *The Servant as Leader* he published two more essays, specifying how institutions and boards of trustees could and should act as servant leaders. His book *Servant Leadership* (Greenleaf 1991—first edition in 1977) was a collection of these and other essays. In it he challenged especially the educational sector and the churches to develop servant leaders, which would eventually make a difference in overall society. Although the idea of a servant leader found widespread recognition, the same principles applied to institutions or organisations seemed far less acceptable (DiStefano 1995:64ff). The challenges to truly put “people first” and abandon the typical hierarchical structure of organisations—even more: turn the hierarchical pyramid upside down!—were perceived as too radical and threatening. Naturally so! They would require leaders who would not just consider the notion of a servant leader as something morally uplifting but who would actually put it into practice, allowing in the process to have their own self-perception and familiar organisational structures

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<sup>91</sup> To illustrate this Greenleaf relates the example of how John Woolman (1720–1772) with quiet persuasion and persistence influenced the Quaker community so that, long before this became an issue in society in general, Quakers demanded the abolition of slavery (Greenleaf 1991:29–30).

<sup>92</sup> These elements were later combined into five factors: Altruistic calling, emotional healing, persuasive mapping (= the ability to conceptualise), wisdom, and organisational stewardship (Bugenhagen 2006:33–34).

<sup>93</sup> With this definition Greenleaf’s servant leader fits exactly what Chan, Hannah and Gardner (2005:6ff) define as a veritable authentic leader (see section 3.5 for an introduction to authentic leadership), one that is and lives his/her true self. A servant leader is always a veritable authentic leader, but not every veritable authentic leader is necessarily a servant leader.

challenged. This hesitation points to a fundamental issue not just for theological ethics but for any kind of moral philosophy: If ethical considerations only serve to give one the uplifting feeling of being concerned with noble goals, they miss their mark. Ethical convictions manifest themselves in the practical decisions of a person's life—be they leaders or followers—as well as in the organisations they work with. If one is not willing to put ethical convictions into practice—either as an individual or as an organisation—the least one can do is to stop deceiving oneself and others by proclaiming them.

It will become clear in the next section and in chapter 4 that TRANSFORMATIONAL LEADERSHIP according to Bass gives leaders a kind of toolbox of possible reactions where they are encouraged to choose the ones most likely to produce a successful outcome in a certain situation. SERVANT LEADERSHIP in contrast keeps the *intention* of the leader in focus, the willingness to put people first, and thus “becomes a razor sharp sword that challenges every decision you make as a leader” (McGee-Cooper 1995:113). The process of how SERVANT LEADERSHIP approaches ethical questions parallels the approach theological ethics takes in many respects. The next step would now be to evaluate the content of SERVANT LEADERSHIP along theological ethical parameters. However, this is not the intent of this dissertation.<sup>94</sup> Rather, SERVANT LEADERSHIP was introduced to exemplify the differences of approach to ethical questions within the field of leadership studies.

### **3.4. TRANSFORMING and TRANSFORMATIONAL LEADERSHIP**

In this time and age, which is characterised by constant change, leadership needs to react appropriately in unstable environments (Felfe 2005:14). Felfe investigated and compared several of the newer leadership models and found that while the names differ which they give to the person with such a capability,<sup>95</sup> the essence remains the same: The ability to instigate necessary change is considered *the* crucial aspect of leadership. Transformational capabilities are needed!

But it is impossible to speak about TRANSFORMING/TRANSFORMATIONAL LEADERSHIP without also mentioning another term often mentioned in conjunction with it: TRANSACTIONAL LEADERSHIP. Proponents of TRANSFORMATIONAL LEADERSHIP often refer to Burns (1978) as the one defining TRANSACTIONAL LEADERSHIP. Khanin (2007) however points out that five years earlier James V. Downton had already introduced the term ‘transactional leadership’ into the leadership discussion. In contrast to Weber, who had defined charismatic leadership as one of the “three pure types of legitimate authority” (Weber & Parsons 1997:328), Downton saw

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<sup>94</sup> The School of Leadership Studies at Regent University is leading in studying SERVANT LEADERSHIP.

<sup>95</sup> Felfe (2005:18–21) shows the connections between Maccoby's *Gamesman*, Luthans, Hodgetts & Rosenkranz's *Effective Manager*, Magerison & Kakabadse's *Visionary*, and Bennis & Nanus' *Leader*.

charismatic leadership only as one of three possible expressions of “personal leadership” (Khanin 2007:14):

<i>Forms of „personal leadership“</i>	<i>Basis on which it develops</i>
<b>Transactional leadership</b>	“interest-based interactions between leaders and followers”
<b>Inspirational leadership</b>	“the leader’s ability to inspire and direct followers’ efforts”
<b>Charismatic leadership</b>	“the leader’s ability to play the role of a ‘substitute ego-ideal for its followers’” (Downton 1973:285)

**Table 4: Personal leadership according to Downton**

Khanin (2007:15) further explains that Bass & Avolio’s theory follows Downton’s model more than Burns. Nevertheless, since this dissertation is concerned with TRANSACTIONAL LEADERSHIP only in reference to Bass’ *Full Range of Leadership*, I will concentrate here on the two names most often encountered: Burns and Bass.

### **3.4.1. James MacGregor Burns**

James McGregor Burns (\*1918) is a political scientist and historian, known for his analysis of several American presidents. This background as a historian is noteworthy as it also sheds light on his approach to TRANSFORMING LEADERSHIP: Unlike his successor Bernhard Bass (who approached the topic from a psychological and management view), Burns considered and explained TRANSFORMING LEADERSHIP from a political perspective. In 1978 he published his book *Leadership* (Burns [1978] 2005). What is the real difference between good and bad leadership? What are the power forces active in a leadership situation? How can leadership deal with outside forces that inhibit or complicate good leadership? These are the questions that pervade his first book.

Another thread that winds through the book—and which constitutes the foundation on which he builds the model of TRANSFORMING LEADERSHIP—are Enlightenment values (Bailey & Axelrod 2001:115–116). Enlightenment values are influenced heavily by the Christian roots on which they developed (Kant, as a main enlightenment thinker, grew up in a Christian family and was shaped by Christian values). However, since enlightenment thinkers excluded God as a foundation from their system, but rather based it on autonomous reason, necessarily some of their values (especially as they refer to the ultimate purpose of human existence) differ from Christian values. For example, as to the purpose of human existence, while theological ethics would contend that God’s intentions with humans are at the very core good (Jer 29:11),

this could not simply be described as “happiness”. Also, unlike Christianity, where people would count on the help of God’s Spirit to live lives according to God’s principles, enlightenment ethics puts the demands to live out high ethical standards on the person alone.

For Burns, the ultimate goal for TRANSFORMING LEADERSHIP lies in the pursuit of happiness. Everything else (order, liberty, equality, justice, community), according to him, would be included in this (Burns 2003:214). Burns found in Maslow’s hierarchy of needs a theory “that held fascinating potential for understanding leadership and change” (:9).<sup>96</sup> His leadership theory would address the highest need within Maslow’s hierarchy, the need for self-actualisation.<sup>97</sup> However, he considered his theory to even expand Maslow’s notion of self-actualisation to include the teachability of a leader:

That capacity calls for an ability to listen and be guided by others without being threatened by them, to be dependent on others but not overly dependent, to judge other persons with both affection and discrimination, to possess enough autonomy to be creative without rejecting the external influences that make for growth and relevance. Self-actualization ultimately means the ability *to lead by being led*. (Burns [1978] 2005:117)

This notion seems very important, especially in comparison with the later developments by Bass. Moral formation leading to deep transformation is not possible without teachability. For Burns a crucial factor in his theory of TRANSFORMING LEADERSHIP is that both leader and led are transformed in the process—meaning that the process of transformation cannot be traced back solely to the activity of the leader, and meaning also that the end product of the transformation process cannot be programmed from the beginning.

Like many others, Burns had been struggling with the essence of leadership. But he was convinced that it would be possible to find a good classification if only we could describe what leadership really is. A high goal indeed! 30 years later, in 2008, Fiedeldej-van Dijk and Freedman referred to George, Sims and McLean et al. (2007) who claimed about a certain aspect of leadership that within the last 50 years more than 1000 studies trying “to determine the definitive styles, characteristics, or personality traits of great leaders” still had not been able to distinguish “a clear profile of the ideal leader” (Fiedeldej-van Dijk & Freedman 2008:9).

In his approach to the topic Burns sees the necessity to distinguish between leadership and rulership, i.e. the power to impose rules, possibly by force:

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<sup>96</sup> Burns is not the only one fascinated by Maslow’s hierarchy of needs. As has been mentioned in section 3.3.1.1, Berlew as one of the founding fathers of House’s CHARISMATIC LEADERSHIP (Conger 1989:27), and before him Fiedler with his LPC (Chemers 1997:34), also base their thoughts on Maslow.

<sup>97</sup> This is an indication that Burns’ understanding of happiness was based on his own cultural background, where happiness could be defined in terms of an *individual* goal. More collectivistic cultures would only be able to define happiness and self-actualisation in relation to the community.

<i>Characteristics of...</i>	
<i>...leadership</i>	<i>...rulership</i>
“Reciprocal raising of levels of motivation” (:448) <sup>98</sup>	Indoctrination of followers by ruler
“Some commonality of hierarchies of motives between leader and follower” (:437)	Ruler’s motives only are decisive
“Some degree of choice in a context of conflict or competition” (:437)	Coercion <sup>99</sup>
“Followers and leaders may exchange places” (:53)	“Rulers never exchange places with followers” (:53)
Distinguishing between things (resources without motives) and people (:18)	Treating people as things that can be controlled (:18)

**Table 5: Characteristics of leadership versus rulership according to Burns ([1978] 2005)**

Following this distinction he comes to the conclusion that “all leaders are actual or potential power holders, but not all power holders are leaders” (Burns [1978] 2005:18). This distinction also indicates the direction his definition of leadership takes: Burns links leadership more than anything else with motivation, values and purpose. These are concepts which are deeply intertwined with the leader’s ethical perceptions—more exactly with the parameters introduced in section 2.3.5: a leader’s intention, virtuous character and *menschenbild*. Defining leadership in this way rather than based on effectiveness, he feels one can not only distinguish between “acts of power and acts of leadership” (:433) but also between coincidental and planned change, because “leadership brings about real change that leaders *intend*” (:414). This change, however, must not be driven by a leader’s or an organisation’s motives alone:

The crucial variable, again, is *purpose*. Some define leadership as leaders making followers do what *followers* would not otherwise do, or as leaders making followers do what the *leaders* want them to do; I define leadership as leaders inducing followers to act for certain goals that represent the values and the motivations—the wants and needs, the aspirations and expectations—*of both leaders and followers*. (:19)

Teaching about leadership, Burns often had felt that they had not really grasped the source of the matter. Instead of penetrating to the moral and psychological forces which

<sup>98</sup> In this aspect Burns sees a very close resemblance between leadership and education.

<sup>99</sup> Carroll (2002:140, 142) would lament such an “equation of power with domination and control” as typically male oriented and—based on Nancy Hartsock—would prefer a definition of power as “ability to transform oneself and the world”. But it is not only feminist writers who would make this distinction. Kessler (2010:531) lists Russel and Guardini as using a similar distinction and defining power not as “power over” someone but as “power to” achieve a result.

drove leaders they contented themselves with analysing actions. Leadership, however, was “not only a descriptive term but a prescriptive one, embracing a moral, even a passionate, dimension” (Burns 2003:2). This understanding of leadership linked leadership inextricably with questions of ethics.

In his writings one notes how much Burns is shaped by the value system of his own country. In many instances one hears the wording from the *Declaration of Independence*, asking for life, liberty and the pursuit of happiness. In one instance, however, he more clearly explains his view and makes a distinction which becomes important in his specification of TRANSACTIONAL versus TRANSFORMATIONAL LEADERSHIP:

I discern three types of leadership values: *ethical* virtues—“old fashioned character tests” such as sobriety, chastity, abstinence, kindness, altruism, and other “Ten Commandments” rules of personal conduct; *ethical* values such as honesty, integrity, trustworthiness, reliability, reciprocity, accountability; and *moral* values such as order (or security), liberty, equality, justice, community (meaning brotherhood and sisterhood, replacing the traditional term *fraternity*). (Burns 2004:ix–x)

The goal for leadership is to make people aware of these ethical questions (Yukl 2006:419). And his claim was that the model of TRANSFORMING LEADERSHIP “raises the level of human conduct and ethical aspiration of both leader and led, and thus it has a transforming effect on both” (Burns [1978] 2005:20). For leaders to be able to do this it is important to lead from a higher level of morality than their followers are on.<sup>100</sup> Burns sees leaders and followers go through stages of moral development where with time and practice modal values like honesty, courage or fairness can more and more turn into true morality. On a lower level of moral development fairness for example would be practised as a reciprocal behaviour, whereas on a higher level of development fairness itself would turn into an expression of an end-value, in this case justice. End-values for him are “rights defined on the basis of a conscience that expresses the broadest, most comprehensive, and universal principles” (:430). TRANSFORMING LEADERSHIP therefore, according to Burns ([1978] 2005:455), while being moral in its essence, is not moralistic.

Ciulla (2004c:15) points to an aspect of Burns’ concern with ethical questions which logically derives from the above mentioned focus: his desire to keep both the morality of means and ends and the morality of the leader (both as a public and a private figure) in mind when talking about leadership. Burns considers the character of the leader as crucial.

<sup>100</sup> This parallels Eriksson (2003:38), who claims that for any social change to happen the leader needs to lead from a higher level. Their reference point is different: Eriksson refers to cognitive levels of analysis while Burns is concerned with levels of ethical/moral understanding and practice, but the principle remains the same.

However, a good character alone would not suffice if the leader would not be able to address the needs and motivations of followers.

Burns describes two main forms of leadership: transactional and transforming. A transactional leader tries to find out what the needs of his/her subordinates are. On this basis, “by quick calculations of cost-benefits” (Burns [1978] 2005:258), transactions are negotiated: rewards for achievement, punishment for failure to achieve. The question a transactional leader asks is: “What do I have to offer a subordinate so that s/he will fulfil *my* expectations?” The short term interests of the parties involved, not necessarily the interests of the organisation, are crucial for the execution of such a transaction.

The chief monitors of transactional leadership are *modal values*, that is, values of means—honesty, responsibility, fairness, the honoring of commitments—without which transactional leadership could not work. (:426)

A transforming leader functions quite differently:

The crucial distinction between transactional and transforming leaders lies in the quality that transforming leaders do not seek to satisfy followers’ basic needs in order to achieve their own objectives. Instead, they engage followers in a mutually enriching interface that allows followers to realize their higher-order needs and thus initiate a process of self-growth and transformation. (Khanin 2007:10)

It is this unity in the “pursuit of ‘higher’ goals” (Burns [1978] 2005:425) and the resulting “change that represents the collective or pooled interests of leaders and followers” (:426) which lies at the heart of Burns’ definition of TRANSFORMING LEADERSHIP. This kind of leadership can occur in differing circumstances, as ideological leadership, within reform movements or within revolutionary movements. In any of these situations a transforming leader would get emotionally involved with followers, learning from them and identifying with their situation, and through the “vital teaching role of leadership” try to “shape and alter and elevate the motives and values and goals of followers” (:425).

Perceiving leadership as such a *collective* effort, it is not surprising that Burns expects the leader as well as the followers to be transformed in this process. He very much opposes the “cult of the individual leader” (Khanin 2007:10). For a transforming leader whose main concern are end-values—or moral values as he called them elsewhere—the climax is reached when a follower in this process has developed to the point at which s/he can take over a leadership position and the transforming leader can step back.

Reading Burns’ books one notes the absence of specific methods that would lead to this desired result. In this he differs markedly from Bass, the future main proponent of TRANSFORMATIONAL LEADERSHIP. Burns does not see the applicability of TRANSFORMING LEADERSHIP as being dependent on certain methods. Rather, he specifies situations that would enhance the



emergence of TRANSFORMING LEADERSHIP. In this process conflict played a crucial role. Movements behind opposing opinions he considered a formidable force for change, a “democratizer of leadership” (Burns [1978] 2005:453). And the need to specify one’s position in light of conflicting values would result in leaders who could not hide behind great, but empty words (e.g. liberty), but would have to define more distinctly what kind of liberty they were talking about. This process would lead to a more successful mobilisation of followers (:432).

The role of conflict remains important through all of Burns’ work. However, he did revise his theory over the years, for example, in terms of the role he gave democracy within the model. In the beginning he was rather sceptical. For the process of mutual expansion of consciousness dissent seemed much more productive to him than consensus and complacency as they are aspired to in democracy. In his second book however, Burns stated that TRANSFORMING LEADERSHIP could *only* become a reality on the basis of democracy and democratic values.

Yet a functioning democracy not only acknowledges that conflicts without end are woven into the fabric of human society and accommodates them but attempts to turn them to vital and progressive purpose. [...] The test of a democracy is the acceptance of majority rule *and* minority rights. The majority’s right to govern is matched and validated by the minority’s right to oppose and struggle to replace it. (Burns 2003:122)

What does not change however is his conviction that true leadership cannot be a one-way-street where the leader only tries to influence the subordinate (Khanin 2007:15).<sup>101</sup> For this reason Burns considers TRANSACTIONAL LEADERSHIP, whose goal is exactly this influence, and TRANSFORMING LEADERSHIP as “two ends of a spectrum” (Conger 1999:151) and thus incompatible with each other. Section 4.2 will look at this aspect more closely.

For Burns TRANSFORMING LEADERSHIP needs to result in “intended, real change that meets people’s enduring needs” (Burns [1978] 2005:461, see also :251). Change which not only affects the immediate situation and goals of leader and/or followers, but social change (:249), “measured by purpose drawn from *collective* motives and values” (:427; emphasis EM) and ultimately for the good of the wider society.<sup>102</sup> The means to reach such change is this “relationship of mutual stimulation and elevation” between leader and followers which “converts followers into leaders and may convert leaders into moral agents” (:4)—leadership exercised

<sup>101</sup> Even though their own models at times promoted quite different values, it is this mutuality between leaders and followers, “the idea that certain forms of leadership create a cycle of rising aspirations that ultimately transform both leaders and their followers” (Conger & Kanungo 1998:11) which other scholars found intriguing in Burns’ thoughts.

<sup>102</sup> This aspect comes into play again in section 5.3 in the discussion about good or bad TRANSFORMATIONAL LEADERSHIP. Anchoring TRANSFORMING LEADERSHIP in the good of the overall society like Burns did, makes discussions about whether Hitler was a transforming leader or not superfluous (Burns [1978] 2005:426). With this stress on the good of the wider society Burns is also close to Christian ethics, in which the common good as a *telos* is an essential part of ethical consideration.

in community! In accordance with such a view of TRANSFORMING LEADERSHIP Burns challenges to apply it to real social ills, like global poverty (Burns 2003:231).

Burns' book on leadership created a big stir within the field of leadership studies. Just like everybody in the area of CHARISMATIC LEADERSHIP refers back to Weber, so in the area of TRANSFORMATIONAL LEADERSHIP and the newer developments in this field, everybody refers back to Burns. Chapter 4 will look at the relationship between the different streams in more detail. So here it shall suffice to mention that it is interesting to note *how* people refer back to Burns. Elements of Burns' model are taken up but often put in a different context, thus receiving an emphasis different from Burns' original. Two aspects shall exemplify this process:

The means of dialogue, of mutuality, which is such an important point in Burns' theory, is often replaced by influence and persuasion, and the goal of social change needs to make room for organisational effectiveness and the success of the leader. On this background Barbuto can come to describe Burns' transforming leader as somebody “who is *able to lift followers up from their petty preoccupations and rally around a common purpose to achieve things never thought possible*” (Barbuto 2005:26; emphasis EM) and Bass can speak of transformational leaders as “those who *stimulate and inspire followers to both achieve extraordinary outcomes and, in the process, develop their own leadership capacity*” (Bass & Riggio 2006:3; emphasis EM)—development of followers as a welcome side effect of organisational success. Burns does say that TRANSFORMING LEADERSHIP needs to be evaluated by its success. But success first refers to social change and improvement according to concertedly defined values, not to increased efficiency of followers according to organisationally defined goals.

### 3.4.2. Bernard M. Bass

Bernard M. Bass (1925–2007) is the one who promoted the ideas of TRANSFORMATIONAL LEADERSHIP most. After getting his doctorate in industrial psychology in 1949 he started researching the topic of leadership. It was leaderless group discussions and later small group behaviour (Hooijberg & Choi 2000:292–293) which had triggered his interest in leadership research. His early focus was on the military, but as time went on he became more and more involved in research within business and educational sectors. All through his academic career he himself published widely (over 400 journal articles, book chapters and technical reports; 21 authored books and 10 edited books) and through the establishment of the *Center for Leadership Studies at Binghamton* and of *The Leadership Quarterly*, a journal dedicated to leadership research, he established platforms for others to pursue their studies and publish their results.<sup>103</sup>

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<sup>103</sup> <http://cls.binghamton.edu/berniebass.html>; SUNY-Binghamton was the university in New York where Bass spent most of his years in academic work as a lecturer and consultant.

He felt that his was a time when relationships could be established between different elements of the leadership situation which scholars in the preceding decades had discovered. From 1978 on he was involved in the publication of the *Handbook of Leadership* (Bass & Bass 2008). He found great satisfaction in working on this, because he could show “the connections among many of the different works” (Bass in Hooijberg & Choi 2000:295).

Making connections has continued as his passion through his many academic years. Unlike research about contingency models of leadership which focused on differences and—as time went on—found ever increasing numbers of contingent factors which needed to be taken into account, TRANSFORMATIONAL LEADERSHIP was a model which could focus on similarities (:297). In later years this concern of Bass manifested itself in his interest to conduct studies across many different countries to examine the validity of his leadership theory. The most extensive result of this is the “Globe study”, a huge research project, led by Robert House and involving 170 researchers in 62 countries (House, Hanges & Javidan et al. 2006:11).

House’s thoughts about CHARISMATIC LEADERSHIP (1977) and Burns’ book about TRANSACTIONAL and TRANSFORMING LEADERSHIP (Burns [1978] 2005) were the incentives for Bass to publish in 1985 his book *Leadership and Performance Beyond Expectations*, in which he described his version of TRANSFORMATIONAL LEADERSHIP.<sup>104</sup> He felt that Burns had in a way bundled many of the ideas floating around at that time and had put them together into a model (Bass 1993:376) which he, Bass, could then take from this “purely conceptual level” (Hunt 1999:139) and “[operationalize] it in questionnaire terms” and thus make it applicable to organisational settings, or, as Richard Couto called it, he “placed a radically transforming concept in the service of institutional practice” (Couto 1995:105). TRANSFORMATIONAL LEADERSHIP differs from Burns’ TRANSFORMING LEADERSHIP (see section 4.3 for a more detailed discussion of the differences), but nevertheless Burns and Bass are often mentioned in the same breath as two expressions of basically the same thing, or as Bass further developing Burns’ concept (see for example Conger & Kanungo 1998:13–14; Shamir, House & Arthur 1993; House & Aditya 1997:439; or Avolio & Gibbons 1989:283).

Out of Bass’ initial tests the “four I’s” defining his later model surfaced. Together with his colleagues (especially Bruce Avolio) he developed in the following years the “Full Range of Leadership”-Model (Bass & Riggio 2006:xi). Reading Bass one is struck over and over again by how much he is driven by pragmatic questions: “How can an organisation not only somehow survive in this rapidly changing world, but actually be successful?” Against such a background it is not surprising that it was he of all people who would look for ways to make research discoveries known to and useful for a broad audience, and who with his measuring

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<sup>104</sup> Other influences, but not quite so prominent came from Weber, Downton, and Zaleznik (Antonakis & House 2002:5).

instruments (especially the MLQ—“Multifactor Leadership Questionnaire”) actually found a way to achieve this.<sup>105</sup>

### 3.4.2.1. The “Full Range of Leadership”

Bass’ “Full Range of Leadership”-Model consists of three types of leadership, each characterised by different elements.

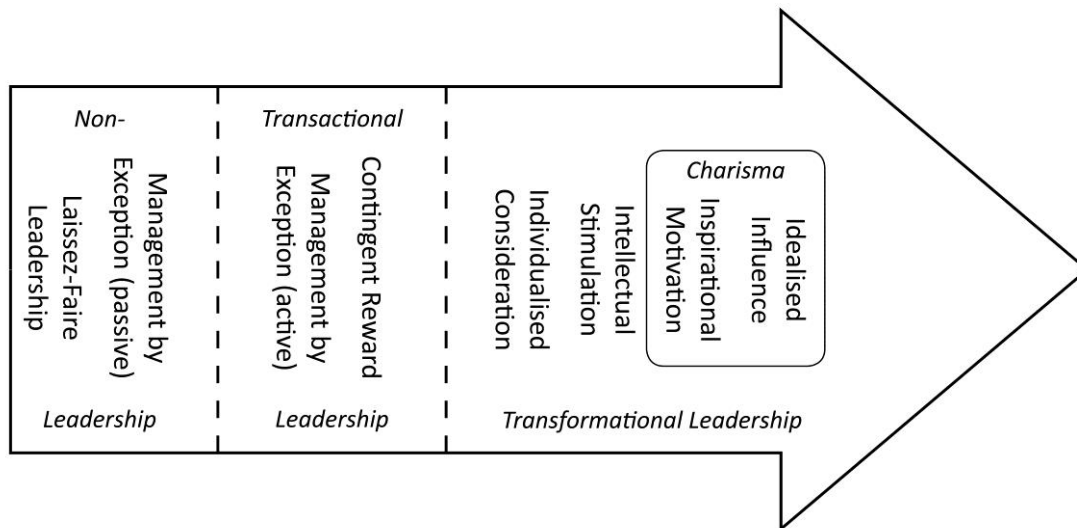


Figure 10: Elements of the “Full Range of Leadership” in order of effectiveness

#### Elements of TRANSFORMATIONAL LEADERSHIP

- Idealised Influence—the role model of the leader;<sup>106</sup>
- Inspirational Motivation—through the enthusiasm and optimism of the leader who skilfully communicates his vision;
- Intellectual Stimulation—the usual procedures are questioned, employees are challenged to be creative,<sup>107</sup> mistakes become opportunities for learning;
- Individualised Consideration—each employee’s potential is developed through an individual learning programme.

#### Elements of TRANSACTIONAL LEADERSHIP

- Contingent Reward—works with positive reinforcement; rewards can either be transactional (material) or transforming (psychological, for example praise);

<sup>105</sup> Bass did not just develop a questionnaire to measure leader qualities. He also stressed the importance of organisational structures and policies for successful TRANSFORMATIONAL LEADERSHIP (Bass 1990:25) and developed the Organisational Description Questionnaire (Bass 1999:546) to evaluate organisations in terms of their transactional and transformational qualities.

<sup>106</sup> Later developments have split Idealised Influence in IA (Building trust) and IB (Acting with integrity)—see [http://www.mlq.com.au/flash\\_frlm.asp](http://www.mlq.com.au/flash_frlm.asp).

<sup>107</sup> Hill (2007:21) describes the experience of a new leader, who was frustrated about the lack of helpfulness of her supervisor—until she discovered that the supervisor expected her to bring *suggestions*, which she then very readily discussed with her.

- Management-by-Exception (active)—works with negative reinforcement, with a supervisor stepping in when s/he sees a possible problem.

### Non-leadership

- Management-by-Exception (passive)—the leader only steps in after problems have occurred;
- Laissez-faire-leadership—the leader decides not to intervene at all.<sup>108</sup>

The model and the questionnaire used to assess the style of a leader went through a number of revisions. In the beginning Idealised Influence and Inspirational Motivation counted as one (Bass 2000:22). They were considered the charismatic element of TRANSFORMATIONAL LEADERSHIP, and while there was a feeling that they were distinct, it was difficult to really separate them. Today they are clearly separated, with the former stressing the leader as an example or model, and the latter the motivational function<sup>109</sup> of the leader. Together they are still considered the charismatic element of TRANSFORMATIONAL LEADERSHIP, and sometimes they are subsumed under “inspirational leadership” (e.g. Bass 2000). In the refinement process of the model, Idealised Influence has been further distinguished into attributed charisma (= follower attributions based on the impression leaders leave on their followers) and behavioural charisma (= based on what leaders actually do, reflecting their ethical and moral orientation, their values, purpose, etc.; Antonakis & House 2002:9).

Bass devised a chart in which he ordered the elements according to their effectiveness, beginning with TRANSFORMATIONAL LEADERSHIP as the most effective and Laissez-Faire as the least effective style. For him it is important that each of the elements of TRANSACTIONAL and TRANSFORMATIONAL LEADERSHIP can be employed in a participative or a directive style (Bass & Riggio 2006:12). Although he is convinced that TRANSACTIONAL LEADERSHIP (especially Contingent Reward) offers a “broad basis for effective leadership” (:11), he still encourages leaders to enrich their often transactional leadership style with transformational elements, since they produce a “greater amount of effort, effectiveness, and satisfaction” as well as more “innovation, risk taking, and creativity” (:11)—which in turn makes for more satisfied staff and better overall results.

On the lower end of the scale there have also been changes. In the beginning Bass considered only Laissez-faire-leadership as Non-leadership. However, research results showed that in terms of effectiveness passive MbE also produced a negative result, and consequently, in later publications (e.g. Bass 2000) only Contingent Reward and active Management-by-Exception were counted as part of TRANSACTIONAL LEADERSHIP.

<sup>108</sup> This term is used differently by others. Mahlmann (2002:55ff) for example defines Laissez-faire-leadership as delegating leadership.

<sup>109</sup> Bennis and Nanus refer to this aspect of leadership as the “shared meaning”.

For Bass TRANSFORMATIONAL LEADERSHIP is “in some ways an expansion of transactional leadership. [...] Transformational leadership [...] raises leadership to the next level” (Bass & Riggio 2006:4). The “Full Range of Leadership” scales will show a “profile of the frequencies with which a focal leader displays the transformational and transactional components” (Bass 2000:24). This means that the two leadership styles in his understanding are not incompatible. Rather, depending on the situation a leader should use one or the other, with TRANSFORMATIONAL LEADERSHIP being appropriate for stable situations.

But when the firm is faced with a turbulent marketplace; when its products are born, live, and die within the span of a few years; and/or when its current technology can become obsolete before it is fully depreciated; then transformational leadership needs to be fostered at all levels in the firm. In order to succeed, the firm needs to have the flexibility to forecast and meet new demands and changes as they occur—and only transformational leadership can enable the firm to do so. (Bass 1990:30–31)

So even though he does not consider TRANSFORMATIONAL LEADERSHIP to be appropriate for every situation, his general recommendation for the current time and its challenges is for a leader to increase his/her transformational behaviour, since “the key to success [...] is to challenge followers to perform beyond normal expectations, to stimulate them to be creative and innovative, and to develop their collective leadership capacity” (Bass & Riggio 2006:2).

#### **3.4.2.2. *Changing perception of TRANSFORMATIONAL LEADERSHIP***

Bass’ perception of what a transformational leader is changed over the years. In the beginning he defined a transformational leader as anybody bringing about fundamental change, regardless of the moral makeup of the leader (Bass 1985:17; Bass 1990:25; Bass & Riggio 2006:vii)—i.e. including the Hitlers and Jim Jones’ of this world. It was the result—transformation—that counted. This indiscriminate labelling of leaders caused many discussions among proponents of TRANSFORMATIONAL LEADERSHIP. People had problems associating a kind of leadership which was supposed to evoke positive connotations with such destructive leaders. Finally, it was decided that good transformational leaders were “authentic transformational leaders”, and the unethical ones were called “pseudo-transformational leaders” (Bass & Riggio 2006:viii).

It is no wonder that lengthy discussions were necessary. If people come from different starting points but use the same words, their conclusions must portray different realities. Burns’ focus was attitude, he based his theory on ethical questions and on the relationship between leaders and their followers, assuming that leaders would always work for the greater good of the society. Leaders with the value system he proposed would have a good chance to bring about real transformation. In contrast to this, Bass’ focus was the desired end result. A

successful leader, one that could transform a company to ensure its survival—even its success—was the driving force behind his quest. The phrase from the title of his first book “performance beyond expectation” already points to this, and later publications confirm it. Ethical questions then had to be added later, but still they had to be accommodated to the overall driving goal: to help a leader become successful in his/her goals of prospering an organisation (and, naturally, his/her own career). Reading Bass one feels that he is torn many times: On the one hand there are the noble motives, the “higher needs” of which both Burns and Bass talk, on the other hand there is the market demand. The crucial question that needs to be kept in mind and that distinguishes Bass and Burns is: Whose needs have the right to be considered “higher needs”? It is these tensions which arise from their different starting points which will be further investigated in chapters 4 and 5.

### 3.5. New Developments: Authentic leadership

As more scholars embraced the ideas of TRANSFORMATIONAL LEADERSHIP, depending on their own background, their approach to the topic and to leadership research, they changed the focus, stressing (and thus investigating) one element over another—with the result that there is a plethora of refinements and further developments.<sup>110</sup>

In general scholars take one of three approaches:

1. **Expand existing theories.** This can be observed, for example, in Bass “augmenting” Burns’ TRANSFORMING LEADERSHIP, or in Avolio and Gibbons (1989:297) talking about their “addition to Bass’s (1985) model of transformational leadership”, or Antonakis & House (2002:9) announcing that they “present an extension of Bass’s theory”. A similar process happens with regards to the importance of traits. After the presentation of Stogdill’s study of 1948, leadership traits were generally neglected. After his study of 1970, they slowly started to come back into focus again (Hooijberg & Choi 2000:296), but their role has been refined, for example as can be observed in the approach of Mumford, Zaccaro and Connelly et al. (2000:156).
2. **Correlate elements of existing theories differently.** An example for this would be Boal and Hooijberg (2000).
3. **Define new categories.** This is the approach Chemers (1997) and Heifetz (2000) chose: Chemers with defining leadership along leadership functions, and Heifetz defining it as developing adaptive capacity.

One development, authentic leadership, shall be explained briefly because of its close connection to TRANSFORMATIONAL LEADERSHIP, and because it is concerned with the ethical

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<sup>110</sup> See Purvanova and Bono (2009:344) for an overview of newer models; or Sternberg and Vroom (2002:311–312) for an example of how a different research focus can lead to differing models.

questions which are the focus of this dissertation. Authenticity as a concept is not new to TRANSFORMATIONAL LEADERSHIP. Burns, in his first book, stated that “idolized heroes are not, then, authentic leaders because no true relationship exists between them and the spectators” (Burns [1978] 2005:248). Authenticity appeared again in Bass’ distinction between authentic transformational leaders and pseudo-transformational leaders.

But “authentic leadership” as it is now promoted by Avolio and others is more than just a moral kind of Bass’ TRANSFORMATIONAL LEADERSHIP. Actually, the developers of this theory do not talk about it in terms of a model at all, but rather call it a “root construct” on which other models can build. It is based on Kernis’ definition of authenticity as being comprised of four core elements: self-awareness, unbiased processing, relational authenticity and authentic behaviour/action (Avolio & Gardner 2005:317).<sup>111</sup> Authentic people would not have their self worth defined by external relationships, but would gain it from embracing the knowledge about both positive and negative aspects of their own personalities and would act in conformity with their inner selves (Gardner, Avolio & Luthans et al. 2005:344).

Scholars concerned with this new field also don’t want to talk only about “authentic leadership” but rather call it “authentic leadership development” (ALD), which is more than just an authentic person in a leadership position. Key to this concept is a focus on leadership development. They feel that leadership development is a weak point in many of the existing leadership models as it often has not been inherent in the model but added as a later consideration. “Authentic leadership development” means that an authentic leader would consciously work on developing him/herself and followers by influencing leadership processes: by enhancing self-awareness and self-regulation, and especially through being a role model (Avolio & Gardner 2005:317; Gardner, Avolio & Luthans et al. 2005:346, 358) which followers would emulate. The personal example plays a much more crucial role in ALD than for example influence through charismatic behaviour.

There is great overlap between ALD and other “positive forms of leadership” (Avolio & Gardner 2005:323). Especially with TRANSFORMATIONAL LEADERSHIP there is so much overlap that some scholars ask questions as to the validity of working on a new construct at all (Cooper, Scandura & Schriesheim 2005:480). What makes it different from the other forms is that while “authentic leadership *can* incorporate transformational, charismatic, servant, spiritual or other forms of positive leadership” (Avolio & Gardner 2005:329; emphasis EM), one does not *have* to exhibit charismatic behaviour to be able to be an authentic leader. It is

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<sup>111</sup> Gardner and Avolio prefer to use the term “balanced processing” instead of “unbiased processing”. Based on findings of social psychology they do not consider human beings able to truly process information in an unbiased way. Equally, they prefer the term “relational transparency” instead of “relational authenticity”, because of transparency as a key element which enables the development of trust in a relationship (Gardner, Avolio & Luthans et al. 2005:356–357).



for this reason that they consider it not so much a leadership model, but a “root construct” (:316).

“Authentic leadership” is not as unified a concept as it was described here. For the purpose of this discussion it seemed sufficient to describe Avolio’s approach as an example of this new development. Avolio builds on positive psychology, but the different proponents working in this area do not agree on the role they give positive psychological capacity and a positive moral perspective. For Avolio they are part of ALD, for others they are either antecedents or a result of ALD. Where they agree is in the importance of emotion and trust. Much of what an authentic leader would accomplish would happen through emotional contagion (:326).

What made authentic leadership interesting for this writer was the fact that it was developed by people heavily involved in the area of TRANSFORMATIONAL LEADERSHIP. Obviously they had perceived some missing element concerning the ethical makeup of TRANSFORMATIONAL LEADERSHIP. So it was a surprise that in the area of authentic leadership there is no consensus as to whether the content of a leader’s values should be considered in defining what an authentic leader is. For Avolio a leader’s “positive moral perspective” is essential, others define authentic leadership without reference to the moral convictions of the leader (:321–322)—one feels strongly reminded of the early discussions between Burns and Bass.

Where there is agreement is in the fact that there is also a possible dark side to authentic leadership. Leaders can *enact* authenticity without actually pursuing authentic goals but rather for their own benefit, for example by using impression management (Cooper, Scandura & Schriesheim 2005:488). Another sobering conclusion was that training for authentic leadership might be of limited effect, since not everybody may be able to become an authentic leader. After all, “moral or ethical behavior may be difficult to alter in adults. Such behaviors are value-based and may be shaped by culture and/or family experiences” (:488)—a conclusion, which Christian ethics would agree with, but only partly. Training ethical behaviour in adults and changing deep seated patterns is indeed difficult, and certainly sometimes impossible if one can only reckon with the good will and effort of a person. Christian ethics, however, places moral development on a different foundation: the redeeming work of Christ, changing a person from the inside.

### **3.6. Conclusion**

This chapter has given a broad overview of leadership models as they developed and influenced each other during the last century. First, Max Weber as the one who introduced the notion of charisma into the sociological discussion was described. Even though none of the people promoting TRANSFORMATIONAL LEADERSHIP follow his approach exactly, yet his influence can be observed in the different streams of the model until today, and it is important to

understand his approach to be able to follow the arguments of some of the critics in the following chapters.

A second part of the foundation was laid by describing the relationships within the leadership models leading up to CHARISMATIC LEADERSHIP. This way it could be shown how after the traits approach the understanding of leadership expanded by first including the influence of task and emotion on leadership effectiveness, and later by a growing perception of the role of the environment and leader-follower-relationships. On this background the newer CHARISMATIC LEADERSHIP theories and subsequently TRANSFORMING and TRANSFORMATIONAL LEADERSHIP could develop.

These theories were then explained in detail, starting with Burns and his description of TRANSFORMING LEADERSHIP, followed by Bass' TRANSFORMATIONAL LEADERSHIP as it manifests itself in the "Full Range of Leadership". Their different backgrounds and focus (Burns being concerned with the community, Bass with a focus on organisational effectiveness) and the effect this had on their models were described. Finally, a brief look at authentic leadership gave an example of the direction newer models take.

Ethical questions touch a deep level in a person. On the foundation laid in this chapter it will now be possible in chapter 4 to compare the models not just on a superficial level, but on a level which is appropriate for an ethical appraisal.

## 4. The relationship between the models

### 4.1. Introduction

It has been alluded to in section 3.5, that, as the field of TRANSFORMATIONAL LEADERSHIP expands, it becomes more and more muddled. In some respects this is understandable. Chemers (1997:87) stresses that “good theory building incorporates productive features of earlier models”. The side effect of such a process, however, is that the concepts lose clarity, and, as one model borrows from another, one of two things happens (see Riggs [1979] and Midden-dorp [1991], as explained in sections 1.3 and 2.2):

- Concepts change, depending on the underlying assumptions on which the new model is built. This can be observed between Bass and Burns and their interpretations of the term TRANSFORMING/TRANSFORMATIONAL LEADERSHIP. On a similar line, depending on the background of a person, their understanding of the concept might not match the author’s original ideas, as can be observed for example in du Plessis (2009:134), who defined the four elements which Bass considered part of TRANSFORMATIONAL LEADERSHIP as CHARISMATIC LEADERSHIP.
- Different words are used for basically the same thing. This happens a lot with regard to the charismatic aspect of TRANSFORMATIONAL LEADERSHIP (House & Howell 1992:81).

Although some authors prefer to use names other than charismatic, for example, transformational, inspirational or visionary leadership, the underlying leadership concepts seem similar. Bryman (1992) calls this trend ‘the New Leadership’. (Den Hartog, Koopman & Van Muijen 1995:36)

This has led to numerous studies specifying the slight differences between the various approaches.<sup>112</sup> Other authors, such as Chemers (1997) or Heifetz (2000) try to solve this dilemma by looking at leadership from a completely new angle.

Although these two aspects cannot always be neatly separated, the focus for this chapter is clearly the first one. For an ethical appraisal it is necessary to know what drives a model. For this reason, in this chapter the relationships between different elements of TRANSFORMATIONAL LEADERSHIP will be explained in more detail so that the underlying concepts and the changing interpretation of related concepts can become clear.

The chapter will start with a description of the differences in Bass’ and Burns’ models. It is important to understand these differences for two reasons: For one, without recognising and acknowledging them one’s ethical appraisal will necessarily be very superficial and not do justice to either author. For another, Burns’ and Bass’ differing understandings of the

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<sup>112</sup> See for example House and Shamir (1993:84), who compare eight streams of charismatic leadership theory, showing their similarities and differences, or Mihhailova and Türk (2006:181), who list the attributes of four theories.

concept influence the developments happening in the wider area of leadership models which build on them.

Special attention will then be given to CHARISMATIC LEADERSHIP as an element which is sometimes even equalled with TRANSFORMATIONAL LEADERSHIP. It is this charismatic element which also entails the biggest risk of unethical behaviour. The main focus of the most influential newer charismatic leadership models will therefore be explained, areas of agreement and of tension between these approaches and TRANSFORMATIONAL LEADERSHIP will be described, and the necessity of including intention as an evaluative parameter for CHARISMATIC LEADERSHIP will be shown. The chapter will close with a short description of the relationship between TRANSFORMATIONAL LEADERSHIP and SERVANT LEADERSHIP.

On this foundation it will then be possible in chapter 5 to make a differentiating evaluation concerning the claims of TRANSFORMATIONAL LEADERSHIP.

#### 4.2. Transactional or transforming/transformational?

In section 3.4 the term “transactional leadership” was introduced. On reading Burns and Bass an obvious difference that catches one’s attention is their assessment of the role of TRANSACTIONAL LEADERSHIP within their models. Both describe it, albeit in very distinct manners. For Burns, they are opposite poles of a single element, which means that for him they are conceptually incompatible. He sees the pressures that make leaders fall back upon transactional measures (Burns [1978] 2005:377–378), and admits that one and the same person can react differently depending on the circumstances. He also acknowledges that transactional behaviour can help to ready a group for TRANSFORMING LEADERSHIP (:343). And yet, in his model the leader in his/her actions can be *either* transactional or transforming. Contrary to this—based on results of their research— Bass considers TRANSACTIONAL LEADERSHIP and TRANSFORMATIONAL LEADERSHIP distinct dimensions of his *Full Range of Leadership* (Felfe 2005:29), with leaders using transactional and transformational behaviour to various degrees in their leadership.

Transformational leadership is in some ways an *expansion of transactional leadership*. Transactional leadership emphasizes the transaction or exchange that takes place among leaders, colleagues, and followers. [...] Transformational leadership, however, raises leadership to the next level. Transformational leadership involves inspiring followers to commit to a shared vision and goals for an organization or unit, challenging them to be innovative problem solvers, and developing followers’ leadership capacity via coaching, mentoring, and provision of both challenge and support.

(Bass & Riggio 2006:4; emphasis EM)

According to Bass the differentiation between transactional and transformational leaders is an artificial construct. In reality most successful leaders use a combination of transactional and transformational methods—actually, Bass advises leaders to choose their methods

according to the demands of the situation (Bass 1990:30). Transformational leaders would be the ones who use transformational elements more often than transactional elements. “In their defining moments, they are transformational” (Bass & Steidlmeier 1999:184).

To understand why Burns and Bass can come to such different evaluations, several aspects have to be considered: the *essence* of a transactional relationship, the *effects* Burns and Bass ascribe to TRANSACTIONAL and TRANSFORMING/TRANSFORMATIONAL LEADERSHIP, and the *goals* for the two forms, with the last point—relating again to the *intention*-element of the schema introduced in section 2.3.5.2—being the one which sheds light on the foundational difference between Burns’ and Bass’ approach to the topic.

#### **4.2.1. The essence of a transactional relationship**

TRANSACTIONAL LEADERSHIP is considered one of the exchange theories of leadership. Exchange theories of leadership follow the basic assumption that two parties meet, each with their own goals, and that each of the parties can contribute something to the attainment of the other’s goal. An exchange happens based on “quick calculations of cost-benefits” (Burns [1978] 2005:258). Edwin Hollander explained this mechanism in relationship to leadership with his model of ideosyncrasy credits (Hollander 1958; Chemers 1997:65ff): A leader has certain things s/he wants to achieve—things that most often require some kind of change. But s/he needs the collaboration of staff to reach these goals. Offering rewards aligned with followers’ goals, a “transaction that allows for mutual satisfaction” (Chemers 1997:61) is established between leader and followers. As a side effect, by conforming to group norms or contributing to the group’s benefit the leader gains credit with the followers, which in turn allows him/her to deviate from the norm and introduce change.

A transactional relationship is therefore characterised by:

- An exchange of mutual benefits (Felfe 2005:31).
- The leader’s acceptance of the follower’s goal. It is the leader’s responsibility to establish the exchange relationship in such a way that the goals of the organisation are also served (House, Woycke & Fodor 1989:101).
- The leader’s motivation of followers on a cognitive level, using their abilities to reach certain goals (:101).

In contrast to this, TRANSFORMATIONAL LEADERSHIP talks about higher goals, changes the value system of followers and adjusts it to the leader’s goal (:101), activates followers’ motivational centres, and according to Burns “raises the level of human conduct and ethical aspiration of both leader and led” (Burns [1978] 2005:20). Zaleznik’s (1977) had introduced the differentiation between managers and leaders, and many publications consequently associated TRANSACTIONAL LEADERSHIP with the image of a manager or at least pointed to the fact that

this association generally took place (Bass 1985; 1990; Bass & Riggio 2006; Conger 1999; Bryman 1993; Chemers 1997).

Campbell, Ward and Sonnenfeld et al. (2008) point to another difference: TRANSACTIONAL LEADERSHIP is often found at the beginning of a leader-follower-relationship. With time and a growing development of the relationship “it moves from this simple exchange of resources to a more stable relationship based on trust” (:559).

#### **4.2.2. The effects of TRANSACTIONAL and TRANSFORMING/TRANSFORMATIONAL LEADERSHIP**

In describing the differing effects of TRANSACTIONAL and TRANSFORMING/TRANSFORMATIONAL LEADERSHIP Burns and Bass are not equally clear. Burns (2003:24–25) describes in detail where he sees the difference between TRANSACTIONAL and TRANSFORMING LEADERSHIP. It is noteworthy that Burns put this distinction in writing in his newer book in 2003, at a time when the discussions about the relationship between his and Bass’ models were in full swing. Bass was generally considered a continuation of Burns’ philosophy, revising and adjusting the latter’s ideas and in the course declaring that Burns had not quite correctly judged the relationship between TRANSACTIONAL and TRANSFORMATIONAL LEADERSHIP, because empirical research (which was considered a test against reality) had proven that they were not opposites but had to be located on a continuum. Yet, Burns still stresses the fundamental difference he sees in the two aspects! His explanation can help understand *why* he still considers them incompatible with each other (this also already foreshadows the next step, defining the goals of the two methods). He points to the effects the two methods have: TRANSACTIONAL LEADERSHIP produces “change”, TRANSFORMING LEADERSHIP “transformation”. And transformation for him is not just an accumulation of changes:

To change is to substitute one thing for another, to give and take, to exchange places, to pass from one place to another. These are the kinds of changes I attribute to transactional leadership. But to transform something cuts much more profoundly. It is to cause a metamorphosis in form or structure, a change in the very condition or nature of a thing, a change into another substance, a radical change in outward form or inner character, as when a frog is transformed into a prince or a carriage maker into an auto factory. It is change of this breadth and depth that is fostered by transforming leadership. In broad social and political terms, transformation means basic alterations in entire systems. [...] Quantitative changes are not enough; they must be qualitative too. [...] Is transforming leadership measured simply by the number of alterations achieved? The more transactions, in short, the more transformational change? No, the issue is the nature of change and not merely the degree. (Burns 2003:24–25)

And while he concedes that long-term and persistent transactions *can* result in such a transformation, it is important to him that the distinctive element of TRANSFORMING LEADERSHIP is not transformation as an “accidental” result, but as an intended goal from the

beginning. A transforming leader does not strive for incremental changes but for fundamental social transformation. The effects of Burns' TRANSFORMING LEADERSHIP lie outside the leader-follower-relationship! From this point of the intended effects Burns then looks back to consider what kind of behaviour would lead to such deep cutting qualitative social changes, and he comes up with the notion of dialogue to establish mutual goals, and with the role of the leader as a moral agent, encouraging the follower to strive for higher moral goals.

Bass, in contrast, has a much harder time to distinguish the different effects of TRANSACTIONAL and TRANSFORMATIONAL LEADERSHIP, because he, the people following in his footsteps, and the ones revising and further developing his model remained focused on the effect the models have on the relationship between leader and follower. This outlook is understandable. Burns was concerned with results, not with methods. Bass wants to refine methods of behaviour associated with the two models. If the two models were to be located on a continuum, somehow it had to be defined where one element would end and the other one begin.

<i>The effects of...</i>		
	<i>...TRANSACTIONAL LEADERSHIP</i>	<i>...TRANSFORMING/TRANSFORMATIONAL LEADERSHIP</i>
Burns	Incremental change	"Metamorphosis in form or structure" (Burns 2003:24–25)
Bass	Affecting follower performance by tapping into cognitive motivational resources (House, Woycke & Fodor 1989:101)	Affecting follower performance by tapping into affective motivational resources (House, Woycke & Fodor 1989:101)

**Table 6: Effects of TRANSACTIONAL versus TRANSFORMING/TRANSFORMATIONAL LEADERSHIP**

Observing how Burns and Bass talk about the effects of the two leadership models gives one an indication of where the underlying goals for their models lie—i.e. the intention they pursue with one or the other.

**4.2.3. The goals of TRANSACTIONAL and TRANSFORMING/TRANSFORMATIONAL LEADERSHIP**

"That the goal is spiritual rather than pragmatic is what differentiates transformative from transactional leadership." This is Chemers' (1997:81) appraisal of the qualitative differences between goals that a transactional leader proposes and the goals of a transformational leader. However, in terms of the question underlying this section, this answer would fall short. Because the question here is not what kinds of goals a transactional leader versus a transformational leader would pronounce, but rather with what intent a leader would *choose to be* transactional or transforming/transformational.

Kanungo (2001) goes a step deeper and associates transactional leaders with a teleological, transformational leaders with a deontological, outlook, meaning that a transactional leader is motivated by and follows a kind of altruism which would pursue *mutually satisfying goals*, whereas a transformational leader would pursue *genuinely moral goals* even if it was to his/her own detriment (:261). While this would lead to a helpful distinction, and Burns and Bass would probably agree with it, the problem enters again from another area: How does someone in fact determine whether s/he is a transactional or a transformational leader? And here is where Burns' and Bass' evaluations would differ in their approach. In terms of the chart introduced in section 2.3.5.2:

Burns' starting point is the intention of a transforming leader: introducing deep societal change by raising of both leader and follower to higher levels of morality. From this point he looks at observable behaviour of leaders. And if the leader's decisions or actions are questioned with "What for?", the answer will always point back to the intention.

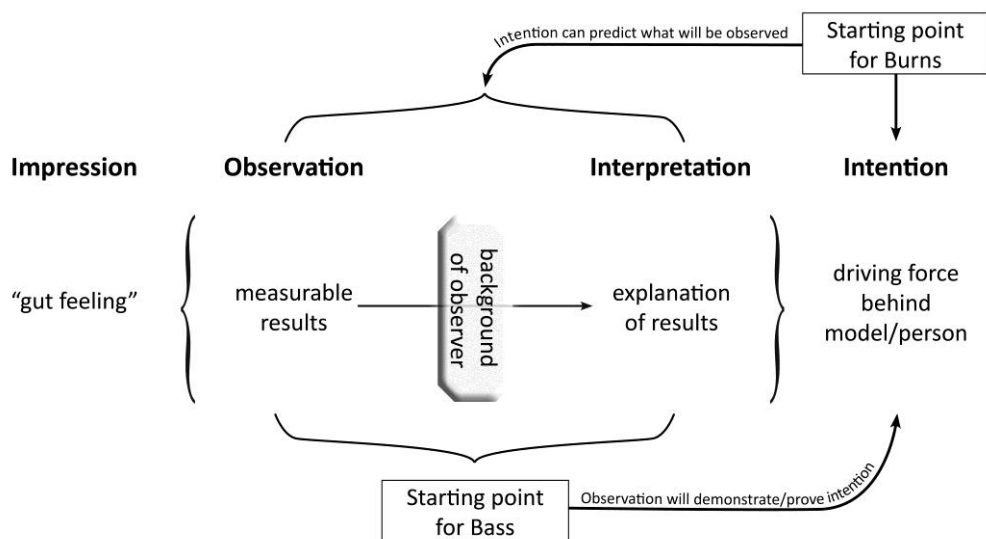


Figure 11: Burns' and Bass' starting point for evaluation

Followers of Bass—based on extensive empirical research—concentrate on behaviour: The starting point for evaluation is whether someone exhibits Contingent Reward or MbE belonging to TRANSACTIONAL LEADERSHIP behaviour or the four I's belonging to TRANSFORMATIONAL LEADERSHIP (see Figure 10, page 98). The extent to which a leader would use one or the other would qualify him/her to be considered a transformational leader. However, this conclusion is misleading. Burns clearly defined the goals for TRANSFORMING LEADERSHIP as a mutual transformation of leader and follower, as both pursuing goals outside their own self-interest in contributing to the good of the overall society. While Bass would agree with these goals, in his writings from the very beginning the intent for using the methods he proposed was "performance beyond expectation" (Bass 1985). Later publications—as a result of the demands to



include ethical considerations—started to look into the distinctions between good and bad transformational leaders. And yet, the goal driving the models has not been altered. Years after Bass' first book, Kark and Shamir talk about the transformation of “values and priorities of followers and *motivating them to perform beyond their expectations*” (Kark & Shamir 2002:69; emphasis EM).

Tichy and Devanna have an interesting observation concerning a transformational leader's dealing with followers' resistance to necessary change:

Transformational leaders must come up with ways to work through this resistance. They must essentially *provide the bargaining mechanisms* that will bring key organisational members to *buy into the need* for change, teaching them a new way of calculating what is in their best interest.

(Tichy & Devanna 1986:79; emphasis EM)<sup>113</sup>

Even though Tichy and Devanna describe a transformational leader, one is strongly reminded of Burns' “calculations of cost-benefits” (Burns [1978] 2005:258) with which he described transactional leaders. So it is not too surprising to read that Hater and Bass can at one point talk about TRANSFORMATIONAL LEADERSHIP as “a special case of transactional leadership” (Hater & Bass 1988:695), and that Den Hartog et al. still talk about the “exchange relationship” happening in a transformational leadership situation:

The leader needs followers' trust, dependence, support, loyalty and willingness, *which they give in return for benefits*, such as their salvation, spiritual enlightenment or a belief the leaders [sic] ideas will lead to a better future.

(Den Hartog, Koopman & Van Muijen 1995:39; emphasis EM)

It is a sobering thought, but it might be realistic and would make discussions easier if proponents of TRANSFORMATIONAL LEADERSHIP acknowledged that much of what they proposed in fact is TRANSACTIONAL LEADERSHIP glossed over with a transformational varnish. This whole dilemma also is an indication that Kanungo's (2001) association of transactional behaviour with teleological ethics and transformational behaviour with deontological ethics<sup>114</sup> does not capture the whole depth of the problem. Both these approaches evaluate the actions of a person. And evaluating actions alone does not seem to give sufficient distinction. At least one perceives an incredible discrepancy between his description of transformational leaders

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<sup>113</sup> Tichy and Devanna build their theory on Burns, not directly on Bass. They do not name the elements of TRANSFORMATIONAL LEADERSHIP in the same way as Bass does, but their description of a transformational leader (Tichy & Devanna 1986:271ff) is very close to Bass' (reading it one is reminded of Bass as well as of the principles Bridges [2003] explained later). Since they, therefore, deviate from Burns in the same way Bass does, this writer has considered it appropriate to quote them at this point.

<sup>114</sup> Kanungo (2001) had investigated the ethical foundations of TRANSACTIONAL and TRANSFORMATIONAL LEADERSHIP. His conclusion is that TRANSACTIONAL LEADERSHIP behaviour with its goal of an exchange of mutual benefits based on mutual altruism follows a teleological ethical outlook, whereas TRANSFORMATIONAL LEADERSHIP is based on a deontological foundation, i.e. a leader is motivated by moral altruism and acts without self-interest, out of a sense of inner duty toward others. Section 5.2.3 will consider his position further.

supposedly motivated by moral altruism, and the experiences of the last years, when newspapers were full of financial scandals instigated by leadership, or of discussions about exorbitant manager remunerations. It makes one wonder where the selfless transformational leaders have disappeared to in these last years. A more complete picture for ethical evaluation will need to consider the whole person of the leader and not just leadership acts.

### 4.3. Transforming or transformational?

Reading Burns and Bass it is surprising to notice that although Bass claims to have further developed Burns' model, he consistently uses the word "transformational" instead of "transforming". Antonakis and House (2002:8) have also mentioned this observation, and Bryman (1993:97) credits Bass, together with Tichy and Devanna (1986), for the fact that today people generally rather talk about "transformational" than about "transforming" leadership. The big question though is, whether these two words really are synonyms or maybe regional language preferences and thus interchangeable. If they aren't, and if their use rather stands for distinct interpretations, then an indiscriminate mixing of the terms would only serve to obscure underlying differences.

Burns and Bass themselves have given an indication of where the differences between them lie. In an interview Burns used both terms and stressed that in contrast to "transformational leadership", "transforming leadership is the term I use to emphasize the reciprocal relationship between leader and follower" (Bailey & Axelrod 2001:119). Bass (1985:20–22) has distanced himself on three points from Burns. The first one, their evaluation of TRANSACTIONAL LEADERSHIP, has been explicated in the previous section. In the second point, the role of ethics in their models, their views have converged over the years. Bass originally had defined his model of TRANSFORMATIONAL LEADERSHIP without ethical considerations, and Burns' call for a leader to be a moral agent leading followers to higher moral grounds did not figure in Bass' early concept (Ciulla 2004c:16). However, in later revisions Bass introduced the distinction between authentic transformational and pseudo-transformational leaders to account for the ethical questions that had arisen (Bass 1999:543, 549; Bass & Steidlmeier 1999; Boal & Hooijberg 2000; Antonakis & House 2002:9; Bass & Riggio 2006:viii, 13-14; but he already considers pseudo-transformational behaviour a few years earlier [Bass 1990]).

On the third point they still differ. Bass says that he and his colleagues "added the 'expansion of the followers' portfolio of needs and wants'" (Bass 1985:20) to Burns' original conception. At first sight this seems similar to Burns' call for a focus on higher needs. However, the defining questions are *what* these "higher needs" are or should be, and *who* defines them.

Khanin (2007) developed an elaborate framework (consisting of three dimensions—the main causes of leadership; purpose, stances, and methods of leadership; and objectives and aspirations—each with several subdivisions) to compare TRANSFORMING and TRANSFORMATIONAL LEADERSHIP and specify their differences. This work is not concerned with the detailed distinctions Khanin extracted. Rather, since the focus is on an ethical appraisal, one aspect (“Direction”) of the subdimension “Leader-Follower Interface” within the “Main Causes Of Leadership” dimension shall be investigated further as something that has great ethical implications. “Direction” within Khanin’s framework refers to the kind of interaction between leader and followers favoured by a certain theory: Does interaction only happen in one direction or is it reciprocal?

For Burns this is not a question. Reciprocity—or more exactly: multi-directional interaction—lies at the heart of his model. He even talks of the “Burns Paradox” as the difficulty to “distinguish conceptually between leaders and followers” (Burns 2003:171). Through dialogue and mutual empowerment the roles become blurry as leaders and followers exchange places.

The Burns Paradox ultimately disappears if, instead of identifying individual actors simply as leaders or simply as followers, we see the whole process as a system in which the function of leadership is palpable and central but the actors move in and out of leader and follower roles. At this crucial point we are no longer seeing individual leaders; rather we see leadership as the basic process of social change, of causation in a community, an organisation, a nation—perhaps even the globe. (:185)<sup>115</sup>

“Transforming” stresses the *process* in which leader and followers find themselves. Richard Couto locates this even in the grammatical difference of the two forms. “The adjective form of a noun, transformation, modifies leadership and suggests a condition or a state. This contrasts with the adjective form of a verb, transform, that suggests leadership as a process” (Couto 1995:104). In such a process something happens with and in the people who are transformed. According to Burns this is the leader as well as the led (Burns [1978] 2005:19–20; Khanin 2007:9), and the result of this process is equally valid and beneficial for both.

Leaders with relevant motives and goals of their own respond to followers’ needs and wants and goals in such a way as to meet those motivations and to bring changes consonant with those of both leaders and followers, and with the values of both. (Burns [1978] 2005:41)

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<sup>115</sup> Burns does not refer directly to systems theory, but his thinking is very much in line with how Pinnow (2012), based on Niklas Luhmann, described the functioning of systems: elements of a system influencing each other, and the leader’s role being one where s/he would contribute to change by shaping the environment in such a way that favourable interactions could happen. A leader, acting from a higher logical level (and in Burns’ expectation also from a higher moral level) would enable followers to reflect on their situation and thus instigate second order change (Eriksson 2003:35)—transformation!

In this dialogue leaders need to be aware of the special dilemma in which they find themselves: the danger to impose their own goals and values instead of actually raising the followers' own consciousnesses.

In contrast to this, “transformational” carries the connotation of an ability to change someone/something. Instead of attitudes and the process, methods and accomplishments are at the core. Bass stresses that it is important to him to take Burns' approach a step further and investigate the actual behaviour of leaders: “The processes of vision articulation and choice are matters of moral concern, not just the consequences” (Bass & Steidlmeier 1999:186). But in this preoccupation with actions instead of “a process in which a leader participates” (Couto 1995:104) Burns' principal concern gets lost: to enter into a dialogue enriching for both sides which “allows followers to realize their higher-order needs and thus initiate a process of self-growth and transformation” (Khanin 2007:10). Bass' explanation of the new element which Burns had introduced into the leadership discussion by defining TRANSFORMING LEADERSHIP gives an indication of the lack of significance he puts on dialogue: What differentiated Burns' transforming leaders, he said, was that “they transformed their followers” (Bass 1993:375)—reciprocity has given way to uni-directional influence.<sup>116</sup> And logically, the core agenda of leadership is redefined. Where Burns calls “for the protection and nourishing of happiness, for extending the opportunity to pursue happiness to all people, as the core agenda of transforming leadership” (Burns 2003:3), Bass' transformational leader is expected to “induce second-order increases in effort” (Bass 1985:31; see also Shamir 1991b:82). Burns' goal is for leadership and subordinates to search *together* for solutions to the burning problems “facing their entire community” (Khanin 2007:22). Bass' goal is to equip a leader with transformational methods which help him to motivate passive subordinates “to commit to a shared vision and goals for an organisation or unit” (Bass & Riggio 2006:4). If this “shared vision” is defined without the element of dialogue, it is no longer mutual empowerment that is the focus.<sup>117</sup> “Higher needs” are no longer formulated to bring about social transformation, but rather to increase performance—meaning that the *leader* and his/her organisational goals should be made successful. Couto (1995:106) is concerned that either TRANSFORMING LEADERSHIP and the resulting deep social change gets idolised in such a way that it is no longer attainable for normal human beings or TRANSFORMATIONAL LEADERSHIP is trivialized so that as many leaders as possible can have a claim to it. Both actions he does not

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<sup>116</sup> Smith and Peterson (1988) consider it a fundamental flaw of Bass' measuring instrument, that the questions of the MLQ mainly measure a leader's effect on followers, and that the results therefore cannot represent Burns' conception of TRANSFORMING LEADERSHIP (in Bryman 1993:130).

<sup>117</sup> In one place there was mention of a transformational leader “considering the needs of others over his or her own personal needs” (Bass & Avolio 1994:36). If this happens, however, without true dialogue, but rather by the leader defining *for* the followers what their needs are, then it still cannot be called empowerment. Instead it would need to be called patronising behaviour.

consider conducive to the development of leadership. The fact is that shifting from the concern for moral elevation to purely pragmatic questions as it is happening in TRANSFORMATIONAL LEADERSHIP (Yukl 2006:250) opens the door wide for the kinds of criticisms that will be evaluated in section 5.3.

Khanin (2007:12) points out that Burns has distanced himself in the last years from Bass and the increasingly universalistic claim of his theory as well as the strong orientation at management needs. Apart from their fundamentally different assessment of the compatibility of TRANSACTIONAL and TRANSFORMING/TRANSFORMATIONAL LEADERSHIP, Burns stresses that TRANSFORMING LEADERSHIP can never only be concerned with gaining influence over subordinates. For Khanin, the directions Burns' and Bass' models take are so distinct that he considers them two different models, with Bass following Downton's tradition:

Thus, the transactional-transformational paradigm essentially endorses Downton's (1973) conception of transactional leadership as meting out of punishments and rewards, Downton's view of inspirational leadership as invocation of symbolic meanings, and Downton's approach to charismatic leadership as based on an idealized role model. (:15)

Even the characteristics Burns and Bass give their transforming/transformational leaders (see Table 7) are such as to confirm the incompatibility of their theories (:19, 21). The comparison in Table 7 mirrors the backgrounds of the two founders of the theories: Bass coming from the military, Burns coming from politics (:21). Khanin's conclusion is that instead of considering Bass' theory as universally relevant, these different backgrounds and outlooks should be respected and the models should be applied in different situations.

[Bass'] theory appears to be most applicable to situations in which leaders transfer ready-made knowledge to passive followers in organisations with high power distance, high uncertainty avoidance, and a strong performance orientation. Conversely, Burns' (1978, 2003) approach emphasizing leader-follower collaboration, a Socratic method of knowledge generation, mutual quest for shared meanings, and stewardship orientation appears to be more relevant for political leadership and innovative management of creative organisations endorsing corporate social responsibility. (:23)

While this might be a practical answer, it evades the question of intention. For what reason does someone choose to be a transformational leader? Is it the leader's inner desire to help followers reach higher moral levels (Burns in Bailey & Axelrod 2001:119)? Or, in Bass' thinking, when *should* one even use transformational methods? In stable situations, transactional methods would be quite sufficient (Bass 1990:30). TRANSFORMATIONAL LEADERSHIP would be necessary to make sure that an organisation could remain successful even in difficult situations. What this means is that in Bass' view "higher goals" for followers and the

<i>Characteristics of leaders</i>	
<i>Burns:</i>	<i>Bass:</i>
<ul style="list-style-type: none"> <li>• Authenticity</li> <li>• Self-awareness</li> <li>• Sensibility toward needs of subordinates</li> <li>• Focus on the community<sup>118</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Optimism</li> <li>• Extreme self-confidence</li> <li>• Adaptability</li> </ul>
<ul style="list-style-type: none"> <li>• Difference of opinion is encouraged (fosters creativity)</li> </ul>	<ul style="list-style-type: none"> <li>• Difference of opinion is a hindrance, unanimity is the goal</li> </ul>
<ul style="list-style-type: none"> <li>• Willingness to learn from followers</li> </ul>	<ul style="list-style-type: none"> <li>• Transferring ready-made knowledge</li> </ul>
<ul style="list-style-type: none"> <li>• Low control</li> </ul>	<ul style="list-style-type: none"> <li>• High control</li> </ul>

**Table 7: Characteristics of transforming versus transformational leaders**

followers’ moral elevation are not worthwhile goals in themselves, but rather means to reach another end. Transformational methods are not applied for the people’s sake but for the sake of the organisation—a reason that in this writer’s opinion puts a big question mark behind the *menschenbild* the proponents hold and thus behind the moral foundation of the model.

#### 4.4. Charismatic and/or transformational?

Charismatic leadership merits special attention within this chapter. The aspects considered so far are fairly easily to distinguish, since they mainly concern the original concepts of the two founders of the system. However, Burns and especially Bass are only two—albeit very influential—components contributing to the discussions around TRANSFORMATIONAL LEADERSHIP. To understand why there is such confusion in this whole field today one also needs to take into consideration the development CHARISMATIC LEADERSHIP has taken.

No matter whether one agrees with Conger (1999) and sees in CHARISMATIC LEADERSHIP “the most exemplary form” (:149) of TRANSFORMATIONAL LEADERSHIP, or with Bass and Weber who see charisma as “one of several distinguishing attributes” (:149) of a transformational leader, one *has* to face the question of how the two elements are related. It has already been mentioned that momentum for CHARISMATIC LEADERSHIP developed more slowly than for TRANSFORMATIONAL LEADERSHIP. But today the two forms of leadership are often regarded as “twins of almost equal stature—so much so that by many they are assumed to be practically identical twins” (:146). In publications therefore one often finds the terms “charismatic” and “transformational” (and sometimes “inspirational”) mixed indiscriminately (for example Hunt 1999; House & Howell 1992; House, Woycke & Fodor 1989; du Plessis 2009). Shamir

<sup>118</sup> It is amazing how closely Burns’ characteristics correspond with the topics Emotional Intelligence deals with: self-awareness, self-management, social awareness, and relationship management (according to Goleman 1995; quoted in Iordanoglou 2007:57)

(1991b:110) sees the reason for this in premature attempts to integrate the concepts, without really having studied the differences sufficiently. Bryman (1993:105) points to the fact that because of the heavy focus TRANSFORMATIONAL LEADERSHIP puts on charismatic elements, it is indeed difficult for most people to even see the difference. But are the two really so closely related? Looking at their essence: *can* they even be so closely related?

Yukl (1999) is one of the ones who sees this development critically. “Conceptual ambiguity and a lack of consistency in the use of terms make it difficult to compare transformational leadership to charismatic leadership” (:299) is one of his criticisms. It is for example completely neglected whether it is an individual who is transformed or (like with Weber’s CHARISMATIC LEADERSHIP) a whole organisation. Also, the term “transformational leadership” has become a synonym for any successful leadership “regardless of the underlying influence processes” (Yukl 2006:271)—and yet, in spite of disregarding these processes, researchers try to tie value systems to the words.

Burns himself in his description of leadership tried to avoid the term CHARISMATIC LEADERSHIP. It has been mentioned before that he considered the term so overloaded that it had lost its usefulness. Instead, he preferred the term “heroic leadership” for a “belief in leaders because of their personage alone, aside from their tested capacities, experience, or stand on issues [and a] faith in the leaders’ capacity to overcome obstacles and crises” (Burns [1978] 2005:244). Such faith would show itself in direct support of the leader. Heroic leadership was for him the description of a *relationship* between leader and followers. The necessity to distinguish between relational and attributional aspects of CHARISMATIC LEADERSHIP he considered one of the biggest challenges in leadership studies, because of the many unknown psychological factors playing a role in this relationship (in Bailey & Axelrod 2001:116).

Pure charismatic leaders would be contra productive to a leader-follower relationship as he envisioned it (Burns 2003:27): mutually empowering, with purpose sharpened by conflict. In contrast to such a relationship, as a result of which leader and followers would embrace morally uplifting goals, heroes and their followers would generally enter into the relationship mainly to fulfil their respective needs for “short-run psychic dependency and gratification” (Burns [1978] 2005:248) and to eliminate the feeling of conflict.

And if there is no transcending purpose, there is no real change that can be related to or measured by original purpose. Idolized heroes are not, then, authentic leaders because no true relationship exists between them and the spectators—no relationship characterized by deeply held motives, shared goals, rational conflict, and lasting influence in the form of change. (:248)

Burns does not discard heroic leadership completely, but he is careful what elements he includes in his theory, because he considers it “at best [...] a confusing and undemocratic

form of leadership” with a danger even to turn into tyranny and suggests to study it “as an exotic or lopsided form of transforming leadership” (Burns 2003:27). The rest of this section describing the relationship between CHARISMATIC and TRANSFORMATIONAL LEADERSHIP will therefore focus on Bass’ version of the theory, since CHARISMATIC LEADERSHIP plays such a crucial role in all of the different current manifestations of Bass’ original TRANSFORMATIONAL LEADERSHIP. After describing the differences, the section will close by putting the question of intention, as introduced in section 2.3.5.2, to CHARISMATIC LEADERSHIP to lay the groundwork for the ethical evaluation in chapter 5.

#### **4.4.1. The changing face of charisma—an area of creative tension**

It has already become obvious that discussions about the relationship between CHARISMATIC and TRANSFORMATIONAL LEADERSHIP abound in the literature. Can one be a transformational leader without being charismatic—or the other way round? Different proponents tried to solve the puzzle by shifting the attention to one or another aspect of the discussion. But these differing explanations for CHARISMATIC LEADERSHIP have resulted in a rather muddled field. Howell (1989:214), especially, stressed that a more careful distinction had to be put in place to make sure that the concept of charisma would not lose its explanatory power. One moment one is confronted with what proponents of a certain model consider profound differences to other models, the next moment one gets the impression that they are rather similar after all, with charisma just being the attribute of leaders “who have a profound emotional effect on their followers” (Gibson, Hannon & Blackwell 1999:13). It is a difficult balancing act between emotional explanations and scientific classification. Since Weber was the first one to give such a sociological classification, it is helpful also to start this comparison with him and consider some of the tensions that exist between the Weberian and later concepts of charisma.

##### **4.4.1.1. Weber’s charisma model and the newer models of CHARISMATIC LEADERSHIP**

Conger and Kanungo explain that the early theories of CHARISMATIC LEADERSHIP were mainly concerned with the “locus of charismatic leadership”. Was it the social environment that brought about CHARISMATIC LEADERSHIP, or is CHARISMATIC LEADERSHIP a relational dynamic? In political science and sociology there was no consensus about this locus of charismatic leadership. But within the neo-charismatic theories<sup>119</sup> which grew out of organisational settings a

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<sup>119</sup> Jermier calls the newer models “neo-Weberian” models of CHARISMATIC LEADERSHIP, because all of them build on Weber and expand his theory in certain areas. He names four areas specifically: 1. charisma as an everyday phenomenon, no longer as something extraordinary; 2. the relationships apparent in charismatic situations; 3. the charismatic mission itself; and 4. how charisma can be institutionalised (Jermier 1993:221–224). However, since most of the newer versions make such an effort to *differentiate* themselves from Weber’s notion of charisma, it seems more appropriate not to use Weber’s name in



relational basis for CHARISMATIC LEADERSHIP was generally agreed on (Conger & Kanungo 1987). Although all the newer theories quote Weber as the founding father of charismatic theory, all of them nevertheless deviate from Weber's concept in some fundamental points—for valid reasons, as they claim:

The Weberian concept of charisma as characterizing infrequent periods of radical change was appropriate for the explanation of change in more stable times. For present-day organisations, change is constant. Therefore, Weber's concept of charisma as a transient phenomenon occurring against the background of long periods of order and stability may no longer be useful. (Shamir 1999:559)

Weber had considered charisma a transitory phenomenon that would normally disappear once the crisis which brought it on had subsided. Since several of the newer theories see CHARISMATIC LEADERSHIP as a continuous element within TRANSFORMATIONAL LEADERSHIP, it is only logical that they *have* to modify Weber's notion of charisma. Moreover, Weber considered charisma an exclusive attribute one had or did not have. The newer models see charisma as a continuum—a claim which Felde (2005:23–24) considers to have far-reaching consequences: It means that people can have more or less of it, and it also means that charismatic behaviour can be trained and learned.

Janice Beyer (1999a)—with the concession that there is “no verifiably right or wrong way to define a concept” (:325)—was one who was very concerned with the newer models ignoring crucial aspects of Weber's paradigm. She stated that she did not consider Weber's concept to be the only veritable one (Beyer 1999b:579), but nevertheless she fought for the preservation of the *true* Weberian model as a definition more useful than the newer models. Such a fight does not seem justified for two reasons:

1. Weber himself had stated that CHARISMATIC LEADERSHIP in its pure form is only possible at the beginning of a charismatic rule.
2. As has been shown in section 3.2.2, Weber's own understanding of charisma was far from static and clear.

Nevertheless, Beyer's objections are worth consideration:

**Generalisation of charisma.** Beyer accuses the new models of having “tamed” and diluted the “richness and distinctiveness” (Beyer 1999a:308) of Weber's concept.

To put it bluntly, if charisma or transformational leadership is not too exceptional, many would-be leaders can have a bit of it, and thus feel more confident that they are acting appropriately and can rightly claim credit for any successes. (:317)

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classifying them, but to use the term which the proponents themselves prefer: neo-charismatic (see Lowe & Gardner 2000:480).

The reason for this widespread desire to be perceived as a charismatic leader she (as a US-American) sees in the high individualism of American culture which fosters the desire to increase the power of the self. “If individuals succeed in becoming leaders and in exercising leadership, they have, by definition, influenced the world and persons around them” (:317) and thus can count on special rewards. It seems remarkable that Beyer, at a point where proponents of the charismatic/transformational theory stress the “higher motives”, quite in contrast states the desire of the leader for recognition and reward as motive.

It is true, the narrower the definition and the stricter the boundaries, the easier it becomes to identify a phenomenon. But the more exceptional a phenomenon becomes the rarer its appearance! And since the expressed intent of the proponents of newer charismatic theory (as opposed to the earlier sociological explanations) is to make the concept fruitful for a much wider business setting they have to navigate this tension between defining the concept too broadly—and thus losing “the explanatory power of charisma” (Howell 1989:214)—or too narrowly—and thus restricting “the operational and explanatory utility of the construct” (Bass 1989:44).

**The appearance of charisma.** In Beyer’s view a weak point of the newer theories is that crisis is no longer seen as a necessary trigger for the emergence of CHARISMATIC LEADERSHIP. Sure enough, she argues, this would make it much easier to transfer the model to the world of business. On the other hand, localising it in an organisational setting would also mean that the focus for intended change would move primarily to individual followers. Such a focus, she admits, would not necessarily call for a crisis as much as if systemic change was intended (Beyer & Browning 1999:511). But she warns that by neglecting the role of crisis the distinction is lost between “leadership that emerges to deal with threats and that which emerges to deal with opportunities” (Beyer 1999a:314).<sup>120</sup>

While not denying that crises seem to *encourage* the emergence of charisma, the newer theories do not see why charisma should be completely excluded from leadership that deals with opportunities. Rather, Boal and Bryson (1988:16) describe two kinds of charisma: crisis responsive charisma and visionary charisma. The two respond to distinct aspects of the follower’s situation: the former offering solutions to situations threatening the follower’s external world, while the latter through the formulation of vision and goals creates a world “that is intrinsically valid for the follower” (Boal & Hooijberg 2000:525).

The “visionary charismatic” begins with ideological fervor and then moves on to action, unlike the “crisis charismatic,” who begins with solutions to

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<sup>120</sup> This distinction seems very important to Beyer. It manifests itself in her description of innovative leaders versus maintenance leaders (Beyer 1999a:318–319). Apart from her defence of Weber, however, her position will not be further considered.

crises and then develops ideological justifications for those solutions.  
(Bass 1989:57)

**Theory versus pragmatism.** Campbell states that only academics, but not managers in real world business, could dare to think about leadership only when it pleases them (in Hunt 1999:133). Again, Middelndorp's distinction comes to mind: The reason for some of the tensions between Weber and the newer approaches often does not seem to be so much the content of their models, but rather in the kind of approach they take: Pragmatics on the one hand who want to know what *works*, because they want to use it in their daily tasks, and who only afterwards try to understand *why* it worked.<sup>121</sup> Theoreticians on the other hand consider it dishonourable to sell something as a method without water-tight proof of the theory behind it.

Beyer also makes a distinction between charismatic and transformational leadership. She cautions against a “romanticization” (Beyer 1999a:318) of leadership in which only charismatic and innovative leaders are valued. Her descriptions of “innovative leaders” versus “maintenance leaders” (as the ones carrying on the tried and true) to a large part match Yukl's and Khanin's descriptions of charismatic versus transforming leaders.

#### 4.4.1.2. *Neo-Charismatic leadership models*

Definitions of CHARISMATIC LEADERSHIP have undergone many variations. Nevertheless, three streams are particularly influential in the discussions today.

House's understanding of CHARISMATIC LEADERSHIP has been introduced in section 3.3.1 as one of the roots for Bass' model of TRANSFORMATIONAL LEADERSHIP. House attributed CHARISMATIC LEADERSHIP with a “transformational effect” (House & Shamir 1993:86). Bass—the second stream, building on House and Shamir—considers charisma only one, albeit “the most general and important” (Bass 1989:61), component of TRANSFORMATIONAL LEADERSHIP. Charisma, in his understanding, does not necessarily lead to transformation: One could be a charismatic leader without being transformational, but one could not be a transformational leader without being charismatic (Bass & Riggio 2006:5; Felfe 2005:36).

Bass distances himself clearly from Weber, whose understanding of charisma he considers “fairly limited” (Bass & Riggio 2006:5). The aspect of “distinctiveness” (see section 4.4.1.1),

<sup>121</sup> The above mentioned quote by Bass (1989:57) is exemplary for such a way of proceeding. Neuberger (2002:221), however, is rather critical of this approach. He explains his position with an example from self-perception theory: “Self-perception theory turns the normal chain of arguments around: We do not eat dark bread because we like it, but rather we like it, because we eat it. We observe ourselves exhibiting certain behaviour and then come up with reasonable explanations for this behaviour” (Original: “Die Selbstwahrnehmungstheorie kehrt die übliche Argumentation um: Wir essen nicht Schwarzbrot, weil es uns schmeckt, sondern weil wir es essen, schmeckt es uns. Wir beobachten uns selbst bei bestimmten Verhalten und erfinden dann vernünftige Gründe dafür, dass wir uns so verhalten.”). It would be interesting to find out whether these different preferences in approach are not to a high degree also culturally determined.

which Beyer considered a special strength of the Weberian notion of charisma, Bass as one who wanted to make it useful for a wider setting perceived as especially impedimentary.

Originally, Bass refrained from using the term “charismatic”. The terms “Idealised Influence” and “Inspirational Motivation”—while describing behaviour very similar to what others ascribed to charisma, and what Bass himself later subsumed into the “charismatic-inspirational” aspect of his theory (:5)—did not have the negative connotations the word charisma had received because of destructive examples of charismatic leaders. According to Conger, this choice of words (and building on Burns’ term “transformation”) was one of the reasons for the wide acceptance of Bass’ model.

The term “transformational” is less value-laden than “charismatic leadership,” and the values it does convey are positive ones—especially around organizational adaptation and human development. [...] Few managers and executives would see charisma as a necessary quality to be effective in contrast to transformational capability. (Conger 1999:150)

The third very influential stream of CHARISMATIC LEADERSHIP today was described by Conger and Kanungo. Their understanding of charisma is closest to Weber (Felfe 2005:61), and yet has had a profound influence in the discussions around TRANSFORMING, TRANSFORMATIONAL and CHARISMATIC LEADERSHIP and their relationship to each other. For Conger and Kanungo charisma can only be understood if one manages “to strip the aura of mysticism from charisma and to deal with it strictly as a behavioral process” (Conger & Kanungo 1987:639). As a result, in their “Behavioral Theory of Charismatic Leadership” of 1987 they define it as an attribution of followers toward their leaders. They consider the “set of dispositional attributions by followers” and the “set of leaders’ manifest behavior” as “two sides of the same coin” (Conger & Kanungo 1989a:93), because the leaders’ behaviour as an expression of their personality and of their values in interactions with followers (Conger 1999:153) form the basis for follower attributions (Conger & Kanungo 1987:645). They developed a set of 13 hypotheses<sup>122</sup> relating to different aspects of a leader’s behaviour which would contribute to the attribution of charisma. To evaluate charisma they developed an instrument (the “C-K scale of Charismatic Leadership”) which—they claim—strictly measures leadership behaviour and is free from items that could also be interpreted as effects of CHARISMATIC LEADERSHIP on followers (Felfe 2005:60). In it, items measuring CHARISMATIC LEADERSHIP are assigned to one of the following themes: vision and articulation, environmental sensitivity, unconventional behaviour, personal risk, and sensitivity to member needs.<sup>123</sup>

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<sup>122</sup> See Appendix 7.2.

<sup>123</sup> The original questionnaire had also items relating to “does not maintain status quo”, but this was later dropped (Felfe 2005:61).

They suggest a 3-step model of CHARISMATIC LEADERSHIP, with a charismatic leader distinguishing himself from “normal” leaders in each step (Conger & Kanungo 1989a:82): Because charisma has a tendency to get lost if the leader is not sensitive toward the environment (Conger 1999:153), the first step would be a critical evaluation of a given situation to be able to correctly assess problems and opportunities. Only after this is done the leader should present his/her vision as a high goal, radically different from the status quo:

The charismatic’s verbal messages construct reality such that only the positive features of the future vision and only the negative features of the status quo are emphasized. The vision is therefore presented in clear specific terms as the most attractive and attainable alternative—the aim is to create among followers a disenchantment or discontentment with the status quo, a strong identification with future goals, and a compelling desire to be led in the direction of the goal in spite of environmental hurdles. (:154)<sup>124</sup>

The third step finally would be to build trust in the high goals by demonstrating innovative means to achieve the vision and by impression management of the leader through “personal example, risk taking, and unconventional expertise” (:154). Acting this way, charismatic leaders would—not on the basis of their rank, but rather by their personal idiosyncratic power—“transform their followers” (Conger & Kanungo 1987:644) and function as strong role models.<sup>125</sup>

Crucial for the attribution of charisma as Conger and Kanungo define it would not so much be the success and actual outcome of the proposed change, but rather the unconventional steps the charismatic leader would propose and take to reach the goal. Because of the radical changes the vision implies and of the unconventional means the leader adopts, in Conger and Kanungo’s view charisma could never be attributed to an administrator or to a leader who only intended to “nudge the system” (Conger & Kanungo 1989a:84).

Differences in the three modern streams of CHARISMATIC LEADERSHIP are therefore found for example in relation to the origin of charisma and to the influence processes between leaders and followers/employees. In terms of the origin, the reason for the differences between the explanations can partly be found in their approach to the topic (see the next section). As for the influence processes, Bass & Avolio are of the opinion that the goal itself, internalised by the follower, can be just as important as the strong leader. Conger & Kanungo emphasise personal identification with the leader—and are in this also closest to Weber’s original thoughts. In other areas, however, the three new models are indeed similar: All three

<sup>124</sup> Lepsius (1986) indicates the dangers inherent in articulating a vision in a way which leaves the impression that there is no alternative: He attributes the acceptance of Hitler as a charismatic leader and his rise to power to exactly this way of interpreting the situation in Germany at the time (:62)!

<sup>125</sup> Looking at their steps one is strongly reminded of the transformational leader described by Tichy and Devanna (1986:29) a few years earlier. They talk about TRANSFORMATIONAL LEADERSHIP as “Three-Act-Drama”: recognising the need for revitalisation, creating a new vision, and then institutionalising the change.

stress vision, inspiration, the role model of the leader, intellectual stimulation, empowerment, appeal to “higher needs”, high expectations and the promotion of a collective identity (Conger 1999:156). And yet it still seems to be difficult to define the concept in unmistakable terms. Otherwise one can hardly understand why there are still discussions and ever new attempts to distinguish between “good” and “bad” charisma. Or why there are so many different explanations about the role of charisma within TRANSFORMATIONAL LEADERSHIP. For some researchers of the model, charisma is one characteristic attribute among others of a transformational leader. For Conger & Kanungo however, “charismatic leadership was the most exemplary form that transformational leaders could assume” (:149). And from their point of view this assessment is to be expected, since they include elements in their definition of CHARISMATIC LEADERSHIP (e.g. sensitivity to member needs) which Burns and Bass attribute to TRANSFORMATIONAL LEADERSHIP.

Thinking about the relationship between TRANSFORMING, TRANSFORMATIONAL, and CHARISMATIC LEADERSHIP, the main difference between the models, however, seems to be simply in who they are geared toward—not superficially but in their core: toward the leader with his/her wonderful qualities and results, or toward the followers, who the transforming leader aspires to empower. Yukl talks in this context of “incompatible aspects of the core behaviors for transformational and charismatic leadership” (Yukl 1999:301), making it just about impossible for both to appear simultaneously. *If* they appear simultaneously, according to Yukl, then this situation is “unstable” (:299), because unlike a charismatic leader, transforming leaders will do everything in their power to advance the *followers* and not their own position.

Some examples can be found of leaders who seem to be both charismatic and transformational, but they are rare. Most of the charismatic leaders did not appear to develop and empower followers in the way one would expect for a transformational leader. Although these leaders are good at managing impressions, a careful examination of their actions usually reveals that they are more interested in enhancing their own power and prestige than in providing selfless devotion to followers and the organisation. (:300)

Yukl (1999:298) also points to studies which conclude that successful leaders—“change agents”—do not necessarily have to be charismatic. “Successful change is usually the result of transformational leadership by managers not perceived as charismatic. The vision is usually the product of a collective effort, not the creation of a single, exceptional leader” (:298). This result becomes understandable on the background of Bridges’ (2003) explanation of the stages people have to go through in a change process: Empathy and sensitivity to the (emotional) state of a person and understanding of the losses they have to go through is crucial.

These are characteristics of a transforming leader which often prove more effective than the persuasion and other exceptional abilities a charismatic leader can show off.

Some of the observed problems are located in the research about CHARISMATIC LEADERSHIP. Bryman, as early as 1993 (1993:130) and again in a newer publication (Bryman 2011:26), points to a problem area in research about CHARISMATIC LEADERSHIP: Generally, the newer researchers have abandoned the notion of charisma as a divine gift, but rather locate it in “the relationship between leader and follower” (Campbell, Ward & Sonnenfeld et al. 2008:556). However, leadership research during the first decade of the hype about CHARISMATIC LEADERSHIP—in spite of claiming to measure a social phenomenon, a relationship which normally develops over time—concentrated on quantitative research methods. However, if one measures a relationship, interview based research will necessarily render results different from questionnaires, or from laboratory experiments, in which such a grown relationship is absent (:558). Also, results will differ greatly if one measures strategic leadership instead of “just” management.

Such warning voices are not new. Already in 1984—in the very early stages of the renewed discussions about CHARISMATIC LEADERSHIP—Willner warned against analytical inaccuracy which would integrate as part of the *definition* of a charismatic relationship elements that actually promote the *appearance* of charisma (like the crisis or a charismatic leader’s vision) or elements that would be the *consequences* of charisma (like revolutionary change) (Willner 1984:10).<sup>126</sup> There might be less confusion today, if this separation into origin, definition, and consequences had been adhered to in later discussions. However, since Willner’s focus was political and not organisational charisma, her distinctions would probably have proven too rigid for later developments of charismatic theory.

#### **4.4.1.3. Sociological versus psychological explanations of charisma**

The difference between sociological and psychological explanations of charisma has been alluded to several times. Weber as a sociologist was concerned with charisma as a (rare) phenomenon of society. The newer theories are concerned with organisational charisma. Some of the tensions that result from these differing outlooks have already been specified in section 4.4.1.1.

Models following Weber, such as Trice and Beyer, would interpret that what one can observe in a charismatic leader is due to innate personality attributes, which cannot be learnt. Their outlook is on the effect CHARISMATIC LEADERSHIP has, not so much on an explanation of

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<sup>126</sup> On a similar line Den Hartog, Koopman & Van Muijen (1995:42) point to the danger inherent in considering charisma an attribution of the followers: In that case charisma could not really be called a “component” of TRANSFORMATIONAL LEADERSHIP any more, but rather needed to be considered one of its “products”.

the inner workings of charismatic relationships. This is understandable if one's focus lies in an explanation of phenomena to understand what happened in the past.

In contrast, the outlook of proponents of the newer theories is the future: they want to understand the phenomenon to make it fruitful (meaning: to reproduce it) for organisational settings. Being heavily influenced by the developments in psychology, they do not attribute charisma to special powers any more, but rather locate it “in the relationship between the leader and follower” (Campbell, Ward & Sonnenfeld et al. 2008:556).<sup>127</sup> House is even more specific:

In actuality the “gift” is likely to be a complex interaction of personal characteristics, the behavior the leader employs, characteristics of followers, and certain situational factors prevailing at the time of the assumption of the leadership role. (House 1977:193)

Chemers describes the change in approach to CHARISMATIC LEADERSHIP from Weber through House's first model to Bass' description of TRANSFORMATIONAL LEADERSHIP. He considers even “Individualised Consideration”, which did not count in Bass' perception as one of the charismatic-inspirational elements, as charisma—a “charisma for a modern era in which follower needs include growth and independence as well as security and meaning” (Chemers 1997:87).

The third “lens” through which charismatic leadership is often interpreted is the psychoanalytic perspective (for example by Kets de Vries 1988), which explains the dynamics of a charismatic relationship from early life experiences. Proponents of this approach feel that they are thus taking into account not only cognitive but also affective aspects of a leadership situation, explaining the relationship between a leader's inner workings and his/her current situation (Kets de Vries & Miller 1985:585). Bryman observes that the psychoanalytical approaches tend to evaluate the charismatic relationship in rather pathological terms—which is hardly surprising considering that “psychoanalysis grew out of the examination and treatment of pathological phenomena” (Bryman 1993:39).

What makes for strong emotional attachments exists as much in the need of the “subject” as in the qualities of the “object.” In other words, the personalities of leaders take on proportions that meet what subordinates need and even demand. If leaders, in fact, respond with the special charisma that is often invested in them at the outset, then they are parties to a self-fulfilling prophecy. Of course, the qualities demanded have to be present in some

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<sup>127</sup> Roberts and Bradley's (1989) approach has not been considered in depth here. In some respects they follow Weber, but have described charisma as a three-layered process, triggered through a collective perception of crisis, substantiated through the strong relational ties between an exceptional leader and followers, but very much dependent on a favourable social structure. They base their explanations on a study where charisma was lost once the social structure in which it was exercised had changed—and thus in fact confirm the key role of the relationship between leader and followers which had not been able to be re-established in the changed social structure.



nascent form, ready to emerge as soon as the emotional currents become real in authority relationships. (Zaleznik & Kets de Vries 1985:126)

It is through the processes of projection, regression, transference and mirror transference (or counter-transference) that followers “create” such a leader. Apart from these roots in Freud’s psychoanalytic theory, Erik Erikson’s work on identity provides another source for a psychoanalytic explanation: The leader becomes “a substitute for an underdeveloped ego-ideal” (Willner 1984:53).

**4.4.2. “Intention” in a charismatic leader–follower–relationship**

The four-step perspective introduced in section 2.3.5.2 might help also in approaching the questions related to the concepts of CHARISMATIC LEADERSHIP (see Figure 12). Within this area much of the confusion that reigns is due to proponents of different models mixing these levels and trying to solve the ethical questions within the realm that belongs to empirical studies.

**Impression.** One grave problem which research into CHARISMATIC LEADERSHIP faces is the fact that charisma is an emotionally charged term. In addition, in the mind of the general public charisma often has some kind of mystical attribute, a “magnetic personal appeal” as Kotter (1990:108) calls it. The viewpoint then is not “What is this leader like, what does s/he do?”, but rather “What is my emotional reaction to this person?” One judges on the basis of a *prima facie* impression and forms an opinion guided by such perceptions. This is what one also sees in popular Christian books about leadership, where charisma is explained in terms of the impression for example Jesus left on his disciples or the crowd following him.

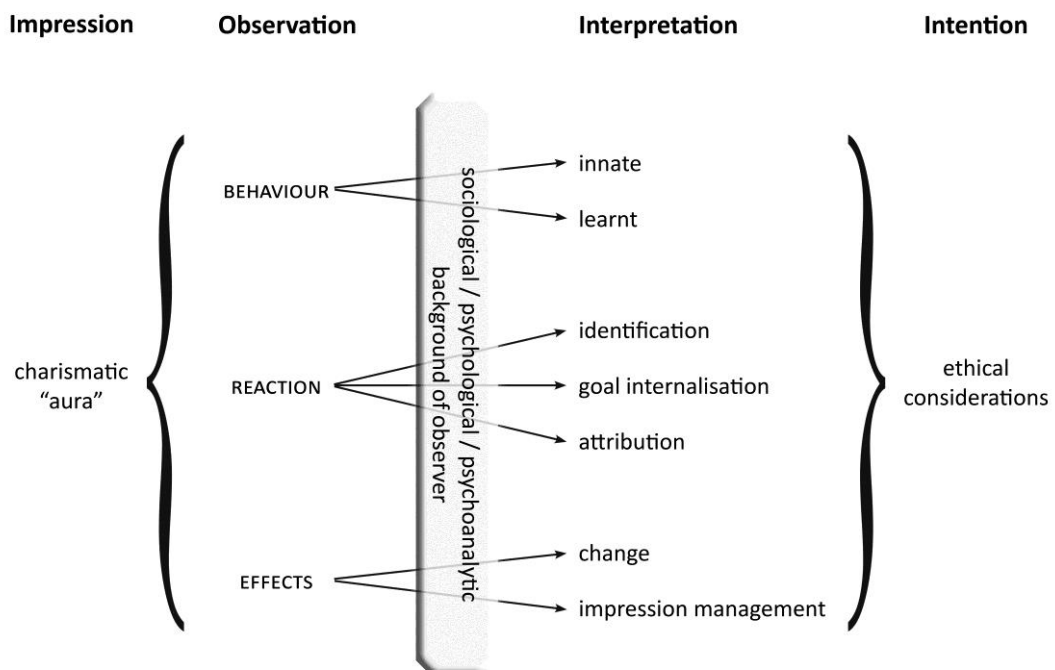


Figure 12: Evaluating CHARISMATIC LEADERSHIP

Bligh, Kohles and Meindl (2004:229) have indicated the role of the media as an important player in this aspect of CHARISMATIC LEADERSHIP. In our day and age, ghostwriters and the media in general can greatly improve or harm the charismatic impression of a leader on followers (see also Campbell, Ward & Sonnenfeld et al. 2008:566). In socially distant leadership situations especially, the development of a charismatic impression can be triggered more than anything else by an emotional answer to an emotionally charged situation.<sup>128</sup>

There have been lists put together denoting external attributes of charismatic leaders, like stature or the quality of their eyes or voice. All these things contribute to the impression a person leaves. However, there is no evidence in research proving or refuting charismatic attributions on these grounds. Felfe points out that it is not known whether there are people with a charismatic disposition who have *not* become charismatic leaders. Unless this is investigated claims about a charismatic personality profile would not be justified (Felfe 2005:74).<sup>129</sup> If these impressions are not defined as such and actually separated from the next steps, research results will always lack analytical clarity.

**Observation.** In the case of CHARISMATIC LEADERSHIP observation can measure three areas: actual behaviour of a leader, the reaction to the behaviour, and the effects that result from a certain behaviour. Depending on the background of a researcher—the “lens” through which s/he looks at data—the measured results will be interpreted.

However, it needs to be noted again that most research about CHARISMATIC LEADERSHIP suffers at least from one of two serious shortcomings:

1. The researchers have not actually measured observations, but rather have asked leaders what they have done. Instead of dependable, objective results one gets only the leaders’ interpretations of their own behaviour—which could be rather different from what an outside observer would have seen had he or she been able to objectively assess the situation.
2. The researchers have asked followers how they perceive their leaders and/or their actions. This time the research results portray the *perceptions* of followers. These could be formed as much by the followers’ expectations as by actual leader behaviour, and again, the result might be quite different from what an outside observer would have seen (Chemers 1997:109).

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<sup>128</sup> Bligh, Kohles and Meindl (2004) analysed this process on the basis of presidential speeches after the September 11, 2001 attacks.

<sup>129</sup> Original: “Inwieweit die Persönlichkeit oder andere Bedingungen ursächlich charismatische Führung hervorbringen, lässt sich nicht sagen. Es ist beispielsweise nichts über Personen mit einer charismatischen Disposition bekannt, die nicht in entsprechende Positionen gelangen. Erst dann könnte von einem kontextunabhängigen charismatischen Profil gesprochen werden.” (Felfe 2005:74)

Very few studies actually measure and describe the leader or the leadership situation from an outside observer's position.

**Interpretation.** It is the different lenses that people wear when they try to explain their observations of the charismatic phenomenon which lead to so many contrasting interpretations (see also Den Hartog, Koopman & Van Muijen 1995):

- Charisma as a phenomenon of society versus organisational charisma.
- Conger and Kanungo explaining changes on an organisational level, versus Shamir, House and Arthur focusing on the personal level (Felfe 2005:26).
- Weber in his early writings (considering charisma a magical gift, an innate personality trait; Wang 1997:20) and also developmentalists like Kets de Vries (1989) or Avolio and Gibbons (1989) (who stress the influence of the socialisation process on a later emergence of charisma) versus behaviourists considering abilities and behaviour related to charismatic leadership learnable (Conger & Kanungo 1989c:310).
- The later Weber saying that it was legitimate for a charismatic leader to demand obedience (Wang 1997:30), versus Kets de Vries and Miller (1985) locating such a claim in the narcissistic nature of the leader.
- Conger and Kanungo (1989c:312) and House, Woycke and Fodor (1989:118) promoting training in charismatic leadership behaviour, versus Roberts warning against it because of possible negative effects (Roberts & Bradley 1989:272).
- Beyer (1999a:312) demanding to measure results of change, versus psychologically based models content with measuring the relationship.
- The striving to differentiate between “bad” and “good” charisma.
- Visionary charisma, versus crisis induced charisma.

**Intention.** Most researchers specify what their approach to the study of charismatic leadership is. The step between observation and explanation can therefore be traced without much difficulty, even though the varied approaches result in a myriad of explanations.

However, the lack of clarity lies in the clear separation of the Intention from the other elements. Willner is right, when she points out that a tool—may it be called a gift, a personality trait, an attribution, or a learnt behaviour—can always be used for good or bad (Willner 1984:12). It is not in itself good or bad, ethical or unethical. The crucial element in this regard is the person using the tool. Howell (1989) with her distinction between socialised and personalised charisma tries to address the phenomenon on this level.

In the case of descriptive models not much harm results from a neglect of separating Intention from the other three elements. However, in prescriptive models—like the ones described above—this distinction is of utmost importance. Attempts to attach ethical

questions to the first three points—Impression, Observation and Interpretation—must necessarily lead to unsatisfactory results.

Even though Intention is such an elusive and personal aspect, for an ethical evaluation of a model one has to dare to approach it. And even if sometimes one only can speculate about the intentions of a leader, an observation of the leader's pronouncements, actions, and character will give indications as to his/her underlying intentions. In section 2.3.5 and also in the discussion of Figure 11 (page 110–112) the necessity of looking beyond actions and including the character of the leader in an evaluation has been explained. This does not just apply to an evaluation of TRANSACTIONAL LEADERSHIP, it is equally true for the area of CHARISMATIC LEADERSHIP. Does a leader who claims to empower his/her followers really intend for the followers to gain from the relationship, or is the true intent rather an advancement of the leader's own career? In this whole area of TRANSFORMATIONAL LEADERSHIP, the missing distinction between Explanation and Intention is one of the real weak points of the theory (Yukl [2006:250], Khanin [2007], Neuberger [2002] and Tourish [2013] have pointed to this problem). This aspect will be further developed in sections 5.2–5.3.

#### **4.5. TRANSFORMING/TRANSFORMATIONAL LEADERSHIP and SERVANT LEADERSHIP**

It has been mentioned before that it seems surprising that within the area of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP there is so little reference to SERVANT LEADERSHIP. In many aspects the two leadership styles seem rather similar. The question is: What is their relationship to each other? Is SERVANT LEADERSHIP more than TRANSFORMATIONAL LEADERSHIP? Or is it the other way round? Or maybe the two names can indeed be used interchangeably, as Trompenaars and Voerman in their book about SERVANT LEADERSHIP do: “Transformational leadership—another name for servant-leadership—is all about change” (Trompenaars & Voerman 2009:53).

Within Burns' writings this author has not found reference to SERVANT LEADERSHIP, even though Burns as well as proponents of SERVANT LEADERSHIP see in their leadership model a way of bringing good to the overall society (Burns [1978] 2005:20; Greenleaf 1991:49). Both Burns and Greenleaf are very clear about the pivotal role ethics and morality play in their models. Both see the need for character integrity and growth in their leaders, with Burns talking about the leader's need to lead from a higher moral level, raising the level of morality of the followers, and in the process, also being transformed; and Greenleaf talking about the leader modelling service with the goal to develop others to emulate the model and become servants themselves. For both, what distinguishes a leader from followers is that the leader sees the bigger purpose/vision and can communicate it (Greenleaf 1991:15). And in pursuing this vision both stress the need for reciprocity in the relationship instead of a leader defining

needs and goals for a follower (:35; for Burns' stress on dialogue see section 4.3). SERVANT LEADERSHIP not only stresses the importance of an authentic relationship between leader and follower, but of building whole authentic communities (Peck 1995:88–89; Rieser 1995:57).

Bass makes reference to SERVANT LEADERSHIP on various occasions. He considers it a concept that sounds intriguing to people and is becoming more famous and thus will continue to play a role (Bass 1999:547; Bass 2000:33). However, its weak point he sees in the missing empirical investigation of the concept.<sup>130</sup> One model claims to go beyond the other—with SERVANT LEADERSHIP stressing that, unlike TRANSFORMATIONAL LEADERSHIP, they look beyond the goals of the organisation and put the person first, and TRANSFORMATIONAL LEADERSHIP claiming that they look beyond just people and keep the organisation and the society in mind.

Unfortunately, within the literature coming from the area of SERVANT LEADERSHIP, generally the term TRANSFORMATIONAL LEADERSHIP is applied to both Bass and Burns. Only Graham (1991:107), in her classification of various forms of CHARISMATIC LEADERSHIP, linked Burns' understanding of charisma to the understanding promoted by SERVANT LEADERSHIP, and Farling, Stone and Winston (1999:51), building on Burns' incompatibility of TRANSACTIONAL and TRANSFORMING LEADERSHIP, associate follower-focused TRANSFORMING LEADERSHIP with SERVANT LEADERSHIP, as opposed to leader-focused TRANSACTIONAL LEADERSHIP. Several authors claim that SERVANT LEADERSHIP expands TRANSFORMATIONAL LEADERSHIP.<sup>131</sup> One of the more extensive studies of the differences between the models comes up with five distinctive features differentiating transformational and servant leaders (see Table 8). And Stone, Russel and Patterson take one element from this list as especially important:

The extent to which the leader is able to shift the primary focus of his or her leadership from the organisation to the follower is the distinguishing factor in determining whether the leader may be a transformational or servant leader. (Stone, Russel & Patterson 2003:5–10)

However, giving it all a closer look, one recognises that with such an approach SERVANT LEADERSHIP is getting into the same dilemma as indicated between Bass and Burns in Figure 11 (page 110): Does one assume that one can infer intentions by observing certain actions, or is

<sup>130</sup> This situation is slowly changing, with Chin and Smith (2006) providing a historical study, and Parolini (2007) and Alimo-Metcalfe and Alban-Metcalfe (2005) presenting empirical studies in the US and UK respectively. Liden (2013) gives a more comprehensive overview of available studies up to the present.

<sup>131</sup> For example Spears (1995b:11) quoting Peter Block, Ken Blanchard, Max DePree, and Peter Senge as having enhanced existing models with SERVANT LEADERSHIP; Chin and Smith (2006:9), who found resemblance between Bass' four I's and attributes of SERVANT LEADERSHIP, but who could not find corresponding attributes for nine other distinguishing factors of SERVANT LEADERSHIP (like love, forgiveness, self-control, and other virtues considered elementary for SERVANT LEADERSHIP); or Alimo-Metcalfe and Alban-Metcalfe (2005) who consider the newer developments in the area of TRANSFORMATIONAL LEADERSHIP as being influenced by SERVANT LEADERSHIP.

<i>Distinctive Features</i>	<i>Transformational leaders</i>	<i>Servant leaders</i>
<b>Primary focus</b>	Organisation	Individual
<b>Personal moral</b>	Develop collective values	Sacrificial service
<b>Motive and mission</b>	Empower followers ⇒ change organisation	Facilitate follower development ⇒ create culture of personal growth
<b>Development goal</b>	Similarly-minded leaders	Autonomous servants
<b>Influence through...</b>	Charisma	Service

**Table 8: Distinctive features of transformational and servant leaders according to Parolini (2007:5–10)**

the intention the underlying force which needs to be evaluated? Clearly, SERVANT LEADERSHIP, like TRANSFORMING LEADERSHIP has intentions as a starting point for evaluation (Farling, Stone & Winston 1999:53).<sup>132</sup> Greenleaf goes way beyond actions, when he defines ethics as “the way you are” (Fraker 1995:45).

Proponents of SERVANT LEADERSHIP would do well not to fall into the same trap as proponents of TRANSFORMATIONAL LEADERSHIP: softening scales of evaluation so as to make an element more attainable—but at the same time shifting from an evaluation based on ethical standards to one based on empirical observations.

#### 4.6. Conclusion

This chapter started with a comparison of Burns’ and Bass’ differing understanding of the relationship between TRANSACTIONAL and TRANSFORMING/TRANSFORMATIONAL LEADERSHIP. It explained their approaches to CHARISMATIC LEADERSHIP and also the varying bases on which charismatic elements of TRANSFORMATIONAL LEADERSHIP are explained. It was shown that in spite of the fact that Burns and Bass are mostly mentioned in the same breath, they differ in such marked ways—with Burns’ focus being societal change, and Bass’ driving force being the success of leaders and their organisations— that they should not be considered one model.

Also in this chapter, SERVANT LEADERSHIP was brought into the discussion as another model which sometimes is equalled with TRANSFORMATIONAL LEADERSHIP. It was shown that Burns’ concept has more similarities to SERVANT LEADERSHIP than Bass’ concept and that unfortunately in this area also most comparisons between the models do not make a distinction

<sup>132</sup> Chin & Smith stress that while SERVANT LEADERSHIP, just like CHARISMATIC LEADERSHIP and TRANSFORMATIONAL LEADERSHIP, intends to influence followers and situations on a deep level, this is exactly what differentiates it from the other two: because SERVANT LEADERSHIP “is driven by the leader’s values anchored in spiritual beliefs and moral principles” (2006:10) and not by the leader’s skills and goals.

between Bass and Burns. However, it has become clear that to equal TRANSFORMATIONAL LEADERSHIP with SERVANT LEADERSHIP would not be an accurate conclusion.

Having explained the grounds on which the models function and the differences between them will give the reader now a solid background on which to approach the claims of TRANSFORMATIONAL LEADERSHIP which will be under discussion in the following chapter.





## 5. The claim of TRANSFORMATIONAL LEADERSHIP

### 5.1. Introduction

Chapter 3 of this dissertation explained TRANSFORMING and TRANSFORMATIONAL LEADERSHIP in detail and introduced briefly the leadership models leading up to them and developing around them. Chapter 4 then compared the different models and pointed out differences between them. In particular, it was shown that there are fundamental differences between TRANSFORMING and TRANSFORMATIONAL LEADERSHIP, even though the latter is generally considered just a further development of the former. Within this discussion some of the ethical questions have already been touched on. This chapter now will explore these ethical considerations in more depth. It has been shown in the previous chapters that CHARISMATIC LEADERSHIP and TRANSFORMING/TRANSFORMATIONAL LEADERSHIP cannot easily be separated, because charisma plays such an integral role within any theory of TRANSFORMATIONAL LEADERSHIP. Therefore, and because the greatest danger for misuse seems to be within the charismatic elements of TRANSFORMATIONAL LEADERSHIP, references to CHARISMATIC LEADERSHIP have been included in this discussion.

Leadership always is a situation that involves people, and wherever there are relationships involved, ethical questions automatically present themselves (Gini 2004:33). Gini sees these questions as a real possibility:

Economists ask, What can I do to advance my best interests against others?  
Ethicists ask, In pursuing my best interests what must I do, what “ought” I do in regard to others? Whereas economics breeds competition, ethics encourages cooperation. (:30)

With such a background it should be rather encouraging to hear the claim of the founders of TRANSFORMATIONAL LEADERSHIP that their model is inherently ethical. Felfe—even though he critiques that generally questionnaires used in research investigate only positive outcomes of charisma—nevertheless simply states:

Charismatic and transformational leadership aims to have a positive effect on staff and therefore needs to be distinguished from forms of manipulation, the creation of dependencies and exploitation. (Felfe 2005:50)<sup>133</sup>

With this statement he certainly mirrors Bass’ desire and claim. The question which remains is just: Does the desire for a theory to be ethical already *make* it ethical? Kanungo and Mendonca (1996:33) refer to Thomas Aquinas and emphasise that the act itself, the motive of

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<sup>133</sup> Original: “Charismatische bzw. transformationale Führung zielt auf *positive Auswirkungen* bei den Mitarbeitern und ist damit gegenüber Formen der Manipulation, der Erzeugung von Abhängigkeiten und Ausbeutung abzugrenzen.” (Felfe 2005:50)

the actor, and the context in which it happens need to be equally considered. Ethical questions cannot be looked at in isolation. This has several implications:

- Ethical questions can equally not be considered distinct from the person of the leader. Greenleaf warns against using leadership methods as

“devices” to achieve harmony or increase productivity or reduce turnover. Some popular procedures, such as participation or work enlargement or profit sharing, may be manipulative devices if they do not flow naturally out of a comprehensive ethic. (Greenleaf 1991:142–143)

Section 2.3.5 talked about the intermeshing of character, intention, and *menschenbild* with one’s world view. Leaders and their ethical outlook therefore need to be considered on this holistic background.

- Section 2.3.5 also introduced the different relationships present in a leadership situation (leader, follower, organisation, and wider context) and the tensions which these relationships generate. Bonhoeffer is quite right with his observation that ethical questions are easier to solve if one limits one’s perceived sphere of responsibility to the area where this tension disappears (Bonhoeffer, Floyd & Green 2008:80). In terms of business leaders this can mean that a leader does not consider it his/her responsibility to consider concerns outside their immediate business. However, leaders who ignore their social commitment in terms of a business’ impact on people and the environment have been shown to have disastrous long-term effects (Mumford, Zaccaro & Harding et al. 2000:22).

With all the call for ethical leadership, the lamenting of leadership failures, and the development of “ethical theories” one should think that the problem should be on the verge of disappearing. However, recent scandals speak a different language. Kellerman and Webster (2001) have investigated academic publications on public leadership published between 1999 and 2000. In the area of ethics, they discovered that generally there was a “gap between what is preached and what is practiced” (:509). Ethical aspects, they found, were dealt with mostly theoretically. Ethics, however, in the end is a question of practice, and one which cannot be considered properly when one only takes the positive aspects of something into account. Yukl (1999:292) and Beyer are two scholars who call for a more thorough examination of possible negative consequences of TRANSFORMATIONAL LEADERSHIP and for a more balanced portrayal: “The positive virtues of the new forms of leadership need to be balanced with an awareness of possible negative consequences” (Beyer 1999a:321).

This chapter will not be concerned with research results investigating the applicability or weaknesses of the measuring instruments for TRANSFORMATIONAL LEADERSHIP, as Yukl demanded. Rather, the first part of the chapter will be a review of the ethical foundations of

TRANSFORMING and TRANSFORMATIONAL LEADERSHIP. The next section intends to follow the trail of why there could be such a “gap between what is preached and what is practiced.” This will be done by reflecting on the dark side of TRANSFORMATIONAL LEADERSHIP with special consideration of two critics of the theory, who in their critique touch on the two points above: The person of the leader will be in focus in the discussion of Tourish, who elaborates on the power motif; and the situation and appropriate relationships within a certain context will be Neuberger’s focus. These two areas of concern offer themselves for an evaluation on the basis of Christian ethics, since they relate to two aspects which are of deep concern for Christian ethics: One is the question of character in the proper use of power. And the other is the question of responsibilities in the relationships introduced in Figure 5 (page 49), following Bonhoeffer’s claim that “responsibility is the whole response of the whole person to reality as a whole” (Bonhoeffer, Floyd & Green 2008:293).

Because Wycliffe as an organisation is naturally confronted with the challenge of an international context, the claim of TRANSFORMATIONAL LEADERSHIP of being applicable universally, will be given some consideration in the last section of this chapter. It would go beyond the scope of this dissertation to dissolve the complexity of the interrelatedness of ethics and culture. So it shall suffice to point out some areas of concern along the aspects of world view, intention, character, and *menschenbild*, as introduced in section 2.3.5.

## 5.2. Ethical foundations of TRANSFORMING/TRANSFORMATIONAL LEADERSHIP

When one wants to investigate TRANSFORMATIONAL LEADERSHIP’s relationship to ethical questions, one very quickly notices several problems:

**Ethics as a matter interwoven into life and community.** Ethics is woven into each decision people make. This is as true for business ethics as for the rest of life, meaning that “in the real life decision making situations it is impossible to separate ‘ethical issues’ from ‘business and other issues;’ however, it is crucial to distinguish between them” (Murphy & Enderle 1995:118). Even though this section will aim to specify the ethical foundations of TRANSFORMATIONAL LEADERSHIP, it will become clear that this is a difficult endeavour: Where does one start, and what does one include?

**Use of terms.** Often one finds the distinction made between ethics and morality. Ethics would be “a reflection on what is regarded as right or good”, and morality would be actual “good behaviour or actions” (Kretzschmar 2005:20). Virtuous people would then be those who not only know what they consider right and good, but who have developed to the point where acting morally has become part of their character. Burns, as will be explained shortly, has

filled these words rather differently from the general use of the terms. He specifies exactly what his use is, but it still complicates the discussion.

**The generalised claim.** On one side there is the very broad claim that TRANSFORMATIONAL LEADERSHIP is ethical—which in turn means that any unethical behaviour of a leader automatically never can be called TRANSFORMATIONAL LEADERSHIP. This seems a rather simplistic way to protect the glowing image of one’s model. The basic question here is, after all, whether a model or a method in itself *can* be ethical or unethical.

A tool can always be used for either good or evil ends. One has to look at the person using a tool (Willner 1984:12). One’s ethical perceptions are shaped by one’s community (Brown 1998:65). And yet, being shaped through one’s community is one thing, but it is one’s life (the “fruit”, as Jesus called it; Mt 7:16) which will show which of those ethical convictions one truly holds. O’Connell and Bligh (2009:215) talk about the fact that generally the distinction is made between ethical leadership theories which consider a leader’s ethical *behaviour* and others which are concerned with a leader’s *character*. It has been pointed out earlier that this writer considers such a distinction not very helpful. Admittedly, it *does* make one’s ethical reflection smoother, if one decides to only look at behaviour, but it surely does not help to get to the root of a situation, nor does it help to promote truly moral leadership. One’s behaviour in a relationship needs to be evaluated by the intention in one’s actions—which are shaped by one’s own character and one’s *menschenbild*—not just by the outward appearance of an act. Christian ethics with its stress on development of an integrated moral character based on a deep transformation reflects this. SERVANT LEADERSHIP has a similar focus. Fraker explained Greenleaf’s emphasis on living a holistic life:

One important key to understanding his view of ethical business behavior is his emphasis on living a holistic life, where all facets are integrated into a healthy whole. In a sense, developing ethical behavior is one positive outcome of a person’s quest to become a healthy, whole person. (Fraker 1995:47)

Interestingly enough, such a call for integrity also comes from the side of business ethics. Gini is aware of the imperfection of any leader and refers to John Gardner as warning against assessing leadership only from observable consequences. Rather, he claims that “the quality and worth of leadership can be measured only in terms of what a leader intends, values, believes in, or stands for—in other words, character” (Gini 2004:35).

But apart from the character of the leader, a second point to be considered is the “character” of the leadership model. What is the intention behind the model? In this area, TRANSFORMATIONAL LEADERSHIP conveys mixed messages. On the one hand there is much stress on empowerment and consideration, but on the other hand there is the clear goal to increase productivity. Atwater and Atwater give numerous examples how TRANSFORMATIONAL

LEADERSHIP has helped to bring needed change to organisations by “altering the prevailing managerial style from one based on formal top-down authority to a more employee-centered style that is *designed to maximize the return on HR capital*” (Atwater & Atwater 1994:147; emphasis EM). If empowerment and consideration are used solely on the basis of being the means to reach the leader’s goal and not because of the dignity the leader perceives in the follower, then empowerment and consideration are in fact acts of deception and ultimately of degradation, because in this case, a follower is—despite all assertions to the contrary—used as the means to a leader’s end, a true human *resource*.<sup>134</sup>

Notwithstanding these problematic areas, all theories of TRANSFORMATIONAL LEADERSHIP are shaped by values of the human relations movement, which—based on the Enlightenment value of autonomous reasoning—stresses the importance of people’s feeling of wellbeing as a basis for increased productivity. Maslow’s development of the hierarchy of needs, and McClelland’s work on motivation (see section 5.3.2.2), as well as McGregor’s *menschenbild* portrayed in his “Theory Y”<sup>135</sup> were the background on which first TRANSFORMING LEADERSHIP, and later TRANSFORMATIONAL LEADERSHIP and the newer versions of the theory were developed. In the beginning, in the area of TRANSFORMATIONAL LEADERSHIP there was little concern about possible misuses, for example of the process of motivation. As long as a leader could increase “both organizational effectiveness and followers’ motivation and competence” (Conger & Kanungo 1989c:311), training him/her to accomplish this was considered “morally defensible”.

### 5.2.1. Ethical foundations of Burns

In popular literature, the terms “ethical” and “moral” are often used interchangeably. Within the field of moral philosophy “ethics” generally refers to a critical reflection on issues of morality. Burns deviates from the common use of these terms, which complicates discussions on the matter. He nevertheless is very clear about the basis on which he builds TRANSFORMING LEADERSHIP. In his perception, good leadership is always concerned with the goal as well as the way to reach the goal. And as a second area of concern the public, as well as the private, morality of a leader needs to be considered. TRANSFORMING LEADERSHIP was perceived as “an attempt to characterize good leadership by accounting for both of these questions” (Ciulla 2004c:15).

One encounters three key terms in Burns’ writings. Good leadership, which would be characterised by a deep respect for the dignity, self-ownership and accountability of people

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<sup>134</sup> Hofstede describes the strong reaction the word “resources”—which “according to the dictionary are things to be exploited” (Hofstede 1987:14, quoted in Kessler 2004:174)—can evoke in a culture which is not as high as the United States in Hofstede’s categories of Individualism and Masculinity.

<sup>135</sup> See Kessler 2004:149ff for a concise description of McGregor’s theory.

and the desire to help a person reach his/her goals, could be exercised as moral, or at least as ethical leadership. Ethical leadership would be concerned with the values needed to live the Golden Rule (like honesty, trustworthiness, integrity, accountability), while moral leadership would be concerned with “such lofty public principles as order, liberty, equality (including brotherhood and sisterhood), justice, the pursuit of happiness” (Burns 2003:28). It is noteworthy in Burns’ concept of leadership that he very clearly does not lose sight of the ethical responsibility a leader has for the wider society. This can partly be explained by his background in political science. His focus for investigation was not business leaders but political leaders, i.e. not people responsible for an organisation within society, but for society in a much wider sense. According to him, only leadership which is at least ethical—or even better: moral—should be allowed to be called “leadership” (Burns in Bailey & Axelrod 2001:119). Burns’ definition of moral leadership includes also the aspect of not defining *for* others what one considers good for them:

Moral leadership is not mere preaching, or the uttering of pieties, or the insistence on social conformity. Moral leadership emerges from, and always returns to, the fundamental wants and needs, aspirations, and values of the followers. I mean the kind of leadership that can produce social change that will satisfy followers’ authentic needs. I mean less the Ten Commandments than the Golden Rule. But even the Golden Rule is inadequate, for it measures the wants and needs of others simply by our own. (Burns [1978] 2005:4)

The third term one encounters in his writings is virtuous leadership. This, in his definition, would be a leader who would follow “‘old fashioned’ norms of conduct”, which means s/he would live according to what s/he has learnt mainly in the home, or according to biblical virtues. Even though he wants the public and private morality of a leader to be integrated, he still separates these virtues from his definition of morality: “To my mind, these virtues are important and fundamental to life but they are quite different from the ethical and moral levels of conduct. This means that a leader can be moral, holding crucial values, and yet violate cannons [sic] of virtue” (Burns in Bailey & Axelrod 2001:116), like an otherwise good leader lying to the constituency, or cheating on his wife—a statement with which one could not agree looking at it from the perspective of Christian ethics. There a truly virtuous person would not be able to proclaim honesty in his/her business dealings and yet not live honesty in his/her private life and vice versa. This does not mean that from a Christian ethical perspective a virtuous person has to be perfect. As has been explained in section 2.3.2, Christian ethics counts with the fall of man, but it also counts with redemption and forgiveness because of Christ’s atonement, and with the restorative power of the Holy Spirit in a person’s life. On this foundation a Christian leader is called to grow in a life of honesty and integrity both in his/her personal and social conduct.

### 5.2.2. Ethical foundations of Bass

It has been mentioned before that Bass added ethical considerations to his model of TRANSFORMATIONAL LEADERSHIP only later in the process. The outcome—transformation—was the determining factor, which originally defined whether someone was a transformational leader or not. Once the distinction between authentic transformational and pseudo-transformational leaders had been introduced, Bass clearly distanced himself from his earlier pronouncements which had disregarded ethical aspects. Rather, in an article in *The Leadership Quarterly* (Bass & Steidlmeier 1999), he described what would distinguish an authentic transformational leader from an inauthentic one in each of the four elements (see Figure 10, page 98) of TRANSFORMATIONAL LEADERSHIP. For example, an authentic transformational leader would use Idealised Influence to promote high values, like universal brotherhood, s/he would foster high ethical standards within the organisation by modelling them and promoting their implementation. Pseudo-transformational leaders would use this influence to further their own position, and to promote the development of in-groups as against out-groups. In whatever element, in the end it is this pursuing of own interests which distinguishes the inauthentic leader from the authentic one, even though some of the behaviour might look rather similar at first sight.

They may exhibit many transforming displays but cater, in the long run, to their own self-interests. Self-concerned, self-aggrandizing, exploitative, and power oriented, pseudotransformational leaders believe in distorted utilitarian and warped moral principles. This is in contrast to the authentic transformational leaders, who transcend their own self-interests for one of two reasons: utilitarian or moral. If utilitarian, their objective is to benefit their group or its individual members, their organisation, or society, as well as themselves, and to meet the challenges of the task or mission. If a matter of moral principles, the objective is to do the right thing, to do what fits principles of morality, rules, and traditions of a society. There is belief in the social responsibility of the leader and the organization.

(Bass & Riggio 2006:13–14)

Bass depicts an ideal type in his descriptions of authentic transformational leaders, and says that in reality every leader would be in some areas authentic, in others inauthentic, with a special danger for inauthentic behaviour in the area of impression management. However, one would still be able to recognise an authentic transformational leader. The element which most often would be missing from the pseudo-transformational leader's behaviour would be Individualised Consideration, since unlike an authentic transformational leader, who is concerned about followers and their needs, the pseudo-transformational leader is more concerned about leaving followers in dependence of him/her.

For Bass it is important in his description not to separate morality of means and ends, so it was not just the content of a vision, for example, which was important for him, but also the process of how the vision was pursued, which needed to be taken into consideration:

The ethics of leadership rests upon three pillars: (1) the moral character of the leader; (2) the ethical legitimacy of the values embedded in the leaders vision, articulation, and program which followers either embrace or reject; and (3) the morality of the processes of social ethical choice and action that leaders and followers engage in and collectively pursue.

(Bass & Steidlmeier 1999:182)

These principles sound very good, and one would wish that Bass had developed his theory starting with such considerations and not just adding them later on. Much of what critics like Neuberger and Tourish animadvert would probably not be a problem. As it is, reading Bass, one cannot help getting the impression that there is a constant struggle between the high claims and the original goal of the theory to ensure success for the organisation. These tensions show themselves especially in the second of his three points: If this second point were put into practice, there would be critical reflection on the validity of a vision. However, in reality the vision of the organisation or company is assumed as an unquestioned starting point and TRANSFORMATIONAL LEADERSHIP is proclaimed as the method to get people to accede to the vision and wholeheartedly engage themselves for it.

### 5.2.3. Other authors concerned with TRANSFORMATIONAL LEADERSHIP and ethics

Business ethics as an independent academic discipline is rather young, having started only after the Watergate affair (Gini 2004:36). So it is not surprising that the first academic journals concerned with business ethics only started in the early 1980s (*Business and professional ethics journal*, and *Journal of business ethics*). But the interest in business ethics continues to grow: Since the beginning of the new millenium a number of academic journals have started, some of them concerned with a specific professional field (e.g. law, or accounting), others with the global aspect of it (*African journal of business ethics*, *Asian journal of business ethics*, or *Journal of international business ethics*). These specific aspects are not the concern here. At this point rather, some authors shall be introduced who have specifically written about TRANSFORMATIONAL LEADERSHIP and ethics.

**Jane Howell** was one of the first to make a clear distinction between “bad” and “good” charismatic leaders (Howell 1989). She introduced the distinction between personalised and socialised leaders and associated socialised charismatic leaders with authentic transformational leaders (:232). Personalised charismatic leaders abuse the followers’ goals. “In particular, a leader’s private motives are displaced onto followers and rationalized in terms of follower interest (Burns, 1978). These personal motives may or may not coincide with



follower needs; it is the leader's intention that predominates" (Howell 1989:223). A personalised leader's goals are leader-driven. In contrast to this the socialised charismatic leader's goals would be follower-driven. S/he would act in a way that the needs of both would be fulfilled; leader and follower would be united in a common purpose. This distinction has found wide-spread acceptance with leadership scholars. And it is helpful that she does not evaluate behaviour, but looks behind the behaviour to evaluate the intention of a leader toward the followers. Taking behaviour as the deciding factor for evaluation leads one into an endless circle of discussions about what percentage of a leader's behaviour has to be morally good so that s/he can still be considered an authentic transformational leader. In Howell's distinction one can see the basic difference between Burns (and Greenleaf even more so) and Bass: Who is the model geared toward? Toward the leader, to make him/her successful, or toward the follower?

However, when one looks at the whole picture, another question remains: Who defines the common purpose? When TRANSFORMATIONAL LEADERSHIP (and House even earlier) claims that it can "lift" the values of a follower to higher goals—who has the right to define what these higher goals should be? Is the socialised charismatic leader really oriented toward followers? According to Howell and Avolio's description of a charismatic leader, in the process of vision development s/he would act much as one would expect of a servant leader (Howell & Avolio 1992:45). And yet, if one compares these high standards with people proclaimed as charismatic leaders one wonders why so often the leader is only oriented toward followers' interests after the goals of the followers have been manipulated to line up with leader/company goals. Howell's distinction goes in the right direction, but does not go far enough. And, indeed, it would be dangerous to really think this through to the end. Who would remain as a truly socialised leader? Leaders have to function between demands from many sides, and not always can the demands of an organisation be easily reconciled with the expectations of followers—let alone with a leader's ethical responsibility toward society. What leader could expect to be able to make the right decision all the time? A Christian leader knows that in conflicting demands his/her first responsibility is toward God and God's purpose. This can mean that a Christian leader will not be able to promote a company's vision if this vision, for example, pursues success at the expense of the disadvantaged.

**Karl Kuhnert** was another one who wrote specifically about the moral state of transforming leaders (Kuhnert 1994). His context was using delegation as a means to develop people. He distinguishes three levels of leaders: the transactional operator, who can only evaluate situations in terms of gain or loss (and who therefore has problems developing followers), the team player, who is dependent on being accepted by the group s/he leads (and who is

therefore also limited in challenging people), and the truly transformational, “self-defining” leader, who can delegate to achieve “higher-order objectives”. These types of leaders also in his estimation correspond to three levels of moral development. Level 3 leaders might not always act on this “self-defining” level; what makes them transforming leaders is the fact that they *can* act on this level. With Kuhnert, similarly to Howell, one is on the one hand intrigued with the attempt to account for leadership actions in a positive way, “judging what is right or wrong in terms of balance and integration of conflicting individual, team, organizational, and societal interests”, and making decisions along “internal standards that are considered right or morally correct” (:20), looking for the “good of the group” (:23). However, when one considers the whole picture, one notices again, that this “good” has a very specific context, namely the achievement of organisational goals. The desire to develop people does not grow out of a respect for the dignity of a person, but rather is a result of market demands:

With fewer employees required to share greater work loads, many of these leaders have had to stretch the capacity of their human resources to keep pace with rapid changes in the market. To address these ongoing changes and to capitalize on an organization’s human assets, leaders must continuously develop their people to higher levels of potential. (:10)

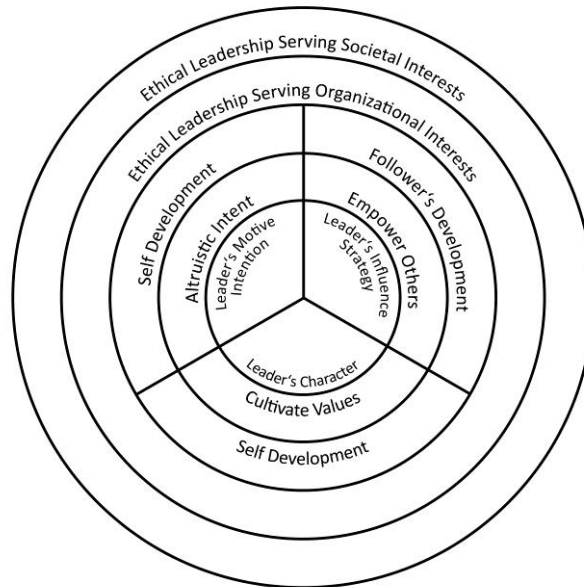
The self-defining leader is the one who is able to convince followers that what s/he develops them to is in their best long-term interest (:23). It is certainly right to help people grow and develop, but the same is true here which has been mentioned before: If this development is driven by the necessity of our day and age where organisational success can only be reached if one goes to the trouble of developing people, then such an intention behind “development” is morally rather questionable.

**Rabindra Kanungo and Manuel Mendonca** published their book *Ethical dimensions of leadership* (Kanungo & Mendonca 1996) two years after Kuhnert’s description, and in 1998 they published a summary of their thoughts in an article in the *Journal of Human Values* (Kanungo & Mendonca 1998). They take Kuhnert’s explanations to a new level. Ethical leadership, they say, needs to consider the influence strategy a leader employs, the motives behind it, and the leader’s character. In their understanding ethical leadership can only be understood on the basis of altruistic motives. Therefore, while they also consider the affiliation, power, and achievement motives of a leader (see section 5.3.2.2), in each of these areas they distinguish between ethical and unethical aspects. An ethical leader would be motivated by affiliative interest (as opposed to the need for affiliative assurance<sup>136</sup>), by an institutional power need (as opposed to personal power need), and by social achievement (as

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<sup>136</sup> Kuhnert’s team player, in contrast, would fit the description of a person with a high need of affiliative assurance.

opposed to personal achievement). Ethical leaders would use altruistic transformational influence strategies like empowerment instead of egotistic transactional influence strategies, and they would continually work on the development of their own character.



**Figure 13: Ethical Leadership in three dimensions according to Kanungo and Mendonca (1998:137)**

In their model it is noteworthy that they include societal interests, and one would expect that they develop this thought further, explaining what these societal interests consist of. However, this is the point where they, lamentably, are as vague as other proponents of TRANSFORMATIONAL LEADERSHIP—an unfortunate shortcoming, because if one does not specify the context in which one defines something as “good” or “bad”, ethical pronouncements tend to become rather meaningless shells. In their case, as has been seen with others, the organisation’s values and vision are adopted without any critical reflection as to their validity and ethical content. Leaders who do not pursue their own interest, but rather the interests of the organisation, are considered ethical leaders. Their role toward followers is then to be a model for identification, comparable to a benevolent parent.

The followers identify with the leader because of their concern that failure to do so would cause them to be detached or disconnected from the leader’s trust and nurturance that constitute the basis of their self-growth or development. [...] The child imitates the parents because they are perceived to be the epitome of all that is good and wise. Furthermore, as discussed previously, the internalization process fostered by the empowerment strategy allows for a free choice by followers to subscribe to the leader’s vision, values, and goals and to adopt the related norms and behaviors. In fact, the whole point of the empowerment strategy is to enhance the followers’ self-efficacy beliefs, which then become the foundation for their self-growth and functioning as autonomous persons. (Kanungo & Mendonca 1996:69)

From a Christian ethical perspective, while the leader indeed is expected to be a model, binding the followers' self-perception to a leader in such an unquestioning way cannot be called ethical behaviour. Rather, a Christian leader needs to be concerned with the growth of followers toward becoming mature in their own judgements of whether something corresponds to God's principles (Rom 12:2) instead of just—for fear of losing the leader's approval—identifying with the vision the leader proclaims. While in their writing the *menschenbild* proclaimed speaks of the dignity of a person, of their right to grow, the relationship which they then promote for this process of growth is one where the dignity of the person is replaced again by dependence on the benevolent and wise leader.

There are other questions which remain unanswered: Does the “free choice” of the followers also include the choice to *not* internalise the organisation's vision as *the* truth? And the even more fundamental question: Who defines the organisation's vision? Keeley (1995)<sup>137</sup>—quoting Madison—is very direct in his critique that what looks very “empowering” in fact is a farce, because it is still the powerful ones that make decisions and impose what they consider the “common good” on others (:77). If the system boundaries for an organisation are drawn narrowly enough, then a company can easily define their goals as “right” and “good”. In this case, TRANSFORMATIONAL LEADERSHIP could definitely be defined as “good” also, if it helps a leader to reach these “good” goals—the distinction between a socialised and a personalised leader becomes all too easy.

Another aspect should also not be forgotten: It is certainly important to apply ethical standards to the practical questions leadership is confronted with. However, as has been explained in section 2.3.2, questions in the area of applied ethics are only the last step of an evaluation process. It would be shortsighted if one did not take into consideration the normative assumptions and the basic philosophical or theological perspective from which a person applies these ethical evaluations. Ignoring them will not prevent one's conclusion from being subject to the same kind of fallacies the underlying theory is prone to. Kanungo and Mendonca base their demands for ethical leadership (as the only way to effective leadership) on the premise that “the values inherent in the choice of ‘others before myself’ or ‘moral altruism’ are universal and form part of the heritage of all cultures” (Kanungo & Mendonca 1998:138). In terms of their meta-ethical position, this is clearly a stand built on the moral sense school—which means that they also need to consider the weak point the founders of this school have pointed to: Even if altruism were a value in all societies, for what reason should an individual (or an in-group in the case of a collectivistic society) pursue this value if it was clear that this would lead to a decrease of his/her (or the group's) happiness?

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<sup>137</sup> This article also appeared as a chapter in Ciulla (2004a).

Where would the motivation for such an action come from? Representatives of the moral sense school would again point to the inherent sense of disinterested benevolence which is (besides self-interest) also part of human beings, and which needs to be strengthened through character formation. Kanungo and Mendonca follow Blanchard and Peale's suggestion of strengthening these altruistic notions through continuous self-transformation of a leader by tapping the "sources of ethical power" (:143), which are purpose, prudence, (healthy) pride, patience, persistence, and perspective. While in theory this sounds conclusive, remembering the gross unethical behaviour of leaders which has led to so many economic and political disasters over the last years leaves a nagging suspicion that somehow there still seems to be something missing in the equation. Keeley, referring to the "common complaint [...] that many of our organizations are going to ruin because those in charge have let private interests (their own included) run amok" (Keeley 1995:68), comes to the conclusion that "it's difficult, in theory, to get from selfish public and corporate officials to selfless transformational leadership—perhaps even harder, in practice" (:78). The inclination to altruistic behaviour might not be as strong as Kanungo and Mendonca would like it to be. After all, the overwhelming evidence around us points to the fact that a *menschenbild* which considers human beings in general of the same moral calibre as Mother Theresa or Ghandhi will not be able to pass a reality check. The whole ethical discussion around TRANSFORMATIONAL LEADERSHIP would gain credibility and depth if it was led on a foundation more attuned to reality. From the point of view of Christian virtue ethics and a *menschenbild* which counts on the *imago Dei* inherent in human beings, one can certainly agree to the supposition that there is great potential in human beings. However, the fallenness of human nature and the necessity of redemption will put serious limitations on humans' ability for self-transformation. Rather, Christian virtue ethics counts on the transforming work of God's Spirit in the life of a person as the foundation for ongoing character formation.

### **5.3. The dark side of TRANSFORMATIONAL LEADERSHIP**

In this section the connection between CHARISMATIC LEADERSHIP and TRANSFORMATIONAL LEADERSHIP will become especially obvious. It has been mentioned before that it is the charismatic element of TRANSFORMATIONAL LEADERSHIP which is particularly prone to misuse, because of the strong emotional element which is part of any charismatic relationship (Kellerman 2002c:83; Hollander 1993:42). And people critiquing TRANSFORMATIONAL LEADERSHIP most often do not make a distinction between the two.

Critics have accused the followers of the charismatic/transformational school of thought of uncritically portraying only the positive elements and effects of the model. One reason for this very positive view is certainly found in Burns' conviction that truly TRANSFORMING

LEADERSHIP automatically is concerned with the well-being of others—in its very essence it is moral and good. Felfe gives another reason for the generally positive portrayal of TRANSFORMATIONAL LEADERSHIP: He considers it important to have a positive definition of something, not with the intention to exclude the negative side effects, but to make sure that the model would not be reduced to these negative elements (Felfe 2005:49),<sup>138</sup> and also to make a delineation from negative effects possible. But the most important reason for the nearly exclusively positive picture is found in the measuring instruments for TRANSFORMATIONAL LEADERSHIP, which only measure how much of the positive effects can be perceived in a leader and exclude things like conformity, subservience to authority, loss of critical reflection, or development of dependencies (:67). Even strong proponents of TRANSFORMATIONAL LEADERSHIP like Hunt and Conger are aware that “the normative bias of certain models precludes the possibility that there are tradeoffs inherent in any leadership form” (Hunt & Conger 1999:341). Such an approach, they warn, would not portray reality correctly. Bass’ distinction between authentic transformational and pseudotransformational leaders was one attempt to bring a balance into the discussion. Howell’s distinction between socialised and personalised charisma was another.

The question which faces anyone, who wants to investigate possible dark sides is: How does one define “negative”? Bryman (1993:54) for example considers Howell’s distinction valid, but still not particularly useful, since most leaders would find themselves somewhere on a continuum between the two extremes—which renders such extremes rather useless as distinguishing elements. For Sternberg and Vroom (2002:306) it is important that not every bad transformational leader can be automatically classified as pseudotransformational. Sometimes leaders effect transformation for the worse simply because they lack wisdom, not necessarily because their moral orientation is bad. “Bad” leadership in the context of this dissertation, which is concerned with ethical aspects of leadership does not refer to a lack of leadership skills, but to a faulty moral foundation.

There are different ways in which one could approach an investigation of the dark side of TRANSFORMATIONAL LEADERSHIP.

**Evaluate leader behaviour.** Even Bass, who was instrumental in developing the questionnaires which measure behaviour of transformational leaders, admits that it is difficult to distinguish between the good and the bad by observing behaviour, since “you do not know exactly what people’s intent is” (Bass in Hooijberg & Choi 2000:298). Elsewhere the danger of

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<sup>138</sup> Original: “Es ist eine positive Definition erforderlich, um eine Abgrenzung gegenüber negativen Formen zu ermöglichen: d.h. Pseudocharismatikern, die Abhängigkeit erzeugen, persönliche Macht in den Vordergrund stellen und polarisieren. Damit sollen kritische Betrachtungen nicht außen vor gehalten werden, sondern es soll verhindert werden, dass das Konzept auf seine Risiken reduziert wird.” (Felfe 2005:49)

confusing *perception* of behaviour with the actual behaviour has already been mentioned. Chemers points to the fact that there can be great inconsistencies between the two (Chemers 1997:154). The media and image management, Chemers explains, can distort an image in this area—until it may be too late, as can be observed, for example, with destructive political or cult leaders. Kanungo and Mendonca (1996:69) talk about the difference between morally good leaders using empowerment and morally bad leaders using coercive means in their interactions with staff/followers. But even this distinction is not too helpful. Bass concedes that even “authentic transformational leaders may have to be manipulative at times for what they judge to be the common good” (Bass & Steidlmeier 1999:187).<sup>139</sup> And elsewhere the fact has been mentioned that even “good” methods like empowerment can be used for manipulation.

**Evaluate the consequences for followers.** There are two possible problems if one wants to define good and bad in terms of the consequences for followers. Leader decisions often have good *and* bad consequences. Erickson, Shaw and Agabe (2007:28) have drawn attention to the difference between what is *defined* as morally bad leadership and what followers actually *perceive* as bad leadership. Followers might judge consequences for themselves on very different grounds. And as for the leader’s perception, Burns says that even “the most crass, favor-swapping politician can point to the followers he helps or satisfies” (Burns [1978] 2005:426).

**Evaluate the relationship between leader and followers.** This is what people who approach the question from a psychoanalytical angle generally focus on (see section 4.4.1.3). Or more exactly: they focus on the followers, explaining the development of a charismatic relationship from the followers’ early life experiences, how these have shaped their unconscious, and how through transference and regression followers project their own ego-ideal onto the leader and ease the pain of disappointments in earlier life. The leader’s role in this game is played out through counter-transference, when the “leader transfers to the followers ‘the wishes and feelings from people in his own past life’” (Bryman 1993:38, quoting Abse and Ulman). Even though the psychoanalytic approach is prone to a rather negative evaluation, and even though one might not agree with all its assertions, it is valid to listen to these concerns. Kellerman (2002c:81) at least concedes that “some persons, under some circumstances, experience the need, or wish, to look up. This individual or personal need is more likely to be satisfied by transforming leaders, than by transactional ones”. Especially

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<sup>139</sup> Bass is not very consistent in this regard. The quote above seems to indicate that at times the end would justify even questionable means, whereas in another article around the same time he demands that both ends *and* means have to be moral (Bass 1999:549).

emotionally charged relationships like the charismatic ones are then prone to become a breeding ground for immature relationships which can “lead to ‘elevation’ or disaster” (:83). Neuberger, whose argument will be given more detailed consideration in section 5.3.4, is one example for this approach.

**Evaluate the value system behind an approach.** In section 2.3.5 the interwovenness of world view, *menschenbild*, character, and intention of a person has been explained. TRANSFORMATIONAL LEADERSHIP appeals to intrinsic values of a leader. In such a case, if one wants to investigate the moral content of the model, one also has to look behind actions and outcomes and consider the value system which shapes it. An action can only be as morally right as the person doing it. Greenleaf’s stress on character within SERVANT LEADERSHIP may be a result of him being aware of the danger in any leadership situation: Leaders, he claims, always manipulate in a way. Even if they are open about the goals of their leadership relationship, they will always also be guided by “intuitive insight which cannot be fully explained” (Greenleaf 1991:138). It is therefore crucial to consider the whole person in one’s evaluation.

But it is not only the individual’s value system which is of importance. It has been alluded to several times that the value system of the organisation and of leadership models also needs to be questioned. Hollander (1993:42) challenges people to always ask the question “leadership toward what ends?” He refers this to the charismatic leader’s value system. However, for a truly comprehensive ethical evaluation, the same question needs to be put to an organisation’s or a leadership model’s goals. This is where TRANSFORMATIONAL LEADERSHIP falls short when they classify unethical leaders as the ones benefitting themselves, and ethical leaders as the ones benefitting the institution. The basic assumption then is: The goals of the organisation are morally good. Based on such grounds one can reach a conclusion like the one which Zaleznik and Kets de Vries report of a former president of General Motors: “Charles Wilson, asserted that what was right for General Motors was right for the country; so, by definition, the corporation could not act unethically” (1985:254). On the same grounds, one will accept unquestioningly the moral validity of TRANSFORMATIONAL LEADERSHIP’s desire to “maximize the return on HR capital” (Atwater & Atwater 1994:146–147).<sup>140</sup>

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<sup>140</sup> Stephens, D’Intino and Victor (1995) criticise these aspects from an interesting angle: They accuse TRANSFORMATIONAL LEADERSHIP of violating the moral codes of organisational development. The fact that a leader even sees a need to transform the value system of a follower shows that there must be a conflict of values. Organisational development asks for resolution of value conflicts. But if the leader’s or the organisation’s values are automatically taken as the superior ones and a leader considers it his/her right to transform the inferior value system of the follower no such resolution happens—neither would a true resolution of value conflicts be deemed necessary any more because “such transformation presumes that employees’ values, like employees’ labor, are rightfully the property of the organization” (Stephens, D’Intino & Victor 1995:125). Their line of argument, however, will not be followed further. Even though their approach from the side of organisational development is unique, their main points are very similar to those of the other authors considered.



Although this dissertation's main focus is the leader/follower relationship, at least these other areas of concern have to be mentioned.

### 5.3.1. Pseudotransformational/inauthentic leadership

It has been mentioned before that for Bass, during the early times of TRANSFORMATIONAL LEADERSHIP, “transformational” was neutral: What counted was the result, and if necessary, the end justified the means. This resulted in strong reactions from other leadership scholars. What about dictators or other obviously charismatic leaders effecting immense transformation, but, in the process, destroying the lives of many? Could such leaders really be called transformational? As has been shown, for Burns, this would not be an option, since his theory of TRANSFORMING LEADERSHIP could not be separated from moral considerations (Burns [1978] 2005:426; see also section 3.4.1, page 95). But another underlying question in such discussions—even for people who would not necessarily share Burns' strong insistence on TRANSFORMING LEADERSHIP as moral leadership—logically is: How could a leadership model be promoted which could be equally applied to such leaders as Hitler or Jim Jones?

In the introduction to the book *Transforming Leadership*, Bass explained how after intense discussions during a meeting of leadership scholars concerned with TRANSFORMING/TRANSFORMATIONAL LEADERSHIP in the late 1980s, they followed Burns' suggestion that only moral leadership deserved the title “leadership”, other names (like tyrant, or despot) should be used for immoral leaders (Bass & Riggio 2006:viii). During the same meeting Bass developed further the distinction between transformational and pseudotransformational (or later: authentic and inauthentic) leadership, with pseudotransformational leadership indicating “leadership that *looked like* authentic transformational leadership but was immoral in either means, ends, or both” (Bass 1999:549). Shortly afterwards Howell introduced the distinction between “socialised” (i.e. concerned with the common good) and “personalised” (i.e. concerned with their own good) charismatic leaders. Bass refers to her distinction in his definition of good and bad transformational leaders (Bass & Riggio 2006:13–14; see also section 5.2.2, page 141), and he points out that inauthentic leaders can often be identified by the missing element of Individualised Consideration for their subordinates. This corresponds with Howell's findings that an ethical charismatic leader—apart from encouraging independent thinking and critical feedback by followers—would invest his/her energy into developing followers to leaders (Howell & Avolio 1992:45).

To this day, there is great overlap between these concepts and an inconsistency in the use of terms denoting “good” and “bad” leadership. Figure 14 gives an overview of the

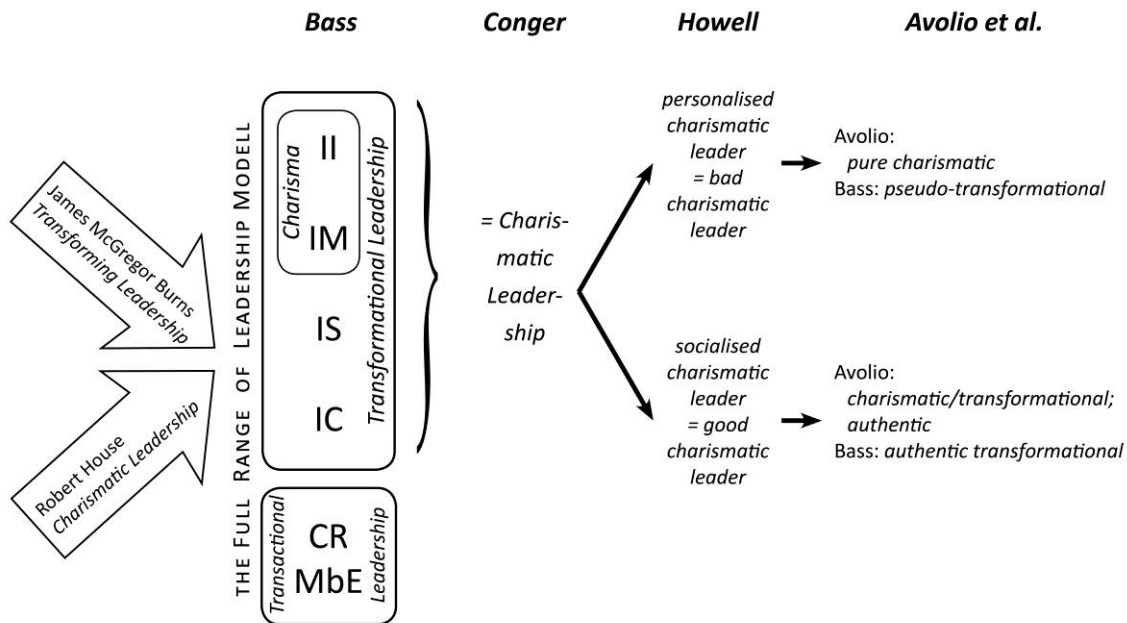


Figure 14: CHARISMATIC LEADERSHIP – changing terminology

development of the terms in use.<sup>141</sup> This can only be a very rough and imprecise overview—Conger and Kanungo can in reality not be equalled with Bass’ TRANSFORMATIONAL LEADERSHIP. But it still can give an indication of the use of the terms in the literature.

Even though they use different terms, the basic understanding is the same: “Authentic charismatic/transformational leaders must be socialized leaders” (Bass & Riggio 2006:13). But for many critics this distinction is not enough. Neuberger and Tourish for example see the basic problem of TRANSFORMATIONAL LEADERSHIP not in the definition and use of terms but on a deeper level.

### 5.3.2. TRANSFORMATIONAL LEADERSHIP—leadership model or ideology?

Neuberger (2002:63)<sup>142</sup> explains what he considers defining elements of an ideology: Ideologies are constructs which are intentionally designed to justify one’s understanding of reality. They share certain characteristics (:58):

- Simplification of interrelations—simplified one-serves-all solutions;
- Pleasing appearance diverts from true intentions;
- Inappropriate claims (e.g. calling something “true” instead of “advantageous”);
- Own interests are declared identical with general interest;
- Demand for identification, rejection of critique;
- Alleged “insight” leads to immediate action.

<sup>141</sup> Trice and Beyer have not been considered in this chart, since they would not consider their approach to charisma as part of what Bryman called the “New Leadership” paradigm.

<sup>142</sup> Original: “Die folgenden Funktionen von Ideologien scheinen mir wichtig, wobei ich noch einmal in Erinnerung rufen möchte, dass ich unter Ideologie zusammenhängende, auf die Wirklichkeit bezogene Überzeugungen verstehe, die in Rechtfertigungsabsicht produziert wurden.” (Neuberger 2002:63)

Neuberger actually goes so far as to say that any legitimisation of leadership is inevitably of an ideological nature, because any other claim would presume that one could “discern and express the pure truth” (:61). The necessity of leadership, however, cannot be truthfully proven. Rather, one only reveals one’s convictions by accepting a certain legitimation as opposed to another. To minimise the danger of ideologising leadership one should admit that it is a social construct and not an inevitable natural phenomenon.

So it cannot be claimed objectively that leadership is indispensable. Apart from its coordinating, motivating and controlling functions, leadership as a social construct always has the function to secure power or dominance [...] The above mentioned explanatory approaches have to be declared as ideologies only because, and as far as, leadership’s function as instrument of domination and exploitation is concealed. Leadership then is not an essential construct, rather it is motivated by practical considerations related to economics and power. (:62–63)<sup>143</sup>

Charismatic leadership portrays its vision only from a positive point of view—Conger himself made this very clear (Conger 1999:154; see section 4.4.1.2)—and clearly fulfills in this aspect Neuberger’s criteria for being an ideology: “...one-sidedness, tuning out or covering contradictions while at the same time uncritically romanticising possible advantages” (Neuberger 2002:210).<sup>144</sup> According to Neuberger, the one-sidedness shows for example in the missing examination of possible misuse of the method. Or in the exaggerated emphasis put on the satisfaction which comes with full personal commitment—without spelling out the cost for this total commitment: missing time for leisure, for relationships, for family or creativity. And even less is one inclined to face the paradox that “within business quasi-familial affective relationships are being evoked, while at the same time outside of it, the model for these relationships is being eliminated by the very dynamics of market economy” (:210).<sup>145</sup> By this, Neuberger claims, the charismatic/transformational model loses its credibility, because “there is no true relationship amidst false ones” (:210).

Tourish (2013:30) approaches the question by comparing elements of TRANSFORMATIONAL LEADERSHIP with typical behaviour found in cults. Like Neuberger, he would not generally

<sup>143</sup> Original: “Diese Überlegungen sollen unterstreichen, dass die Unverzichtbarkeit von Führung mit *sachlichen* Gründen nicht vertreten werden kann. Führung hat neben der Sach-Funktion der Koordination, Motivation, Kontrolle immer auch – weil sie ein soziales Konstrukt ist – die Funktion der Macht- oder Herrschaftssicherung [...]. Nur weil und insoweit die Herrschafts- und Ausbeutungsfunktion von Führung verschwiegen wird, kann bei den oben angeführten Erklärungsansätzen von Ideologien geredet werden. Führung ist also keine notwendige Einrichtung, sondern bloß eine ökonomisch sinnvolle oder herrschaftstechnisch praktikable.” (Neuberger 2002:62–63)

<sup>144</sup> Original: “...Ein-Seitigkeit, das Ausblenden oder Kaschieren von Widersprüchen, das mit einem unkritischen Verklären von möglichen Vorteilen einhergeht...” (Neuberger 2002:210)

<sup>145</sup> Original: “Wie ernst ist es zu nehmen, wenn im Unternehmen quasi-familiale affektive Beziehung [sic] beschworen werden und gleichzeitig draußen das Modell für diese Beziehung gerade durch die Dynamik der Marktwirtschaft eliminiert wird? Adorno paraphrasierend: Es gibt keine wahre Beziehung inmitten der falschen.” (Neuberger 2002:210)

accuse TRANSFORMATIONAL LEADERSHIP of being cultlike, but he clearly points to the danger inherent in the model of inviting cultlike behaviour. Beyer does not go as far as accusing neo-charismatic leadership models of being of an ideological nature, but she also severely criticises their closeness to cults in creating an in-group feeling by uniting in the perception of a common enemy (Beyer 1999a:321). Another interesting critique is the one Reimer (2010) describes: Vladislav Tarassenko, a Russian leadership scholar, compares Steven Covey's bestseller about highly effective people (Covey 2004) with his own experiences in Soviet Russia. This is not a comparison specifically geared at TRANSFORMATIONAL LEADERSHIP as a specific model, yet the complaints he has about the areas where he considers Covey's suggestions as bordering on ideological behaviour (for example in its universalistic claim; Reimer 2010:639) can easily be paralleled with the methods promoted by TRANSFORMATIONAL LEADERSHIP.

### **5.3.2.1. The role of vision**

Vision is a central concept in all leadership theories which are in any way connected to CHARISMATIC or TRANSFORMATIONAL LEADERSHIP. It will not be possible in this short excursus to cover this topic adequately. The purpose of this section is merely to highlight some of the ethical challenges related to the concept of vision.

Vision has to do with imagining, with creating pictures in the minds of leader and follower, "images that excite people" (Zaleznik 1977:72). As to the content of this vision, leadership scholars have differing ideas. Conger and Kanungo, as explained previously, see the need for the vision to be radically different from the status quo (Conger & Kanungo 1989a:82), and the more the vision would divert from the status quo the better the chances for creating excitement among followers. Others, like Heifetz (2000:24), feel that to make it more than a dream, "a vision must track the contours of reality". These differing definitions can partly be explained by their proponents' stress on the different effects of visions. Boal and Hooijberg (2000:527) explain that visions have cognitive and affective components, with the cognitive component addressing the practical question of reaching a goal, and the affective component impacting the values of the follower and thus producing motivation and commitment. This last point is taken up by Hybels, who in the field of Christian leadership considers vision "the fuel that leaders run on, [...] the energy that creates action" (Hybels 2002:31). For him true leadership within a Christian context is not possible without a clear vision of the future, since vision is what motivates people into action.<sup>146</sup>

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<sup>146</sup> Kessler describes how the concept of vision took root within Christian leadership parallel to the developments in secular management literature: Even though in Biblical accounts "vision" always had to do with divine revelation, on the basis of a mistranslation of Proverbs 29:18 in the King James Version ("Where there is no *vision*, the people perish"—the Hebrew original talks about prophetic revelation in

Parallel to the differing content of the vision, the process of how a leader develops the vision is described: either as the leader conceiving of a radically new idea (as Conger would suggest) and convincing others to follow this idea, or as the leader collecting ideas in communication with the followers and incorporating them into a new vision. A good leader in this case notices opportunities that present themselves in the interaction with followers. This process would be one in which Kiechel (1995:125) could see a reconciliation of the servant leader and the visionary leader: The servant leader as one who listens to others with the desire to help them live their vision will let his/her own vision be challenged and revised by the contributions of followers.<sup>147</sup> But apart from using opportunities, a leader will *create* opportunities useful for developing the vision (Sashkin 1989:127).

*What* a vision is<sup>148</sup> seems easier to describe than *how* the vision actually works to achieve this.<sup>149</sup> Beyer, consistent with her approach, is convinced that for a vision to be attractive, there has to be a crisis situation; Boal and Bryson (1988:16ff), while by no means negating the role of crisis, yet do not limit the effect of vision to crisis situations. Rather, they feel that by addressing inherent values of the followers a vision is not dependent on a crisis situation to be attractive. The glimpse of a possible future, which a vision offers, helps people overcome the biggest hindrance to success: their own unbelief and hesitation (Tichy & Devanna 1986:142). Generally, there is consensus that the development of a vision is just the first step, effective communication of the vision is as important: “Charisma is a consequence of effective behavior expressed by leaders to communicate their visions” (Sashkin 1989:142). The result of such visionary leadership is a “transformational process that characterizes continuous improvement” (Kroeck 1994:178). In the case of the Wycliffe Global Alliance, the momentum which a sharpened vision can create could be observed in the impact “Vision 2025” had on the organisation: It instigated deep structural changes and influenced the value system of a whole organisation (see section 1.5.2).

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this instance) Christian leaders increasingly started to reconstruct the concept of vision for use in Christian leadership (Kessler 2013:4–7).

<sup>147</sup> Kim et al. would not share this opinion. They defined CHARISMATIC LEADERSHIP along three behavioural dimensions: vision-related behaviour, personal behaviour, and empowering behaviour. In a next step they compared current leadership models against their definition of CHARISMATIC LEADERSHIP. What distinguishes a servant leader from a charismatic leader is, in their estimation, the *lack* of vision-related behaviour (Kim, Dansereau & Kim 2002:147, 150ff).

<sup>148</sup> For example, “a picture of the future that produces passion” (Hybels 2002:32); “a deep dissatisfaction with current reality and a clear picture of *what could be*” (Stott 1988:133); a way to “travel ahead of [people] in your mind’s eye and see their future before they do” (Maxwell 1997:131).

<sup>149</sup> One does find poetic explanations of how a vision works, for example: “Vision is like a magnifying glass which creates focus, a bridge which takes us from the present to the future, a target that beckons” (Ford 1991:100), or comparing the vision to the spark that “puts the match to the fuel that most people carry around in their hearts and yearn to have ignited” (Hybels 2002:46). However, the focus here is actual investigation of the processes through which these poetic descriptions can happen.

A vision is a powerful instrument in the hands of a leader, even though it is not a panacea (Bryman 1993:150). Far more often than the rosy picture in the literature would suggest, inappropriate visions which were nevertheless fervently, if not obsessively, pursued contributed to organisational disaster; the reason being that “a preoccupation with a vision may engender a loss of grip on other aspects of organizational reality” (:152). But it is not just organisational failure which is at stake, but equally ethical failure. Considering ethical aspects relating to vision, two points shall guide the discussion:

**Content of the vision.** According to Blanchard et al., “a clear vision has four aspects: purpose, values, image, and goals” (Blanchard, Hybels & Hodges 2001:122). Each of these aspects is deeply intertwined with ethical questions. So it is really surprising that in the literature there is so little reference to ethical aspects of vision building. There are numerous discussions on how to build a vision, and there is the demand to not just dream up a vision, but rather give it careful consideration, to reflect not only on personal strengths and weaknesses, but also on the whole system (Mumford & Strange 2002:138),<sup>150</sup> to make sure that the vision is “in tune with the times” (Bryman 1993:150). The underlying assumption in all of this is: A vision needs to be successful! A true statement. However, the difficulty of defining what this “whole system” constitutes, and the danger of organisations to ignore their responsibility in the wider system (as introduced in section 2.3.5 in Figure 5) has been mentioned. If one tacitly accepts the success of the organisation as the unchallengeable goal, one is in great danger of compromising one’s integrity by sharing in this inadequate perception of ethical responsibility. In contrast to this, a Christian leader is called in the midst of considerations for the success of the organisation, to not lose sight of God’s concern for the disadvantaged and marginalised and question the validity of an organisational vision against God’s value system. Keeping these aspects in mind will help the leader to avoid the trap Neuberger mentioned of a one-sided portrayal of the vision, only mentioning positive results without consideration for the side effects.

**Use of the vision.** Visioning is about “instilling new principles” (Bryman 2004:149)—again one has entered clearly the area of ethics. The question of *how* a leader employs the vision is determined by the *menschenbild* of the leader, by his/her character and, following from these, by the intention s/he has in interacting with the followers. Avolio mentions an industrial president’s remark that “the leader creates a vision that gives meaning to the employee’s job”

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<sup>150</sup> The person of the leader versus the system is important for Strange and Mumford (2002), in that they make a distinction between ideological leaders who are concerned with their personal goals, and charismatic leaders who use a vision for social good and the good of the system. They start with Howell’s socialised and personalised charismatic leaders, but then propose that each of these can appear in an ideological, charismatic, or mixed form.

(Avolio 1994:131). At the same time the charismatic leadership situation simplifies the process by which the individual becomes part of a collectivity (Shamir 1991b:93). These two aspects together carry a great risk to foster manipulative interactions and ongoing dependencies,<sup>151</sup> instead of helping people develop as mature characters. Furthermore, if a leader communicates with the followers concerning the development of the vision, s/he needs to ask him/herself, with what intention this communication takes place. Is it really to get input and feedback, or is this “communication” a pleasant way to make sure that people accept what the leader has decided anyway? Analogous to Ciulla’s bogus empowerment this could be denominated “bogus communication”—and would be just as degrading and disregarding of the dignity of human beings. A leader can choose whether s/he wants to include the followers in the process of developing the vision or not. But *if* they are included, an ethical leader will make sure it is out of respect for the followers and not for hidden self-serving motives.

This discussion does not in any way try to imply that visionary leaders have bad intentions. What it tries to stress, however, is the need to define ethical aspects and be aware of pitfalls. Scandals during the last years have shown that ethical aspects should not be taken for granted. They need to be brought into the discussion to make sure that leaders in general, and Christian leaders in particular, do not—even unwittingly—slide into a situation where they compromise their ethical convictions and character.

### **5.3.2.2. The role of motivation**

Motivation is a key concept in any leadership theory and has been on leadership scholars’ minds for a long time, even though they had different perceptions as to the importance and role of motivation. Whereas recent scholars consider motivation a key task of leadership (e.g. “Inspirational Motivation” as one of the defining elements of TRANSFORMATIONAL LEADERSHIP), McGregor as one who was concerned with this concept more than 20 years before the birth of the new leadership paradigms, considers it a leader’s task to prevent *demotivation*. In his view a leader did not need to motivate people, because they are self-motivated: Being motivated is a mark of being alive (McGregor in Kessler 2004:157). Another one of the early theorists concerned with questions of motivation was Herzberg. But he also did not study methods of motivation. Rather, he considered it a leader’s task to prepare the work situation in such a way that job satisfaction could be achieved and job dissatisfaction avoided. These were not opposites for him but two distinct goals, the former being influenced by what he called “motivator factors” (intrinsic to the work itself), the latter by “hygiene factors” (extrinsic to

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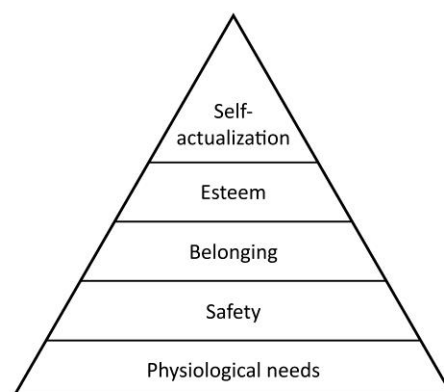
<sup>151</sup> This kind of dependency is not to be confused with what Heifetz defined as a natural “waxing and waning” of dependencies in leadership situations (Heifetz 2000:247), i.e. a leader being a dependable source of strength and support for staff—a process this writer would rather term interdependence to indicate the interaction between two or more mutually mature and respected parties.

the work, i.e. the work environment). Together they would contribute to motivated staff (Herzberg 1968:57).<sup>152</sup>

In recent years the connection between leadership and motivation has become a more explicit concern for empirical studies (see Ilies, Judge & Wagner 2006:3 for an overview). In 1972, Fiedler used the motif of motivation to account for discrepancies in research results for the “LPC”-scale (Chemers 1997:34), and a few years later, with the self-concept based approaches which had developed following House’s CHARISMATIC LEADERSHIP, motivational processes were firmly implanted in leadership theories, and motivation played an ever increasing role. Bono and Ilies (2006:321) explain, based on results by mood-theorists, why motivation “functions” in a leader-follower relationship: Human beings like to feel good, so they turn to leaders who express positive emotions and who can—through mood contagion—maintain the positive affective state of a follower.

Leadership research lately has started to investigate these processes in more detail to make them fruitful for leaders. The concern for this dissertation’s consideration about motivation, however, is not the details of motivational processes. Motivation reaches into the depth of a person’s identity, being fuelled by someone’s value system. This is an area again with deep ethical implications. So studying motivation, the focus cannot be only on how the research results help leaders to motivate others more effectively, but one also needs to consider whether the methods applied can bear ethical scrutiny.

Two people need to be mentioned in more detail in this discussion, since much of the research is based on their findings:



**Figure 15: Hierarchy of needs according to Maslow**

**Abraham Maslow.** He was a psychologist who is best known for the hierarchy of needs he defined (Maslow 1943), most often portrayed as a pyramid. Maslow linked needs and

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<sup>152</sup> Hofstede and Hofstede (2005:264ff) point to the fact that the value system underlying both McGregor’s and Herzberg’s respective theories is based on the strong individualistic and masculine outlook of US culture. In other cultures the distinction between hygiene (=extrinsic) and motivator (=intrinsic) factors could not be drawn along the same lines.



motivation in a person's life. His basic claim was that lower needs needed to be fulfilled before a person would think about higher needs. It has been referred to already in section 3.2.1 that starting with SITUATIONAL LEADERSHIP, leadership researchers would frequently explain their models with reference to Maslow's hierarchy. One can easily see that this is an important factor in theories which have such a strong focus on providing meaning for followers.

**David McClelland.** While Maslow's model gave a basic and intuitive explanation for why followers would respond to a transformational leader, McClelland's theory of motivation (2009:221ff) gave leadership researchers a more detailed framework to consider motivational processes. McClelland distinguishes three types of motives for action: the need for achievement, for affiliation, and for power.<sup>153</sup> With this distinction researchers could investigate leader motivation as well as follower motivation. Kanungo and Mendonca, for example, use a finer distinction of McClelland's need for affiliation to explain the altruism motive which plays such an important role in their theory of ethical leadership (Kanungo & Mendonca 1998:138).

Apart from frequent general references to McClelland, one finds empirical studies specifically concerned with relating McClelland's categories to CHARISMATIC LEADERSHIP: De Hoogh, Den Hartog and Koopman et al. (2005) investigated what effect the three foundational motives of power, affiliation, and achievement have in CHARISMATIC LEADERSHIP. And Choi (2006) looked at what kind of behaviour would trigger which kind of need in a follower. He related CHARISMATIC LEADERSHIP's main components envisioning, empathy, and empowerment to followers' achievement, affiliation, and power needs respectively.

McClelland's theory is one of the ways to explain *what* triggers motivation.<sup>154</sup> Another field needing consideration is *how* motivation works in a person. In this, leadership researchers support differing opinions. House, Woycke and Fodor (1989:101) claimed in an early study that TRANSACTIONAL LEADERSHIP motivated by addressing cognition and abilities in a follower, whereas CHARISMATIC LEADERSHIP would address the affective level (emotions and self-esteem) of a person. Others, like Bono and Ilies (2006:321, 331), agree in contributing a strong emotional effect to charismatic leadership behaviour, yet they would not restrict cognitive stimulation to TRANSACTIONAL LEADERSHIP. Rather, they claim that TRANSFORMATIONAL LEADERSHIP addresses both systems: The affective system would react to charisma, and the cognitive

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<sup>153</sup> In his book he also talks about the "Avoidance" motive (McClelland 2009:373ff), but the research generally only takes into account the above mentioned three motives.

<sup>154</sup> Barbuto (2005) finds the five-factor-scale of Leonard, Beauvais, and Scholl (intrinsic process motivation, instrumental motivation, self-concept-external motivation, self-concept-internal motivation, and goal internalisation motivation) more useful. However, because the ethical concerns in the end remain similar, a description of the most prevalent model was deemed sufficient.

system to the vision. For them motivation is the result of a chain of reactions starting with leader characteristics (like charisma, or vision articulation), which determine the influence processes a leader employs (emotional contagion, or goal setting). This affects the followers in certain ways (like triggering positive emotions, or improving self-efficacy and goal setting). And these effects in turn account for follower motivation (Ilies, Judge & Wagner 2006:6).

An affiliation motive can also be observed in Shamir's development of his self-concept based theory (see section 3.3.1.2). He felt that the motivational theories of his time were one-sided in their individualistic-hedonistic basis and that to be able to account for some of the success of new leadership theories one needed to understand that people defined themselves also as part of a collective—hence the stress in his theory of linking self-concept aspects to the organisation as a collective (Shamir 1991a). And while he is certainly right in his evaluation of the strong bias of Western cultural systems toward individualism and an accompanying neglect of wider moral obligations, yet his approach carries with it a great danger of misuse by binding followers' self-concept to the organisation in an unhealthy way (see section 5.3.4).

But it is not just from a cultural viewpoint that questions need to be raised. It has been mentioned already that from a Christian ethical point of view the aspects of intention, character and *menschenbild* come into play again.

In the context of this dissertation, intention is used as the concept describing a leader's motivation in his/her actions toward followers. Knowing about the strong emotional effect charismatic/transformational behaviour has on followers, leaders need to be alert so as not to let their own need for power, affiliation, or achievement make them blind to the danger of using transformational methods for the sole purpose of being successful, without consideration of the ethical content of the goals pursued, as described in the previous section.

Similarly, a leader who is driven by the need for affiliation without being aware of it, will be limited in his/her ability to correctly assess situations and decide on appropriate measures if they would endanger the leader's positive perception by followers. For Christian leaders, as followers of Christ, it is therefore important that they be aware of their rootedness in the love God has toward them. This will give them the security and inner freedom needed to make even hard decisions, something which inappropriate dependency on the approval of followers would prevent. Followers' need for power or affiliation can lead them to ingratiate themselves to leaders in order to share in the power the leader has. If leaders are blinded by their own need for affiliation their ability to see through such unhealthy developments and their inclination to change them will be severely limited.

Because of the danger of misuse of motivational processes, Christian leaders will need to work on ongoing character development to be able to discern and withstand situations which would endanger the integrity of their character. They need to scrutinise their own motives in light of God's value system. Considering their followers as people bearing the *imago Dei* will serve as a strong corrective in this respect. A leader will not try to bind a follower's self-esteem to the organisation or to the leader's personality, rather s/he will encourage followers to find their true self in the same source where the leader's lay: in the love and acceptance of God. Aware of the dignity of the other, a leader will not be driven solely by Maslow's need for self-actualisation. Rather, this will be accompanied by a desire to see the other bearers of the *imago Dei* also develop and become the selves God intended them to be. A strong individualistic focus will thus change to a focus on community and developing as a community of character.

### **5.3.2.3. The role of Values**

Values are powerful constructs. They are (often subconscious) convictions which evoke strong emotional reactions. They have been at the core of devastating wars as well as of the most heroic acts of courage performed in humankind. Defining values is not an easy task, because even though they are such powerful motivators, they are often not conscious.

Burns distinguishes between end values (representing goals and standards), modal values (which guide conduct), and instrumental or intrinsic values (which contain both an end and the means to reach the end—Burns [1978] 2005:75). The moral development of a leader would show itself in the kind of values which drive the leader, with a truly transformational leader being “guided by near-universal ethical principles of justice such as equality of human rights and respect for individual dignity” (:42). Burns' principle of empowerment of followers rests on the role of values:

Leaders embrace values; values grip leaders. The stronger the value systems, the more strongly leaders can be empowered and the more deeply leaders can empower followers. The transformational dynamic that mutually empowers leaders and followers involves, as we have seen, wants and needs, motivation and creativity, conflict and power. But at its heart lie values. (Burns 2003:211)

Section 5.2.2 has already mentioned the tension one perceives when reading Bass as opposed to Burns because of the change in the value system. Burns built his model on a deep respect for the dignity, self-ownership and accountability of people and a leader's desire to help followers reach their goals. Bass claims to have developed TRANSFORMATIONAL LEADERSHIP building on the same foundation, but in the discussions around the methods of the Full Range

Leadership Model it becomes obvious many times that there is a higher value driving the model: the success of a leader.

Values are often subconscious, yet they reveal themselves in the choices and the actions of a person or an organisation. In terms of a leader's desire to shape the direction of an organisation, s/he needs to be aware of the limitations this implies: The value system of a person has been shaped by early life experiences and the example of the family and the community. If a leader wants to change this value system, the most powerful tool for this is the leader's personal example, because values cannot just be mandated by the leader, they need to be agreed upon (Blanchard, Hybels & Hodges 2001:82). The same is true as it concerns the shaping of the value system of a whole organisation. One can find impressive mission and core value statements in organisations, and yet, the reality seems to happen in a completely different realm. For "conscious-authentic leadership" it is very important to be aware of one's own value system: "In order to be true to one's values, there needs to be inherent knowledge and understanding of what one's core values really are" (Hofman 2008:22). These values are what shapes the "core ideology" of an organisation:

You do not create or set core ideology. [...] You understand it by looking inside. Ideology has to be authentic. You cannot fake it. Discovering core ideology is not an intellectual exercise. Do not ask, What core values should we hold? Ask instead, What core values do we truly and passionately hold?  
(Collins & Porras 1996:137)

Heifetz (2000) has been alluded to several times as one who explains the role of values in leadership extensively. Leadership, he says, is a normative concept and as such inextricably connected to values. Even how one chooses to define "leadership" often expresses values. He bemoans the fact that so often these values are introduced without being admitted. For example, if leadership is defined as having influence over someone else, one admits to influence as a foundational value to be pursued. If influence is not exposed as the underlying value in this case, means and ends could easily be confused. But the goal of leadership, for him, is not influence over others, rather, it is helping others deal with adaptive challenges, and influence would be only a means toward this end (:18).

A leader needs to become aware of his/her own values to be able to guide others through the process of formulating them. If values are explicated, it would become obvious, for example, where a certain situation would confront people with conflicting values, and the leader could help the followers to reconcile these conflicting values or at least make a decision as to their hierarchy (:22). Ultimately people would be enabled to develop responsibility—"the ability to respond" to a difficult situation (:86).

Defining leadership without resorting to value based concepts would also have an additional effect: it would facilitate the transfer of a concept into another culture which might follow a different value system, but where people still would need adaptive capacity to cope with challenges. In the literature, one can find lists of values that are claimed to be (near) universal (e.g. by Josephson, listed in Tatum 1995:311–312). However, even if people would agree to the same lists, how they would be ordered, and how the values (for example honesty) would be put into practice differs significantly among cultures (Schubert 2007:185).

TRANSFORMING and TRANSFORMATIONAL LEADERSHIP are described as value based leadership models. Burns talks about the function of a leader to *make followers conscious of their values*. But he warns of the danger inherent in this process. A leader should make sure that what s/he makes conscious are indeed follower needs and values and not his/her own ones. The methods of Bass' TRANSFORMATIONAL LEADERSHIP encourage leaders to look for ways to *find "a match between the values of the company and those of the individual, so that the individual is intrinsically motivated to alter his/her behaviour"* (Hagan & Moon, quoted in Kretzschmar 2002:367; emphasis EM). And Kark and Shamir (2002:72) explain how not just a match but a *transformation of followers' values* can happen with the help of TRANSFORMATIONAL LEADERSHIP: either through personal identification with the leader as a role model, or with social identification with the organisation.

There is quite a difference between raising the consciousness of someone's values as opposed to searching for ways to transform them. A Christian leader, being aware of the powerful function of values as guiding principles in a person's decisions and actions, will be alert to the dangers inherent in such a process. Character growth includes a transformation of values, but s/he will be wary of binding the person to a leader's or the organisation's value system in such an unquestioning and even normative way. Rather, just like leaders need to reflect on their own value system and let it be challenged by God's values (Rom 12:2), so they will encourage followers to do the same. Consciousness of values is crucial in a world and society which is so often guided by the values of greed and self-aggrandisement. Spending time to expose oneself to the contrasting value system Jesus presented in his life and teaching will help in this process of value transformation and character growth.

Kark and Shamir's suggestion can turn very quickly into manipulation. A leader whose *menschenbild* is shaped by respect of the *imago Dei* in the other person will be alert to the fine line between encouragement to change which respects the dignity of the other person, and manipulative encouragement to change, also called coercive persuasion. This possible misuse of power is a main concern in Tourish's critique of TRANSFORMATIONAL LEADERSHIP.

The question in this section was whether TRANSFORMATIONAL LEADERSHIP is a leadership model or rather an ideology. The above explanations show that this question cannot be

answered conclusively. Because, as Tourish observes, “the core defining traits of transformational leadership have the potential to move organizations further along the cult continuum than is desirable” (Tourish 2013:31), it is the person of the leader, his/her character, *menschenbild* and intentions toward others, which ultimately determine whether the methods offered will be used in an ethically helpful or damaging way.

### 5.3.3. Tourish and the question of power

Dennis Tourish currently is Professor of Leadership and Organisation Studies in a London university. He has been studying how people influence each other both out of a professional interest, but also because of his personal background of growing up in Northern Ireland during a time when he could observe how leadership was exercised in “both functional and dysfunctional contexts” (:12). How could “normal” people be induced to follow dysfunctional leaders in cultlike obedience? His focus therefore is not the question of effectiveness as in most of the newer leadership paradigms, but rather an alertness to possible misuse of a leadership position and the motivational processes associated with it—especially as they relate to the use of power.

McClelland’s concept of power as a motivational factor has been mentioned. He distinguished two types of power: personalised power, which is interested in personal gain, and socialised power which strives to use the power for the benefit of others. Socialised power is the result of power moderated by “activity inhibition”, meaning a restraint within the person to freely and impulsively exercise the power one has (McClelland 2009:298; McClelland & Burnham 2003:121). In contrast, people with a high power motivation and missing or low activity inhibition would use any opportunity presenting itself to exercise their power. A good manager would be one with a moderate to high need for power combined with a low need for affiliation and high activity inhibition (Howell 1989:217–218). Reading this, one is strongly reminded of Howell’s socialised and personalised charismatic leader. And indeed, in her introduction of the concepts, high or low activity inhibition in relation to the power motive is one of the distinguishing factors between the two types of charisma she describes (:218–219; Hypothesis 1 and 2).

Power plays a crucial role in any social relationship, albeit it is a role fraught with possibilities of abuse, and this danger is often exacerbated in leadership relationships—no wonder there is this growing interest in the relationship between leadership and ethics (Yukl 2006:418). “As authority figures, leaders reactivate lingering dependency needs and often act in such a way as to help create and maintain these illusions” (Kets de Vries 1989:245). In distressing situations it is a natural reaction to welcome a leader willing to share one’s burden and relieve the stress (Heifetz 2000:72), and especially at the beginning of such a

process, charisma can be very helpful for a leader. But it would be the leader's task to lead followers beyond this phase of immediate stress and dependency and help them enhance their capacity to adapt in a situation.

The pitfall of charisma, however, is unresolved dependency. People can fail to move on, to discover their own "magic," their own capacity for responsibility. They may not grow to realize their capability for self-governance. Rather than establish new norms, understandings, and authorizing structures, they may focus their sights and energies on the single charismatic individual. No one else can compare to him. The charismatic and his constituents develop a relationship in which promises insulate against the distress of facing problems. For the charismatic, it feels good to be idealized. For his constituents, it feels good to have someone who assures deliverance in the long-run, and in the short-run provides direction, protection, orientation, the control of conflict, and clear norms. (:247)

Instead of followers' critical evaluation of whether the leader is worthy of their trust (after all, giving or refusing trust is one kind of power followers have in answer to the leader's exercise of power; Solomon 2004:99), mutual dependency as in the case of a misused charismatic relationship "erodes critical judgment on both sides" (Heifetz 2000:106). The leader uses and needs the followers to confirm and strengthen his/her position, and the followers likewise use the leader not just as a stress release but also to increase their own feeling of power: "When men willingly follow a leader, they do so with a view to the acquisition of power by the group which he commands, and they feel that his triumphs are theirs" (Russell [1938] 2004:7).

To aid in the awareness of the possible misuses, leadership scholars frequently distinguish between good and bad uses of power. Burns' differentiation between leader and power wielder has been mentioned in section 3.4.1 (page 92). Unlike a power wielder, a leader will respect the motivation of people and not control them as s/he would inanimate objects (Burns [1978] 2005:18). In practical terms this would, for example, mean that a leader invites discussion and conflicting opinions whereas a power wielder would try to eradicate them (:36). Howell and Avolio (1992:50) and Tourish (2013:15) share the stress on the importance of discussion and dissent, and Heifetz' (2000:58) differentiation between dominance and authority adds to this the voluntary nature and conscious decision to submission within an authority relationship.

Tourish, however, goes even a step further. He does not deny the need for leadership *per se*, nor the existence of positive leadership,<sup>155</sup> but he laments that generally leadership is equated with power, and he contests the right to excessive agency which is so often

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<sup>155</sup> The possibility of discussion of items, the voluntary nature of the acceptance, or the leader's willingness to change his/her position he considers as essential for positive leadership (Tourish 2013:15), yet, in the end they do not capture the source of the problem for him.

unquestioningly attributed to leadership. Glowing reports of highly successful strong leaders give the (unjustified) impression that without leadership it is impossible to solve the problems facing society and organisations (in this, Neuberger [2013:62] would definitely agree with him). The widespread call for distributed leadership for him does not constitute a lessening of power, but rather a reinforcement of leadership agency.

An observation of leadership research confirms his preoccupations. Gordon (2002) noticed that investigating the “dark side” of leadership generally meant to investigate the *abuse* of power. But the “relationship between leadership and power at a deep structure level” (:159) is rather neglected in the research. Most leadership theories, whether they adhere to a traditional (leadership executed by a person) or nontraditional approach (which would generally describe leadership as a group process instead of a personal role) have considered the power aspect of leadership “unproblematic”—and thus have not seen a crucial necessity to research all aspects of this power relationship. He categorises TRANSFORMATIONAL LEADERSHIP as part of the “new leadership” theories, and even for them the power relationship has only been researched on a rather superficial level and not on a deep structural level. The general understanding of the relationship between leadership and power has been shaped over centuries, and introducing changes in the surface level (like empowerment, or shared leadership) actually complicates the matter rather than solving it, because it leads to inner tensions on account of the discrepancies one feels between the surface level and deep level understandings of leadership and power. As long as leadership is automatically associated with high positions, power as a deep value continues to be promoted (Heifetz 2000:14). And as long as leadership and power are equalled unquestioningly, one will struggle with constant ethical conflicts.

What the definition basically states is that leadership is the having of influence understood finally as power. This allows that effective leadership and ethical considerations can come in conflict, so doing what is ethical can detract from being a good leader. Ethics may seem often enough incongruent with efficient means of meeting practical objectives if it requires placing checks on the uses of power or influence. (Kort 2008:424)

It is this unresolved relationship to power which, for Tourish, lies at the heart of TRANSFORMATIONAL LEADERSHIP’s dangerously close proximity to cultlike behaviour. He describes the similarities for the areas of charisma, the vision, intellectual stimulation, individual consideration, and the promotion of a common culture (Tourish 2013:30). For example, in terms of the vision for a cult, it is instilled in people in such a way “that they grow inoculated against doubt” (:32). Individual Consideration in a cult can take the form of “love bombing” to induce somebody into the cult. And even in TRANSFORMATIONAL LEADERSHIP the problem remains: If Individual Consideration is exercised on an unequal power basis and with the underlying



intention of aligning follower goals with organisational goals (and thus eliminating dissent), it turns into manipulation (:35), merely ensuring through so-called “empowerment” that “those in ‘follower’ roles can make the vision and strategies of their leaders more effective” (:12). Methods of TRANSFORMATIONAL LEADERSHIP, for example the development of a strong corporate culture, can result in coercive persuasion, where through subtle—or sometimes overt—manipulation and pressure from leadership as well as through using group dynamics, individuals are led to conform “voluntarily”.<sup>156</sup> By introducing spirituality and religious concepts into the workplace leadership extends its influence into the affective domain of a person (:72) and adopts a normative claim which is not appropriate for a healthy leader-follower relationship (see Table 9, page 170). The result of a “conformance” thus achieved is, for example, lack of critical upward communication between leaders and followers—which is the perfect breeding ground for more leadership failures of a similar calibre as have been observed in the last years. Instead of refining methods of TRANSFORMATIONAL LEADERSHIP as it is done by followers of Bass and by the newer developments in the field of authentic leadership, Tourish calls for a whole new understanding of leadership:

There is a wholly imbalanced view in this literature of the nature of agency. On the one hand, leader agency is assumed to be absolute. On the other hand, “follower” action is robbed of much of its agentic potential. Rather, the behaviour of followers is viewed as wholly dependent on the structural constraints that are determined by leaders. In contrast, a process-oriented perspective challenges the traditional separation in the literature between leaders and followers (Collinson 2006). It offers a more dynamic view of leadership that is rooted in social context, that places more emphasis on the interplay of influence between leaders and followers and that recognises that excessive agency vested in the hands of a few is unlikely to be used in the interests of the many. (:202)

So, Tourish severely challenges the preoccupation of leadership theories with the accumulation and maintenance of power. Gordon, approaching the topic of power from a sociological perspective, had pointed to the deep roots the notions of power and leadership have in our thinking about society. And McClelland, looking at it from a psychological perspective, had described the development of the power motive, which can be observed in the leader as well as the follower (McClelland 2009:325ff), locating it in early childhood experiences.

Romano Guardini (1960) as a religious philosopher naturally had a very different approach to the topic. He asked about the role of power in human existence, and he considered humans’ endowment with power and the resulting ability to exert influence as a sign of the *imago Dei* in humanity (:25).<sup>157</sup> To make sure that this influence manifests itself as true

<sup>156</sup> This technique was described by Schein based on his observation with prisoners of war.

<sup>157</sup> Original: “In dieser Machtbegabung, in der Fähigkeit, sie zu gebrauchen, und in der daraus erwachsenden Herrschaft besteht die natürliche Gottesebenbildlichkeit des Menschen.” (Guardini 1960:25)

authority and not as force or manipulation, leaders need to exercise their power as standing before and in responsibility to God (:18),<sup>158</sup> aware of the fact that power has been entrusted to them as a *means*, not an end in itself (Kessler 2010:536). As such it can and should be used without fear (:534), but in responsibility to the giver and for ends in accordance with God's goals and personality.

Tourish described how power/coercive persuasion is likely to be used in TRANSFORMATIONAL LEADERSHIP situations to enforce the development of a corporate culture—with the ultimate desire to align individuals along corporate goals and to improve organisational effectiveness. It would be interesting to contrast this with the role of a biblical “corporate culture”. There the desire to see God's Kingdom manifest itself is an overarching unifying vision. However, the content of this “corporate culture” is not aligned and functioning individuals, but rather the image of the body (1 Cor 12:12–26), a community in which diversity is encouraged. Excellence, the desire to reach “performance beyond expectation”, is a severe taskmaster. Moral development as proposed in Christian ethics also pursues high goals, but it always looks at the whole person, not just his/her effectiveness, taking into account the dignity of the person, and respecting the weak and a person's limitations.

#### 5.3.4. Neuberger and the question of affiliation

The German psychologist Neuberger has been mentioned several times. He was a professor of organisational psychology and from this angle he poses slightly different questions to CHARISMATIC and TRANSFORMATIONAL LEADERSHIP, which are worth considering. Like many others he does not make clear distinctions between CHARISMATIC and TRANSFORMATIONAL LEADERSHIP, which is understandable considering the inconsistent use of the terms within the field of the proponents of TRANSFORMATIONAL LEADERSHIP and considering the side from which he approaches the theories. He is interested in the charismatic *relationship*, no matter whether it appears within “pure” CHARISMATIC LEADERSHIP, or as the charismatic aspect of TRANSFORMATIONAL LEADERSHIP. His main questions are: On what grounds does a charismatic relationship develop? And what are the effects of this relationship in the influence processes involved, but also in the association to the organisation which the charismatic or transformational leader represents?

So far it has not been possible to identify without ambiguity, what attributes are specific to charismatic leaders. Neuberger rejects lists of characteristics (for example from House) as not differentiating sufficiently: The traits which House attributes to charismatic personalities, he feels, are basically the same every leader is attributed with. Even the approach of

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<sup>158</sup> Original: “...denn [echte Autorität] setzt die Person voraus, welche mit ihrer Befugnis unmittelbar zu Gott steht und sich vor ihm verantwortet.” (Guardini 1960:18)

Steyrer, who sees charismatic traits on a continuum between normal behaviour and stigmatised behaviour<sup>159</sup> does not really clarify the matter conclusively for him (Neuberger 2002:158). It is the *relationship* between leader and led which really interests him. He wants to find out: What psychological processes happen between a charismatic leader and his or her followers? In which ways do leaders and followers use each other to fill deep inner deficits? It is only when both sides can use the other to fulfill each others desires that a rational, calculating exchange relationship (:188) can develop into something so emotionally highly charged as a charismatic relationship.

Weber's retreat to crisis as the triggering element of a charismatic leader-follower-relationship seems one-sided to Neuberger as well. For sure, the situation had to be taken into consideration very carefully, but neither the crisis theorem nor the amorphousness theorem<sup>160</sup> in his opinion are convincing explanations. Charismatic leaders often enforce a crisis so that they can prove themselves in it (:179). He sees charismatic leaders as needing an existing structure to even rise up. Neuberger strongly rejects one-sided and quick explanations—not only in the case of Weber. The countless studies that have been drawn upon to prove the effectiveness of CHARISMATIC/TRANSFORMATIONAL LEADERSHIP in his opinion have produced little more than greeting card sentiments and thus rather trivial recommendations.

He does not stand alone with these complaints. As has been shown, even Bass and others criticise Weber's purely sociological approach and put forth the question about psychological processes working behind the scenes. However, the intent for their question (and thus the approach they take to finding an answer) is different. Neuberger wants to know: Is what happens in this relationship right? Bass' first question was: Is it effective? And even though ethical considerations were added later, Bass (and with him later proponents of TRANSFORMATIONAL LEADERSHIP) keeps coming back to the question: How can the processes that happen between people be used in the most effective way (for example Conger & Kanungo 1989c:312)? Again he stays true to his pragmatic approach—and right from there it is clear that Neuberger and Bass have to reach very different conclusions. Neuberger severely criticises this focus on effectiveness: “If other approaches should prove more effective or efficient, one would not hold on to previous anchor points and fixed stars, but would flexibly adapt to new ‘conditions’” (Neuberger 2002:212).<sup>161</sup>

<sup>159</sup> An example: “passionate” as a characteristic of a charismatic personality lies between the normal behaviour “dedicated” and the stigmatised behaviour “fanatic”.

<sup>160</sup> The crisis theorem states a crisis as the trigger for the emergence of a charismatic leader, the amorphousness theorem claims missing structure or chaos as the trigger.

<sup>161</sup> Original: “Es geht um keine *kategorische* Verpflichtung auf bestimmte Werte oder Ziele (die unbedingt, ohne Rücksicht auf die Folgen anerkannt und angestrebt werden), sondern um Erfolgstauglichkeit. Sollten sich andere Vorgehensweisen als effektiver oder effizienter erweisen, würde man nicht an den

Gini, referring to Jackall, talks about the “institutional logic” of every organisation, which is to succeed. This institutional logic leads to an organisation becoming a “private moral universe”.

Within such a milieu, truth is socially defined and moral behavior is determined solely by organizational needs. The key virtues, for all alike, become the virtues of the organization: goal preoccupation, problem solving, survival/success, and, most important, playing by the house rules. In time, says Jackall, those initiated and invested in the system come to believe that they live in a self-contained world that is above and independent of outside critique and evaluation. (Gini 2004:39)

It is this kind of institutional logic which Neuberger severely criticises. In such a system the organisation takes a role which is not appropriate. He refers to Etzioni (1964) who describes organisations and the relationships in them. The question of control in organisations is especially important to Etzioni, because unlike other social units (like the family, or the community), an organisation is an “artificial social unit” (:58). Etzioni associated different kinds of commitment (alienated, calculating or moral) with the corresponding kind of integration within the organisation (enforced, utilitarian or normative).

<i>Integration:</i>	<i>enforced</i>	<i>utilitarian</i>	<i>normative</i>
<i>Commitment:</i>			
<i>alienated</i>	Prison		
<i>calculating</i>		Business organisation → TRANSFORMATIONAL LEADERSHIP	
<i>moral</i>			Church, political party

**Table 9: Integration and commitment in organisations according to Etzioni (Neuberger 2002:208)**

Neuberger’s critique is that CHARISMATIC/TRANSFORMATIONAL LEADERSHIP takes what should be a utilitarian integration into a business organisation and tries to expand it to a normative integration which normally would be the standard for a church, or maybe a political party. Chapter 6 will take this thought further, relating it to Bonhoeffer’s mandates (work, marriage, government, and the Church). Bonhoeffer is equally concerned that the distinct mandates do not infringe on each other, neither on each other’s freedom nor on each other’s responsibilities.

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bisherigen Ankerpunkten und Fixsternen festhalten, sondern sich flexibel neuen ‘Gegebenheiten’ anpassen.” (Neuberger 2002:212)

A similar distinction as the above mentioned association within an organisation can be made as to the influence process used in an organisation. Howell (1989:219; based on Kelman 1958:53) talks about three different social influence processes:

- Compliance/exchange: Whoever has the power/influence exerts it through punishment or reward.
- Identification: A follower conforms to keep the relationship with the person in power; the self-image is defined in terms of another person or the group one belongs to (Shamir 1991b:94); satisfaction comes through “the act of conforming”, not necessarily because of a deep identification with underlying norms and values.
- Internalisation: The value system of the other person or the organisation has become part of one’s self-concept and serves as a driving force for action (:94), outside stimulants are no longer necessary. Satisfaction comes from shared values, not through external factors.

If one considers this distinction, it becomes clear that the various leadership theories under discussion fare better with one of these influence processes than with the others. The transactional leader emphasises the benefit the subordinate will get from the transaction. The main goal is basically the immediate satisfaction of elementary needs. The transformational leader in contrast “makes a moral statement” (Bass & Riggio 2006:39), trying to stimulate higher needs. This means that instrumental compliance is most important for transactional leadership, internalisation is most important for transformational leadership, and personal identification is most important for charismatic leadership (Yukl 1999:301). Or, in Howell’s terminology: Socialised charismatic leaders use internalisation, personalised charismatic leaders are mainly concerned with identification processes (Howell 1989:221).

Depending on the power motive of a leader, s/he will use these influence processes. Chemers and Neuberger agree that the identification process is a problematic one: Followers tend to ingratiate themselves, which leads to an intensification of an already unhealthy relationship (Chemers 1997:92). Critical thinking is not encouraged, “think positive” (Neuberger 2002:200) is the fundamental note. Neuberger considers it dangerous to skip critical reflection: Since “the flip side is part of the whole, sooner or later you will be confronted with it” (:210).<sup>162</sup> It is this unhealthy position an organisation assumes, leading in turn to unhealthy relationships within the organisation, which is at the bottom of Neuberger’s critique.

In terms of the *menschenbild* TRANSFORMATIONAL LEADERSHIP promotes, he considers it idealised in some respects (based on unrealistic assumptions) and degrading in others:

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<sup>162</sup> Original: “Weil aber die Rückseite zur Ganzheit gehört, wird man früher oder später damit konfrontiert werden.” (Neuberger 2002:210)

**Unrealistic assumptions.** Neuberger is convinced that both in its assessment of organisations as well as of people, CHARISMATIC/TRANSFORMATIONAL LEADERSHIP acts on unrealistic, idealised assumptions: Organisations do not always operate on a “hierarchical and centralistic principle”, rather, they consist of a “system of interdependent variables”, and leadership by a person does not necessarily have a distinguishable influence on organisational behaviour (Weibler quoted in Neuberger 2002:154).

He criticises that CHARISMATIC/TRANSFORMATIONAL LEADERSHIP seems to ignore the constraints of the market. “People strive for ‘higher goals’ voluntarily, without control, tirelessly and without desire for instant gratification” (:209).<sup>163</sup> The theory ignores two things:

- Capitalism will only allow this “re-orientation” if it ensures that “the old goals (capital investment and increase of capital stock) are not jeopardized, but are reached a) more cheaply and b) more securely” (:209). When the going gets hard, a charismatic/transformational leader will have to bow to the constraints of market economy.<sup>164</sup>
- Creativity and fun at work are counterbalanced by “permanent (self-)exploitation, time pressure and insecurity” (:210).<sup>165</sup>

In terms of human reactions, Neuberger considers it an illusion to think that a person, if only s/he gets encouraged and empowered, will automatically discover in him/herself “undreamt of potential and power” (:214).<sup>166</sup>

**Denial of competence.** In terms of degrading behaviour, in Neuberger’s view, one foundational problem of the charismatic approach is that it denies the competence of people. Apart from the discouragement of critical thinking, there is the farce of empowerment: On the one hand people talk about empowerment of employees, but at the same time it is assumed

that the ‘normal’ members of an organisation do not have visions but rather wait to receive them from the enlightened ones, the seeing ones, the trans-

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<sup>163</sup> Original: “Die Leute streben freiwillig, unüberwacht, unermüdlich und ohne auf sofortigen Lohn zu spielen ‘nach Höherem’. Das egoistische Nutzenstreben hat einer *gemeinsamen kategorischen Wertorientierung* Platz gemacht. Dem Operationsmodus des Kapitalismus entsprechend ist das nur zu erwarten, wenn diese Umorientierung die alten Ziele (Kapitalverwertung und -mehrung) nicht gefährdet, sondern a) billiger und b) sicherer erreicht.” (Neuberger 2002:209)

<sup>164</sup> This point has also been raised by Giampetro-Meyer, Brown and Browne et al. (1998:1731), who talk about the tension transformational leaders find themselves in if they want to both practice “responsible reflection” and satisfy shareholders. A call for more ethical behaviour in leadership and organisations they consider only realistic if it is accompanied with the willingness to forego short-run profit.

<sup>165</sup> Original: “Nicht immer lassen sich die sportlich-kapitalistischen Ziele Schneller! Besser! Mehr! in einer Arbeitswelt voller Kreativität, Spaß und Erfolgsgenuss verwirklichen; die andere Seite der Gleichung enthält Posten wie permanente (Selbst-) Ausbeutung, Zeitdruck, Ungewissheit (in Bezug auf Einkommen, Position, Arbeitsplatz, Produktakzeptanz usw.)” (Neuberger 2002:209–210)

<sup>166</sup> Original: “Befreit von den Fesseln der Vorschriften und Fremdkontrollen, der Reduktion auf penibel abgegrenzte Verantwortungsgebiete, abgenabelt von der alle Fehler verzeihenden und alle Folgen tragenden Mutter Organisation, wird der oder die einzelne endlich erwachsen, selbstbewusst und selbstverantwortlich und entdeckt in sich ungeahnte Potenziale und Kräfte.” (Neuberger 2002:214)

forming ones. Again this shows the infantilizing nature of charismatic concepts. (:206)<sup>167</sup>

**Manipulation.** The goal of charismatic leadership is that “eventually followers will come to see their organizational tasks as inseparable from their own self-concepts” (House 1999:155). A person’s self-esteem does not grow on account of his/her own personality, but “as a result of the relationship to the leader and his mission” (House & Singh, quoted in Neuberger 2002:145). Where TRANSACTIONAL LEADERSHIP uses rewards geared at fulfilling felt needs of the person to stimulate certain behaviour, CHARISMATIC LEADERSHIP wants to influence people on a much deeper level by internalising the needs of the organisation. What under normal circumstances would be called “brainwashing, manipulation, and zealous sectarianism” (:168)<sup>168</sup> receives a positive connotation by being labelled ‘charismatic leadership’, even though the mechanisms at work are rather similar.

Heteronomy is not replaced by self-determination of the players, but only modified: External control still exists, but it is no longer exercised by the rules of instruction and control, but in a much more subtle way. It intends to condition the premises for decision making, desires, needs, and life concepts of the players. Instead of an external regime of coercion it uses a process of inner colonisation, by which external values (should) become internal ones. (:142)<sup>169</sup>

From a Christian ethical perspective one would share many of Neuberger’s concerns, for example in terms of the *menschenbild* promoted by TRANSFORMATIONAL LEADERSHIP. However, one would go a step further than Neuberger. A step, which he probably would not take: Christian ethics would agree with his critique of an overly positive *menschenbild*, assuming that people just need to be empowered to discover their potential. Christian ethics counts with the need for redemption, not just empowerment. Empowerment without redemption and a renewed character magnifies the danger of misappropriation of the power with which one was endowed, both on the side of the leader as well as the follower.

Concerning the degrading aspects of TRANSFORMATIONAL LEADERSHIP’s *menschenbild*, from a Christian perspective one would share Neuberger’s concern for denying the competence of

<sup>167</sup> Original: “Ganz offensichtlich wird davon ausgegangen, dass die ‘normalen’ Organisationsmitglieder keine Visionen haben, sondern darauf warten, dass sie ihnen von den Erleuchteten, Sehenden, Transformierenden geliefert wird. Hier zeigt sich einmal mehr der infantilisierende Grundzug charismatischer Konzeptionen.” (Neuberger 2002:206)

<sup>168</sup> Original: “Was in anderen Kontexten Gehirnwäsche, Manipulation und eiferndes Sektierertum genannt wird, erhält durch die Etikettierung als ‘charismatische Führung’ eine positive Konnotation. Die zu Grunde liegenden Mechanismen sind nicht grundverschieden.” (Neuberger 2002:168)

<sup>169</sup> Original: “Fremdbestimmung wird durch Selbstbestimmung der lokalen Akteure nicht ersetzt, sondern verändert: nach wie vor gibt es Fremdsteuerung, aber sie funktioniert nicht mehr nach den Prinzipien von Vorschrift und Kontrolle, sondern viel subtiler. Sie ist darauf aus, die Entscheidungsprämissen, Wünsche, Bedürfnisse und Lebensentwürfe der Akteure zu konditionieren. Statt eines äußerlichen Zwangsregimes erfolgt eine innere Kolonialisierung, weil die fremden Werte zu eigenen gemacht werden (sollen).” (Neuberger 2002:142)

followers, because such a denial does not respect the dignity God has given to *all* human beings, not just the ones in leadership positions. A Christian leader, while accepting that human beings draw much of their identity from the relationships they live in, would still use his/her position to strengthen the followers' self-esteem as being rooted in God's unconditional love of human beings rather than in the relationship with the leader. One is back at the realm of character, because this will only be possible if the leader's self-esteem is equally rooted in this relationship with God and not in the acceptance and affirmation of people.

As for the question of association, Christian leaders (and equally the people they are leading), who want to live integrated lives before God, need to balance the relationships they are entrusted with. They cannot neglect the relationships in the "wider system", be they family or the society, nor can they encourage or even demand the people they are responsible for to do this. This might put a Christian leader under much tension by the market pressure Neuberger talks about. Christian leaders therefore need to make sure that neither they nor their followers are just carried away on a wave of organisational and personal expectations, but carefully reflect which values they want to follow and evaluate organisational values (and visions) against these personal value systems—character development and encouragement for truly responsible living (Bonhoeffer, Floyd & Green 2008:79) is necessary for this area also!

Some final thoughts shall conclude this discussion of Neuberger's critique:

- It has been mentioned that it is understandable that Neuberger does not distinguish much between CHARISMATIC and TRANSFORMATIONAL LEADERSHIP, because he considers the processes happening in the leader–follower relationship similar. However, it still is a pity that he, like most others, does not distinguish between Bass and Burns. Most of his critique of CHARISMATIC/TRANSFORMATIONAL LEADERSHIP is geared at Bass' interpretation of TRANSFORMATIONAL LEADERSHIP. Often this does not do justice to Burns' TRANSFORMING LEADERSHIP.
- Neuberger very clearly is a child of the modern age, a rational person, shaped by Enlightenment thought patterns. For this reason he has a hard time when in CHARISMATIC LEADERSHIP people react "with remystification [...] to the demystification of the world" (Neuberger 2002:218).<sup>170</sup> He resists the "instrumentalisation" of emotions, which he sees for example in the discussions about emotional intelligence, just as much as the dictates of pragmatism which is content with "triggering in people certain behavior—expecting that the good reasons for it would be self evident at a later point" (:221).<sup>171</sup>

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<sup>170</sup> Original: "Auf die Entzauberung der Welt wird mit Wiederverzauberung reagiert." (Neuberger 2002:218)

<sup>171</sup> Original: "Es kommt also darauf an, Menschen zu einem bestimmten Verhalten zu bringen; die guten Gründe dafür stellen sich hernach von selbst ein." (Neuberger 2002:221)



- I hear in his pointed words that devotion/dedication in itself for him is a sign for infantilism and unresolved childhood experiences. It is true that, dealing with charismatic personalities especially, transferences frequently happen. But this should not lead to a condemnation of any kind of devotion as a sign for immature personalities. Without conscious devotion the area of relationships (to God as well as between people) would be painfully robbed of depth.

Well, and to be honest: Neuberger wouldn't need to be too concerned about charismatic leadership at all. He is convinced that a leadership fashion, like clothing fashions, will only be well received if people are pleased with it (:215). And he quotes Weibler saying that charismatic leadership goes "against current trends" (quoted in Neuberger 2002:154). Charismatic leadership should therefore disappear automatically in the coming years...

#### **5.4. TRANSFORMATIONAL LEADERSHIP in an intercultural context**

The claim of TRANSFORMATIONAL LEADERSHIP to be a model for effective leadership across cultures would merit an in-depth discussion. However, since the focus of this dissertation lies clearly in the ethical evaluation, it shall suffice to only scratch the surface in this section and indicate some areas of concern in relation to CHARISMATIC and TRANSFORMATIONAL LEADERSHIP.

One topic which needs consideration in the intercultural context is the relationship between leadership and transformation. Transformation indicates change on a deep level, something which Burns put forth as a criterion by which to measure TRANSFORMING LEADERSHIP.<sup>172</sup> Heifetz' call for leaders to develop people's adaptive capacity (Heifetz 2000:247) addresses the same issue.

Bridges (2003) explained the transitions which people have to go through to adapt to a changing situations: A familiar situation comes to an end, and a leader who wants to manage such a transition time needs to be concerned not only with the proposed changed *situations* but rather with people's reactions to the changes. Before a changed situation can be embraced people find themselves for an extended time (which often feels even longer than it actually is) in what he calls the "wilderness", a neutral zone where insecurity reigns, because the known is not valid any more, but also where new ways of working and relating can be introduced. The neutral zone is a time of intense stress, and if a leader manages to reduce stress for people during this time (Heifetz 2000:86), transformation can happen and something completely new can begin (Bridges 2003:58). *How* stress can be relieved during this

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<sup>172</sup> One of Beyer's points of critique focuses on this aspect. She complains that while the ability to produce change is put forth as a distinguishing feature of TRANSFORMATIONAL LEADERSHIP, the actual research tools do not measure change but only follower satisfaction (Beyer 1999a:311).

transition depends very much on the cultural expectations followers have toward leadership, but “without transition, the change changes nothing” (:64).

Transition processes are challenging, because they reach far beyond the surface of behaviour into the area of values, beliefs and world view (see Figure 3, page 46). Schein has a slightly different distinction: He talks about “systems, processes, behaviours, routines, symbols” as the outer layer, influenced by “informal rules, heroes, stories”, which are shaped by “values”. The core he calls “basic assumption” (described in Trompenaars & Prud’homme 2004:22). For the discussions in this dissertation it does not really matter which model one wants to follow. The basic message is the same: To understand expectations or even change behaviour one has to look at a level which is often unconscious. For the discussion about TRANSFORMATIONAL LEADERSHIP in an intercultural context the concepts of world view, intention, character and *menschenbild* as introduced in section 2.3.5 will therefore again serve as a guiding framework.

#### 5.4.1. World view

For many years one area was rather neglected in leadership research: How does leadership appear in different cultures and what are the expectations of a leader?<sup>173</sup> Research had investigated, for example, the impact of situational factors like a crisis on the perception of charisma. But one must not neglect the world view and the culture which shape people’s personalities and with it the expectations they have of leadership. The more global this world grew the more urgent these questions became. Wallace, Sawheny and Gardjito (1995) conducted a study in three Asian countries and the USA, exploring characteristics valued in a leader. Their conclusion is that highly valued characteristics in one country “do not necessarily generalize to people in other countries” (quoted in Leslie & van Velsor 1998:4). Around the same time Yeung and Ready (1995; quoted in Leslie & van Velsor 1998:3) studied ten big corporations in eight different countries. Their findings were similar to those of Leslie and van Velsor who had studied six European countries and the USA: There are indeed leadership competencies which are rated similarly in different countries. At the same time they warn against ignoring even “small but meaningful differences in value orientation” (Leslie & van Velsor 1998:30).

The GLOBE project, initiated by Robert House, has been dealing with these questions since 1993. They organised a huge study over eight years with 170 contributing researchers in

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<sup>173</sup> A notable exception to this is Hofstede, who started to research culture’s effects on leadership in the 1970s and published his results in 1980 (Hofstede 1980). But it was only in the 1990s that culture and world view became the focus of several other key publications, most of which have since gone through several editions or reprints (e.g. Trompenaars & Hampden-Turner 1998 [1<sup>st</sup> edition 1993]; Lewis 2007 [1<sup>st</sup> edition 1996]; Hofstede & Hofstede 2005 [1<sup>st</sup> edition 1997]; for the German-speaking context: Rothlauf 2006 [1<sup>st</sup> edition 1999]).

60 countries to find out which attributes characterise successful leaders (House, Hanges & Javidan et al. 2006). An attribute could be considered either universally beneficial, or universally harmful for effective leadership, or else it could be evaluated differently in different cultures. Their original expectation had been that “different leadership prototypes would [...] occur naturally in societies that have differing cultural profiles” (Den Hartog, House & Hanges et al. 1999:225). All the more surprising are the conclusions the study comes up with: “Based on substantial evidence, we propose that attributes associated with transformational/charismatic leadership will be universally reported as facilitating ‘outstanding’ leadership” (:229–230). They did find that the term “charismatic” could have negative connotations depending on the historical background of a country. Nevertheless they draw the conclusion that “most of the universally positively endorsed items/attributes are components of the charismatic/transformational and team oriented global dimensions” (:237). These include attributes which contribute to the integrity of a person, or characteristics like “encouraging”, “positive”, “motivating”, “dynamic”, “foresight”, “team-oriented”, and others which have been described by different authors as part of the charismatic/transformational paradigm.

Not everybody agrees to this claim the charismatic/transformational line of Bass/House makes. Burns himself “has emphasized that leadership is context-based, and, hence, that no model of leadership can be equally applicable to all cultures and organisations” (Khanin 2007:22). Yukl (1999:301) is another critic of the universal claim. Proponents of the theory point to the results of thousands of questionnaires which have been evaluated. For Yukl however, the overwhelming consistency and congruence of results rather indicates a fundamental weakness and one-sidedness of the measuring instrument. He calls for an adaptation of the questionnaire as well as for more qualitative studies to compensate for this weakness.<sup>174</sup>

Beyer takes it even a step further: She is concerned about the presupposition by her fellow Americans that leadership would be naturally as important in other cultures as in her own (Beyer 1999a:311), and she poses the question, why it is her country in particular that is so concerned with “leadership”. Her conclusion is that in a culture in which “rationality and predictability” play such an important role, a leader often has to serve as an explanation for results which one does not want to attribute to “luck, chance, or other circumstances beyond human control or understanding” (:312). Quantitative studies about characteristics of a

<sup>174</sup> Evaluations at the end of the GLOBE project by people involved in it (Scandura & Dorfman 2004:288) interpret the results more cautiously than earlier publications and acknowledge this as a slight weakness. Whether one agrees with the claims of the GLOBE study or not, a definite result of the study is that it raised the bar for future international research (Scandura & Dorfman 2004:289), that it made scholars aware of cross-cultural leadership issues, and that it triggered intense discussions (see for example Hofstede 2006, Javidan, House & Dorfman et al. 2006 and Smith 2006)—discussions which will eventually contribute to a deeper understanding of the topic.

successful leader in her opinion should therefore be accompanied by qualitative studies exploring the concept of leadership prevalent in a certain culture.

With this she has touched a sore spot of the GLOBE study and the charismatic/transformational approach: even though the study has been conducted in many countries, the overwhelming bulk of the research was questionnaire based. The participants always answered Western questions, which means that in their answers they remain locked in the Western thought patterns in which the questions were developed. Hofstede and Hofstede (2005:29) describe a similar situation while developing their cultural theory: Their original research had led to four categories by which to describe cultures: Power distance, individualism/collectivism, masculinity/femininity and uncertainty avoidance. They found amazing congruence in the evaluation of different countries, but at the same time there were some puzzling results which for some unknown reason did not fit the normal patterns—until one scientist developed a set of questions from a Chinese point of view instead of a Western one. In this light a number of findings could be reinterpreted, because it was only through this set of questions that the fifth dimension of Hofstede’s model emerged (long-term/short-term orientation).<sup>175</sup> It could well be that this Western approach is the reason why the GLOBE study comes up with a small list of universally harmful characteristics of a leader, a slightly longer list of (very general) beneficial characteristics, but a list of at least double the length with characteristics that are evaluated differently depending on the culture. Nevertheless the study concludes that CHARISMATIC/TRANSFORMATIONAL LEADERSHIP universally leads to success. On a cautionary note Bass remarks: “Here, universal does not imply constancy of means, variances, and correlations across all situations but rather explanatory constructs good for all situations” (Bass 2007:141). In the results of the study he stresses attitudes, when it comes to implementing the theory though, the focus is back to using methods, inferring attitude from a certain behaviour (see Figure 11, page 110).

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<sup>175</sup> The five factors defined by Hofstede and Hofstede (2005) are as follows:

**Power Distance Index** indicates “the extent to which the less powerful members of institutions and organizations within a country expect and accept that power is distributed unequally” (:46).

**Individualism Index** describes whether individuals are basically responsible for themselves, or whether their first identity and responsibility lies in belonging to a certain in-group.

**Masculinity Index** talks about the “desirability of assertive behavior against the desirability of modest behavior” (:116). Or in other words: a focus on the EGO as opposed to a focus on relationships.

**Uncertainty Avoidance Index** affects the “tolerance of the ambiguous and the unpredictable” (:165). Cultures with high UAI will go to great lengths to make sure that situations are predictable and interpretable and will avoid uncertainty and ambiguity at any cost.

**Long-term Orientation** stands for “the fostering of virtues oriented toward future rewards—in particular, perseverance and thrift. Its opposite pole, short-term orientation, stands for the fostering of virtues related to the past and present—in particular, respect for tradition, preservation of ‘face,’ and fulfilling social obligations” (:210).

Chemers (1997:114ff) gives an overview both of studies investigating the impact of culture in leadership processes and also of those investigating certain leadership theories from a cultural perspective. He considers it problematic if leadership theories or training programmes are exported into other cultures, assuming that they would function equally well on a completely different background (Chemers 2002:104; du Plessis 2009:143). Considering leadership processes there is widespread agreement: On a very general level one can find that “the major functions of leadership and teamwork (i.e., task goal facilitation and morale maintenance) have universal importance” (Chemers 1997:134). But the deeper one goes in the analysis the more the perceptions, expectations and interpretation of actions differ (Smith & Peterson 1988:100; Chemers 1997:130; Ayman 1993:155, referring to Smith, Misumi & Tayeb et al. 1989). One and the same action, for example consulting an employee’s opinion in a matter, can either be interpreted as a sign of confident leadership or of weak leadership—depending on the expectation the culture has toward a leader’s behaviour.

It is Hofstede’s attributes of power distance and individualism/collectivism which have been found to have the strongest impact (Chemers 1997:119).<sup>176</sup> This is understandable. One’s convictions in terms of power distance will greatly affect one’s expectations of leadership, of the relationship with leaders, and one’s reaction to leaders’ decisions. And equally from the other perspective: It will impact what a leader considers appropriate behaviour of an employee, for example, whether s/he expects submission or participation, whether s/he perceives critical feedback as a sign of appreciation or of disrespect, etc.

The second factor, individualism/collectivism has great impact on what motivates people, for example in their work environment. CHARISMATIC/TRANSFORMATIONAL LEADERSHIP with its declared goal of Individualised Consideration is clearly developed on an individualistic background.

The communitarian perspective considers the community first; places the needs of the group, however defined, as more important than the rights or needs of any single individual. One of the aspirations of transformational leadership, as described by Burns (1978), was to encourage followers to put higher values and the needs of the group as a whole ahead of their individual requirements. This would appear to indicate the desirability of some shift from the individualist to the communitarian perspective, starting with the former. It is important to recognise that nations are seldom considered to be the ‘group’. A nation often has different groupings within it where local loyalties will be stronger than towards the nation itself. This is particularly true if the nation state is made up of groups who historically have not been allies. (Dalglish 2009:67)

From a Christian ethical perspective one can only agree with her. However, a cautionary note shall be added: Part of the world view is how system boundaries are defined (see Figure

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<sup>176</sup> To this Lord and Emrich (2000:560) added uncertainty avoidance as a third defining aspect.

5, page 49). Leaders need to be careful how they define their responsibilities. If the “wider system” is reduced to the leader’s in-group, then collectivism would turn into a kind of collective individualism—which can be just as egotistical and self-centred as full bred individualism.

#### 5.4.2. Intention

Intention has been defined as the motivating factor in an action of a leader toward a follower. In relation to TRANSFORMATIONAL LEADERSHIP in an intercultural context two dangers are especially prevalent:

**Imposing intention.** TRANSFORMATIONAL LEADERSHIP, as has been explained, builds on Maslow’s hierarchy of needs with self-actualisation being the highest need. A transforming leader’s actions are supposed to lift a follower up to where s/he becomes aware of this need. Through following the leader’s vision this need is then supposed to be fulfilled. However, the need for self-actualisation is clearly based on a Western individualistic value system. Other cultures have different hierarchies of needs, and “a hierarchy that would apply across cultures and organizational settings risks either being so general as to be impractical or so specific as to be culturally imperialistic in its application” (Heifetz 2000:21).

Markus and Kitayama (1991) describe two ways of construing a self: Independent self construal as the prevalent method of self construal in Western cultures builds on the perception of the self being distinct and separate from the other. Interdependent self construal, in contrast, builds on a perception of the self being connected with the other. On its own the self feels fragmented. It is only in relationship with the others that the self feels complete. For an independent self personal need is a motivational factor, the interdependent self is motivated by maintaining relationships. If a transformational leader tries to motivate followers in terms of opportunities for personal growth and achievement, s/he might completely miss the motivational factors of interdependent selves (Chemers 1997:126).

**Misinterpreting intention.** In this area the different approaches of Burns and Bass in terms of the relationship between action and intention come into play again (see Figure 11, page 110) and it becomes clear why the distinction between their approaches is so important. In section 2.3.5.2 it has been explained that looking at observable results and interpreting them is not enough to make ethical statements because apparently good acts can have far from good motives driving them. In relation to the question of interculturality, if one infers intention from an action, there will be a stream of misunderstandings, for example with reference to the above mentioned distinction between independent and interdependent selves: A leader who has learnt and applies the methods to motivate followers to strive for

self-actualisation will—no matter what his/her real intention was—most likely be perceived as inconsiderate and manipulative by interdependent followers who feel pushed into a direction that does not fulfil their needs. However, a leader who starts like Burns at the side of intention will always be a learner, asking question, valuing the followers, and looking for ways how his/her intentions can be translated into a certain situation.

#### 5.4.3. Character

It has been mentioned already that in Christian ethics, character development always needs to be a very personal answer to the call of Jesus on a person's life. The areas for growth to become a truly virtuous person are different for each person. The same is true for cultures: In terms of character development different cultures have different needs. Schubert (2007) compared, for example, Tanzanian and German leadership styles and noticed among other things the different roles which love (care for relationships) and justice play in the two cultures. This results in the necessity of a focus for moral development of German leaders in the area of love, and of Tanzanian leaders in the area of justice.

A comparison of the self-evaluation of Japanese and American students showed that the former tend to play down their abilities, whereas the latter are prone to exaggerate them (reported in Chemers 1997:127). Neither background reflects a truly virtuous life, both need to face the challenge of developing a virtuous character by practicing humility. Humility, according to Vest, means living a life based on truth.

Knowing the truth about ourselves involves awareness of both our strengths and weaknesses, and of the fact that God sees both clearly. [...] We can refuse relationship with God by thinking too little of ourselves no less than by thinking too much. [...] We must face our potential for greatness no less than our creatureliness, in the full practice of humility. We must learn to live fully in hope of the grace and mercy of God. [...] Humility involves holding in tension *both* consciousness of our own imperfections *and* joyful living with confidence in God's mercy. (Vest 2000:89–90)

Leading in an intercultural situation will require a leader who can handle stark opposites. Trompenaars and Voerman (2009:24) see one advantage of SERVANT LEADERSHIP exactly in this ability. Where naturally one would perceive opposites as two irreconcilable ends of a pole, a servant leader would rather approach them in a cyclical way—as if to bend the pole until the ends meet and then start looking for a solution somewhere in this circle. It has been mentioned before that Trompenaars and Voerman equal SERVANT LEADERSHIP with TRANSFORMATIONAL LEADERSHIP. One of the strengths of the model in an intercultural context they see in the stress on “two-way direction” (:53), finding solutions through dialogue. However, as has been shown in section 4.3, while Burns indeed stresses multi-directional communication, in Bass' TRANSFORMATIONAL LEADERSHIP this has given way basically to a leader influencing and

shaping the follower's perception. In the long run, this will severely hinder the applicability of Bass' TRANSFORMATIONAL LEADERSHIP as a model which truly meets the needs of intercultural situations. Rather, intercultural situations will need a leader with a strong character who is aware of the cultural differences, willing to look for a true solution because s/he is motivated by a *menschenbild* which values the differentness in the other and considers it not a problem but a chance "to create something together that is stronger than the two parts" (:17).

#### **5.4.4. *Menschenbild***

In terms of *menschenbild* in an intercultural situation only one aspect shall be mentioned here. Most leadership models were developed on an individualistic background, and one often gets the impression that leadership scholars concerned with cross-cultural leadership strive to counteract individualism (which is considered maybe not completely but at least pretty bad) by a stress on the community—as if one was the salvation of the other. However, this view could not be shared from a Christian ethical point of view. It is definitely true that the strong individualistic focus in Western thinking does not do God's view of humankind as a community justice. But neither does stressing community as a remedy against individualism. Human beings carry the *imago Dei*, and this gives them an incredible dignity as individuals. They do not need the community to define their worth and identity. However, to live in a way which does this *imago Dei* justice, a way which represents a trinitarian God whose very essence is love, human beings need community. If one looks to collectivism as the opposite (and a remedy) to individualism, one is still entangled in human beings' egotistical need for self-fulfillment—either as an individual or as the group. Community, as Christian ethics would describe it, does not only consist of a person's in-group. Christian ethics would count with individuals who are redeemed to reflect God's character and build a community, which is open and inviting not just to the near other but also to the completely other.



## 6. Implications and conclusions for a Christian context

This dissertation started out to answer three basic questions: What is the essence of TRANSFORMATIONAL LEADERSHIP? What is the relationship between the models that either claim similar names (transforming/transformational) or similar concepts (charismatic)? And based on its ethical background: Would this model be a good suit for a Christian organisation in a multicultural context?

Chapter 1 introduced the context in which this writer approached these questions. It described the confusion reigning in the field of leadership studies, not just concerning ethical questions, but equally concerning concise definitions of leadership models. This is especially true for the models which belong to what Bryman (1993:22) called the “new leadership” paradigm. The chapter described the context of the Wycliffe Global Alliance and the changes happening in the organisation to explain why TRANSFORMATIONAL LEADERSHIP’s claim of universal applicability was of such interest to the writer. Some of the challenges mentioned in the introductory chapter will now be picked up again in this chapter.

Chapter 2 set the parameters under which this writer wanted to investigate the above questions. In terms of the ethical evaluation, Bonhoeffer’s four mandates and his views on the relationship between freedom and responsibility were introduced. His perspective will be of importance in this last chapter, where TRANSFORMATIONAL LEADERSHIP will be evaluated from a Christian ethical viewpoint. The chapter also introduced world view, intention, character, and *menschenbild* as evaluative parameters. They have appeared many times throughout this dissertation and will appear again in this chapter, since they will bring increased clarity to the comparison of Bonhoeffer’s ideas with the ethical foundation of TRANSFORMATIONAL LEADERSHIP.

The purpose of Chapters 3–5 was to find answers to the questions above. Chapter 3 was dedicated to the first question and described how TRANSFORMATIONAL LEADERSHIP had developed in a long tradition of leadership research, in which over the decades—also influenced by the results of studies in other disciplines of social sciences—the focus shifted from an exclusive look at the leader’s personality to an inclusion of leader behaviour and of factors outside the leader’s person. At the end of this process stood the insight that the leadership situation is an interplay between leader, follower, and the situation. It was on this foundation that first CHARISMATIC and TRANSFORMING LEADERSHIP could emerge, and later TRANSFORMATIONAL LEADERSHIP, taking up elements of the other two, was developed. Chapter 3 also described the nature of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP in detail.

Chapter 4 was concerned with the relationship between the models sharing similar names or concepts (TRANSFORMING, TRANSFORMATIONAL, CHARISMATIC, and SERVANT LEADERSHIP)

and showed that contrary to the prevalent claim of Bass' TRANSFORMATIONAL LEADERSHIP to be a logical continuation of Burns' TRANSFORMING LEADERSHIP, the two are in fact distinct models, built in part on opposing assumptions. Ignoring this distinction only promotes the confusion reigning in the field of leadership studies.

Chapter 5, finally, investigated the ethical foundations of the models and discussed some of the critique which leadership scholars bring to them. It then examined the implications in terms of the models' claim of being inherently ethical, and—to a lesser extent—the claim of TRANSFORMATIONAL LEADERSHIP's universal applicability. The main angles of evaluation were the ideological nature of the models, the role and (mis)use of power within the model, and the question of integration and commitment within an organisation. It showed that a weak point of most of the critics is that they do not make a distinction between TRANSFORMING and TRANSFORMATIONAL LEADERSHIP and thus criticise one based on the foundations of the other. It further showed that evaluating leader behaviour will not capture the root of the problem and be able to satisfactorily answer the concerns of critics. Rather, the interplay between world view, *menschenbild*, character and intention of a leader<sup>177</sup> has to be considered to arrive at a more conclusive picture. These aspects have ramifications for the ethical claim as well as for the claim of universal applicability.

To conclude this discussion, the claims of TRANSFORMATIONAL LEADERSHIP shall be investigated from a Christian ethical point of view and some recommendations for Christian leadership shall be deduced. In section 2.3.2.1 it has been explained that Christian ethics is founded on the reality of God as the basis for all ethical reasoning. On this very distinct background Christian ethics will always be a critical counterpart to secular moral philosophy. The question arises whether one does a secular leadership model like TRANSFORMATIONAL LEADERSHIP justice if one submits it to a *Christian* ethical appraisal. Bonhoeffer introduces the concept of “appropriateness” in his *Ethics* (Bonhoeffer 1986:235ff; this older version used the term “pertinence” instead as a translation for the German “Sachgemäßheit”), meaning an appropriate way of dealing with things and institutions belonging to this world. And since in his view the world is “solely and entirely” Christ's world, “whether it recognizes it or not” (:204), the things of this world need to be looked at in their relationship to Christ's world. So it would be not just permissible but in accordance with reality to submit TRANSFORMATIONAL LEADERSHIP to a *Christian* ethical appraisal. But even if one did not share Bonhoeffer's radical stand on this issue, as a Christian leader, counting on the reality of God, one would still be

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<sup>177</sup> Actually, to get a complete picture, the same aspects would have to be considered as they apply to followers/staff. It is only in the interplay between leaders and followers that these dynamics come to fruition. However, in the context of this dissertation it would not have been possible to investigate both areas satisfactorily. Therefore, only marginal reference has been made as to these aspects relating to followers.

responsible to critically reflect on the question posed in section 2.3.2.1: Does the leadership method one plans to follow contribute to the manifestation of the reality of God in the leader's sphere of influence?

Since this writer is influenced by the Bonhoeffer tradition, and considers his ethical concepts as lending themselves for an evaluation of the topics at hand, this Christian ethical appraisal shall be conducted along the lines of some of Bonhoeffer's ideas as described in section 2.3.2.4. If the reality of God is taken as a foundation, then "Christian ethics can only be true to its source if at every point it is radically focused on the centrality of God's being present with us and revealing to us the meaning of the way of Christ precisely in revealing the place humanity inhabits" (Brock 2005:17). The question of an appropriate interplay of organisations and individuals is an important concept in Bonhoeffer's understanding of the four mandates; the question of power Bonhoeffer does not address separately in his *Ethics*, but his discussion on freedom and responsibility indeed has great repercussions for the role and use of power. Therefore, these two topics shall guide the discussion.

## 6.1. TRANSFORMATIONAL LEADERSHIP and Christian ethics

### 6.1.1. Freedom and responsibility in relation to TRANSFORMATIONAL LEADERSHIP

Section 2.3.5 introduced the relationships in a leadership situation which need ethical consideration (Figure 5): the leader, the follower, the organisation, and the wider system. To get a fuller picture of a Christian perspective regarding responsibility, the figure would have to be modified.

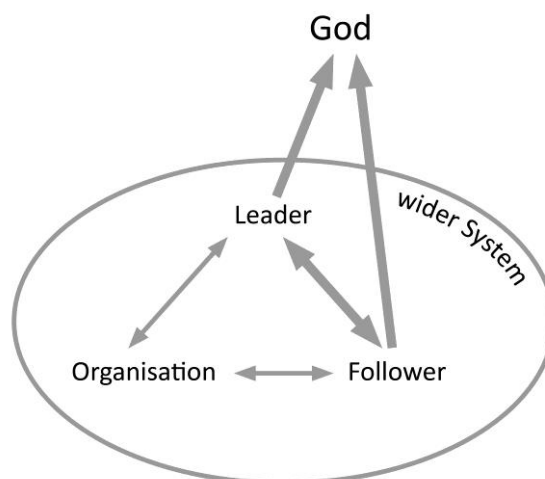


Figure 16: Relationships of responsibility for leader and follower

One will notice that the arrows toward the organisation in this figure are less intense. While these relationships (as specified in the original figure on page 43) still require ethical

consideration, in terms of responsibility it is important to note that answering the call of God on one's life for responsible action is not something an organisation could do for the person.

It will be easily perceived that responsible action implies tension in our world which is God's but not yet fully living as God's redeemed world. Sometimes the decision has to be not between an excellent and a good, or at least between a good and a bad option, but between a lesser and a worse evil. For a Christian leader in such a world, recognising that "the structure of responsible action includes both readiness to accept guilt and freedom" (Bonhoeffer 1986:240),<sup>178</sup> s/he has to be firmly rooted in Christ and in the humble acceptance of Christ's redeeming power. Only this can give the leader courage and the freedom to act responsibly.

It is this area of taking responsible action in which TRANSFORMATIONAL LEADERSHIP shows a lamentable weakness. Bonhoeffer warns of the retreat to a "private virtuousness" (:67) which would, by delineating one's responsibilities to a comfortable realm, evade the tension one naturally feels when one is confronted with responsibilities that would necessitate for example decisions between two evils.<sup>179</sup> Burns' demand for TRANSFORMING LEADERSHIP was that it always had to be concerned about the common good. This was taken up by Bass and later proponents of TRANSFORMATIONAL LEADERSHIP, equally claiming that only leadership which was concerned with the common good had the right to be called TRANSFORMATIONAL LEADERSHIP. However, in the process, the way to define the "common good" tacitly changed. Where Burns had called for an application of TRANSFORMING LEADERSHIP to such problems as global poverty (Burns 2003), in Bass' model this sphere of responsibility is conveniently reduced to the success of the organisation. It is this kind of retreat to an "organisational private virtuousness"—rejoicing about one's own good motives, while defining limits of the "common" realm in such a way that one can meet the requirements and that it does not challenge one's own decisions—which lies at the heart of some critics' concerns:

How transformational is leadership that is successful in uniting and successfully leading a firm in a changing, competitive industry [...] if, in the process, [the leader] tries in every way he can to "kill off" the competition?  
(Beyer 1999a:321)

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<sup>178</sup> As a German, naturally I read Bonhoeffer in the original language. For this dissertation, I only had sporadic access to the newer and more accurate English version of Bonhoeffer's *Ethics* (Bonhoeffer, Floyd & Green 2008). Therefore, an older translation has mainly been used for reference. However, this is one situation where the newer translation ("the structure of responsible action involves both *willingness to become guilty* and freedom") renders the German understanding of "Schuldübernahme" much more correctly. "Taking on guilt" as well as "willingness to become guilty" indicates an *active agent*, rather than the passive recipient who would "accept guilt" (Bonhoeffer 1986) more or less voluntarily!

<sup>179</sup> Bonhoeffer's context was an abusive government, but one can as well perceive this kind of tension in a work environment, for example if a leader has to decide whether to participate in unlawful action (like corruption) or to lose his/her job and the means to fulfil familial responsibilities.

Complexity is a characteristic of our time—even more so (but thankfully in a different way) than during Bonhoeffer’s life. In contrast to a crisis in which developments come to a head and demand a decision, complexity is a permanent condition which needs different kinds of leadership. Systems theory (following Niklas Luhmann) stresses that there are no easy answers—a prospect very few people feel comfortable with. Rather, leadership scholars keep looking for quick solutions to cut, like Alexander, the Gordian knot. Many of the discussions around TRANSFORMATIONAL LEADERSHIP seem like such a desperate try to deal with growing complexity. And yet, if complexity is managed by limiting one’s responsibility and thus retreating to the safe field of “organisational private virtuousness” the credibility and sincerity of the theory is put into question. A Christian transformational leader will have to be careful not to submit to this kind of “organisational private virtuousness” at the expense of neglecting his/her calling to represent God’s character and passion, for example for the weak and disadvantaged. Bonhoeffer’s ethical approach of placing responsibility and freedom in the context of Christ’s redemptive action on the cross would offer a solution to this quandary leaders find themselves in and give them a firm foundation for action knowing that they can depend on God’s grace in this complex world (Bonhoeffer 1986:248).

Another aspect needs to be considered in this context which is of importance in relation to TRANSFORMATIONAL LEADERSHIP and Christian ethics. It has been mentioned many times throughout this dissertation that TRANSFORMATIONAL LEADERSHIP often refers to Maslow’s hierarchy of needs and to a transformational leader’s ability to address the followers’ need for self-actualisation. The implicit assumption is that this kind of leading will equally contribute to a leader’s self-actualisation. This is not the place to discuss what self-actualisation all encompasses. Suffice to say that part of the need for self-actualisation lies in a person’s desire to feel good about him/herself. For a morally inclined leader this would naturally include feeling good about one’s own morality. However, transformational leaders will only be able to act responsibly in Bonhoeffer’s understanding of the term if they are willing and able to stop confirming their own goodness to themselves. “Self-actualisation” would not be found in pursuing a self-appointed spiritual goal but in participating as Christ’s representatives in Christ’s action in this world. Only on such a foundation could leaders be “willing to become guilty” if this is what the call of God on their lives required of them. And only on this foundation can they freely and authoritatively encourage the people under their responsibility to do likewise.

### **6.1.2. TRANSFORMATIONAL LEADERSHIP in light of Bonhoeffer’s mandates**

For an evaluation of TRANSFORMATIONAL LEADERSHIP along the lines of Bonhoeffer’s four mandates (work, marriage and family, government, Church) it will be helpful to recall the

interrelatedness of world view, intention, character and *menschenbild* as introduced in section 2.3.5.1 (Figure 6, page 52). The various aspects of TRANSFORMATIONAL LEADERSHIP and Bonhoeffer's mandates interact with these concepts on different levels.

A fundamental question the leader needs to answer is: "What is my responsibility in this world?" A leader needs to become aware of his/her position in each of Bonhoeffer's mandates in order to be able to define responsibilities, competencies and also limitations of responsibility. Burns defined TRANSFORMING LEADERSHIP on the background of political leadership, which would pertain to Bonhoeffer's mandate of the government with its task to ensure a secure place in which the other mandates can be exercised. TRANSFORMATIONAL LEADERSHIP as promoted by Bass comes out of an organisational setting, which means it needs to be evaluated on the background of the work-mandate, by whose means "there is created a world of things and values which is designed for the glorification and service of Jesus Christ" (Bonhoeffer 1986:209). In this respect Bonhoeffer's concept of appropriateness comes into play and a Christian leader needs to ask what ultimate goals TRANSFORMATIONAL LEADERSHIP pursues in a given situation. As long as its main service is to economic efficiency, following the dictate of consumerism, a Christian leader will have to consider very carefully whether s/he can bear the responsibility of submitting to this goal!

Burns was clear in his definition of a leader's responsibility: A leader should effect not just change, but real transformation, and s/he is to effect this by raising leader and follower to higher levels of morality. Bass officially has adopted the same claim, but—as has been amply shown throughout this dissertation—there is often a discrepancy between the claim of TRANSFORMATIONAL LEADERSHIP and the actual practice. If one considers TRANSFORMING and TRANSFORMATIONAL LEADERSHIP in light of Bonhoeffer's mandates one's gut reaction in many cases is "yes, but..."—with the "yes" being stronger toward Burns' TRANSFORMING LEADERSHIP, and the "but" appearing more often in relation to Bass' TRANSFORMATIONAL LEADERSHIP. Some of these "yes, but..." reactions shall be explained in more detail.

**Intention.** In the context of this dissertation intention has been defined as the motivation with which a leader approaches an action toward a follower. Intention is a concept which Bass also stresses: It is not the acts of a person which define whether s/he is an authentic transformational leader but rather the intentions shaping the acts. However, his frame of reference is not the leader's specific motivation toward followers, but a much more general "good will" of the leader in his/her actions.<sup>180</sup> But intention needs to be more than meaning

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<sup>180</sup> On this ground he can classify a politician as non-authentic if during a campaign he makes promises he knows he will not be able to fulfil. If however, he makes promises under the conviction that he would be able to fulfil them, he is considered an authentic leader, even if his ideas prove to have been far too optimistic (Bass & Steidlmeier 1999:191). Equalling an overestimation of one's own capabilities with authenticity seems a rather pie-eyed optimism!

well. If an intention is measured by the good will of the leader or by his/her compliance with organisational goals the doors are wide open for overstepping boundaries—which can be observed, as has been mentioned, by Bass himself sanctioning highly questionable means like manipulation if they are necessary to promote the “good cause”.

Rather, the question which intention needs to answer in each of the four “I”s of Bass’ TRANSFORMATIONAL LEADERSHIP (Idealised Influence, Inspirational Motivation, Individualised Consideration, and Intellectual Stimulation) is “What for?” What is the leader’s goal in being a role model? To what purpose does s/he advertise a vision? For what reason does s/he invest in developing and challenging followers? Christian leaders will have to be aware of and well rooted in their position in Christ to be able to continually face these questions and answer them honestly and without euphemising their own motivations. But doing so will open the leader to the corrective work of God’s spirit and the development of a mature character.

**Character.** It is only on such a background of honesty towards one’s own motivation that the discrepancy one sees so often between the proclamation of noble intents and a leader’s reality can be approached. Bass’ concept of Idealised Influence calls for leaders to be role models—a call one can only support from the point of view of Christian ethics. If a person acts in his/her four mandates as a representative of God, s/he is called to model God’s behaviour and purposes—and is thus a role model in the truest sense. Neuberger with his scathing irony describes a world in which transformational leaders as promoted by Burns and Bass would be the rule:

If we manage to exchange ‘well-behaved’ (top-)managers who ‘have worked their way up’ with transforming leaders who ‘act upon charismatic maxims like humility, service, and love’, the ‘political skirmish about one’s own career’ will stop, the ‘disappointment of workers on all levels of the hierarchy’ will be resolved, and ‘thousands of workers will be pulled out of lethargy into sharing the responsibility for a revitalization of their businesses’ [Kuhn 2000, 26f, who put together a collage of quotes from Bretz (1990)].  
(Neuberger 2002:219)<sup>181</sup>

What a prospect! But what kind of people are these that would promote such a change? One wonders indeed how such a dream could become reality with ever new scandals about leader behaviour filling the news. Echter (2007) suggests that first of all managers just would have to control their narcissistic inclinations (2007:81).<sup>182</sup> Very obviously this seems to ask too

<sup>181</sup> Original: “Wenn es gelingt, ‘brav hochgediente’ (Top-)Manager durch transformative Führer zu ersetzen, die nach ‘charismatischen Maximen wie Demut, Dienst und Liebe’ handeln, dann hört das ‘politische Gerangel um die jeweils eigene Karriere’ auf, wird die ‘Enttäuschung von Mitarbeitern aller Hierarchiestufen’ überwunden und werden ‘ganze Tausendschaften von Mitarbeitern aus ihrer Lethargie heraus in eine Mitverantwortung für eine Revitalisierung ihrer Unternehmen gerissen’ [Kuhn 2000, 26f., der hier eine Collage von Zitaten aus Bretz (1990) zusammenstellt].” (Neuberger 2002:219)

<sup>182</sup> Original: “...jeder Topmanager [sollte] erstens seine gierige, narzisstische Seite kontrollieren,...” (Echter 2007:81)

much of people. Bass and Riggio (2006:157) stress that one can learn to become a transformational leader. However, a change of inner attitudes requires more than acquired techniques. Greenleaf (1991), whose description of a servant leader in many ways corresponds with Burns' transforming leader, voiced the concern that in this process we should not lose sight of "where the new seed will come from or who the gardener to tend them will be" (:11). His focus in this quote was the transformation of institutions, but this is equally true for the development of leaders! Where should the selflessness of a leader come from in a world where the most important thing everybody learns and clings to is that s/he has rights? Bonhoeffer would point once more to a leader's need to be focused on God's reality and purposes and to answer God's call on the leader's life. Transformation in a leader's own life which goes so much against the grain of current culture surrounding the leader needs a solid base. This foundation the leader can find in living confidently in the reality of Christ's redemption, because "before one can become a Christian moral agent, one must first respond to the invitation of Christ to become a new creation (2 Cor 5: 11–21) and willingly and consciously enter into a process of moral formation" (Kretzschmar, Bentley & van Niekerk 2009a:6).

**Menschenbild.** A crucial question in relation to the evaluation of TRANSFORMATIONAL LEADERSHIP therefore seems to lie in the area of the *menschenbild*. Burns' idea that people—out of the pure joy of helping others to grow and advance—would put aside their own agenda and dedicate themselves to the advancement of "higher goals", seems not too much aligned to reality, neither does Kanungo and Mendonca's (1996) reliance on leaders' altruism. Neuberger's critique of the *menschenbild* underlying TRANSFORMATIONAL LEADERSHIP from a sociological perspective has been described in section 5.3.4. While he finds very clear words describing the problem he cannot really offer a satisfying solution. If one approaches these questions from the perspective of Christian ethics one finds that there is indeed a solution to these questions. It is the advantage of a Christian *menschenbild* that it accounts for both the good and bad in human beings and does not have to ignore or reinterpret the bad. Rather, because of Christ's redemptive action through his death and resurrection, transformation is possible so that the *imago Dei* inherent in each human being can manifest itself as people live their lives in this reality of Christ.

Living in Christ's reality does not account for a smooth life. Rather, since life happens fully in this world and yet the Christian's character is at the same time aligned toward God's ultimate reality, a Christian's life will be a life lived in tension. However, the Christian leader will be able to face the good and bad both in him/herself and in the other, knowing that both the leader as well as the other depend fully on the grace of God to be able to live responsibly



and yet in freedom. The awareness of the *imago Dei* in oneself is as important as the awareness of the *imago Dei* in the other, because “the less we appreciate that we are created in the image of God, the less we will treat others as if they are the bearers of God’s image” (Kretzschmar 2005:69).

It is on this background of an awareness of the *imago Dei* in oneself and in the other that a Christian leader will need to and be able to evaluate the methods proclaimed by TRANSFORMATIONAL LEADERSHIP and profit from them without so easily falling prey to their dangers. The four “I”s of TRANSFORMATIONAL LEADERSHIP offer indeed many good ideas for a leader: Their focus on looking at a person as a whole, including his/her feelings, abilities and needs is worthy of appreciation and appropriate for the respect which the dignity inherent in a person bearing the *imago Dei* merits. This is far removed from Taylor’s scientific management, intent on making the best “use” of people.

Aware of the *imago Dei* in the other person, one will be alert to the points where TRANSFORMATIONAL LEADERSHIP turns to methods which need to be rejected, for example in the breeding of dependencies to a charismatic leader figure. Leaders who are aware of this danger and who find their own sense of security and confirmation in their relationship before God will be able to encourage followers also to relate to the leaders from their position of security within God’s reality.

A Christian transformational leader will be aware that his/her responsibility as authority in a work relationship finds its limitations where it would infringe on the followers’ responsibilities in their other mandates or take on a role that is not appropriate for the mandate in which the leader-follower-relationship happens. For example, a Christian leader would become alert if s/he is supposed to take the role of a “benevolent father”, who should empower followers, but with the declared goal that the followers would identify with the leader in order not to lose the leader’s trust as the basis for their own self-growth, and that they would imitate the leader as “the epitome of all that is good and wise” (Kanungo & Mendonca 1996:69; see section 5.2.3, page 145, for the full quote). This is not to imply that Kanungo and Mendonca intend to misuse the relationship. Nor is it to imply that a follower could not respect a leader and appreciate him/her as a role model or even a father/mother-figure. But it is to point out that once one starts to use concepts borrowed from another mandate there is great danger of overstepping boundaries. The role of a transformational leader in the area of work is different from a father’s role in a family.

Transformational leaders who are aware that their foundation is in God’s grace toward them, that the authority they can exercise is entrusted to them by God, that they themselves stand under God’s authority and are only “fellow-creators” together with the followers (albeit in different functions within the work mandate) will make sure that they will not bind a

follower's self-worth to themselves. They will be aware that the bonds in a work relationship should not try to equal the bonds within a family, where the unity between Christ and the Church is to be modelled and where parents have the task and the authority to educate their children! And even though Bonhoeffer clearly states that in a family also the responsibility of a father finds its delineations where it meets the responsibility of the child, it is dangerous to mix these mandates, because in doing so "the freedom of the individual areas of life is destroyed" (Schirrmacher 2002:79).<sup>183</sup> During the time of the industrialisation the upcoming industries controlled workers' families in a way which made family life more or less impossible (Schirrmacher 2011a:122)—the area of the work mandate intruded into the mandate of marriage and family. But this was not restricted to several hundred years ago: The same seems to happen today when work relationships are supposed to take on the quality of familial bonds, whereas family is sacrificed on the altar of success (Neuberger 2002:210). It is laudable of TRANSFORMATIONAL LEADERSHIP that it does not want to use people in the way Taylorism did. However, if the danger of overstepping boundaries of the different mandates is not clearly faced, a TRANSFORMATIONAL LEADER can use people in a worse way, because s/he would not only exploit people's work capacity like Taylorism did but—ignoring the delineation of authority appropriate to the work mandate—would use them as whole beings on a much deeper level.

TRANSFORMATIONAL LEADERSHIP clearly needs to be recommended for its stress on encouragement, stimulation and advancement of followers. And yet, as has been mentioned before, this also includes a danger: The leader needs to be very aware of whether s/he truly advances the followers toward their higher needs or whether they are just manipulated into internalising the leader's goals. If a leader is aware of the *imago Dei* in the follower, the leader will not have to be pushed and trained to learn to consider the needs of the follower. Rather this will flow naturally out of the leader's desire for the followers to grow in their ability to hear and answer God's call on their lives. However, this kind of Individualised Consideration is not quite the same as the one advocated by TRANSFORMATIONAL LEADERSHIP. The first goal of this kind of Individualised Consideration is not to advance people for better performance. Rather it is the encouragement for living responsibly and in their God-given freedom. The side effect of this personal growth in responsibility will be that the follower will also live responsibly in his/her work-mandate—however, not because of the leader's inducement or for the ultimate success of the company, but for the sake of God and because this is the place where the follower can participate in God's creative action through his/her work-mandate.

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<sup>183</sup> Original: "Wer dagegen die Lebensbereiche vermischt, wird die Freiheit der einzelnen Lebensbereiche zerstören." (Schirrmacher 2002:79)

Ultimately, Bonhoeffer's mandates of work, family, government and Church provide the background on which the *imago Dei* can be realised in a person's life.

## 6.2. Implications for Wycliffe

What has been described above, naturally, also applies to leadership within the Wycliffe Global Alliance: Even though the claims might sound tempting, a Christian leader should not just swallow wholeheartedly what is offered by the different versions which have grown out of the new leadership paradigm—be they called charismatic, servant, transforming, transformational, authentic, or even biblical leadership. Rather, leaders need to put critical questions to the methods offered. The observations and findings presented in the previous sections of this chapter are very general, and each leader needs to apply them to his/her specific cultural background. The questions will differ which will then be raised as one is confronted with a leadership method supposed to be *the* suitable one for one's cultural situation. But they will always lead the leader back to the fundamental question: "Does this method which promises me success contribute to the manifestation of the reality of God in my sphere of influence?"

The following thoughts will therefore only raise some issues where this writer sees connections specific to Wycliffe as a Christian non-government organisation. These include Wycliffe's position in relation to Bonhoeffer's mandates, the role of a vision, and, finally, the question of power and empowerment.

Unlike the work and marriage/family mandates (as representatives of and participating in God's creative activity), and the mandate of the government (as representative of God's preserving authority), Bonhoeffer defined the Church's mandate as the mandate of the Word: concerned with the manifestation of Christ's reality in a person's life and the proclamation of this reality in the whole world. Locally, this mandate of the Church will be carried out by a community of believers. But it cannot be limited to or equalled with a certain church body. The organisations within the Wycliffe Global Alliance share the desire to make this proclamation of the Gospel possible. As such, within the framework of Bonhoeffer's mandates, they have a role in both the work and the Church mandate. For these kind of organisations, the danger of overstepping boundaries is especially prevalent.

It has been explained in section 1.5 that Wycliffe used to understand its role as a para church organisation. Para church organisations were founded to help the Church in her task in one specific area. As they grew and solidified institutionally they gradually moved from feeling a part of the Church, assisting her in a specific task, to taking on a life of their own. In terms of Bonhoeffer's mandates, what happened there was that instead of the mandate of the Church (the reality of God as proclaimed in each area of life) *informing* the work mandate (which is the area of institutions), the area of the work mandate tended to *dominate* the

mandate of the Church. Bonhoeffer talks about the relationship of the mandates: “It is only in conjunction, in combination and in opposition with one another that the divine mandates of the Church, of marriage and the family, of culture and of government declare the commandment of God as it is revealed in Jesus Christ” (Bonhoeffer 1986:291). These relationships will always be experienced in a healthy tension, and the overstepping of boundaries will lead to a breakdown of this healthy tension and result in antagonism.

In the wake of *Vision2025* (see section 1.5.2.1) the international leadership team has stressed Wycliffe’s role not as an organisation apart from the Church, but rather as part of the world wide Church. This perception of being part of a movement within the Church surely helps in bringing the appropriate relationships of the work and Church mandates back into focus. However, care must be taken that it would not lead to a neglect of the distinction between the two, playing off one against the other—which would lead to a similar overstepping of boundaries. Being part of a movement will not serve as a remedy against institutionalism, just like in terms of a reconciliation of cultural differences collectivism cannot serve as a remedy against individualism (see section 5.4.4). How the vision which motivates Wycliffe is put into practice will for most of the people working with the organisation still happen in the area belonging to the work mandate.

A clear distinction of which aspects of the organisational “life” need to function according to the Church mandate and which ones fall under the work mandate is important on the organisational level. But it is equally important on an individual level, both for leaders and for the people they lead. Wycliffe is an organisation with a strong vision and mission, and *Vision2025* has given increased momentum to the drive people in the organisations generally have. One finds many people within the organisations belonging to the Wycliffe Global Alliance who are very excited about being able to have a job which is intrinsically meaningful to them (irrespective of whether or not they have a transformational leader as supervisor who consciously tries to imbue a job with meaning), and because Bible translation and the related ministries are perceived as “spiritual” jobs, there is a great danger to allow this work-mandate to fuse with what one perceives as one’s Church mandate. This unhealthy amalgamation then can take on dimensions which crowd out one’s responsibilities in the marriage/family and the government mandates. Which area of responsibility one tends to neglect in such a situation will be different for each person, but the result will be the same: the loss of the ability to really listen to God’s call on one’s life as it relates to all four mandates.

The other area where this amalgamation leads to difficulties is in how one perceives the status of one’s own ideas and work in a project. Since the vision is equalled with God’s plan, one naturally tends to expect others to share it, and if they don’t, one assumes the right to define for them what is obviously good for them—ignoring the fact that others, as equal

bearers of the *imago Dei*, also have the right, the freedom and the responsibility to make this decision for themselves before God and within their community.

There is a third area which will suffer in a project situation, if the responsibility and rights within a work mandate are not acknowledged: People will not be willing to submit to an administrative structure which might “endanger” their personal vision. It is therefore important that Wycliffe’s general vision, and equally *Vision2025* with its clear temporal perspective, do not become the sole life vision of a person and replace the true calling for any person bearing the *imago Dei*: to make God’s reality visible in their lives. *Vision2025* can give direction to the work mandate within which people associated with Wycliffe answer God’s call, but it is not equal with God’s mandate for the Church. Leaders and workers concerned with the Bible translation ministry need to see their contribution within this ministry on a more holistic basis: The main task is not to make the need for Bible translation known in churches, or to recruit new workers or find funding, or even give people in a certain language group access to the Bible, or to train literacy teachers. For anybody who takes Bonhoeffer’s distinction of the four mandates seriously the main task will be to hear God’s call on their lives to find out how the reality of God can be made visible in their sphere of influence in *each* of the four mandates, and to help and encourage others to do the same.

Section 5.3.4 introduced Etzioni’s distinction between different levels of integration within an organisation and described healthy and unhealthy connections between integration and commitment within an organisation. At that point it was mentioned that a church as a normative body can elicit a moral commitment. A business organisation, however, should only elicit a calculating commitment. The table on page 170 can give another indication why it is so important to keep the work and Church mandates clearly defined and separated, especially in an organisation with such a strong Christian outlook as the Wycliffe Global Alliance, in which people join because of shared values and goals, i.e. because of a shared moral foundation. In relation to God, from whom the mandates come, the commitment will always be a moral one, but between people as in a work relationship, the demand for a moral commitment can easily turn, what is intended as motivation to share in a good cause, to coercive persuasion as described in section 5.3.3.

A topic which has played an important role throughout this whole discussion is the role of power and empowerment. This writer, while being sceptical of Cameron Townsend as a role model in terms of balancing Bonhoeffer’s four mandates in his own life (especially in his early years of ministry), still considers him exemplary in his perceptiveness as to the possibility of abuse of power by consciously curtailing his own power as director of the organisations. Section 1.5.3.4 introduced some of the specific challenges the Wycliffe Global Alliance faces as people from very distinct backgrounds need to work together: some coming from former

colonial powers, others from former colonised countries. There is great danger in perceiving a reversal of power as a possibility to right the historical ill. However, neither appointment to power positions of people from former oppressed countries nor abstinence from such of people from former oppressors can heal historical ills. The same is true for the question of empowerment which plays such an important role in TRANSFORMATIONAL LEADERSHIP. If someone feels powerless as a person, empowering him/her will not change this perceived void. It is like a bottomless pit, for which actions of empowerment at the most will produce temporary relief. Rather, a person needs to become sure of his/her God given dignity as being created in the *imago Dei* and imbued with God given authority to fulfil God's call on the person's life. It is on such a background that actions of empowerment, as suggested by TRANSFORMATIONAL LEADERSHIP, can be really helpful.

Within section 1.5.3 the stress within the organisation on leaders as “reflective practitioners” (Franklin 2012:118–120) has been introduced. The current discussion confirms the importance which character development plays in this process. Leaders need to find their identity in relationship to God and within the context of God's reality. This will free them to truly practise humility as Vest defined it: to neither give in to pride nor to despair, but to “face the truth, especially about ourselves, and then constantly ask God's power to forgive and heal our brokenness” (Vest 2000:90). On this background a leader can joyfully acknowledge his/her God given gifts and, as carriers of the *imago Dei*, use them for the glory of God. On the same background the leader will see the *imago Dei* in the people for whom s/he takes responsibility and encourage them in their own capacity as reflective practitioners.

### 6.3. Conclusion

The dissertation was undertaken to answer the three questions posed in section 1.3. And while answers to these questions could be found, it seems that at the same time more questions have been raised. To investigate them would go beyond the scope of this discussion. Others will have to pick up on them and develop them further.

#### Questions regarding leadership theories.

- This dissertation was concerned with the origins of the new leadership paradigms. Therefore the focus lay on TRANSFORMING and TRANSFORMATIONAL LEADERSHIP. Ethical considerations play a bigger role in the later developments of TRANSFORMATIONAL LEADERSHIP, as can be observed in Avolio and other scholars working on AUTHENTIC LEADERSHIP which has been briefly introduced. It would be interesting to investigate further whether in their version of an ethical leadership paradigm they consider the ethical content of the vision.

- Another question would be whether they consider the wider system like Burns demanded, or—in Bass’ tradition—whether they also limit their sphere of responsibility to what is easily manageable to avoid challenging the label “ethical”.

**Questions regarding the theological application.** These are questions that are especially relevant for Christian leadership. Whatever form this Christian leadership takes—whether it is influenced by TRANSFORMING, TRANSFORMATIONAL, SERVANT, CHARISMATIC or AUTHENTIC LEADERSHIP or any other model which brings helpful ideas to leadership—the basis will always be the reality of God and for this reason questions which consider this reality of God and its effects on leadership (for example the relationships of responsibility as introduced in Figure 16) are of special interest to Christian leaders.

- Within this dissertation it has been mentioned that each of Bonhoeffer’s mandates has distinct possibilities to encourage or enforce compliance. However this has not been further explicated. It would be worthwhile to compare these with motivational aspects of TRANSACTIONAL, TRANSFORMING and TRANSFORMATIONAL LEADERSHIP.
- In connection with the mandates and also within the discussion about the authorisation for ethical discourse Bonhoeffer stresses authority structures, the “above” and the “below”. One perceives a tension between what he says on the one side, Tourish’s warning of the overemphasis on leader agency on the other, and the discussions about shared leadership on the third. This would be worth some deeper investigation.
- It is a characteristic of Bonhoeffer’s approach to ethics that he is very cautious when it comes to giving concrete instructions for action. He is very much opposed to having ready made answers which one could consult on any given situation. Nullens (2013) explains the positive aspects of Bonhoeffer’s broad approach to spirituality and also indicates areas which should be investigated further. This writer fully agrees with Nullens. And yet, not every leader will be able to follow Bonhoeffer’s general and rather meditative approach. It would be helpful to “translate” some of his advices (also found in his other writings) into possible actions specific for a leadership situation, for example: How can leaders actually distinguish God’s call on their lives? How can a leader practise living Christ centred in the demands of the job? How can s/he in the daily interactions with staff/followers encourage them to do the same without confusing the mandate of work with the mandate of the Church. In other words: How can a Christian practise living an integrated life which will include his/her spirituality even in the area of work without falling prey to the dangers Tourish (2013:59ff) points to?

- Another area where the concept of Bonhoeffer's mandates needs to be translated into concrete situations is in the relationship between the work and Church mandate in faith based organisations. The danger lurking if the two areas infringe on each other has been indicated. However, a more extensive discussion of this relationship and the extent and limitations of the two mandates in this specific situation would be helpful.

This dissertation started out with a description of the muddled field of TRANSFORMING and TRANSFORMATIONAL LEADERSHIP. It is my hope that through this discussion leaders and leadership scholars will be enabled to clearly distinguish which elements in the "market of leadership methods" they want to embrace and which they want to distance themselves from.



## 7. Appendix

### 7.1. Propositions of House's 1976 charismatic leadership theory

**Proposition 1.** Characteristics that differentiate leaders who have charismatic effects on subordinates from leaders who do not have such charismatic effects are dominance and self-confidence, need for influence, and a strong conviction in the moral righteousness of their beliefs. (House 1977:194)

**Proposition 2.** The more favorable the perceptions of the potential follower toward a leader the more the follower will model: (a) the valences of the leader; (b) the expectations of the leader that effective performance will result in desired or undesired outcomes for the follower; (c) the emotional responses of the leader to work related stimuli; (d) the attitudes of the leader toward work and toward the organisation. Here "favorable perceptions" is defined as the perceptions of the leader as attractive, nurturant, successful, or competent. (:196)

**Proposition 3.** Leaders who have charismatic effects are more likely to engage in behaviors designed to create the impression of competence and success than leaders who do not have such effects. (:197)

**Proposition 4.** Leaders who have charismatic effects are more likely to articulate ideological goals than leaders who do not have such effects. (:198)

**Proposition 5.** Leaders who simultaneously communicate high expectations of, and confidence in followers are more likely to have followers who accept the goals of the leader and believe that they can contribute to goal accomplishment and are more likely to have followers who strive to meet specific and challenging performance standards. (:201)

**Proposition 6.** Leaders who have charismatic effects are more likely to engage in behaviors that arouse motives relevant to the accomplishment of the mission than are leaders who do not have charismatic effects. (:203)

**Proposition 8.** A necessary condition for a leader to have charismatic effects is that the role of followers be definable in ideological terms that appeal to the follower. (:205)

(Proposition 7 was omitted)

### 7.2. Propositions of Shamir, House & Arthur's motivational theory of charismatic leadership

**Proposition 1.** In order to implicate the followers' self-concepts, compared to noncharismatic leaders, the deliberate and nondeliberate messages of charismatic leaders will contain:

- (a) more references to values and moral justifications,
- (b) more references to the collective and to collective identity,
- (c) more references to history,

- (d) more positive references to followers' worth and efficacy as individuals and as a collective,
- (e) more expressions of high expectations from followers,
- (f) more references to distal goals and less reference to proximal goals. (Shamir, House & Arthur 1993:586)

**PROPOSITION 2.** The more leaders exhibit the behaviors specified above, the more their followers will have:

- (g) a high salience of the collective identity in their self-concept,
- (h) a sense of consistency between their self-concept and their actions on behalf of the leader and the collective.
- (i) a high level of self-esteem and self-worth.
- (j) a similarity between their self-concept and their perception of the leader.
- (k) a high sense of collective efficacy. (:586)

**PROPOSITION 3.** The more leaders exhibit the behaviors specified in the theory the more followers will demonstrate:

- (a) personal commitment to the leader and the mission,
- (b) a willingness to make sacrifices for the collective mission,
- (c) organisational citizenship behavior,
- (d) meaningfulness in their work and lives. (:587)

**PROPOSITION 4.** A necessary condition for a leader's messages to have charismatic effects is that the message is congruent with the existing values and identities held by potential followers. (:588)

**PROPOSITION 5.** The more the potential followers have an expressive orientation toward work and life, the more susceptible they will be to the influence of charismatic leaders. (:588)

**PROPOSITION 6.** The more the potential followers have a principled orientation to social relations, the more susceptible they will be to the influence of charismatic leaders. (:588)

**PROPOSITION 7.** The emergence and effectiveness of charismatic leaders will be facilitated to the extent to which:

- (l) There is an opportunity for substantial moral involvement on the part of the leader and the followers,
- (m) Performance goals cannot be easily specified and measured,
- (n) Extrinsic rewards cannot be made clearly contingent on individual performance,
- (o) There are few situational cues, constraints and reinforcers to guide behavior and provide incentives for specific performance,
- (p) Exceptional effort, behavior and sacrifices are required of both the leaders and followers. (:590)

### 7.3. Components of Conger & Kanungo's behavioural theory of charismatic leadership

**Hypothesis 1:** The behavioral components of charismatic leadership are interrelated, and as such they form a constellation of components. (Conger & Kanungo 1987:640)

#### *Charisma and the future vision*

**Hypothesis 2:** Leaders are charismatic when their vision is highly discrepant from the status quo yet remains within a latitude of acceptance for their followers. (:642)

**Hypothesis 3:** Charismatic leaders may take on high personal risks, incur high costs, and engage in self-sacrifice to achieve a shared vision. (:642)

**Hypothesis 4:** Charismatic leaders demonstrate expertise in transcending the existing order through the use of unconventional or extraordinary means. (:642)

#### *Charisma and unconventional behavior*

**Hypothesis 5:** Charismatic leaders engage in behaviors that are novel, unconventional, and counternormative, and as such, involve high personal risk or high probability of harming their own self-interest. (:643)

#### *Charisma and sensitivity to the environment*

**Hypothesis 6:** Charismatic leaders engage in realistic assessments of the environmental resources and constraints affecting the realization of their visions. They implement innovative strategies when the environmental resource-constraint ratio is favorable to them. (:643)

#### *Charisma and articulation*

**Hypothesis 7:** Charismatic leaders portray the status quo as negative or intolerable and the future vision as the most attractive and attainable alternative. (:644)

**Hypothesis 8:** Charismatic leaders articulate their motivation to lead through assertive behavior and expression of selfconfidence, expertise, unconventionality, and concern for followers' needs. (:644)

#### *Charisma and the use of personal power*

**Hypothesis 9:** Charismatic leaders' influence on their followers stems from the use of their personal ideosyncratic power (expert and referent) rather than the use of their position power (legal, coercive, and reward) within the organisation. (:644)

**Hypothesis 10:** Charismatic leaders exert ideosyncratic personal power over their followers through elitist, entrepreneurial, and exemplary behavior rather than through consensus-seeking or directive behavior. (:644)

#### *Charisma and the reformer role*

**Hypothesis 11:** Charismatic leaders act as reformers or agents of radical changes, and their charisma fades when they act as administrators (caretaker role) or managers (nudging role). (:644)

***The context for emergence of charisma***

**Hypothesis 12:** Contextual factors that cause potential followers to be disenchanted with the prevailing social order, or that cause followers to experience psychological distress, although not a necessary condition for the emergence of charismatic leaders, facilitate such emergence. (:645)

**Hypothesis 13:** Under conditions of relative social tranquility and lack of psychological distress among followers, the actions by a leader that foster or support an attribution of charisma facilitate the emergence of that leader as a charismatic leader. (:645)

**7.4. Mission, Vision and Core Values of the Wycliffe Global Alliance**

**7.4.1. Mission**

In communion with God and within the community of the worldwide Church, we encourage and facilitate God's people for participation in holistic ministry that serves Bible translation movements, Scripture access and application.

**7.4.2. Vision**

Individuals, communities and nations transformed through God's love and Word expressed in their languages and cultures.

**7.4.3. Core Values**

**The Glory of God among the Nations**

Living and serving to God's glory so people of all nations might know and glorify Him.

**Christlikeness in Life and Work**

Following Christ's example in who we are and what we do (e.g. in thought, behaviour and action).

**The Church as Central in God's Mission**

Believing the Church is created, called and equipped by God to evangelise the world and disciple the nations.

**The Word Translated**

Trusting God to transform lives through His Word translated into the languages and cultures of the world's peoples.

**Dependence on God**

Depending on God and His sufficiency to equip and sustain for life and mission.

**Partnership and Service**

Serving in interdependent partnership as an expression of the unity of believers. Serving as a community through holistic ministry that facilitates translation, access and use of God's Word.

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