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Leadership In Prison Industry

Paul Stanley Crookall

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Contribution to Management

This study should be of use to managers of correctional institutions who are reviewing their approach to managing inmate work and the use of leadership style. It provides an assessment of the impact of two types of leadership training. Implications can be drawn for the selection and training of staff.

In Canada and the United States over 500,000 inmates produce goods and services with an annual value of over \$4 billion. The most modest increase in performance would have a significant economic impact for the correctional agencies. In addition, there is research evidence that development of work skills and pro-social values has the benefit of reducing recidivism. (Ross & Gendreau, 1980; Gendreau & Ross, 1983)

The prison situation may be unique, but the work force is not. Apart from their criminal record, inmates in general cannot be distinguished by sociometric or biographical tests from the larger sub-culture of the socio-economically disadvantaged (Ingstrup, 1985). A ten year study by the U.S. Department of Labour (Banks, 1982), a review of research on the culturally disadvantaged (Koch, 1974), a fifteen year study of American lifestyles and personality groups



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LEADERSHIP

IN

PRISON INDUSTRY

**A study of the effect of training prison shop
foremen in Situational or Transformation Leadership
on inmates' productivity and person growth.**

by

Paul Stanley Crookall

School of Business Administration

**Submitted in partial fulfilment
of the requirements for the degree of
Doctor of Philosophy**

**Faculty of Graduate Studies
The University of Western Ontario
London, Ontario
January, 1989**

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ABSTRACT

How do some managers inspire extraordinary achievement, going beyond productivity to touch the lives of their subordinates, while others in the same organization, drawing from the same employee pool, make do with ordinary or insufficient performance? One key difference appears to be the leadership style of the manager. Situational Leadership Theory contends this can be done by matching the leader's amount of relationship and task-oriented behaviour to the skill level and willingness of subordinates. Transformational Leadership Theory contends it is done through charisma, individualized consideration, and intellectual stimulation.

This research applies the two theories and measures their impact on subordinate productivity and growth. Staff who supervise inmate work in penitentiaries were divided into three groups. One group received training in Situational Leadership, another group received training in Transformational Leadership, and the third group served as a control. Measures were taken on the work-group productivity and inmates' personal growth for a three month period before the training and a three month period after the training program. The training program was also evaluated.

Both experimental groups improved on many of the dependent variables, with increases of ten percent to fifty percent on key measures, while the control group was generally stable. Both courses were highly rated by those who attended and by the managers who saw the impact on their staff. Both experimental groups improved on both productivity and personal growth variables. The Situational Leadership Group had greater improvement on productivity, the Transformational Group had greater improvement on personal growth and development.

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The management, staff, and inmates at the several penitentiaries involved in this study all made valuable contributions. Unfortunately, it is not possible to acknowledge them by name since the identity of the penitentiaries and individuals involved has been disguised in order to provide confidentiality to those involved in the study who requested confidentiality.

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CHAPTER 1: INTRODUCTION

1.1 THE PROBLEM

This research addresses the intersection of two problems. The first problem comes from leadership theory and concerns the merit of modern leadership theories and the appropriateness of training supervisors in leadership. The second problem comes from corrections management and concerns the potential for those who supervise inmate workers to influence their productivity and personal growth.

The problem: How do some managers inspire extraordinary achievement, going beyond expectations, while others, in the same organization, drawing from the same employee pool, achieve much less? Can leadership training assist correctional staff to improve the work performance and personal growth of inmates and, by generalization, do the same in other situations?

1.1.1 Situational Leadership Theory

Leadership Theory has developed over the past half century from a search for the traits that make a person a great leader, through study of the behaviours of leaders that make them effective or ineffective, to study of the situational factors that modify the effectiveness of various leader behaviours.

Situational or contingency theories generally studied the modifying effect of factors in the subordinate, the task, and the work environment on the appropriateness of the two main leader behaviours of Consideration (warmth, concern for subordinates, support, encouragement, two-way communication) and Initiating Structure (providing direction, concern for task accomplishment, one-way communication, spelling out tasks, structuring).

Contingency theories are, for the most part, transactional - they focus on the outcomes of productivity, profitability, and job satisfaction. The leadership processes focused on are managers providing rewards in exchange for subordinate performance, and managers intervening in problems or poor performance situations.

Task and Relationship Behaviour

Situational Leadership is one of several contingency or situational theories. All have been influenced by the leadership studies initiated in 1945 by the Bureau of Business Research at Ohio State University. Defining leadership as the behaviour of an individual when directing the activities of a group toward goal attainment, they were able to use factor analysis to group most relevant leader behaviour into two dimensions: Initiating Structure and Consideration.

Initiating Structure groups several behaviours that define the relationship between the leader and members of the group and how the job gets done: defining roles, organization, channels of communication, initiating activity, setting procedures, tasks, and product. Consideration groups behaviours that are more interpersonal, and show concern for the welfare of other group members, respect, warmth, taking the other person into account, two-way communication, appreciation for good work, attention to job satisfaction, providing support, and friendliness (Stogdill & Coons, 1957). The two dimensions are independent, and one can be high or low on each, providing four basic styles. Much subsequent research and theory-building addressed the issue

of whether there is one best style combination of Consideration and Initiating Structure, or whether effectiveness depends on interaction with factors in the situation.

Arguing for one best style were Blake and Mouton (1978, 1982). Their "managerial grid" calls for a combination of high concern for production and high concern for people where "work accomplishment is from committed people; interdependence through a common stake in the organization purpose leads to relationships of trust and respect" (1978, p.11). Similar approaches were developed by Argyris' Mode Two (1976) and Likert's System IV (democratic) (1967).

Situational theories built on the Ohio studies' two dimensions, and Korman's (1966) conclusion that no one style worked best across different situations.

Fiedler (1967) for example identified three situational variables that affected the effectiveness of using Initiating Structure and Consideration. They were leader-group member relations, task structure, and leader position power. Hersey and Blanchard (1982) identified subordinate maturity as the key situational variable.

Situational Leadership

Situational Leadership, developed by Hersey and Blanchard (1977), made an important contribution to contingency theories. It identified subordinate maturity (the ability and willingness to work) as the key modifying variable of the two main leader behaviours of Consideration and Initiating Structure (called relationship behaviour and task behaviour by Hersey and Blanchard). Leader effectiveness, they claimed, depends on using the right mix of task and relationship behaviour to match the subordinate's level of ability and motivation. The critical advance made by Situational Leadership was the recognition that it is the leader's responsibility to attempt to improve the maturity of subordinates, to gradually develop subordinates, to create mutual trust and respect, and to adjust leader behaviour to suit the subordinate.

Situational Leadership is a popular theory, well known among managers and frequently used in business and government. Its focus on subordinate maturity fits well with the correctional environment, where the ability and motivation levels of inmates are lower than in most work forces and are of concern to correctional managers. The focus on improving subordinate maturity is also a good fit because the mandate of most correctional agencies includes

rehabilitation. For these reasons, Situational Leadership appears to have potential application to the problem of supervising inmates' work in a way which achieves higher productivity and personal growth. However, there are serious conceptual problems with Situational Leadership Theory noted in the literature; the research findings on use of Situational Leadership are mixed; and there is some evidence that inmates may not respond to the recommended Situational Leadership style as predicted by the theory's authors.

Given the popularity and potential benefits of Situational Leadership, yet recognizing the concerns and potential problems, it is important to study the use of Situational Leadership in the correctional setting.

1.1.2 Transformational Leadership Theory

While Situational Leadership Theory remains popular with practicing managers and in the academic literature, increasing attention is being paid to charismatic and transformational theories of Leadership. Transformational theories hold that leaders with charisma are better able to influence their subordinates. The theory deals with dependent variables beyond compliance, productivity at satisfactory levels, and performance-reward exchanges. Transformational leaders

do not accept things as they are: the leader tries to change things, to break with the past, to go beyond expectations, to influence the lives of subordinates (Bass, 1985). Leader objectives include altering subordinates' attitudes, values, and behaviours, raising maturity levels, and achieving performance beyond normal expectations. This is done through building on the base established by transactional leadership. Transactional management, the use of reward and punishment and management by exception, provide well known increments to performance. By adding charisma, inspiration, individualized consideration for each subordinate, and intellectual stimulation of subordinates, even greater increases in productivity, accompanied by personal growth, can occur. At times the individual effect is quite dramatic.

The concept was articulated by Burns (1978), who described political leaders. It has been build on by many, notably Bass (1985), and is still evolving.

Transformational leadership is now considered separate from charismatic leadership, because it features an interest in subordinate personal growth that charismatics don't always have (Howell, 1988). It has also been brought down to the shop floor level, and is no longer confined to high profile leaders (Bass, 1985).

The theory, while relatively new, has research support and has been the subject of few conceptual criticisms or negative research findings. See Conger and Kanungo (1988) and Hunt et al (1988) for summaries. It is potentially relevant to corrections, having a good fit with the joint needs for improved productivity and personal growth. However, it involves change, a break with the past--behaviours not traditionally well received in the very cynical and conservative world of penitentiaries. There is the danger that Transformational Leadership will be seen as too different and, therefore, rejected. There is also the potential that the theory, developed and tested on much higher ability and motivation work-forces, will not be transferable to the population of interest in this study. For these reasons, it is important to study the use of Transformational Leadership in the correctional setting.

1.1.3 Supervision of Inmate Work

One of society's most difficult supervisory roles, where management and leadership are put to the acid test, is the role of foreman for inmate work groups in prison. Starting with a work force that is low on skill and motivation (Singer, 1976), the foreman often works in outdated facilities with obsolete equipment (Cooper, 1969), inappropriate and difficult to market product lines

(Abt, 1978), inmates with low expectations, more workers assigned than needed, short and interrupted work days (Grissom and Louis, 1981), low wages and boring work (Legge, 1978), while trying to achieve multiple conflicting goals of production, babysitting, teaching, control, and reducing recidivism (Lightman, 1979). Within this setting the foreman is asked not only to achieve production targets or service standards but also to contribute to the control and good order of the prison, to teach inmates good work behaviour habits and work/trade skills, and to encourage work-oriented, law-abiding behaviour when the offender is released into the community.

Many foremen have given up in frustration with the overwhelming difficulty, if not impossibility, of the task. These practitioners have been supported by researchers who contend "nothing works" with this population, in this situation (Bailey, 1966; Brody, 1976; Greenberg, 1977; Lipton, Martinson and Wilkes, 1975; Martinson, 1974; Robinson and Smith, 1971).

Yet at the same time, working with similar inmates in similar situations, there are anecdotal reports of some foremen who frequently inspire extraordinary achievement, going beyond productivity to touch the lives of their subordinates. How do such foremen achieve what their colleagues do not? What is it about

them, or about their behaviour, that makes it possible to exceed workplace productivity norms, to provide quality products, on-time service, while modifying inmates' attitudes and impacting on long-term values and recidivism rates?

Considerable research has examined several variables that affect the outcomes of prison work. These variables include wages, product line, marketing, and equipment. Until the present study, research has not included leadership. There is, however, some anecdotal evidence that the individual leadership style of some shop foremen has a significant impact. Assuming that leadership skills can be learned, there appears to be some potential contribution to correctional objectives through increasing the use of Situational and/or Transformational Leadership by shop foremen who supervise inmate work. There also appears to be potential to contribute to the resolution of some theoretical issues related to the two theories through an actual field test.

1.2 OVERVIEW OF THE STUDY; RESEARCH OBJECTIVES

This is an action-oriented evaluative study of leadership in a correctional setting.

Sixty shop foremen from a major North American correctional agency and the approximately 350 inmates who work for them were divided into three equal size groups. The foremen in the first group received three days of training in Situational Leadership (SL). The foremen in the second group received three days of training in Transformational Leadership (TFL). The third group received no leadership training and served as a control group (C). Several measures were taken for the three month period before, and for the three month period after the training. Measures included leader style, work group productivity, absenteeism, turnover, and inmate personal growth. Pre-and post-measures were compared to determine the impact of leadership training on subordinates.

The objectives of this study were:

- 1. To evaluate the impact of training in Transformational Leadership in this setting on subordinate personal growth and productivity, to provide evidence on whether the actual effects are as postulated by the theory;**

2. **To evaluate the impact of training in Situational Leadership in this setting on productivity and subordinate maturity, to provide evidence on whether the actual effects are as postulated by the model;**
3. **To study and assess the theoretical implications of these findings for leadership theory;**
4. **To develop recommendations for leadership training, theory building, and future research.**

1.3 POTENTIAL CONTRIBUTION, IMPORTANCE OF THE PROBLEM

This research is, to this author's knowledge, the first evaluation of competing leadership theories in a quasi-experimental field setting. Its potential contribution is in three areas: the management of inmate workers, leadership theory, and research methodology.

Contribution to Management

This study should be of use to managers of correctional institutions who are reviewing their approach to managing inmate work and the use of leadership style. It provides an assessment of the impact of two types of leadership training. Implications can be drawn for the selection and training of staff.

In Canada and the United States over 500,000 inmates produce goods and services with an annual value of over \$4 billion. The most modest increase in performance would have a significant economic impact for the correctional agencies. In addition, there is research evidence that development of work skills and pro-social values has the benefit of reducing recidivism. (Ross & Gendreau, 1980; Gendreau & Ross, 1983)

The prison situation may be unique, but the work force is not. Apart from their criminal record, inmates in general cannot be distinguished by sociometric or biographical tests from the larger sub-culture of the socio-economically disadvantaged (Ingstrup, 1985). A ten year study by the U.S. Department of Labour (Banks, 1982), a review of research on the culturally disadvantaged (Koch, 1974), a fifteen year study of American lifestyles and personality groups

(Mitchell, 1983) and a review of the literature on managing chronic poor performers (Miner and Brewer, 1976) all place the majority of inmates and ex-inmates within the subgroup of the culturally disadvantaged. Generally speaking, people who come from a culturally or socially disadvantaged background, and end up either in the criminal justice system as offenders, or in work places as chronic poor performers, share a common set of characteristics. These characteristics include poor education, low job skills, low motivation to work in traditional work organizations, work habits and expectations about jobs that are incompatible with middle class norms and organizational requirements, poor self-confidence, low frustration tolerance, impulsiveness, and action orientation.

The wider population of the low skill, low motivation disadvantaged is of considerable economic and social importance. Due to the similarities in these two populations, the findings of this research should be generalizable to the larger population of the socio-economically disadvantaged. However, even if the results are not so generalizable, the research should still be generalizable to other prison settings.

The present research responds to a need identified by Bass (1981, p.611) in his revision of Stogdill's Handbook of Leadership:

"We need to learn how to train the average supervisor in the sensitivities and interpersonal competencies required of a transformational leader. We need to determine how to select potential transformational leaders who may not show up as well on many currently available predictors (used to select) transactional leaders. We need to overcome the parochialism that has characterized empirical leadership research, which has been focused on the easier-to-study transactional leadership."

Contribution to Theory

This study makes a contribution by testing, in a field setting, two prominent leadership theories, Situational and Transformational.

Situational Leadership has been often criticized by academics for its conceptual difficulties, but is well accepted by practicing managers. Rather than debunking the theory, the research explores if it works and, if so, why. Transformational Leadership is a newer theory, with some research support. This study should add to the body of knowledge on Transformational Leadership.

This research provides a severe test of both theories. It examines if theories developed for the mainstream can be applied at the extreme. It examines if leadership training, unaccompanied by other Organization Design efforts, is sufficient to measurably affect subordinates.

Contribution to Methodology

This study uses program evaluation techniques, in a replicable manner, to compare two competing theories. It provides an infrequent longitudinal field study. It bridges the gap between the disciplines of organizational behaviour and criminology, contributing to cross-fertilization of concepts and methods. This is accomplished through a design featuring a three month pre-test assessment, training, and a three month post-test assessment.

1.4 OUTLINE OF THE DISSERTATION

Chapter Two is a review of the literatures researched in the first phase of this study. This covers leadership theory, management of culturally disadvantaged and difficult workers, criminology and offender change, and prison industries.

Chapter Three integrates the main themes from these literatures, provides a model of how leadership may work in this setting, describes how variables were operationalized, and proposes hypotheses to be tested in the research.

Chapter Four describes the research method including the sample, the methods of measuring, and the nature of the training.

Chapter Five presents the results of the pre-test, the training, and the post-test, as well as analysis of these results.

Chapter Six discusses the results, the implications for managers, the support for the hypotheses, the limitations of this study, and its application to Situational and Transformational Leadership theories. Recommendations for future research and the use of leadership training are made.

CHAPTER 2: LITERATURE REVIEW

2.1 INTRODUCTION

This literature review examines relevant work from the disciplines of corrections, industrial and organizational psychology, and business administration.

The corrections literature review provides: typologies of inmates; assessments of what works in rehabilitation, (including some work on leadership style of parole supervisors); and a description of what is effective in achieving prison industry productivity comparable to the private sector. It does not address the issue of leadership style at work.

The industrial and organizational psychology literature review describes research done on integrating the culturally disadvantaged into the work force, including appropriate supervisory styles. The majority of the corrections clientele are members of culturally disadvantaged groups, with similar education, work experience, and work-related values. Implications for leadership are drawn.

The business administration literature review focuses on Situational and Transformational Leadership - the theory's development, conceptual issues, and research (supportive and non-supportive). The application of the theories to corrections, and the potential implications of findings from the correctional and organizational psychology literatures, are discussed.

2.2 THE CORRECTIONAL LITERATURE

Early correctional theory held that criminals were, by and large, incorrigible. Severe punishment and exile were common. In the eighteenth century religious reformers created the penitentiary, a place of quiet solitude where miscreants could reflect on their evil, God's good, and become "penitent". In the twentieth century corrections management philosophy changed from its religious roots, to become more social-work based. The medical model gained acceptance: criminality was a treatable condition, if only the right treatment could be found and administered, whether the criminal liked it or not. But they never found the right treatment. During the 1960s and 1970s several researchers concluded that since nothing worked one might as well give up and make prisons human warehouses (Martinson, 1974).

There were at least three reactions to the "nothing works" research. One set of staff accepted the findings and did nothing, did not seek to influence inmate behaviour. Another set sought refuge in the laissez-faire "opportunities" model - we will provide facilities and programs: if an inmate wants to change, he can come to us and we will act as brokers to connect him with the right opportunities. Neither of these had any positive impact. A third track was to investigate what works.

2.2.1 What Works

Gendreau and Ross, in various summaries of the corrections research literature (Gendreau and Ross, 1979; Ross and Gendreau, 1980, 1983; Ross and Fabiano, 1985) concluded that many offenders have deficiencies in such cognitive functions as social perspective taking, interpersonal problem solving, and means-end reasoning. As a result they tend to be egocentric, non-reflective, action-oriented, impulsive and seeking immediate gratification. They react rather than problem-solve and think concretely rather than abstractly. Delinquency is a learned behaviour or, conversely, the failure to learn better behaviour.

Gendreau and Ross conclude that effective programs change an offender's attitudes and behaviour through teaching him new social skills or by influencing his thinking such that prosocial behaviour is seen as an attractive and rewarding alternative to criminal behaviour. In other words, effective programs overcome developmental delays by moving offenders to new levels of interpersonal skills, empathy, problem solving, and cognitive development. Trained, motivated, and well-supervised staff are also essential as programs alone are not enough to create change in offenders. This model is consistent with Transformational Leadership's and Situational Leadership's concept of moving subordinates to higher levels of needs, motivation, and maturity. Both concepts come from the same roots - Maslow (1954) and Kohlberg (1976).

Andrews (1980, 1982) studied the impact of probation officer style. Officers with good empathy skills and prosocial values demonstrated socially acceptable ways of achieving goals and taught, modelled, encouraged, and reinforced non-criminal alternatives. A 50% improvement in caseload recidivism was noted compared to supervisors who showed only empathetic warm regard but not prosocial behaviour and who ignored anti-social behaviour. (Andrews 1982)

2.2.2 What Works With Inmate Work

In the United States a multi-year federally sponsored project attempted to improve prison industry in eleven states. It diagnosed industries' problems as a failure to operate in a business-like manner - not tying wages to productivity, low standards for quality and quantity, poor hire/fire procedures, lack of a full workday, poor marketing, inappropriate products, and obsolete equipment. Assistance was provided to help implement the resulting model. Results were evaluated.

The approach proposed to deal with these problems featured goal setting, wages based on productivity, marketing support and hiring staff with outside work experience (Grison and Louis, 1981; Schaller, 1981). The model has had mixed success, ranging from unprofitable operations and limited personal impact through to high productivity, profitability, and better post-release employment. (Irvine, 1978; Fedo, 1981; L.E.A.A. 1981; Griesser, Miller, Funke, 1984)

The mixed and incomplete success of the various projects to make prison industry comparable to private industry may be due to the failure to address a key variable. One variable prominent in private sector management that is not

addressed in the prison models is leadership. This paper proposes that, all other factors being equal, leadership will make a difference, and poor leadership will help account for some of the failures of the prison industry model.

2.2.3 Leadership and Respect for the Supervisor

Many theorists from Barnard (1937) through Hollander (1978) to Hersey (1984), have stressed the importance of the follower and the need for the leader to be respected and accepted by his followers. Hersey (1984, p.43) says "research has shown one variable that is crucial ... this is the relationship between the leader and follower ... if the follower decides not to follow, the other variables become unimportant." Situational Leadership holds that unable, uncommitted, unmotivated followers will accept leadership from someone who is directive and not supportive. There is considerable evidence that low maturity workers expect this style, perhaps because it is so popular (see Wispé and Lloyd, 1955; Lowin, 1968; Cohen, 1953, 1959; Mannheim, Rin and Ginsberg, 1967; Hsu and Newton, 1974). However, there is no research evidence that this style is the most effective in this situation. This is especially true for the culturally disadvantaged, who have potentially different values and different images of acceptable leadership and different needs to be met, it appears to be ineffective

to use direction and control without consideration and support (Banks, 1982; Cawsey, Reed and Reddon, 1982).

Bell (1983) concludes, "part of the problem with prisoners and ex-cons is that they are starved for attention and what they respond to most is attention".

Andrews et al. (1982) and Ross and Fabiano (1983) found correctional counsellors could be effective while being supportive, provided they did not compromise rules, their authority, or a prosocial position. Beatty (1974) found that with workers from the ghetto, "attempts to be successful ... should encourage supervisory styles that are initially supportive but refrain from imposing structure."

Gaining respect, in a correctional setting, appears to be associated with consideration; getting performance seems to be associated with consideration coupled with direction, pro-social modelling, and a good business plan.

2.3 ORGANIZATIONAL PSYCHOLOGY

The profile of many inmates is similar to the profile of the "culturally disadvantaged", a socio-economic segment that has been studied by

organizational psychologists. These psychologists were concerned with the development and evaluation of programs to increase the workforce participation of hard-to-employ members of socially and economically disadvantaged populations.

The profile developed by the National Industrial Conference Board (quoted in Miner and Brewer, 1976) attributes the lateness, absenteeism, turnover, and poor work record of the culturally disadvantaged to "a lack of basic education or skills training, inability to manage one's personal affairs, a lack of knowledge of the general and specific requirements of the work situation, inability to defer satisfactions, suppressed hostility toward whites on the part of minority group members, and low motivation". The profile is very similar to that of the inmate. Indeed, the culturally disadvantaged is the source of the majority of inmates.

2.3.1 Causes of Poor Performance

The culturally disadvantaged have a generalized distrust of organizations (Triandis et al., 1975), having been operantly conditioned to cynicism. Even when supervisors and co-workers think they are providing a considerate,

supportive environment (values from 4 to 4.9 on a 5 point scale), the culturally disadvantaged perceive hostility and distrust (values from 1.9 to 2.6). The culturally disadvantaged's reaction to their perception of low support is withdrawal (absenteeism, turnover) or aggression (disruption on the job). Turnover and absenteeism is lower when personal counselling is provided by an understanding boss, a mentor, or a professional counsellor (Salipante and Goodman, 1976). The culturally disadvantaged have different conceptions of the instrumentality of work - the contingencies between work and its positive consequences are weak, and effort is seen as less likely to lead to valued rewards (Feldman, 1974). Further contributing to the lack of commitment and effort is a lower emphasis on obtaining intrinsic rewards through work (Witchel, 1978). The negative effects of low organizational commitment are felt less - not working has the positive effects of allowing time to "hang around", and engage in the underground economy. Fewer attempts are made to break out of this cycle because of the perception that events outside of oneself control one's destiny (Lefcourt and Ludwig, 1965).

The culturally disadvantaged starts out with chronically low self-esteem due to his impoverished environment and previous failures. Unless this is offset by massive support from within the organization and/or performing a task at which

he has previously demonstrated skill, the self-perceived confidence displayed by such individuals will be low (Carriandis et al., 1975; Friedlander and Greenberg, 1971; DiMarco and Gustafson, 1975). According to Korman's Cognitive Consistency Model (Landy and Trumbo, 1980), the culturally disadvantaged will experience low satisfaction at work, with the results of low commitment and high turnover. The solutions identified by Korman are to increase socially influenced self-esteem through training and development, an ego-enhancing supervisor, and supportive work groups. Unfortunately, such supportive situations are rare in inner-city industry or prison.

2.3.2 Successful Approaches to Employing Low Skill, Low Motivation Culturally Disadvantaged Workers

Organizational climate and support are important determinants of successful employment. The culturally disadvantaged who perceive their climate as supportive are consistently rated (by their peers and supervisors) as more competent and congenial than their fellow workers, and as having the general characteristics of intelligence, friendliness, and conscientiousness. In one study "high support" organizations had an 18 percent turnover rate, "low support" organizations a 72 percent turnover rate (Friedlander and Greenberg, 1971).

These results are supported by similar findings by Mellon (1975) and DiMarco and Gustafson (1975). The latter also found supervisor supportiveness to be related to the supervisor having had previous personal relationships with culturally disadvantaged or being one himself; an empathy factor.

Other factors related to improved performance were early pay raises of reasonable size, providing an equitable pay level within three months (Goodman and Salipante, 1976), absenteeism counselling, provision of resources (e.g. free alarm clocks), elimination of unnecessary organizational norms, realistic job previews, and explaining things (Shlensky, 1972).

Koch (1974) reviewing the ten years of research to 1974 on employing the culturally disadvantaged summarized: "First line supervisors can be the focal point of many hostile confrontations between newly hired employees and the organization. Accordingly, disadvantaged retention rates often reflect the supervisor's skill in handling difficult interpersonal relationships...Although mediating between the respective interests of all concerned is complex, two factors stand out in the literature as key determinants of success: interpersonal skills (of supervisors) and top management support."

Salipante and Goodman concluded from their two studies, and a review of the literature, that pay systems, promotional opportunities, type of job, type of and degree of counselling, and type of training best explain variance across firms in job retention rates. The common feature was the variables' effect on reward levels and expectancies that rewards will be available.

Friedlander and Greenberg (1971) found that despite low skills, productivity is not a major issue once absenteeism and low commitment have been overcome (perhaps since most of the tasks involved were not high skill).

On the other hand, one hundred and thirty training programs reviewed by Salipante and Goodman (1976) that focused on changing employee attitudes (rather than the organization, its leadership, or employee behaviour) were negatively correlated with success. In other words, success came from focusing first on changing the organization to meet the individual's needs, not from changing the individual first.

The studies cited above, while not intended to assess leadership style directly, have found that the foreman plays a key role by influencing the climate, counselling workers, being supportive, and being empathetic. Foremen who were

high on support and consideration tended to have work groups with lower turnover and higher productivity. Whether this consideration needs to be combined with high structure has not been addressed in the literature; however, styles high on structure, low on consideration were found to be ineffective, resulting in subordinate withdrawal.

The typical reaction to workplace adversity is withdrawal - absenteeism, turnover and tuning out (Salipante and Goodman, 1976). Surprisingly, low ability was not seen as a major factor in participation or performance (Friedlander & Greenberg 1971). If self-image, organizational climate, and attendance were addressed by the organization, performance was rated as satisfactory to good.

The limited importance of ability as a variable is consistent with Lawler's theory of performance in which he suggests that, at lower level jobs requiring little ability, motivation seems to be the single most important factor (Lawler, 1973). In any event, there are few ghetto jobs requiring much ability, and few in prison. For example, a millionaire entrepreneur and owner of a major league sports team was assigned the job of a stores clerk during his term in prison, and incarcerated doctors work as cleaners, because the system is set up only for low ability inmates.

Hershenson (1968) and Hershenson and Lavery (1978) have argued that work development follows a Maslow-like hierarchy of five sequential stages where motivational factors (background, cultural values, self concept) need to be developed before abilities (competence, vocational specialization) can be improved. Support for this comes from the finding that low ability was not a major factor in the employability or performance of ex-inmates (Banks, 1982) or the disadvantaged (Koch, 1974).

Foremen supervising disadvantaged or inmate workers frequently claim their subordinates are unmotivated. Generally speaking, this is inaccurate - they are not motivated to do what their supervisor says, but they are motivated in other directions. Considerable empathy is needed to understand these motives but, once understood, the supervisor can start to exercise leadership to motivate toward other goals (Barry, 1971) and to move subordinates beyond their limiting cultural values and poor self-concepts, so they can achieve personal growth and contribute to the organization.

2.4 ORGANIZATIONAL BEHAVIOUR

A review of the leadership literature in Organizational Behaviour identified two theories with clear prescriptions to achieve an improvement in the supervision of inmate work. Situational Leadership recognizes subordinate maturity (ability, willingness) as the key moderator variable in leadership, proposes a technique to improve subordinate maturity, and has a leader style specifically designed to be used with low motivation, low ability subordinates. Transformational Leadership recognizes the leader's responsibility to develop subordinates, to raise their levels of maturity and performance, and identifies five factors that contribute to effective leadership. Proponents of both theories claim the skills are trainable and transferable to the correctional situation.

This section reviews the two theories, the relevant research, and conceptual concerns. The following section uses the findings from the correctional and psychological literatures to assess the potential impact of applying the two leadership theories in corrections.

2.4.1 Development of Leadership Theory

Managerial leadership is the kind of leadership in which the manager works with and through his subordinates, influencing their behaviour, to achieve organizational goals. Studies of leadership earlier this century focused on "great-man" theories which suggested that leadership is the result of certain personal characteristics. That approach was replaced by investigation of leader behaviours; that is, what he does, not who he is. The Ohio State Studies (Stogdill & Coons, 1957) and Blake and Mouton's (1978) Managerial Grid are examples; they identify Consideration and Initiating Structure behaviours as the key factors.

The behavioral theories were in turn largely replaced by contingency or situational theories - what leader behaviours are effective depends on situational variables in the subordinate, leader, environment, or task. Since Burns'(1978) book on transformational leaders, considerable attention has been paid to charismatic or transformational leadership.

Leadership has been shown to influence outcomes that are of interest to correctional managers. These outcomes include amount of effort, turnover,

absenteeism, learning, productivity, adaptability to change (House and Baetz, 1979), good citizenship (Graham 1985), and trustworthiness (Crouch and Yetton, 1988). Several leader-follower-outcome relationships have been found. These relationships are consistent, but not universal; statistically significant, but explaining only nine percent to 25 percent of the variance in outcomes. It is an important base, but a substantial amount of variance remains unexplained.

Leader traits which have consistently correlated with work-group performance ($r=.3$) are intelligence, dominance, self-confidence, self-esteem, energy, task-relevant knowledge, and task competence (House and Baetz, 1979), interpersonal skills, need for power, need for achievement, Least Preferred Coworker scales, and locus of control (House, 1985).

Similar but stronger correlations ($r=.3$ to $.5$) have frequently been found between performance and several leader behaviours, including: expressed expectations toward the follower, task orientation, considerate behaviour, participatory decision making, goal setting and goal emphasis, contingent reward and punishment, transformational leadership, role clarification, and articulation of an ideological goal (House, 1985). The effects of these factors have been found to be moderated (Bass, 1981) or blocked (Kerr and Jermier, 1978) by

several situational variables, including subordinate personality, task characteristics, and organizational characteristics.

There are many leadership theories, some of which have been supported by field and laboratory research. Theories with research support include Vroom and Yetton's Decision Making Model, various contingency theories, Hollander's Idiosyncrasy Theory, Wofford's Path-Goal Theory, Bass's Charismatic Leadership, Yukl's Multi-Factor Meta Theory, and Lord and Phillips' Categorization Theory of Follower Perception (House, 1985). Little of this work, however, has been validated on low skill, low motivation work forces. The hard-to-employ, socially disadvantaged are neither easy to work with nor easy to access for the university-based researcher.

Of the theories, tested and untested, two are particularly relevant to the correctional and disadvantaged segments of the population. Both Situational Leadership and Transformational Leadership have personal growth and increased maturity of subordinates as objectives. Most research on managerial leadership has dealt with work-unit performance, satisfaction and perception of leadership as outcomes. But there are also other dependent variables of interest. Hersey and Blanchard (1977) made the point that one of the leader's

responsibilities should be the development of subordinates to higher levels of maturity (ability and motivation). Bass (1985) outlines how leaders can have great effects on their followers, transforming beliefs, attitudes, motives, and confidence to a higher plane of arousal and maturity. Hackman (1985) challenges researchers to address the three outcomes of: "(1) productive output of the performing unit exceeds the minimum standards of quantity and quality of the people who receive, review and/or use that output; (2) the process of carrying out the work enhances the capability of the performing unit (be it individual, group or organization) to do competent work in the future; and (3) the work experience contributes to the growth and personal satisfaction of the persons who do the work".

Comprehensive reviews of the leadership literature are available in Bass (1981) and Yukl (1981) or, more briefly, House & Baetz (1979). Specific summaries of Transformational Leadership are available in Conger and Kanungo (1988) and Hunt et al (1988). This review will focus on the two theories studied in this research project, Situational and Transformational Leadership. These theories are particularly relevant because increased maturity and personal growth are part of the legislative mandate of many employment programs for the

disadvantaged. In corrections, foremen are asked to teach task skills, good work habits and law-abiding behaviour, in addition to achieving productivity.

2.5 SITUATIONAL LEADERSHIP

Situational Leadership is a copyrighted title to a particular situational or contingency leadership theory developed by Hersey and Blanchard (1977). Contingency theories hold that effective leader behaviour depends on factors in the leader, the follower, and the environment reviewed in section 2.4. Hersey and Blanchard's model builds on the work of the Ohio State studies and Blake and Mouton's Managerial Grid, both of which identify Consideration and Initiating Structure as key leader behaviours. Hersey-Blanchard renamed the dimensions Relationship Behaviour and Task Behaviour, and identified subordinate maturity (as defined by Argyris, 1964) as the main situational factor that determines which mix of task and relationship leader behaviour would be most effective.

For the least mature subordinates, lacking both ability and willingness, the leader should be high on task behaviour (spelling out duties, directing, structuring, telling) and low on relationship behaviour (two-way communication,

consideration, support, encouragement). As subordinate willingness increases, the leader decreases task and increases relationship behaviour. As ability begins to increase, along with willingness, relationship behaviour again decreases.

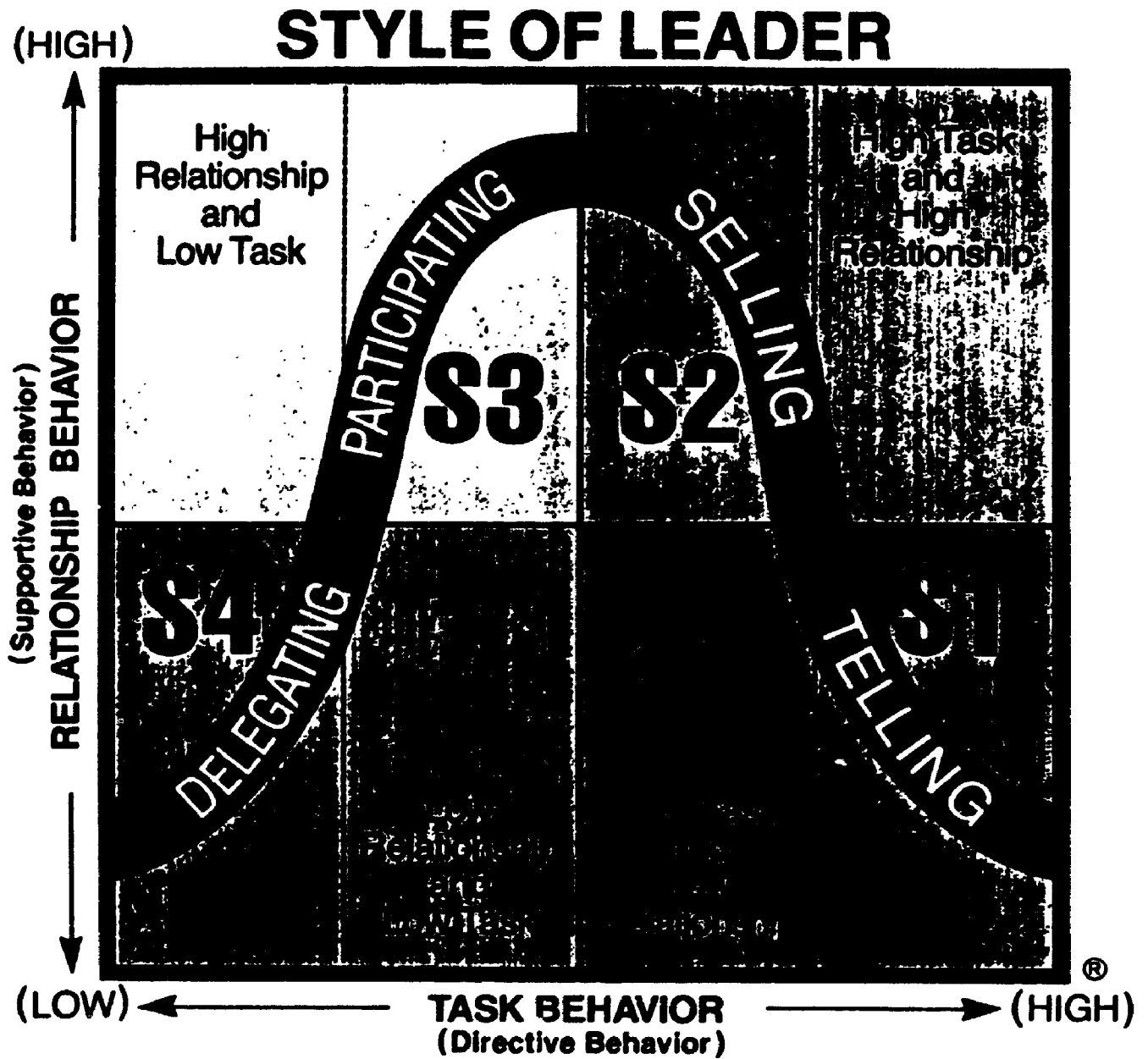
The dependent or outcome variables are task performance and subordinate growth. This relationship is modified by subordinate maturity - how willing and able the subordinate is to accomplish a specific task. The appropriate (effective) combination of task and relationship behaviour is based on the subordinate's maturity level (see Figure One).

One subordinate grouping (lower right on the diagram) is "unable and unwilling". The situational prescription is a directive "telling" style (S1) that provides clear, specific directions and supervision - high on task, low on relationship. Hersey and Blanchard were concerned that supportive behaviour will be seen as permissive, easy, and rewarding poor performance. To raise the maturity level, the leader starts with a "telling" style; then, after a while, takes a risk and delegates some responsibility; finally, when the subordinate responds with good performance on delegated tasks, the leader provides reward and increases socio-emotional support to the subordinate.

Situational Leadership is very much concerned about the growth and development of subordinates, since their maturity is seen as the key modifier in leader effectiveness. It is this claim to be able to improve subordinates through the "developmental cycle", combined with its wide acceptance by managers, that causes us to include it in this study.

For those not familiar with the theory, a brief summary is provided in Appendix B. A more thorough description can be found in Hersey & Blanchard's Management of Organizational Behaviour (1982).

SITUATIONAL LEADERSHIP

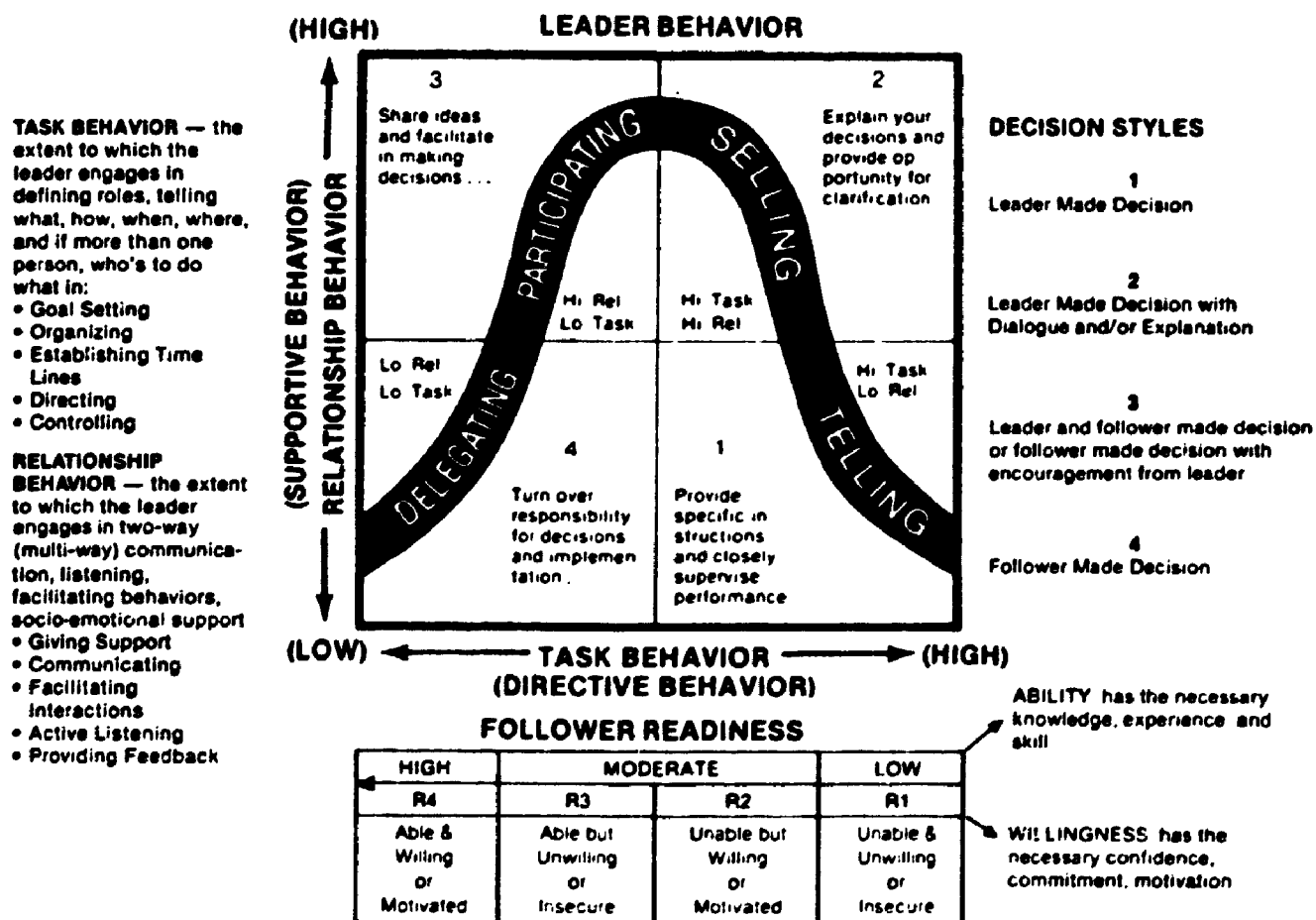


MATURITY OF FOLLOWER(S)

Developed by Paul Hersey

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In using Situational Leadership it is useful to keep in mind that there is no "one best way" to influence others. Rather, any Leader Behavior may be more or less effective depending on the Readiness of the person you are attempting to influence. The following model provides a quick reference to assist in, 1) Diagnosing the level of readiness, 2) Selecting high probability leadership styles, and 3) Communicating styles to effectively influence behavior.



2.5.1 Research Relevant to Situational Leadership

Several research studies have shown that many leaders have a style which can be assessed as fitting one of the four Situational Leadership styles. Several other studies have assessed the effectiveness of leaders in situations where their style matched the maturity level of their subordinates, and compared that to other matches. This section reviews the research on extent of use, supportive findings, non-supportive findings, and then discusses methodological issues relevant to Situational Leadership.

Popularity

S1 (TASK, relationship) was in popular use by practicing managers long before Hersey & Blanchard put a name to it, and it remains the most frequently used style of managers with low skill, low motivation (M1) employees. Lowin & Craig (1968) found supervisors advocated more Initiating Structure and closer supervision of subordinates lacking in confidence. Hsu and Newton (1974) found that supervisors of unskilled subordinates were more directive than were supervisors of skilled subordinates in the same manufacturing plant. Farris & Lim (1979), experimenting with graduate students, told some leaders their group

was highly productive. Their subordinates subsequently described the leaders as more sensitive, non-manipulative, and less structuring than leaders who were told their group was less productive. Curtis, Smith, and Smoll (1979) found coaches of losing baseball teams (with lower ability, lower motivation presumed) were seen as less Considerate and Supportive than winning coaches.

Leaders are more likely to use participatory decision making with high maturity (willing and able) level M4 subordinates, and with highly qualified subordinates (Mohr, 1977). Greene (1976) found leaders were more authoritarian and coercive with disparaging and disruptive subordinates, and rated them lower. Leaders subject to stress also became more coercive and less rewarding. Greene (1975), in a longitudinal study, found that the productivity of subordinates led to an increased use of Consideration and decreased use of Initiating Structure by the leaders of the more productive groups.

There is also an acceptance of and even preference for leaders' use of a high task, low relationship, telling (S1) style among some subordinates. For example, low producers have been found to prefer structure (Wispé & Lloyd, 1955), students who think of themselves as lacking in task competence appreciate an Initiating Structure style (Lowin, 1968), and persons low in self-esteem

experience reduced anxiety and reduced perception of threat in structured situations (Cohen 1953, 1959). Mannheim, Rim, and Grinberg (1967) found manual workers tolerated Initiating Structure more than did clerical workers. Similarly, Hsu & Newton (1974) found supervisors of unskilled workers were able to initiate more structuring than were supervisors of skilled workers in the same plant. This increased acceptance of an S1 style appears to be caused by a fit between subordinates who have an authoritarian type personality and a leader who uses an authoritarian style. (Vroom, 1960; Bass, 1981). These studies demonstrate that many low maturity workers expect and accept a high task, low relationship (S1) style. Unfortunately, none of these studies went on to assess if use or subordinate acceptance of S1 was related to increased productivity and personal growth.

The acceptance of a directive, non-considerate style is not universal. In the corrections and culturally disadvantaged literature cited earlier such a style is frequently not accepted by subordinates. It may be that the generalized distrust of authority, the high need for supportive supervision, and a "keeper versus the kept" conflict act to create a situation in which Situational Leadership's Telling style is not accepted by or effective with low skill, low ability subordinates.

Research Supportive of Situational Leadership

The authors of the theory (Hersey and Blanchard) are not very active in the publication of empirical research to support the theory. They appear to rely on strong support from clients where Situational Leadership training has been conducted, and in-house unpublished research. Despite this, there are several studies that directly test the theory, and several others that are relevant.

Hambleton and Gunpert (1982) studied 310 randomly selected Xerox managers and subordinates in 65 work groups. Managers with high and low performance (based on personnel manager's current ratings and past performance appraisals) were compared. High performing managers were seen as using S2 or S3 90 percent of the time, low performers as using S1 more than 24 percent of the time (using LEAD other completed by subordinates and supervisors). Fifty-three percent of high performers said they used Situational Leadership regularly compared to 29 percent of low performers. Across both high and low performing managers, they achieved a leader style - subordinate maturity match only 29 percent of the time. In those cases, however, significantly higher subordinate performance (0.31 on a five-point scale) was reported.

Hersey, Angelini, and Carakushansky (1982) had an executive training course in transactional analysis delivered by trainers. In two groups, the trainer started using S1 then applied the development cycle and moved through S2, S3, and S4. In two other groups, the same content was presented, but using a consistent non-Situational Leadership style. At the end, the experimental groups scored significantly higher on understanding of the course content.

In several studies, a style similar to "Telling" (S1) has resulted in superior performance when used with unable unwilling (M1) subordinates. Blades (1976), in a study of mess hall staff, found that subordinates lower in competence are best led by motivated leaders with a directive style. Stogdill, Scott, and Jaynes (1956) found that Initiating Structure improved performance, while Consideration led to subordinates feeling overburdened with responsibility.

Good work group relations can be achieved without Consideration (Greene & Schriesheim, 1977). A high Consideration, low Initiating Structure style was found by Fleishman (1957a) to improve productivity in a blue collar manufacturing setting but resulted in high absenteeism, supporting Situational Leadership's concern that such a style will be abused by low maturity workers.

Riddell (1980) matched teacher style (S1-4) with the maturity level of students (M1-4) who were former high-school dropouts. Teachers were encouraged to use the developmental cycle to increase willingness and/or ability. Riddell found significant improvements in academic gain, suspendable behaviour, and absenteeism among students who were matched with the recommended leader style. The comparison was with a control group randomly assigned to leader style. There were no differences in reading test scores among the training and control groups.

Durand and Reister (1985) conducted an experiment designed to promote student character development through empathy training, while testing Situational Leadership. Students were assessed for maturity level for the task of learning empathy skills, then randomly assigned to one of four Situational Leadership teaching styles. Mature students (M3-4) who participated in low Task Direction workshops (S3-4) did significantly better than mature students who participated in high Task Direction workshops (S1-2). Low maturity (M1-2) students in high Task Direction workshops (S1-2) did significantly better than low maturity students in a low Task Direction workshop (S3-4).

Regrettably, none of the studies reviewed above examined the impact of Situational Leadership training. They all took existing leader styles and classified them as Styles One to Four.

Situational Leadership training has achieved a status of popular acceptance without much thorough research on the impact of the training on productivity and personal growth. Much of the support for Situational Leadership comes from practicing managers who have received training in the theory. King (1984) contends this is because the training is practical and usable, whereas most leadership training is theoretical.

Non-supportive Research

The effectiveness of the four combinations of Consideration (Relationship) and Initiating Structure (Task) have been frequently studied, and are fully reviewed in Bass (1981). One problem is to try to distinguish cause and effect, since style is often influenced by subordinate behaviour. Bass (1951), using a longitudinal design found supervisor effectiveness (as rated by their supervisors) to be associated with Considerate behaviour initiated two years earlier ($r=.29$), but unassociated with earlier Initiating Structure ($r=-.09$).

Another problem is the duration of positive effect. Morse & Reiner (1956) reported that a high Initiating Structure, low Consideration style had positive short-term effects, but that a year later there was a rebound effect and a sizeable drop in performance.

Not all M1 subordinates respond positively to S1 "Telling". Stotland (1959) reported that subordinates subjected to a directive, coercive style became much more aggressive and hostile toward the supervisors if the subordinates were allowed to meet privately. Private assembly fostered the development of the informal organization and solidification and narrowing of the "zone of indifference" (Barnard, 1938).

McMillan (1980) studied the dyadic relationships between high school football coaches and their players. Effectiveness was measured using players' ratings, maturity using the coaches' ratings, and style using the players' ratings. He found that S2 (TASK-RELATIONSHIP) did best across all maturity levels, with S3 (task-RELATIONSHIP) next best. Combinations of S1 (TASK-relationship) with M1 (low ability, low motivation) were not effective. Similar results were found in a study by Boucher (1980).

Vertiz, Fortune, and Hutson (1985) studied the impact of the four Situational Leadership styles on presumed low maturity (M1, low ability, low motivation) students aged 16-21. Reading test results showed the most effective teacher used S2 TASK-RELATIONSHIP, while the prescribed S1 TASK-relationship ranked third.

Hornstein et al (1985) had 150 employees in a large communications company rate their perceived effectiveness of one of the four Situational Leadership leader styles in the various situations presented. The situations and leader behaviour were taken from the LEAD. The subjects did not perceive that the manager would be more effective in situations where he used the Situational Leadership prescribed style, than in those where he did not. Their research assessed only perception of effectiveness, not productivity or personal growth. It found perceived effectiveness was associated with use of a participative, supportive style over all situations.

The relationship between university residence dons and their assistant dons was studied by Blank, Weitzel, and Green (1986) in a paper presented at the Academy of Management. Effectiveness was measured in terms of subordinate

performance and personal growth. The LBDQ 12-other was used to measure leader style. Psychological Maturity was measured by peer rating on a questionnaire and task maturity was measured by the years of job-related experience. Performance was measured by semi-annual performance appraisals and growth was measured by changes in subordinate job satisfaction. The findings were: (i) mature subordinates perform better than less mature ones, over all styles; (ii) relationship behaviour is related to performance; (iii) task and relationship behaviour are both related to growth (satisfaction). The authors concluded that further research should explore the developmental cycle - how leaders raise subordinate maturity.

When employees are unskilled and/or unmotivated, a certain amount of direction and pointing out the paths to successful performance appears to be necessary for both satisfaction and effectiveness. The need to reduce Considerate or Relationship behaviour to nearly zero for low maturity subordinates is, however, not as well supported.

Research Issues

There are some methodological issues that may be contributing to the mixed findings. Most studies do not assess range or adaptability - they slot supervisors into one specific style. They measure overall style, not each dyad. They ignore the complexity of a basic style being used in conjunction with backup styles. A complex measure is reduced to four points. It may be a continuous variable would provide more accurate diagnosis. Measures are taken at one point in time, making cause-effect difficult to tease out, and raising measurement error because people are not always showing their basic style. Ratings of effectiveness and style or maturity are often taken from the same source, creating potential bias. Only two studies (Blank et. al., 1986; Durand & Reister, 1985) looked at subordinate growth, which is a key dependent variable. There was no replication of studies. Different instruments were used to measure the constructs of style and maturity; but the instruments developed by the Situational Leadership theory's developers were not used by the researchers.

These problems make it difficult to place confidence in either the supportive or non-supportive research. In any event, all prior research has focused on only one of two key questions. The research addresses the conceptual validity of the

maturity - style match, using naturally occurring leader styles. It does not, however, address the question of whether training in Situational Leadership improves leader effectiveness. Specifically, previous research has not examined leaders who knew about, were trained in, or were trying to apply Situational Leadership Theory. Application of Situational Leadership includes the key features of knowledge of one's style, diagnosis of subordinates, matching style and maturity, and using the developmental cycle. Research to date has only examined situations where native style and maturity have been matched.

The research question that managers are most interested in - does it work? - can only be addressed by research including leaders who have been trained in Situational Leadership. This literature review located only one such study, (King, 1984), but it measured effectiveness anecdotally not empirically. King reported finding support for the impact of training on organizational effectiveness.

Conceptual Criticisms of Situational Leadership

While Situational Leadership is apparently well accepted by practicing managers, many academics are concerned about some logical inconsistencies in the model and limited validation of the model to date.

Maturity is not very precisely defined, and current identification and assessment tests have only recently been developed (Hersey & Blanchard, 1982a). One difficulty is the lack of guidance on how to discriminate between or equate different types/levels of maturity (Yukl, 1981; Graeff, 1982).

Clearer conceptualizations have been made by Moore (1976) and Kulik (1980). Moore developed an index to measure maturity on the dimensions of achievement motivation, ability, willingness to accept responsibility, task-relevant education and experience, activity level, dependency, behaviour variety, interest, perspective, position, and awareness. Kulik used expectancy and reinforcement theory to assess a subordinate's susceptibility to being motivated, and measured the subordinate's potential for having abilities increased.

In a critique of the theory, Beck (1982) suggests the importance of knowing why an individual is unable or unwilling, arguing problem diagnosis could be more effective than categorization.

Although Hersey & Blanchard note that the manager should assess motivation for each employee on each and every task (an impossibly complex and laborious process), most managers give an employee an overall rating. Low motivation is in many cases not a vegetable-like absence of drive, but the absence of motivation toward specific organizational goals. Intelligent employees use their skills to get around work. Intelligent prisoners use their creativity and effort to beat the system (Legge, 1978). We all know people who, like the Andy Capp cartoon character, spend more effort avoiding work than the amount of effort that would be needed to simply do the work. The assumption of low motivation leads to a shift in responsibility to the supervisor (Franklin, 1980), who becomes responsible for employees rather than to them. This approach is not likely to increase subordinate responsibility and maturity.

In his review of Situational Leadership, Nicholls (1985) notes that there are some logical inconsistencies in the model. If high task behaviour is needed to cope with inability, why isn't high relationship behaviour needed to cope with

unwillingness? The reasons why the willingness of an M2 disappears as he gains more ability, becoming an M3, are also not explained. M2 and M3 are recognizable types, but it is not clear how an M3 grows out of an M2. It is also inconsistent for low relationship to fit with both unwilling (M1) and willing (M4), while high relationship also fits with unwilling (M3) and willing (M2).

Blake & Mouton point out that concern for people (Consideration) and concern for task (Initiating Structure) are interacting independent variables. Nine units of consideration, by themselves, are different from 9 units of consideration accompanied by 9 units of Initiating Structure. "Water, H₂O, has a very different character than the two gaseous elements that make it up". (Blake & Mouton, 1982, p.25). What is Consideration in 1,9 is not Consideration in 9,9. In 1,9, it is warm and friendly behaviour, and compromising. In 9,9 it is participatory decision-making, openness, teamwork, and confrontive conflict resolution. The problem with Situationalism according to Blake & Mouton is that Task and Relationship are independent, additive (sic) variables, and this is not recognized by Hersey and Blanchard.

Blake & Mouton (1982) contend that S1, telling someone what to do, where, when and how to do it, creates a reactive, dependent, resistant attitude that

leads to resentment, anger, and hostility. Rather than learning and maturing, the subordinate is reluctant to try new behaviours. Withholding support, making it contingent on following orders, is a devastating approach in child rearing and management. They see Hersey & Blanchard's concern for people as paternalism - complimenting, rewarding, "stroking".

As they put it (Blake & Mouton, 1982 b,p.211) "Situationalism is an additive theory in which the two significant dimensions of leadership are separated and then placed back together again in a plus way. Thus it is possible to tell a subordinate what to do, when to do it, how to do it, and so forth, and upon compliance give him socio-emotional rewards. The subordinate does no thinking, only execution, and in return gains acceptance... paternalism in its clearest form." Blake & Mouton also take the behaviour of the "telling" S1 style and trace it back to the attitudes and thinking that may cause one to use it - "I know what's right and I expect my subordinates to obey" (1982 b p.213). It is an important point for practice - no matter what the theorists view, if actual leaders have a different attitudinal base than the attitude that S1 should be used to help a subordinate grow, it is likely that attitude will show through and affect the results.

Instrumentation to assess leader style is also problematic. The LEAD-SELF and LEADER-OTHER are paper and pencil tests, with undocumented reliability and questionable validity (Graeff, 1982). Hersey & Blanchard note (1982b) that LEAD-SELF profiles tend to bunch at S2 & S3, while subordinate descriptions of the same leaders tend to put them as S1 & S4 respectively. In other words, subordinates and leaders agree on the amount of leader task behaviour, but leaders rate themselves higher on relationship behaviour.

Hersey & Blanchard's LEAD questionnaire (see Appendix G) presents 12 management problems, each with four possible solutions, representing S1, S2, S3, & S4. Other, potentially better, options are excluded. Each style is supposed to be best for 3 of 12 situations. Blake & Mouton (1982) revised the instrument to include a fifth option representing the 9,9 style. A group of experienced managers completed the questionnaire, and most chose 9,9 over S1-4 for all 12 situations. Blake & Mouton concluded that this shows the superiority of Grid Theory over Situational theory.

Limits to Growth

Situational Leadership is bounded by two dimensions. In a four-box world, S1 is always best with low maturity. It is not necessary to ask why a subordinate is unwilling, just tell him what to do. The possibility of more than one effective approach in the same situation is not considered (Beck, 1982). Once a leader gets an M4 group he has nowhere to go. There is no room for the leader of a skilled, eager group to become reinvolved and "turn up the heat".

Yet we know other styles work. Dryden (1983) describes the leadership style of hockey coach Scotty Bowman who, working with M4s high on task-relevant skill, and eager, won six Stanley Cups in eight years using a style that was S1. Yet the same person, same style, was less successful elsewhere, suggesting organizational moderators may be important.

Beck (1982) describes Situational Leadership as "manifestations of a passing paradigm". That paradigm, rooted in Newtonian physics, may have explained a lot of variance in the "Second Wave", but the two-by-two model breaks down at the extremes, and explains less and less variance as subordinates and society become more atomized (Deal & Kennedy, 1982).

As with much of the leadership research, there is an over-reliance on paper and pencil self-reporting questionnaire data that asks supervisors how they think, using simplistic methods.

Reformulations of Situational Leadership that deal with these conceptual issues have been presented by Nicholls (1985) and Blanchard (1985). These models have considerable merit, and deserve further study, but were not the subject of this research. Blanchard modifies Relationship Behaviour into support and involvement. That is, consideration is a necessary feature of each style, but degree of subordinate involvement in decision-making is low with S1, consulting at S2, shared at S3, and delegated at S4. Blanchard prescribes S2 coaching for beginning followers who are unenthusiastic, and S1 telling for these beginning followers who are motivated but not skilled (p. 38-40)

Carew, Parise-Carew, and Blanchard expand Situational Leadership's basic focus of one-on-one leader-follower relations, suggesting there is merit in building effective teams. They apply Situational Leadership II, in which the maturity level 1 of low competence, low commitment is absent. Instead, the "Telling" style is recommended for followers low on competence but high on commitment,

and the "coaching S2" style for those with some competence but low commitment. Maturity levels 3 and 4 remain as in Situational Leadership. The developmental cycle is the same, moving subordinates to develop and function on their own, using intrinsic rewards of effective performance and self-esteem.

Carew et al describe five stages of group development, which they contend groups progress through: orientation, dissatisfaction, resolution, production, and termination. The four leader styles, from telling to delegating, are matched in order to the first four stages of group development. However, no supportive research is cited.

Conclusion

Based on the existing research, it is difficult to come to a conclusion whether Situational Leadership is a valid theory, or not. The overall results are mixed, and there is a suggestion that use of the prescribed telling style may be counter-productive with some subordinates. Management opinion is more positive and more consistent - it supports training in Situational Leadership as being effective. A good theory has testable propositions. Situationalism is testable, with the problems of instrumentation and incident-specific style noted

above. It covers the basic area of leadership in a manner consistent with the Ohio-Michigan-contingency approach. It has some logical inconsistencies noted above. It may not be generalizable to resentful subordinates, but has been applied to several other populations. Situational Leadership is a reasonably good theory on these criteria.

Situational Leadership's contributions are:

- it emphasizes that leaders can and should work to improve subordinate maturity, rather than accepting the situation as it is;
- it recognizes the need for leaders to change as their subordinates change;
- it recognizes the need to understand and diagnose subordinates;
- it identifies a specific style to use with low skill, low motivation workers, the population of concern in this research.

2.6 TRANSFORMATIONAL LEADERSHIP

Burns (1978, p.4) describes leaders who:

"recognize and exploit an existing need or demand of a potential follower. But beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents".

This new style of leadership results in attention to different outcome variables. Burns (1978) concludes "the effectiveness of leaders must be judged....by actual social change measured by intent and by the satisfaction of human needs and expectations".

What the transformational leader does is meet the need that people have for greater meaning in their lives. It shifts their centre of attention away from self and instant gratification towards closer and deeper personal relationships and the replacement of instrumental values by sacred ones (Yankelovitch, 1982).

The key appears to be the ability of the leader to create a new or different cognitive world that is phenomenologically valid for the follower - to make him believe that this higher order of existence is real, and is attainable (Boal, 1988).

In the correctional setting, this would appear to require leader empathy skill, to understand the cognitions, feelings, and values of the inmate, a strong prosocial model to serve as an example, and development of acceptance and respect so that the followers listen to the message.

Initial research is supportive of the existence and impact of transformational leaders (Bass, 1985; Avolio and Bass, 1985) even in groups with negative work norms (Howell, 1985).

The Transformational Leadership model used in this research is the one developed by Bass, Avolio, and associates at the State University of New York, Binghamton. The model is sufficiently described in Bass, Waldman & Avolio (1987 p.74-75) which is quoted below:

"According to Burns (1978), the leadership process can occur in one of two ways. It is either transactional or transformational. Response allocation and factor analyses by Bass (1985, chapter 12) suggest that transactional leadership is characterized by the two factors of contingent reward and management-by-exception. The active transactional leader, through an exchange with subordinates, emphasizes the giving of rewards if subordinates meet agreed-upon performance standards (contingent reward). This form of leadership emphasizes the clarification of goals, work standards, assignments, and equipment. The less active transactional leader practices avoidance of corrective action (management-by-exception) as long as standards are being met (Bass, 1985). Management-by-exception is being depicted by the old adage 'if it ain't broken, don't fix it'.

The transformational leader differs from the transactional leader as defined by Burns (1978) and Bass (1985) in that the transformational leader attempts to elevate the needs of the follower in line with the leader's own goals and

objectives. The transactional leader concentrates on trying to maintain the status quo by satisfying the follower's current psychic and material needs. Transformational leadership factors include: (1) charisma, (2) individualized consideration, and (3) intellectual stimulation.

Charismatic leadership is central to the transformational process and accounts for the largest percentage of common variance in transformational leadership ratings (Bass, 1985; Bass, Avolio, & Goodheim, in press). Followers want to emulate their charismatic leaders; they place a great deal of trust and confidence in the vision and values espoused by the leader, and typically develop intense emotional feelings about the leader.

The Bass (1985) model of transforming leadership differs from earlier conceptualizations of charismatic leadership (e.g., House, 1976) in regard to two additional leadership factors - individualized consideration and intellectual stimulation. Specifically, transforming leaders may also be characterized as paying attention to the individual subordinate, by understanding and sharing in the subordinates's concerns and developmental needs, treating each subordinate individually. In addition, individualized consideration represents an attempt on the leaders' part not only to recognize and satisfy current needs of their subordinates but also to arouse and elevate those needs in an attempt to develop subordinates further.

In addition to charisma and individualized consideration, transformational leadership also involves the intellectual stimulation of subordinates' ideas and values. Through intellectual stimulation, transforming leaders help subordinates to think about old problems in new ways. Followers are supported for questioning their own beliefs and values and, when appropriate, those of their leaders, which may be outdated or inappropriate for solving the current problems confronting their organizations. As a consequence of being intellectually stimulated by their leader, followers develop their own capabilities to solve future problems that the leader may not have anticipated. Followers learn to tackle and solve problems on their own."

Transformational Leadership goes beyond contingent reinforcement to the transformation of "follower's attitudes, beliefs, motives and confidence ... from a

lower to a higher plane of arousal and maturity" (Bass 1985,b, p. xiii) to achieve performance beyond expectations, and personal growth. Bass goes on:

"Employees' confidence and how much value they attach to the potential outcomes can be increased further through transformational leadership. Such an increase in employees' confidence and valuing of outcomes will produce a noticeable step-up in their efforts to fulfill expectations. Leadership can become an inspiration to extra-ordinary effort on the part of followers."

"As subordinates become competent, development that transformational leaders encourage and support, leaders delegate as much as they can to their subordinates."

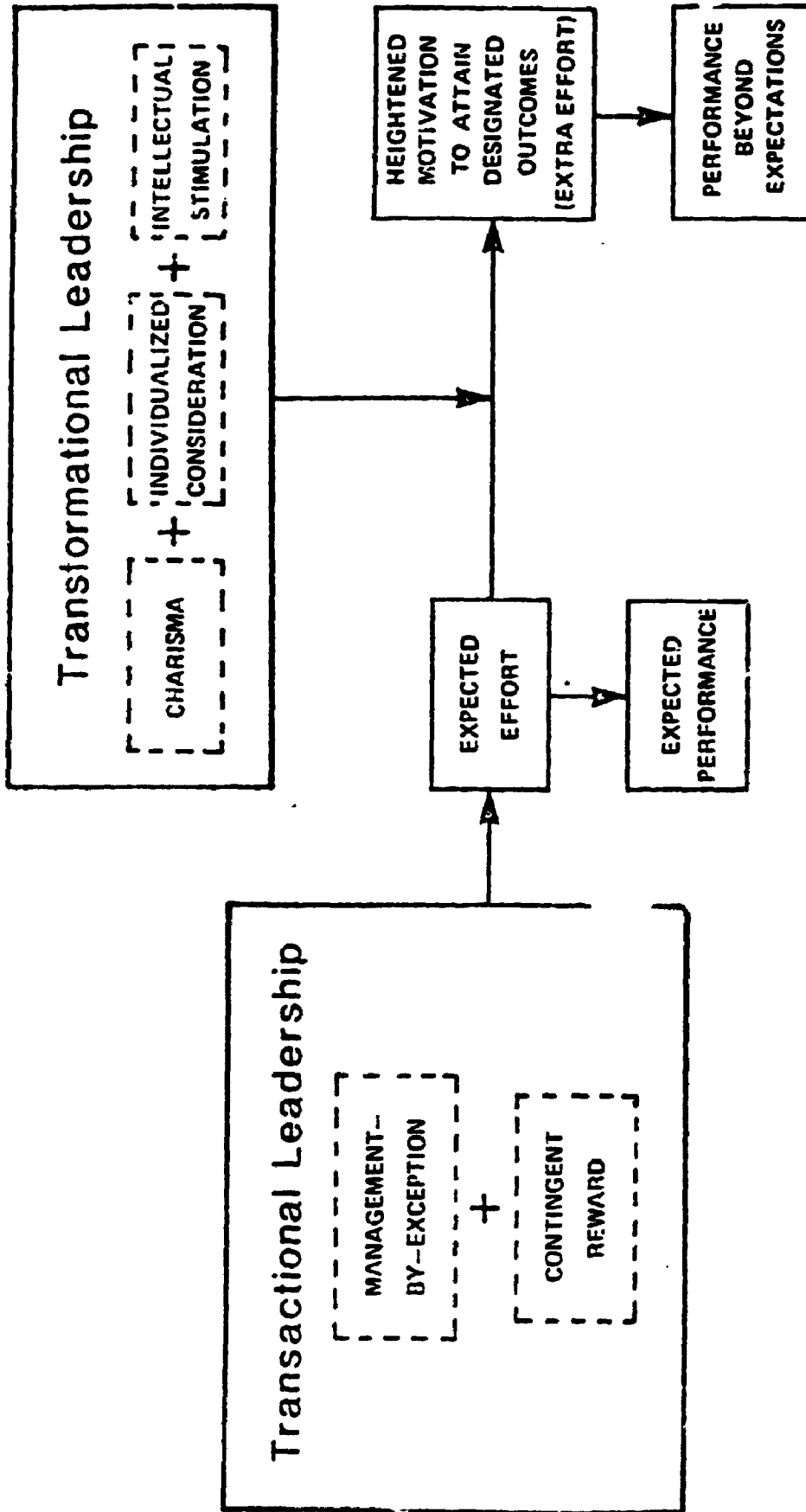
The objectives are similar to Situational Leadership's developmental cycle, but the process is much different. Instead of "Telling", the leader inspires.

("Telling" can come into play at the transactional level.)

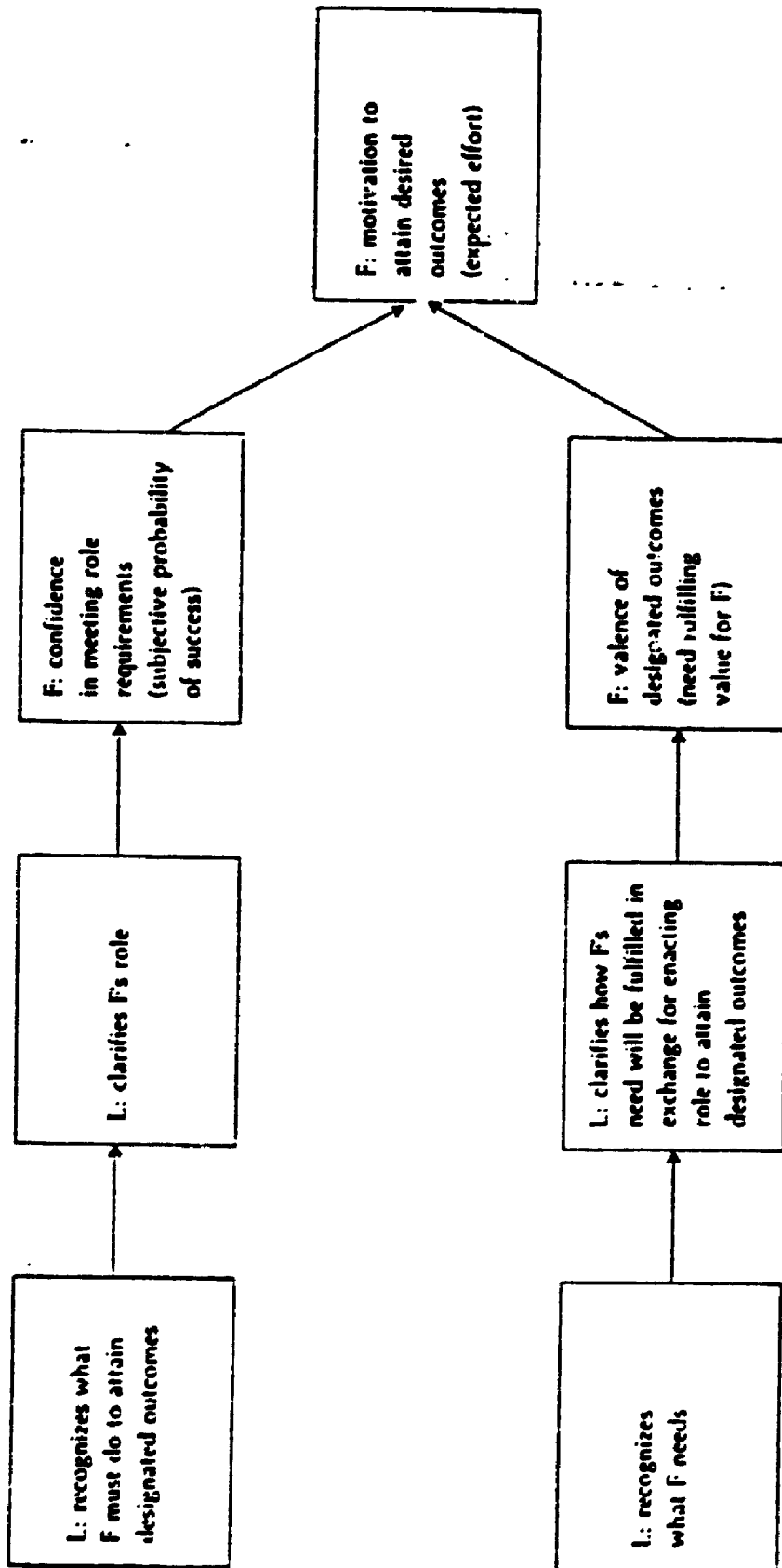
The Transformational Leader motivates followers to do more than they originally wanted to by raising awareness about the importance of outcomes, providing transcendent goals, and raising needs and maturity levels. He does this through charisma, inspirational leadership, individualized consideration and intellectual stimulation.

The inter-relationships of these factors are diagrammed in Figure Two. The model is actually more complex, with the transactional component being outlined in Figure Three, and the Transformational component being outlined in Figure Four.

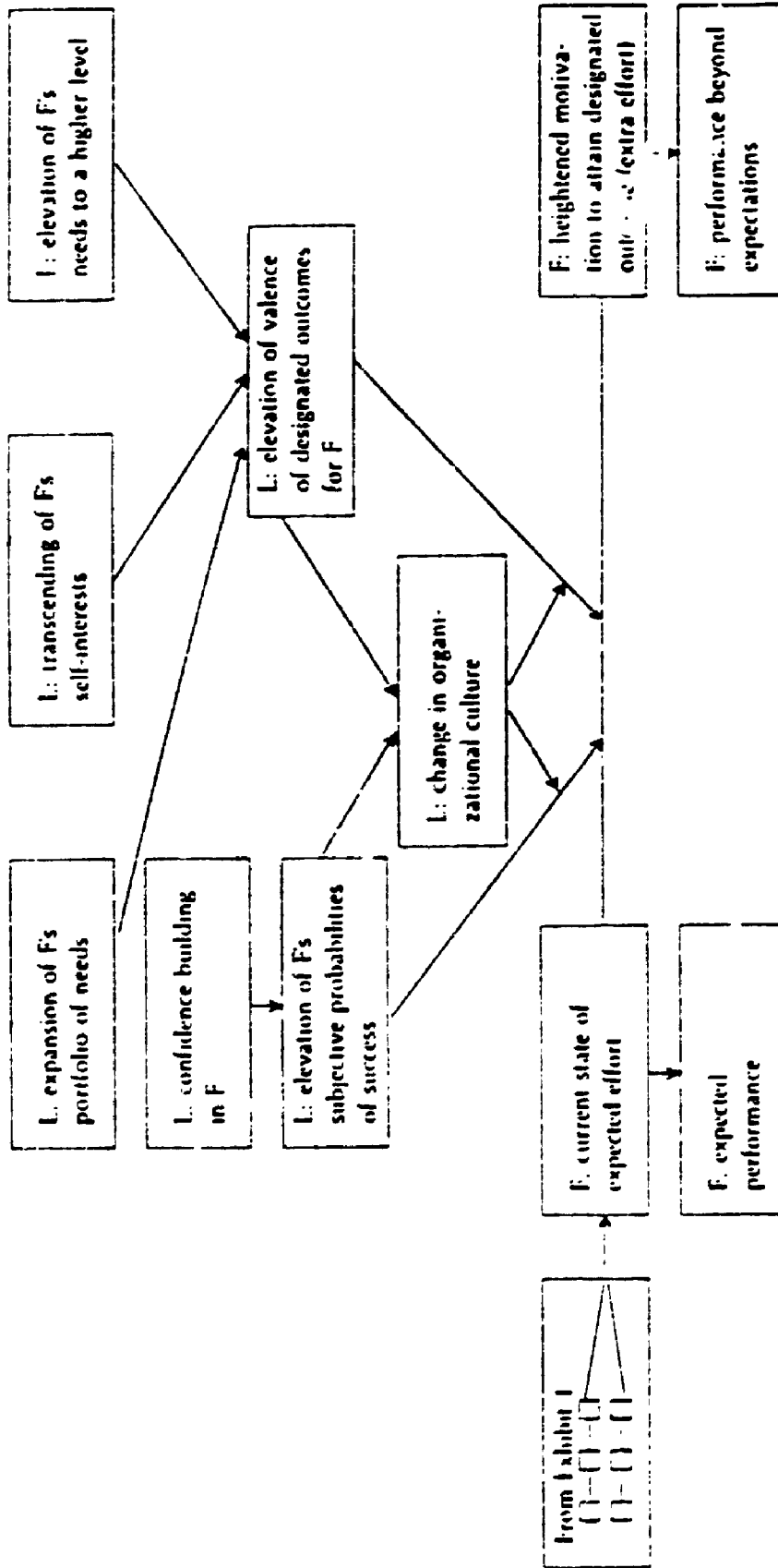
For those not familiar with the theory, a detailed description is given in Bass (1985), and in Waldman, Yammarino, and Avolio (1986) which is reproduced in Appendix A.



TRANSACTIONAL LEADERSHIP (L = LEADER; F = FOLLOWER)



TRANSFORMATIONAL LEADERSHIP (L = LEADER, F = FOLLOWER)



2.6.1 Research On Transformational Leadership

In the decade since Transformational Leadership became well known, there has been a variety of research, mostly supportive of the concept.

Burns (1978) used historical analysis techniques to research world-class transforming leaders and periods of transformation. Smith (1980), in a study of 60 Canadian managers, validated portions of House's (1977) model of charismatic leadership and established methods of measuring charisma as perceived by subordinates. He also found that more charismatic managers were rated as more effective.

Burns (1978, ch.17) also found that Transformational Leadership provides its own model for teaching Transformational Leadership - by helping subordinates define values and rise to higher stages of moral reasoning.

Howell (1985) studied the impact of charismatic leadership relative to the traditional factors of Consideration and Initiating Structure. She trained actors to serve as leaders who used one of three styles: charismatic, structuring (S1), and considerate (S3). Two confederates provided a work group that

supported either high productivity or low productivity. The subjects were undergraduates performing a paper-work task. Howell suggested these conclusions:

- * actresses can be trained to be charismatic (presumably, therefore, so can managers);
- * charismatic leaders effected good performance even when the work group norms were for low performance;
- * workers adjusted better to Considerate than to Structuring leaders;
- * subordinates of charismatic leaders had higher task performance, greater task satisfaction, lower role conflict, and higher adjustment to the leader than those who had Considerate or Structuring leaders.

Bass (1985 (b)) described a series of research efforts to analyze quantitatively "the transactional leader's emphasis on exchange with followers of benefits for compliance, and the transformational leader's emphasis on mobilization and direction of followers toward expanded, higher, or transcendent objectives."

Sheridan, Kerr, and Abelson (1982) used behaviourally anchored rating scales of the intensity of leader activities on the dimensions of task direction,

participation, consideration, performance feedback, integrity, rewards, and representation. MBA students were asked to rate the intensity of the behaviour of superiors they had known who were transactional (one group) or transformational (another group). They found no difference in intensity on five scales, with transactionals higher on consideration for subordinates' personal needs and feelings, and performance feedback. The widely used measures of Consideration and Initiating Structure (or task and relationship) did not differentiate transactional and transformational, nor did intensity. The authors concluded that "the quality of specific leadership incidents may be as important in determining leader effectiveness as the frequency". Even some "sleepers" can have an influence, there is not a need to be HIGH CONSIDERATION - HIGH STRUCTURE, it may be just as effective to be less intense. (A suggestion very similar to Misumi's (1985) analysis of Japanese leaders.) The new concept required a new instrument.

Bass (1985b) then developed a questionnaire to test the differences between Transactional and Transformational styles, using subordinates' scaled descriptions of their leader. Sorting and factor analysis identified five factors in a study of military leaders:

- 1. charismatic leadership - faith and respect for leader, inspiration and encouragement (Transformational);**
- 2. contingent reward - (Transactional);**
- 3. individualized consideration (Transformational);**
- 4. management-by-exception (contingent adverse reinforcement) (Transactional);**
- 5. intellectual stimulation (Transformational).**

Dependent variables included extra effort which was correlated with charisma, intellectual stimulation, and contingent reward.

Further analysis identified another dimension, laissez-faire (passive, reactive) versus active-proactive. Length of time with the leader (less than one year compared to more than one year) was not a factor.

On the dependent variables of satisfaction with the leader and perceived effectiveness, charisma and individualized consideration were most highly correlated, whereas contingent reward and management-by-exception were the least correlated, although they were significant.

The resulting Multifactor Leadership Questionnaire (MLQ) has since been used with a wide range of individuals including non-supervisory engineers, correctional managers, New Zealand managers and professionals, biographic studies of world leaders and U.S. managers, Indian managers, church ministers, and in major corporations. Generally, the findings are that Transformational Leadership is more satisfying and results in greater levels of extra effort, that contingent reward is related to performance, but when Transformational factors are added on, they provide an even better prediction of outcomes (augmentative effect). Management-by-exception (intervening only after a mistake) is generally uncorrelated with effectiveness, and often seen as counter-productive.

Waldman, Bass, and Einstein (1984) studied 256 managers in a Fortune 500 company. Performance (independently rated) was correlated with charisma and individual consideration of leaders; satisfaction was correlated with leader's contingent reward, charisma, consideration and stimulation, and negatively correlated with management-by-exception.

Bass (1985, p.229) has concluded that previous studies have shown four things:

- 1. five factors are required to understand Transactional and Transformational leadership;**
- 2. the factors can be reliably measured using the MLQ form 5;**
- 3. different respondents produce similar profiles of the same leader (although this varies with the sample);**
- 4. transformational leadership contributes incrementally to the basic effectiveness, effort, and satisfaction produced by transactional leadership.**

Avolio and Bass (1988) extended the research of Bass (1985) to other studies. They found: i) Transformational Leaders appear to be present at all levels of public and private organizations studied; ii) Transformational Leadership related positively to: how effective the leader was seen to be by his subordinates; how much effort subordinates made; and how satisfied subordinates were with the leader's performance. These findings were consistent across the several organizations studied.

Bass, Avolio, and Goodheim (1987) had undergraduate business students complete MLQs as if they were the subordinates of well-known leaders whose biographies they had read. "World-class" leaders differ from the traditionally studied managerial leaders because they influence only through their message,

they have no direct personal contact or two-way interaction with the majority of people they influence (e.g. Churchill and the English-speaking world, Iacocca and Chrysler employees).

The results showed high agreement among different raters of the same leader (eta coefficients of .70 to .84), and world-class leaders as rated higher on charisma/inspiration, intellectual stimulation and contingent reward than were leaders in other samples. The authors noted that both Transactional and Transformational Leadership is needed for the growth of complex organizations, and can be used at all levels in an organization, and in training.

Avolio, Waldman, and Einstein (1988) studied the relationship of leadership style and team performance. The subjects were second year MBA students divided into teams of seven to nine, with the team leader selected by the team. The performance was measured by the economic performance of their corporation (market share, stock price, earnings per share, return on assets, debt-to-equity ratio). Leadership style was assessed by team members completing the MLQ (Bass, 1985). No leadership training was provided. The results showed that Transformational Leadership was associated with higher performance ($r=.40$), as was contingent reward ($r=.42$), whereas managing-by-

exception was not ($r=.08$). Step-wise regression showed individualized consideration and inspirational/charisma accounted for 31% of the variance ($p=.01$) in organizational performance. Other factors were not significant. Avolio, Waldman and Einstein concluded that successful teams attribute more Transformational and active Transactional Leadership qualities to their group leaders. The principle result was hypothesized to be extra effort. As a double-check on leader style, videotapes of some leaders were rated on the MLQ by "blind" research assistants. Avolio et al conclude that training programs to increase/improve leadership skills could lead to more effective leaders and organizations.

Kuhnert and Lewis (1987) theoretically examined how the leader's personality stage (from Kegan, 1982, 1984) and method of interpreting reality influenced the choice of leadership style. Transformational Leadership requires that the leader have coherent end values (internal standards, integrity) to be adopted by the followers, to produce changes in beliefs, attitudes, and goals. If the leader is at a level that defines himself in terms of his connections to others, or sees others as a means to his own personal goals, he will be transactional. At higher levels, he can become transformational.

The authors conclude there is a need for longitudinal research and expansion of dependent variables to include more than task performance. One implication not drawn by the authors is that Transformational Leadership training may be ineffective on leaders not at a stage of personal development where they can use it.

Bass, Waldman, and Avolio (1987) cite several studies which suggest people tend to copy the leadership style of their superiors. Their own research was on New Zealand government managers. The MLQ was completed by subordinates on first level managers, and by the first level managers on their supervisors. Significant correlations were found between second and first level supervisors' charisma ($r=.35$), individualized consideration ($r=.26$) and intellectual stimulation ($r=.28$), and contingent reward ($r=.51$) but not for management-by-exception ($r=.04$). They further found that the more charismatic a leader, the less he felt he needed his supervisor to be charismatic ($r=-.28$), although, overall, there was a desire for more Transformational Leadership to be used on one.

The authors concluded it would be more effective to train the top and have them be models, than to train the bottom, and that Transformational Leadership is less needed when the subordinate is already Transformational.

Tichy and Devanna studied Transformational Leadership at the corporate level. Their model is based on case studies of 12 Chief Executive Officers and their companies. It applies Transformational Leadership within Kurt Lewin's three-stage model of change: identify the need for a change in the corporate culture and create a felt need/dissatisfaction; create a vision, an inspiration, tap into a deeper sense of meaning for followers, and mobilize commitment; shape and reinforce the new culture, values, and behaviours, and human resource management. They found transformational leaders to be highly successful in bringing whole organizations to higher levels of performance.

Conceptual Concerns with Transformational Leadership

One concern raised by some inmates is the powerfulness, and potential for abuse of power, by Transformational Leadership leaders. Transformational leadership is, by definition, the process of raising subordinates to higher moral and achievement levels. Charismatic leadership, a similar phenomenon, can be

used to influence for good or ill, and is at times a deceptive cover for self-interested autocratic or coercive behaviour.

This concern is addressed by Howell (1987) who distinguishes between pro-social Transformational leaders and self-serving charismatic leaders. The issue is a valid one, especially given inmates' exposure to numerous leaders and managers who, with or without charisma, had little concern for the inmates' growth and development.

The literature reviewed did not raise any major conceptual or critical issues.

Application to Corrections

To help determine if leadership theories could be tested in a correctional setting, in research preceding the current study, inmates and ex-inmates were asked if any staff had a significant influence; that is, were there staff with whom they had formed deep personal attachments, who had inspired them to transcend their own personal interests and the restrictions of the inmate code, to achieve higher goals, to get productive employment, to lead a law-abiding life, and even to contribute to others in society. This was a qualitative, not

quantitative, exploration. Several ex-cons described staff members who had such an influence. Concerned volunteers and prison shop foremen were the most frequently mentioned. Case managers and correctional officers, who are responsible for inmates' personal growth, were rarely mentioned.

Supportive of the potential for anyone to have a leadership influence, even in difficult situations, is Bass in his review (1981 p. 610) who noted that:

"even in hardened bureaucracies, there are leaders with knowledge of the system, good connections and the ability to mobilize and husband resources, who keep their eyes on the bigger issues and take the risks required for "creative administration", which gives them the idiosyncrasy credits necessary to arouse in subordinates complete faith and trust in the leader and willingness to strive for the higher goals set forth as challenges for the group by the leader."

There is little in the corrections and culturally disadvantaged literatures to help assess the applicability of Transformational Leadership to this population. The concept appears promising to this author; however, corrections is one of the most conservative institutions in our society. As well, many correctional workers are macho, and many show the symptoms of burn-out including lack of caring, feelings that one is not accomplishing anything, and depersonalization of inmates (Cheek, 1984). Asking staff to make a break with the past, treat inmates differently, and become change agents is likely to be resisted. It may

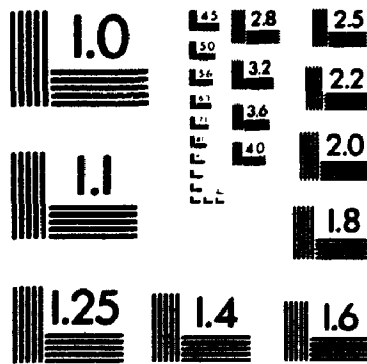
be the theory will not apply, not through lack of relevance, but through rejection by the trainees.

2.7 Application of Correctional and Organizational Psychology

Literature to Leadership

Several studies cited above while not intended to assess leadership style directly have found that first line supervisors of inmates and culturally disadvantaged workers have a key role to play in leading their subordinates. Relevant factors seem to be creating a supportive work climate, empathy, individual attention, counselling, and support. None of the factors were present across all work supervisors, and the effects are not strong enough for leadership to become a panacea. However, some work supervisors appear to use leadership skills to significant advantage. While none of the correctional/culturally disadvantaged studies directly addressed the Situational or Transformational theories, some application is possible.

2



Situational

The relevance of these literatures to Situational Leadership is that Consideration, or relationship behaviour, appears to be an important variable. Maturity, especially motivation to work in a traditional job, is an important variable. On the other hand, the ability component of maturity appears to be less important, perhaps because of the low ability required to do most jobs available to the culturally disadvantaged and in prison, as well as because ability follows motivation fairly rapidly. That is, at this level of skill, a desire to learn and do the tasks can be easily implemented with on-the-job training. The impact of Initiating Structure, or Task Behaviour, is less consistent across the populations studied in corrections, the culturally disadvantaged, and the leadership literature. Relationship behaviour without task behaviour appears to provide inmates with an opportunity to abuse the relationship. Task behaviour without relationship behaviour appears to be associated with withdrawal and lack of commitment.

These findings have a reasonable fit with Situational Leadership, except for the caution that use of a telling style may not be effective.

Transformational

The correctional and organizational psychology literatures, related to Transformational Leadership, suggest that Individualized Consideration may have a greater impact on dependent variables than usual, perhaps because of the low self-esteem of the culturally disadvantaged. In prison, one is cut-off from supportive family and friends, contact with one's caseworker totals less than one working day per year and there is often animosity between guards and inmates. The shop foreman is one of the few possible sources of much needed support and personal attention that inmates can garner in a prison.

Intellectual stimulation is a factor of unknown importance. It is, in a prison, an infrequent experience. Consequently, if there is a need or desire for intellectual stimulation, its use by work supervisors would be important. This need is not addressed in the literature. Ex-inmates interviewed in preparation for this research indicated that challenging work, where they could learn and develop new skills, was important to many inmates. It is consistent with the findings that cognitive development is an effective strategy to move inmates to higher stages of moral development and away from criminal behaviour.

Charisma and inspiration are also not discussed in the corrections literature. It is inferred to be an important factor, based on the descriptions of meaningful foremen provided by ex-inmates. It is also inferred logically, in a situation where formal, coercive power is high, and respect and informal power low, that those foremen who can be charismatic should have a big lead over those who are not charismatic.

The correctional and culturally disadvantaged literatures do not provide much information relevant to assessing Transformational Leadership, but what there is appear , supportive. Apart from the literature, analysis of the correctional setting indicates good potential relevance of the theory.

2.8 TRAINING EFFECTIVENESS

The literature on the effectiveness of training in leadership is mixed. Several studies generally indicate limited effectiveness. Jacobson and Kaye (1988) state that this is due to the difficulty of teaching attitudes, while Sergiovanni (1979) contends leader style is a function of personality and cannot be changed at will, or by another's will. Bennis (1989) attributes the inability to practice leadership to overwhelming organizational pressures.

McCall and Lombardo (1978), summarizing the literature, observed that the results of studies on training effects were not encouraging. Miner (1965) found that training produces temporary changes, but little long-term effects.

Campbell, Dunette, Lawlor, and Weick (1970) summarizing the research contended that skills such as Consideration and Direction were not related to performance. Even if they were related, the causal relation could be performance leads to Consideration, rather than vice versa. In the last ten years, however, there has been work on determining why leadership training had been ineffective, and identifying procedures for success.

The first step is to distinguish between leadership and management. Miller (1984) concludes that training in management - the handling of immediate problems through application of established principles, is more common and is easier to accomplish. Leadership is influencing and directing others, having a long-range impact, providing a vision and finding a new path. Certain leadership skills, Miller concludes, can be taught. These include skills to persuade others, set high but achievable goals, be appropriately visible and assertive, communication skills, diagnosing, planning, and delegating.

Some studies explain why training has failed. Leister, Borden, and Fiedler (1977) agree that modifying one's personality or motivational structure is difficult and uncertain. They contend that training a group of people in one style may well be ineffective - since there is no one best way to lead, you may be moving some people from a good leader-situation fit to a poor fit. Manz and Sims (1986) point out that since we do not fully understand or control the trainee's cognitive processes and how he integrates the training, training often results in emergence of new behaviours other than those modelled by the trainers, or misapplication of behaviours.

Other studies have found leader training to be effective in industrial settings (Applebaum, 1979), and public administration (Butler, 1979). More likely to be successful is training that is part of a larger organization design effort. Komanecky (1988) describes the successful leadership training program at General Electric. Their first phase is preparatory reading. The second is a six day leadership course given after the new manager has been in the job six to 12 months. The third phase is communications skill-building based on modelling. The approach features individual diagnosis of needs, practice, and feedback on performance. Bassin (1988) describes a successful five-phase leadership training program at General Foods that extends over 18 months.

Another group of recent articles diagnoses what leadership training should do to be effective. Hodgson (1987) states that management skills can be taught, but for leadership one must create an environment in which people can learn for themselves. Musselwhite and Dhillon (1987) argue that the individual has to be ready to learn. Factors impeding learning and application of leadership, based on case studies of training programs, were: personal non-receptiveness to feedback on leader style and performance; an organizational climate that was non-supportive of the trained style; high stress (personal or on-the-job); and being new at the job. Factors that promoted learning and application were: being about six to 12 months into a new job, and having follow-up or refresher training. Decker (1987) contends that the trainer needs to model leadership, provide practice, feedback, and explanations of the covert mental processes involved.

Generally, the literature suggests that leadership development is difficult, that it combines attitudes, values, and skills, and that it should be a comprehensive development, not a one-shot training. It should include reading, mentoring, practising, feedback, modelling, and organizational redesign. Some organizations have been able to put together such comprehensive efforts, with

reported success. The success of one-shot training is accepted as being less likely, and likely to fade over time if not followed-up and not accompanied by other organizational design steps.

Few organizations can afford to put together such comprehensive efforts for the bottom-level supervisors. This research seeks to assess if a limited training intervention, unaccompanied by other organizational design efforts, is powerful enough to create a measurable effect.

Summary

Two popular leadership theories appear to have potential application to corrections industry, where staff leadership that affects inmate productivity and personal growth may be a critical, unexplored factor.

CHAPTER 3: RESEARCH MODEL AND HYPOTHESES

This research does not present a model of leadership. Rather, it tests two currently popular models or theories. Based on a review of the literatures, four common themes have been noted. These themes are supportive of testing Situational and Transformational Leadership in a correctional setting. The themes are:

First, some leaders have a significant impact on their subordinates, not just in terms of productivity, but also in terms of personal growth.

Second, there are several distinctive characteristics that the disadvantaged worker and the inmate worker share that colours their reaction to leaders and affects what will or will not work.

Third, the effective leader's first step is to build willingness, to increase effort, to foster maturity and commitment; follower ability is less important.

Fourth, the common solution is to move subordinates along a continuum or up a hierarchy of maturity, cognitive development, motivation or needs.

These continua are variously labelled development cycles, higher needs, moral development.

These four themes are developed in this section.

3.1 IMPACT

Individual leaders can have a measurable impact on follower productivity and personal growth. Research in organizational behaviour summarized by Bass (1981), House (1985), and Yukl (1981) demonstrates the importance of individual leadership across many situations. Research with the disadvantaged summarized by Koch (1974) demonstrates the importance of leader style with this population. Research in corrections summarized by Gendreau and Ross (1984) is consistent with Koch, but less copious. Corrections research has tended to examine program level effects rather than individual level effects. However, personal histories and qualitative accounts strongly support the impact of staff leadership on inmates.

Jim McLaughlin (1984), Director of Industries for the Correctional Service of Canada from 1934 to 1972, stated how he viewed the impact of shop instructors on inmates as follows:

"It was individual instructors who deserve the credit for bringing the work ethic into shops. I saw so many examples of a good instructor (foreman) getting the most out of the men. It was the personality of the instructor that could create such an attitude. I can't overemphasize the contributions of individual instructors."

Bob Young, director of an employment agency for ex-cons, who spent fifteen years in prison, explained why he went straight:

"The biggest influence was Jack the upholstery instructor. He gave me responsibility, talked to me individually and showed me what I was doing and why I was doing it; not just how to stitch, but how to run a shop. When the Queen came, she sat on some furniture at Rideau Hall that I had redecorated ... that (inmate-foreman) relationship is so important..."

3.2 SUBORDINATE CHARACTERISTICS

Key characteristics that may moderate the effect of leadership style in the corrections setting relate to the background of inmates, a background not shared by the typical North American worker or subjects in leadership research. These characteristics include poor education, low motivation to work, negative attitudes, an inability to defer gratification and poor self-concept (Triandis, 1975; Koch, 1974). The leadership literature (Bass, 1981) recognizes the

moderating effects of subordinate characteristics on the effectiveness of leader style, but has not said a lot about these characteristics. These characteristics may also influence the choice of leader style. The supervisor of inmates' work may, as a result of the inmate's characteristics, undervalue his input, or hold some animosity toward the inmate.

3.3 THE LEADERSHIP PROBLEM

There is agreement in the three literatures that ability and performance are not the key issues. The problem is to build commitment, encourage attendance, increase effort, and foster maturity to move subordinates up a hierarchy or along a scale - vocational, cognitive, or Maslowian.

3.4 THE SOLUTION

Given the situation of the prison shop foreman, it appears worthwhile to study the effectiveness of leadership styles that focus on follower/subordinate development. The foreman has a legislated mandate to address inmate maturity as well as productivity. Inmate supervisors who are more effective in this mandate have empathy skills (Andrews, 1983; Barry, 1971; Koch, 1974), a

sensitivity to rules and pro-social values (Andrews, 1983), and provide support and consideration (Friedlander and Greeberg, 1971; Melon, 1975; D. Masco and Gustafson, 1975; Salipante and Goodman, 1975), while avoiding coercion (Etzioni, 1975) and lack of respect (Crawford, Thomas, and Fink, 1980).

3.5 RESEARCH OBJECTIVE

Based on this understanding of the situation in corrections and the state of leadership theory, the following research objectives were developed:

- 1. To evaluate the impact of training in Transformational Leadership in this setting on subordinate personal growth and productivity, to provide evidence on whether the actual effects are as postulated by the theory;**
- 2. To evaluate the impact of training in Situational Leadership in this setting on productivity and subordinate maturity, to provide evidence on whether the actual effects are as postulated by the model;**
- 3. To study and assess the theoretical implications of these findings for leadership theory;**

4. To develop recommendations for leadership training, theory building, and future research.

3.6 HYPOTHESES

In response to the research objectives, and based on the literature review and preliminary research, four hypotheses were developed.

Hypothesis 1: Shop foremen who receive leadership training (Situational or Transformational), when compared to a control group, will have inmates who experience greater increases in productivity and personal growth.

Leaders can have a significant impact on their subordinates, even in a correctional setting. Because of the emphasis placed on productivity and growth in both theories, both variables should be affected.

Hypothesis 2: Training in Transformational Leadership will be associated with greater increases in subordinate personal growth than training in Situational Leadership will be.

Transformational Leadership places a much greater emphasis on subordinate development and the intellectual stimulation and individualized consideration that other research has shown is effective with inmates. The course content includes evaluating needs, setting goals, overcoming obstacles, and practicing of transformational skills. Consequently, it is anticipated that training in Transformational Leadership will have a greater impact on dependent variables measuring personal growth than will training in Situational Leadership, which has some but less emphasis on the "developmental cycle"

Hypothesis 3: Use of Situational Leadership Style Two "Coaching" with inmates of low maturity levels will, contrary to theory, be as effective as the prescribed Style One "Telling" with regards to increased levels of productivity and personal growth.

Given the special characteristics of the group, it is expected that the prescribed style will be a poor fit with the inmates.

Hypothesis 4: Shop foremen trained in Situational Leadership are more likely to accept and apply the training than are those trained in Transformational Leadership.

Situational Leadership, particularly Style 1, describes leadership behaviours familiar to most staff. The prominence given subordinate maturity levels is consistent with staff's concern about the quality of inmates' motivation and ability. Transformational Leadership stresses a break with the past, the use of new behaviours including charisma and intellectual stimulation, that are not as much a part of foremen's previous experience. Consequently, there may be greater acceptance and use of the Situational Leadership.

CHAPTER 4: METHOD

4.1 OVERVIEW

Sixty staff foremen who supervise inmates in prison industrial shops were assigned to one of three groups. Group SL received three days training in Situational Leadership. Group TFL received three days training in Transformational Leadership. Group C received no training in leadership.

Prior to the training the following measures were taken on four types of variables:

- 1. Productivity was measured by: (i) Foremen's supervisor's completion of a questionnaire providing his opinion on work group productivity; (ii) production data (value of goods produced and percent of quota achieved for the previous three months was recorded);**
- 2. Leader Style was measured in the Southern Region by the Multifactor Leadership Questionnaire and in the Northern Region by the LEAD-SELF;**

- 4. Personal Growth was measured by: (i) Foremen's supervisor's opinions on growth; (ii) Case manager/social worker opinion on growth, (iii) Absenteeism, (iv) Turnover, and (v) Disciplinary offenses.**

During the training, all TFL and SL group members received three days professionally delivered leadership training. At the end of the training, a course evaluation was completed.

Approximately four months later, the measures of productivity, maturity, and personal growth were repeated.

4.2 THE RESEARCH SITE AND SAMPLE

The Correctional Service of Canada (CSC) is the federal department responsible for administering the sentences of persons sentenced to two years or more in prison. It is a large, geographically diverse department with approximately 11,000 staff, 13,000 inmates, 6,000 parolees, and 28 major institutions. CSC's mission statement is "The Correctional Service of Canada, as part of the criminal justice system, contributes to the protection of society by exercising

safe, secure, and humane control of offenders while helping them become law-abiding citizens".

One branch of CSC is responsible for the employment of inmates and production of industrial goods such as office furniture, post office boxes, and inmate clothing.

The branch's mission is "to help offenders develop good work habits and skills through the production of saleable goods in structured work environments comparable to the private sector". Work groups of two to 12 inmates are supervised by a staff member, known as shop instructor or shop foreman, who is usually a qualified tradesman in the shop area (e.g. carpentry, upholstery, sheet metal, warehousing). Products worth \$18 M are produced annually by the industries shops across the Correctional Service.

Six penitentiaries were selected to participate in this research. In order to preserve the confidentiality of some subjects who have requested anonymity, the names of the regions and penitentiaries involved have been disguised. The penitentiaries were selected in consultation with senior management to achieve a balance between the two regions and representativeness compared to the overall

system. In the Northern Region, Institutions A, B, and C participated. In the Southern Region, Institutions D, E, and F participated.

Assignment to Experimental Groups

Twenty shop foremen were assigned to the Situational Leadership group from the three Northern Region penitentiaries. Selection was made by the managers who tried to achieve a representative sample based on including the range of employees (good, average, and difficult) and type of shop (maintenance and production, assembly line and customized).

Twenty shop foremen were similarly assigned to the Transformational Leadership group from the three Southern Region penitentiaries.

Random assignment to experimental group was rejected. The cost of having a Transformational Leadership and Situational Leadership training in each region would have increased the cost of the research by \$30,000 to \$40,000, which was prohibitive. As well, there would be the difficulty of shop foremen working next to each other using different styles, and of discussing, comparing, and blending the two styles. With the high inmate movement between shops, they would be

subject to different styles. It would then become impossible to attribute any effects to one or the other training.

Comparability of the two groups is important for generalizability. Efforts were made to achieve comparability and to test for it. Differences are inevitable across regions and institutions. None of those differences appear major, or a threat to the generalizability of the study to other regions.

On the other hand, there was comparability in product lines, productivity, attitudes toward one's work and to inmates. Several factors support generalizability. First, each of the regions has been used frequently by head office in the past, both individually and together, to pilot programs and procedures for the other regions. There is a high degree of transferability of these pilots to the national system. Second, there is uniformity across regions due to national regulations and procedures, common product lines, and centralized management. Third, the prisons were selected for their comparability. One prison in each region was built from the same blueprints, at the same time, in a rural area to help the economy and focus on the same type of offender. Finally, the control group, which was randomly selected from both regions, showed no significant differences across regions.

The differences noted by the researcher were subtle and minor, and not likely to be detected by standard instruments. The Northern Region foremen had a slightly more external locus of control about their lives in general, but shared their Southern counterparts' frustration at their limited influence on inmates. The Southern Region had two females, the Northern was all male. Both groups were typical of blue collar rural-based foremen, in and out of prison work.

Assignment to Control

Twenty shop foremen were assigned to the Control Group, ten from each Region. Assignment was random from the available shops with approximately equal representation by prison.

The experimental groups were, for the most part, the production-oriented industrial shops, while the control group was, for the most part, the maintenance, repair, and small construction shops. The reasons for this choice, rather than an equal mix of each type of shop in all groups, or use of industries shops in other institutions as the control are:

- **the control group should be from the same institutions, to control for the historical effects of other factors, which are more institution-based than system based (e.g. the downsizing at one institution had tremendous effects on morale);**
- **the senior managers of the research site insisted that the experimental group be mostly industries, to maximize the impact on the group, and because the senior managers consider the industries group to be the one most in need;**
- **the design used resulted in less transfer of training between groups than would have occurred in a design that used mixed groups at each institution;**
- **the alternative of a control group from industries at other institutions would add considerably to the cost of the study, without controlling for institution-specific factors.**

While the composition of the control group had some merits, it was anticipated that their performance would be slightly better than the experimentals due to

While the composition of the control group had some merits, it was anticipated that their performance would be slightly better than the experimentals due to being more trades-oriented. The control shops were expected to have inmates slightly more committed to their occupation, slightly more educated, more likely to stay in the same shop to gain apprenticeships.

Sample size was determined by using two different formulae from Hays (1982), taking into account the predicted size of effect (10 to 20 percent), a significance level of .05, and a power of detecting an effect 80 percent of the time. Both formulae suggested a group size of 16. This was increased to 20 for greater power and to allow more staff to take advantage of the training.

4.3 DATA COLLECTION

Pre and post data collection was multi-source, multi-method, measuring 15 variables. The sources included: unstructured interviews with groups of inmates; questionnaires on leader style completed by inmates; unstructured interviews with foremen; questionnaires on leader style completed by foremen;

inmate pay sheets and attendance reports; productivity data; and structured interviews with managers who supervised the foremen.

4.3.1 Productivity Data

There were four sources of information on productivity.

A computerized, headquarters operated system records monthly targets, product value, and quantity of product produced monthly. This data was collected independently of this research. It provides two objective quantitative measures on value of goods produced and percent of quota achieved. These figures are by institution, not shop, for the industries operation. A breakdown by shop was not possible, due to the nature of some products. For example, an upholstered pine frame couch would have input from carpentry, paint, and upholstery.

At the conclusion of the research, the senior manager in charge of industries for Correctional Services Canada advised that he considered the value of goods produced to be a good indicator of productivity, but that percent of quota achieved should not be used. The latter involved some factors unrelated to the study, and were considered invalid because those other factors were measured as

well. The value of goods produced, however, was an audited figure that was considered reliable.

The second source was a questionnaire completed during an interview between the researcher and each manager who supervised the foremen in the study. (see Appendix "C" for a description of the interview and questionnaire) This provided subjective qualitative data on overall performance by shop, product quality and speed of production. The managers typically had four to ten foremen working for them, and had their offices in the same building. They had frequent opportunities to observe inmate behaviour, and got to know about most difficulties that arose in the shops.

These ratings were gathered specifically for this research, with the managers in all groups aware of the training and the hypotheses. There is a theoretical potential that the pre-test ratings may have been inflated, to make the manager and his staff look better. There is potential that the post-test ratings were inflated or depressed, depending on whether the manager supported the training or resented the intervention.

Based on extensive interviews by the researcher, and the ability of managers to provide incidents to support ratings, the researcher developed confidence in the ratings. Managers clearly distinguished effects, there was no positive or negative "halo", ratings such as quality were unaffected, while ratings such as job skills were differentially affected between TFL and SL; an effect which indicates differential training impact (or else each group applied similar within-group biases on all measures, with different biases between groups).

The third source was reports on file completed by case managers. Case managers are responsible for the assessment of inmates and coordination of their individual programs, including work, personal growth, rehabilitation, and parole preparation. As part of their duties, they prepare a quarterly progress report describing all facets of the inmate, with specific sections on "employment" and "personal development".

The data has considerable face validity. Its strengths are: the report is prepared by professionals experienced in assessing inmates; the report is a regular requirement of the job, it was not generated for this study, it did not assess the training, and is therefore free of test-retest influence; the case

managers were unaware of this research, and unaware their reports were being used in it; the report is therefore free of bias related to the study.

The researcher blind-recorded the case managers assessments of overall work performance before knowing which group the inmate was in.

Finally, shop foremen rated each inmate on a 5 point scale on quality and quantity of work. This data, gathered from quarterly performance appraisals of the inmates done by their shop instructor is of limited validity and unreliable. There are two concerns. First, the rating form, which was generated by the Correctional Service's headquarters, was changed between the pre- and post-test for administrative reasons unrelated to this study. One of the variables was changed significantly, and the weight of the other two was decreased. Reliability of the data was thereby compromised. Second, the ratings appear to be influenced by a quota on pay levels, and by pressure from inmates for good ratings, as much as by actual inmate performance. The measures therefor appeared to have limited validity as a measure of individual productivity. These shop foremen ratings were therefor excluded from the analysis of data.

4.3.2 Leader Style Data

Leader style data was obtained by questionnaire from foremen and inmates.

The pre-test questionnaire data, described in Appendixes "F" and "G", was used as an aid in training, not as a variable. A second, subjective assessment was made by the researcher at pre and post test, based on interviews with inmates, foremen, and managers.

4.3.3 Inmate Maturity

Each inmate was assessed, by the researcher, to be in one of the four maturity levels described by Situational Leadership. This was done based on written reports in the inmate files on education, motivation, skill training, etc.

4.3.4 Personal Growth

There were several measures of inmate personal growth and development.

Work Habits were assessed for each shop by the manager using the questionnaire described in 4.3.1. It was a general assessment of generic work behaviour, promptness, attitude, diligence. (See Appendix "C" for details.)

Job Skills was a similarly obtained measure of task-specific skills by shop. (See Appendix "C".)

Turnover or length of stay in a shop, was obtained from daily attendance records and pay sheets, for each inmate, and summarized by shop. (See Appendix "J".)

This data was calculated from the bi-weekly inmate pay sheets by a research assistant blind to experimental group membership. Random double-checks by the researcher confirmed accuracy. Given the attention paid to an inmate's whereabouts in a prison, and the outside auditing of the pay system, the data is thought to be reliable and valid.

Absenteeism - Hours and days absent were obtained from daily attendance records, which were kept for reasons not associated with this study. (See Appendix "J".)

While collecting the data, the researcher noted there was inconsistency between institutions in the use of codes which made it difficult to classify absences and there was inconsistency between institutions in the length of time required to trigger recording an absence, ranging from 10 minutes to 3 hours.

Further, an absence did not necessarily reflect negative work habits such as malingering; in several cases good performance led to temporary absence (pass) for rehabilitative purposes; in other cases, there were medical or rehabilitative reasons.

Because of its unreliability, the data was not used in the analysis.

Personal Growth - Case Managers regularly place reports on file in which they assess each inmate's personal growth and development outside of work.

Participation in personal development programs, readiness for release, signs of maturity and responsibility, and other indicators of personal growth are all assessed in these reports. The reports were made independently of this study - in fact, case managers were not aware their reports were being used for this purpose. The reports were coded onto a five point scale by the researcher, who

was blind to group membership. The categories were 1-actively anti-social, 2-non-involved, 3-modest growth, 4-active growth, 5-outstanding growth. (See Appendix "K" for details.)

Good Citizenship - This was another rating, by shop, made by the managers. It assessed how well the shop foreman affected citizenship behaviour (pro-social values and action). (See Appendix "C".)

Respect for Supervisor - This was another rating, by shop, made by the managers. (See Appendix "C".)

Disciplinary Offenses - This was a file-based record, by inmate, of the number of convictions for offenses within the institution, over a three month period.

This data was considered highly reliable due to administrative controls.

However, the low frequency of offences (about one offence for each four inmates in each test period) and the small subgroup of inmates who accounted for the offences (20% of inmates accounted for 100% of the offences) mean the data should be interpreted cautiously.

4.4 TRAINING DELIVERY

The Situational Leadership course was delivered on contract by Larry Armstrong, President of Leadership Studies Canada. Mr. Armstrong has worked in probation, been Director of Training for the Province of Alberta, associated with Dr. Paul Hersey for ten years, and is the authorized Canadian representative of the copywrited course Essentials of Situational Leadership. He has delivered the course in a wide variety of organizations.

The course content was divided into 12 segments that covered Situational Leadership theory. The segments are detailed in the proposal submitted by Mr. Armstrong, in Appendix D (see also Appendix B for a description of the theory).

The course covered:

- * an historical perspective on management, and leadership within organizations;**

- * definitions of "management" and "leadership" and the differences between them;**

- * **how power, and the perception of power, affect a leader's ability to influence others;**

- * **task behaviour and relationship behaviour described in behavioral terms, examples of high and low task, and high and low relationship behaviour, an exercise to classify examples of behaviour as either high/low task and high/low relationship;**

- * **description of the four basic styles of leadership behaviour, the differences between attitude and behaviour, and maturity as the critical variable affecting a leadership situation;**

- * **the structure of the Situational Leadership model, how to evaluate the maturity levels of followers, matching leadership styles to achieve the highest probability of success in various situations;**

- * **the basic components of each level of maturity, and the behavioral indicators for each of the four leadership styles;**

- **the "shorthand" definitions of each leadership style - Telling, Selling, Participating, Delegating;**
- **the application of the Situational Leadership model to the development of people, recognition of situations where the developmental cycle should be used, and how to reinforce behaviour which demonstrates growth in maturity;**
- **application of the Situational Leadership model to discipline and change, what to do when regression occurs in subordinates performance;**
- **Maslow's hierarchy of needs as a diagnostic aid in assessing maturity, and how changes in the environment induce changes in level of needs;**
- **the Motivation-Hygiene theory and its relationship to Situational Leadership, the relationship between job satisfaction and job dissatisfaction in terms of employee maturity, McClelland's Achievement Motivation theory as applied to Situational Leadership;**

- **differentiating between the various levels of employee maturity and basic leadership style, diagnosing the best styles for various situations, developing a range of style, and understanding the four styles;**

The course was delivered using a comprehensive manual for each participant, and a combination of lecturettes, discussions, and video tapes featuring Dr. Hersey. Mr. Armstrong had spent some time with the researcher, and a day at the research site, preparing the content and approach.

The Transformational Leadership course was delivered on contract by Bruce Avolio and David Waldman. Both are faculty at the State University of New York (Binghamton), have published in the area, and have taught the course in a variety of organizations. Both are associates of Dr. Bernard Bass. Preparation included consultation with the researcher and a one-day visit to the research site.

The course content was divided into six modules as outline in Appendix E: an introduction and overview; how to use transactional leadership; individual feedback from inmates' completion of leader style (MLQ) questionnaire, identification of areas to improve, and practice; examples of Transformational

Leaders, how to incorporate Transformational Leadership into one's behaviour; diagnosing subordinates' needs, developing a strategy to unfreeze past behaviours, developing follow-up strategies, and use of successive incrementalism to achieve specific goals; setting and communicating goals, evaluating opportunities and risks; becoming more inspirational, videotaping of inspirational sessions; creating a vision through intellectual stimulation, practice of problem solving and breaking with the past; bringing it home, a strategy to apply Transformational Leadership on the job and overcome roadblocks.

The course was delivered using a workbook, lecturesses, discussions, and small-group exercises. The facility was a training room at a College frequently used by the Correctional Service.

Efforts were made to have the quality of both courses equally high and comparable in presentation. Both trainers were among the top in their field.

In both courses, the instructor(s) were introduced by the researcher, and the nature of the research explained. The researcher then withdrew from the training. Training sessions were from 0830 to 1200 and 1300 to 1600, for three

consecutive work days. Most trainees commuted, a few stayed in nearby facilities.

The training was evaluated at its conclusion. (See Appendix "I".)

4.5 SUMMARY OF RESEARCH DESIGN

The design was a pre-test, treatment, post-test experiment with a control group.

	Transformational Group	Situational Group	Control Group
Pre-test	Yes	Yes	Yes
Treatment (3 days training)	Yes	Yes	No
Post-Test	Yes	Yes	Yes
	n = 20 foremen 60 inmates	20 foremen 60 inmates	20 foremen 60 inmates

4.6 ANALYSIS OF DATA

Numerical data was analyzed using SPSS-X split-plot multiple analysis of variance, with one between-groups and two within-groups analysis. Post-hoc regression, correlation, and t-tests were done if the MANOVA was significant.

A conservative approach was taken to the analysis of data. A manova was performed first, with subsequent univariate and ad hocs. For the univariate analysis, Tukey's was used for the most part, with the less conservative Newman-Kewls noted where it was used to confirm borderline Tukey's results. Two-tailed tests were used throughout. While theoretical considerations caused the researcher to predict the direction of the results, there was the possibility that opposite effects could occur, and should be tested for, so one-tailed tests were avoided.

Even with the above approach, in two instances the statistical tests indicated a significant difference between means which, although in the predicted direction, did not appear to be based on a meaningful difference. These results were not included in the results section.

CHAPTER 5: RESULTS

Results are presented for the evaluation of the training and each hypothesis, then for other findings.

5.1 THE TRAINING

Both courses were well received and highly rated by those who attended. Almost all recommended the training be widely used for staff, while about half supported training inmates.

Each foreman completed an evaluation questionnaire at the end of the course. (see Appendix H) Satisfaction with the course was very high (8.5 out of 10) for both experimental groups. Objectives achievement was also high (8.9 SL, 8.5 TFL). Intent to apply the course was significantly higher for the Situational Group (8.2 SL, 7.5 TFL). The data, and the narrative comments, are summarized in Appendix H.

5.2 HYPOTHESIS 1

Shop foremen who receive leadership training (Situational or Transformational), when compared to a control group, will have inmates who experience greater increases in productivity and personal growth.

This hypothesis was supported for both Transformational and Situational Leadership training. Improvements were noted on most of the dependent variables, several of which were statistically significant. Qualitative data supported the quantitative data. The following sections describe the data for each of the dependent variables, grouped according to productivity, personal growth on-the-job, and personal growth outside-the-workplace.

5.2.1 Productivity

5.2.1.1 Value of Goods Produced

The wholesale value of goods produced in the industries shops increased by 13 percent for the Transformational Group, and by 28 percent for the Situational

Group. The comparison for this measure was industries shops in all other institutions, where product value declined by 3 percent. No statistical analysis was conducted because of the small "n" (6). Data was only available by prison, not by shop, since most products have input from several shops, and cannot be attributed at the shop level. For example, a mailbox would pass through sheet metal, welding, painting, graphics, and warehouse.

Figure 5-1

VALUE OF GOODS PRODUCED

<u>Group</u>	<u>percent increase (decrease) in value of goods produced</u>
TFL	13%
SL	28%
C	(3%)

5.2.1.2 Management Assessment of Overall Shop Performance

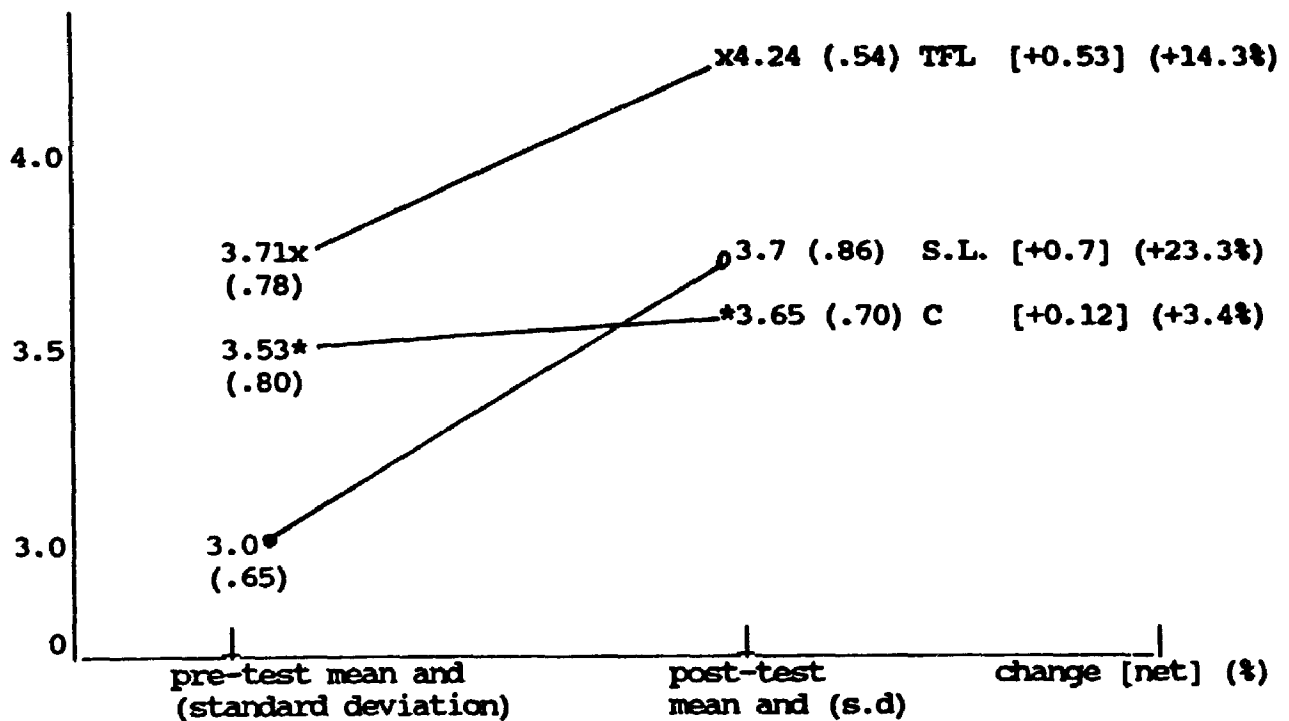
The managers who supervise the shop instructors in the study completed a qualitative assessment of the performance of their shops, using a five point Likert-type scale, with 5 the top score (see Appendix C). "Overall performance" in the post-test period was assessed higher than pre-test for all three groups - up 14.3 percent for Transformational, 23.3 percent for Situational, and 3.4

percent for Controls. Pre and post values, changes, and statistical analysis are summarized in Figure 5-2.

The Manova showed a significant pre-post trial effect (all three group scores rose), and an interaction effect that approached significance. Post-hoc univariate tests confirmed what appears intuitively from Figure 5-2:

Transformational Group post-test scores are significantly higher than pre-test; Situational post-test are higher than pre-test; TFL pre scores are higher than SL pre-scores, and TFL post-scores are higher than Control post-scores, but not significantly higher than the SL post scores.

OVERALL PERFORMANCE
(as rated by managers)



(This work group's performance is outstandingly good)

Manova - Unique Sum of Squares

	S.S.	d.f.	F	p
interaction	1.61	2	2.67	.078
trial	5.75	1	19.05	.000
group	8.20	2	5.39	.007

Univariate Analysis (Newman-Kewls)

TFL post > TFL pre P<.05
 SL post > SL pre P<.05
 C post > C pre n.s.

TFL post > C post <.05
 TFL pre > SL pre <.05
 all others... n.s.

In interviews, the managers in both Transformational Leadership and Situational Leadership Groups described the major improvements in overall performance in both groups as being:

- a reduction in the number of incidents requiring the manager's intervention (e.g. staff-inmate arguments, production problems);**
- an improvement in the shop instructor's ability to manage difficult individuals;**
- a reduction in the incidence of smuggling contraband, making illicit articles, and sabotage.**

The managers in both groups were enthusiastic about the role the respective course played in improving performance, wanted it to be given to any staff who missed it, and wanted to take it themselves.

Some improvement in the Controls was to be expected, since improvements to the industries area is a constant management concern. While the managers in the experimental groups cited examples of improvements due to shop foremen behaviour, the managers in the Control Group who observed improvements mentioned quite different effects and causes, such as assignment of a better

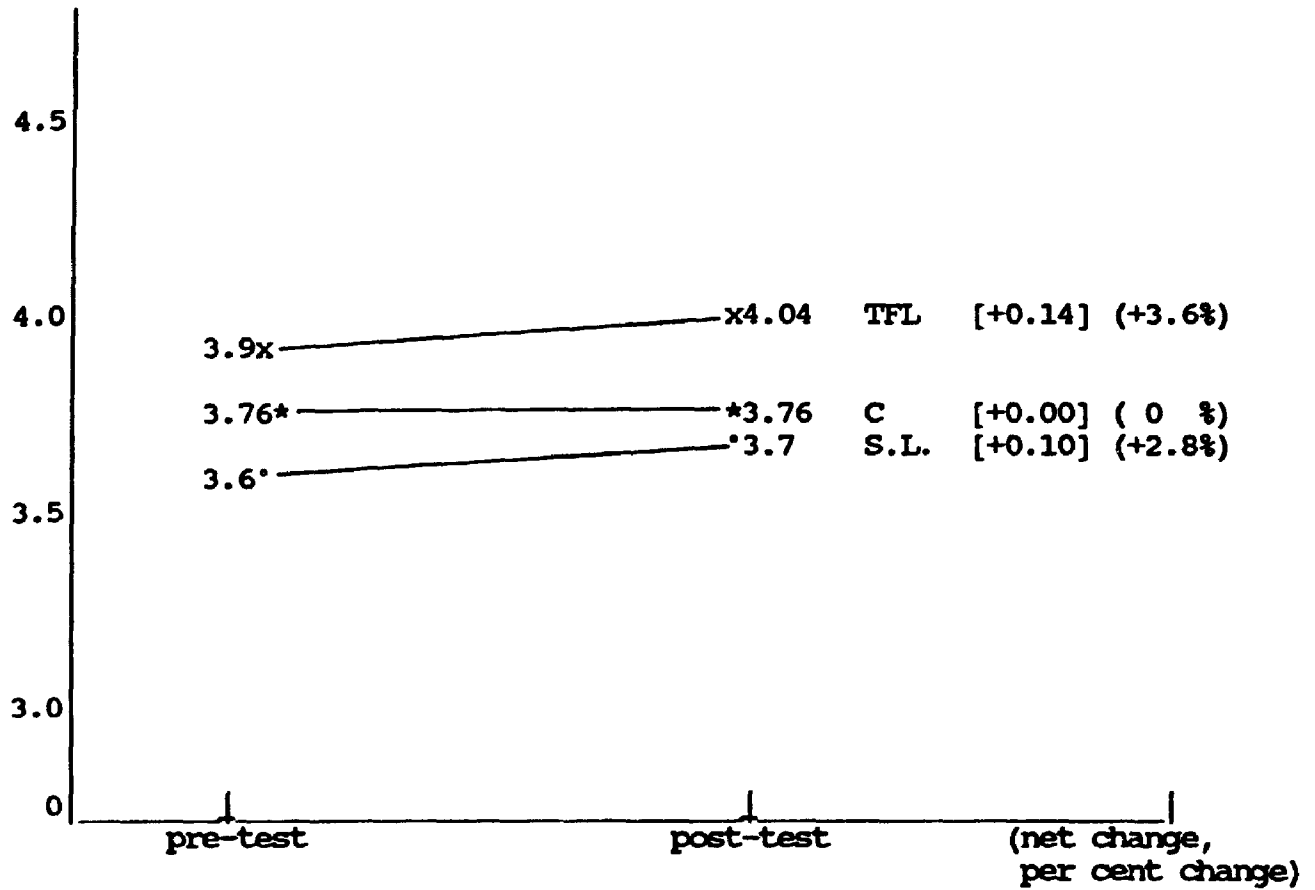
group of inmates, the re-organization of the work process, and improved equipment leading to greater output, factors not associated with leadership.

5.2.1.4 Managers' Opinion of Quality

The managers who supervised the shop instructors in the study noticed marginal improvements in the Transformational and Situational Groups (3.6% and 2.8%) and no change in the Control Group. There were no statistically significant effects (see Figure 5-3). Post-hoc univariate analysis was not conducted.

In interviews, the managers described a ceiling effect. Product tolerances were already established, and being met. One manager speculated that in the post-test there may have been a greater input to quality by inmates, with staff having to do less work, and with fewer rejects/scrap and re-works, but the final quality was the same. Other managers offered that quality was dependent on job skills. Changes in quality would be a third-level outcome of a more skilled and motivated work-force, that would take more time to realize.

QUALITY (1)
(as rated by managers)



(The quality of work of this group is very good)

Note: There were no significant effects.

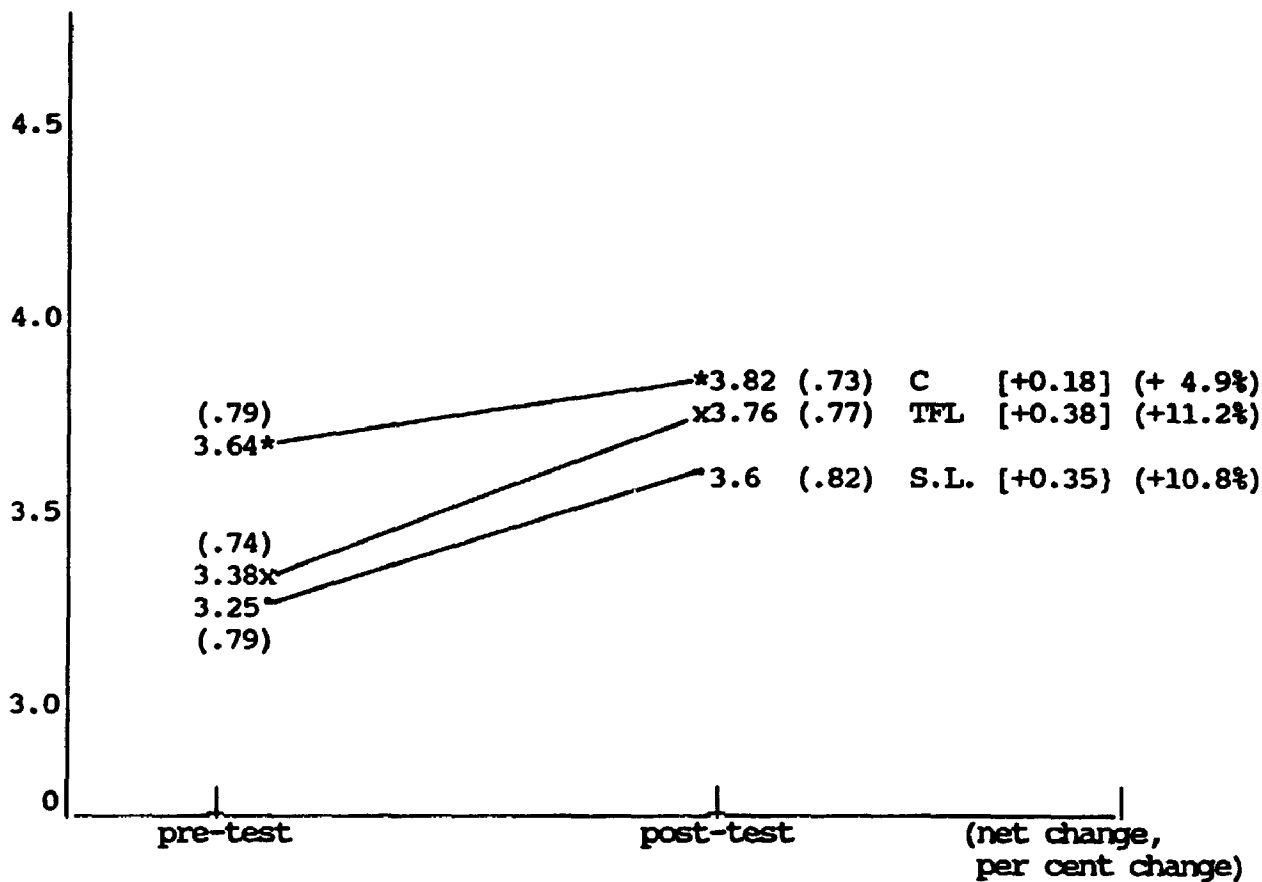
<u>Manova</u>	<u>S.S.</u>	<u>d.f.</u>	<u>F.</u>	<u>p</u>
trial	.188	1	.786	.379
interaction	.099	2	.206	.814

5.2.1.6 Managers' Rating of Quantity

The managers' ratings of the speed with which products were manufactured rose for all groups, but there were no significant differences. TFL was up 11.2 percent, SL up 10.8 percent, and Control up 4.9 percent (see Figure 5-4).

Managers indicated that speed and quantity were influenced by the quotas and the reward systems. They found extra pay, piece-work pay, or a special personal appeal to inmates was usually successful in getting increased speed or quantity when it was needed to fill an order or meet a deadline. They expressed concern about not being able to manipulate the reward system, which they saw as more important than leadership in affecting speed and quantity.

QUANTITY/SPEED
(as rated by managers)



(the speed with which work is done is very good)

Manova	S.S.	d.f.	F	P
interaction	.220	2	.337	.715
trial	2.63	1	8.04	.006

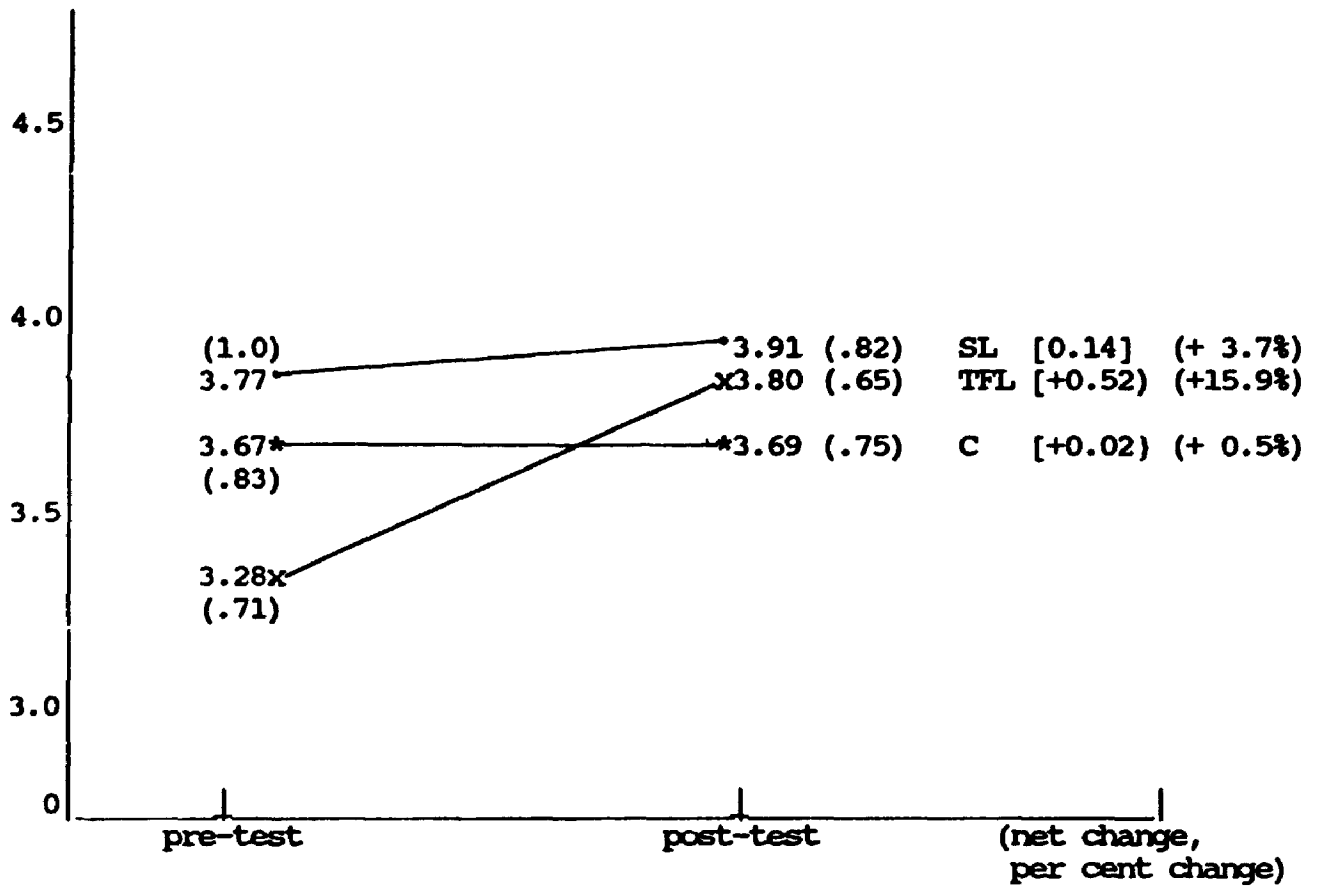
Univariate Analysis

There were no significant relationships.

5.2.1.8 Case Managers' Ratings of Work Performance

The quarterly progress reports completed by case managers independent of this study on each inmate assesses his performance in the workplace, and discuss training/education needs, career path, and related issues. The average rating of inmates in the TFL group rose 15.9 percent, while the SL group rose only 3.7 percent, and Controls were essentially unchanged at plus 0.5 percent (see Figure 5-5). At the pre-test the TFL Group was significantly below the other two, while at post-test they had gained enough ground that there were no significant differences.

OVERALL WORK PERFORMANCE
(as rated by case managers)



Manova - there were no significant effects

Univariate Analysis (Newman Kewls) showed SL and C pre-scores were both significantly higher than TFL ($p < .05$), and both differences disappeared at the post-test ($p=.47$)

Summary of Impact on Productivity and Performance

Three independent sources have supported the part of hypothesis one that predicted shop foremen who receive Situational or Transformational Leadership training will have inmates who experience greater increases in productivity than the Control group. There was also a reasonable amount of inter-source agreement, as shown in Figure 5-6. The one exception is the case manager rating for the Situational Group; however, the limited increase there may be due to a ceiling effect, as the rating is quite high.

The scores are summarized in Figure 5-7. They are all in the predicted direction, with some significant results.

Comparative Analysis of Per Centage Change Pre-Post

	TFL	SL	C
Industry Manager average rating of overall performance and quality, and speed.	9.7	12.3	2.77
Case Manager rating of inmates of overall work performance.	15.9	3.7	0.5
Value of goods produced.	13	23	-3.0

FIGURE 5-7
Summary of Work Performance

Variable	Transformational Group			Situational Group			Control Group								
	Pre	Post	Change	%	sig.	Pre	Post	Change	%	sig.	Pre	Post	Change	%	sig.
1. Overall Shop Performance (Industry Mgr. Rtg.)	3.71	4.24	.53	14.3	*	3.0	3.7	.70	23.3	*	3.53	3.65	.12	3.4	n.s.
2. Quality by Shop (Industry Manager Rating)	3.90	4.04	.14	3.6	n.s.	3.60	3.70	.10	2.8	n.s.	3.76	3.76	.00	0	n.s.
3. Quantity by shop (Speed) Industry Manager Rating	3.38	3.76	.38	11.2	n.s.	3.25	3.60	.35	10.8	n.s.	3.64	3.82	.18	4.9	n.s.
4. Value of Goods (1)	115	130	15	13	n.t. (2)	120	148	27.6	23	n.t.	2,750	2668	(82)	-? 0	n.t.
5. Inmates' Overall Work Performance (Case Mgr. Rating)	3.28	3.80	.52	15.9	*	3.77	3.91	.14	3.7	n.s.	3.67	3.69	.02	0.5	n.s.

Notes: (1) Value is in thousands of dollars.

(2) n.t. = not tested statistically.

* = $p < .05$

5.2.2 Personal Growth

The "developmental cycle" of Situational Leadership, the "heightened motivation and performance beyond expectations" of Transformational Leadership, the "good work habits and skills" of the Occupational Development Branch, and the "law-abiding citizens" mission of the Correctional Service were measured using variables thought to indicate personal growth and development. Several of the variables measured growth at the workplace, while two measured personal growth and development beyond the workplace. Significant impacts were achieved both on and off the job.

5.2.2.1 Personal Growth and Development in the Workplace

Turnover

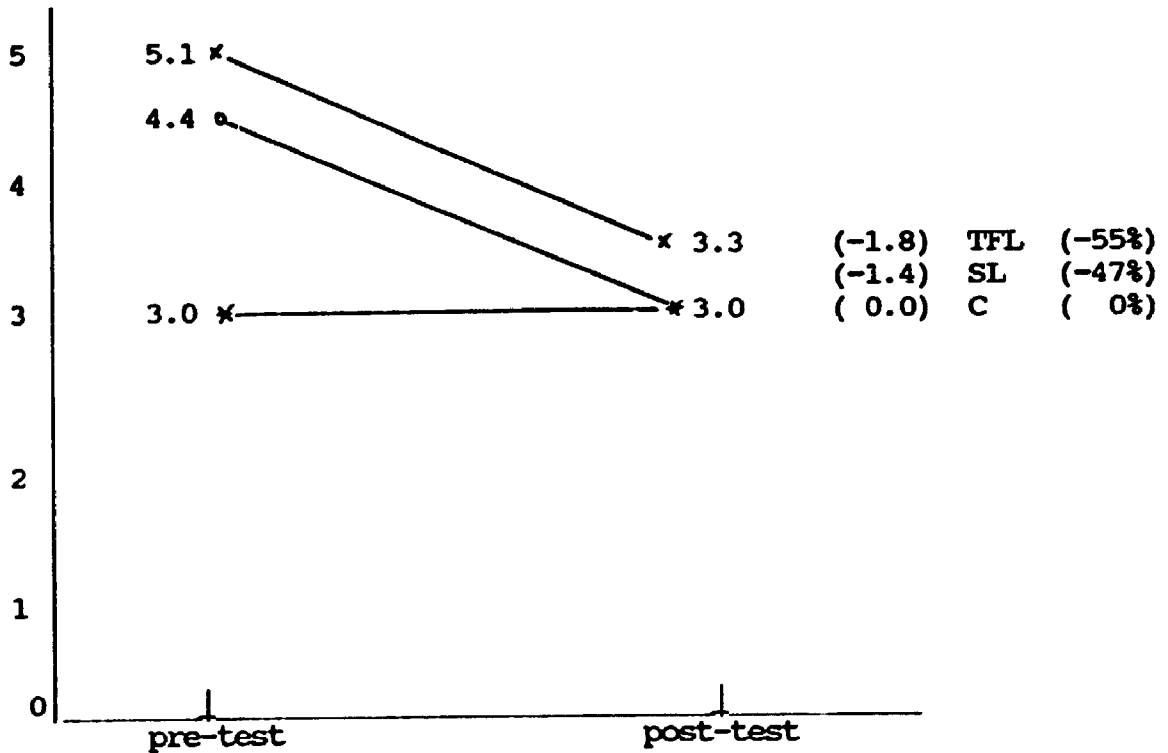
Increased length of stay in a shop is thought to be associated with the development of a good work ethic, with acceptance of the leadership of the shop instructor, and with the opportunity to improve job skills. High turnover is a chronic problem in CSC shops. At the pretest, the average length of stay in Transformational Group shops was 10.2 weeks. In the Situational Group, it was 11.8 weeks, and in the Control, 17.3 weeks. Expressed in terms of the average

number of shops worked in per inmate per year, it was 5.1 for TFL, 4.4 for SL, and 3.0 for Control.

At the post test, the Controls had remained steady at a turnover rate of 3.0 (average length of stay 17.3 weeks) while the turnover decreased by 55 percent of the Transformational Group (to 3.3 per year or 15.8 weeks) and by 47 percent for the Situational Group (to 3.0 per year, or 17.3 weeks). In Figure 5-8, the data is expressed in turnover rates per year, while in Figure 5-9 it is expressed more positively in length of stay in the shop.

Due to the pre-test differences, the improvements in the experimental groups brought them to control group levels. The statistical analysis was therefore changed from Manova designed to show post-test differences to univariate analysis and "t" tests designed to test if there were significant pre-test differences that disappeared at the post-test. The Transformational Leadership and Situational Leadership groups were significantly different at the pre-test, and not different at the post-test.

TURNOVER RATES



Turnover Rate as number of jobs per inmate per year.

Manova - Significant Effects interaction

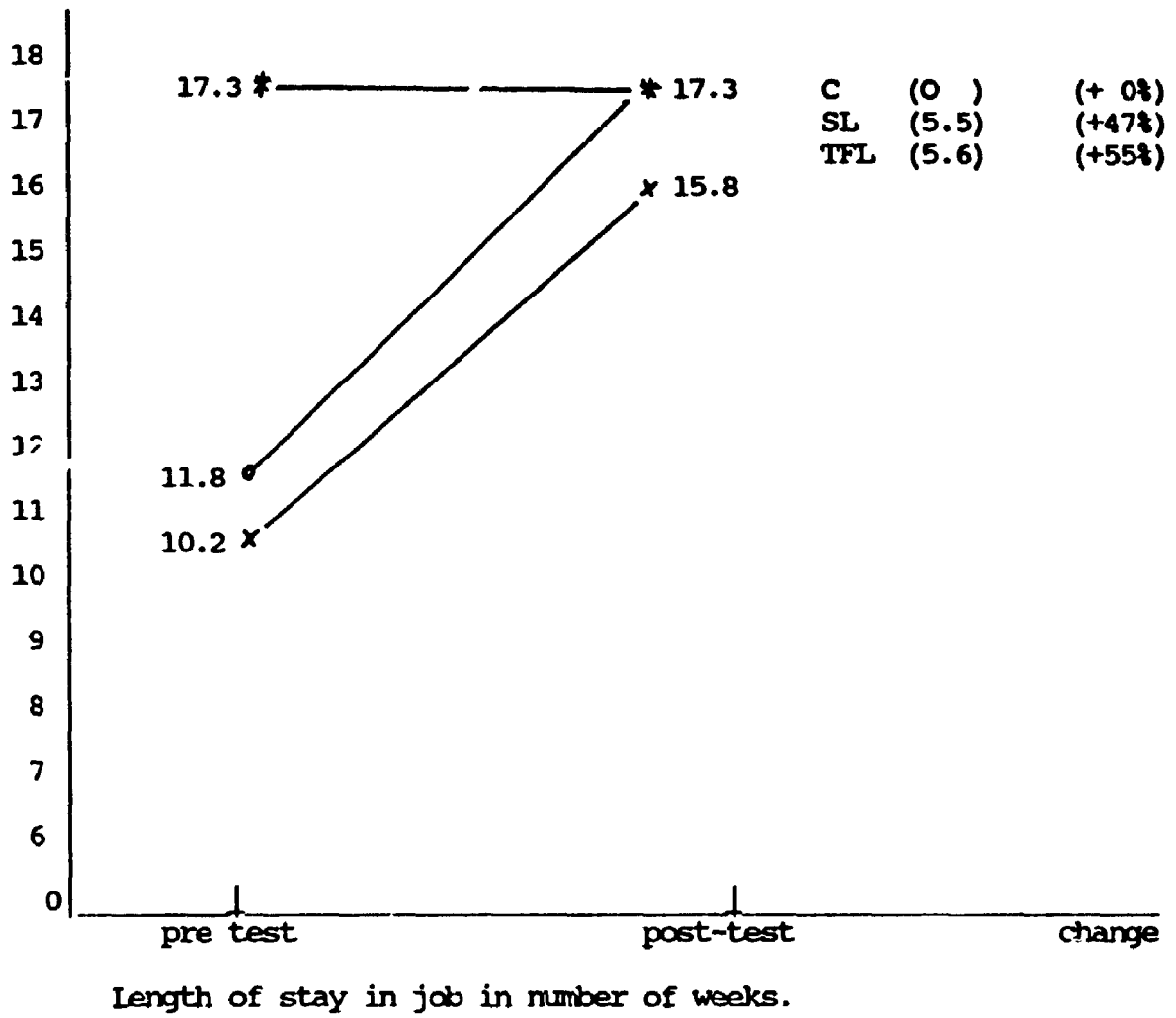
Univariate Analysis (*Newman-Kewls) -

Control pre < Transformational pre p < .05

T test - Transformational pre > Transformational post p < .05

Situational pre > Situational post p < .05

LENGTH OF STAY IN SHOP
(in weeks)



Manova - Significant Effects interaction

Univariate Analysis (*Newman-Kewls) -

Control pre > Transformational pre p < .05

Control pre > Situational pre p < .05

Decreased turnover was the most frequently mentioned effect in interviews with shop instructors and managers.

SL shop instructors reported far fewer cases where they had to fire an inmate for poor production or disruptive behaviour. In most cases, the training did not affect their basic way of leading, which they were comfortable with, but when problems arose, or inmates did not react well to this basic style, the shop instructor diagnosed the maturity level-style match and tried a different approach. Managers of SL instructors independently reported a decrease in turnover, and fewer problems requiring their intervention.

TFL shop instructors also reported a decrease in turnover. For the most part, they also claimed to not change their basic leadership style, but drew on the TFL training when confronted with a difficult, uninvolved, or rebellious inmate. In such cases the shop instructor explored new ways of solving the problem, diagnosed the individual's situation, tried to inspire and stimulate. Several were, frankly, surprised (and pleased) when this new approach worked.

TFL managers reported decreased turnover and fewer staff-inmate problems. In one case, inmates were not only staying longer, but for the first time in ten

years, were asking to go into the shop. In another case, previously frequent complaints of boredom and requests to get out of the shop totally disappeared in the post-test.

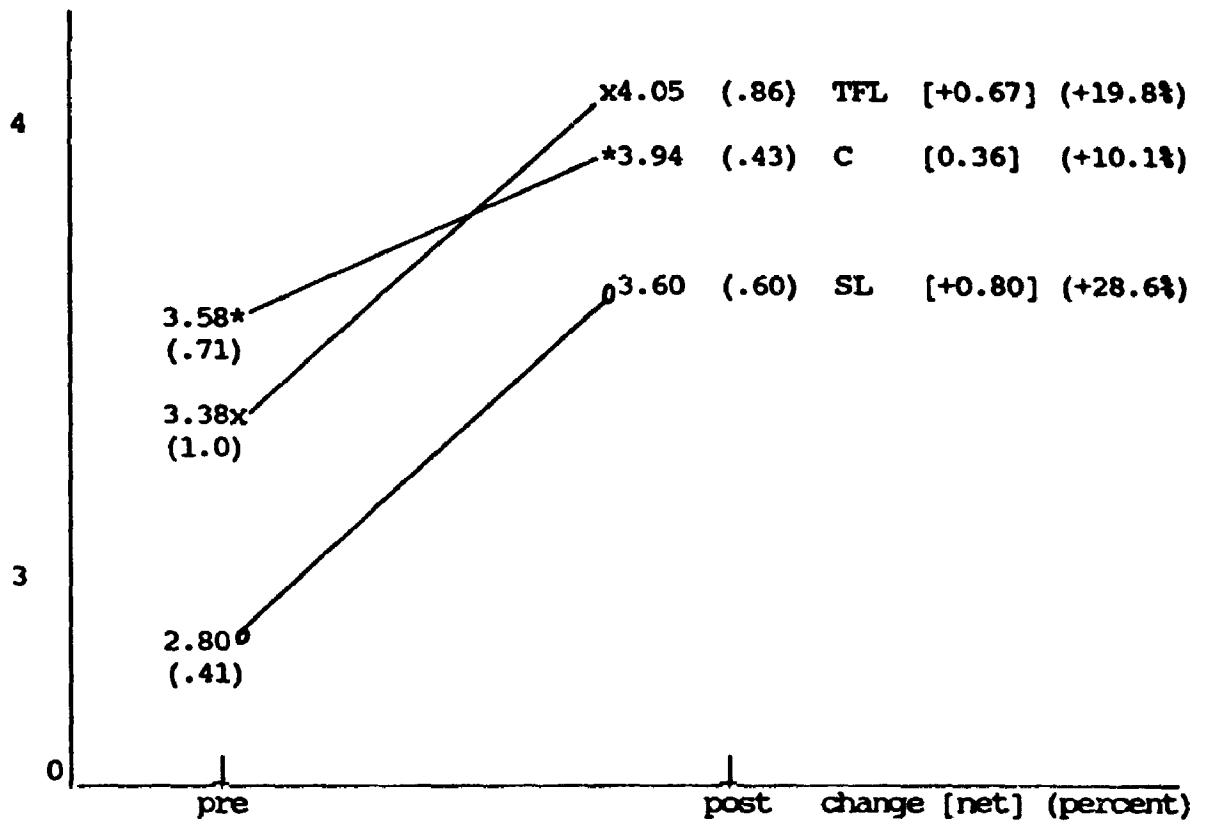
Absenteeism figures are not reported due to inconsistent recording and to validity issues which were discussed in chapter five.

Work Habits, as Rated by Managers

Generic work habits is one of the specific objectives of the Occupational Development Branch. Recent efforts in this area may have contributed to the 10.1 percent gain by the Control Group and also account for some of the TFL and SL increases. The Transformational Group improved by 19.8 percent, and the Situational Group by 28.6 percent. (See figure 5-10.) The figures suggest that TFL and SL are rising faster than Controls, but there is not sufficient power to detect this difference statistically. Due to the large Control gain, and the possibility of historical effects on all three groups, this measure's validity is uncertain.

During post-interviews industries managers' comments on work habits in both experimental groups focused on decreased turnover, better ability to get along with the shop instructor, and fewer disruptive incidents. These observations are supported by case manager reports on work cited above. Comments in the control group were less focused; specific mention of work habits was not made, it was a generalized perception of improvement.

WORK HABITS
(manager's ratings)



(Inmates appear to develop better work habits while in this shop)

<u>Manova</u>	<u>S.S.</u>	<u>d.f.</u>	<u>F</u>	<u>p</u>
trial (pre-post)	10.6	1	27.9	.000
interaction	0.95	2	1.26	.293

Post Hoc

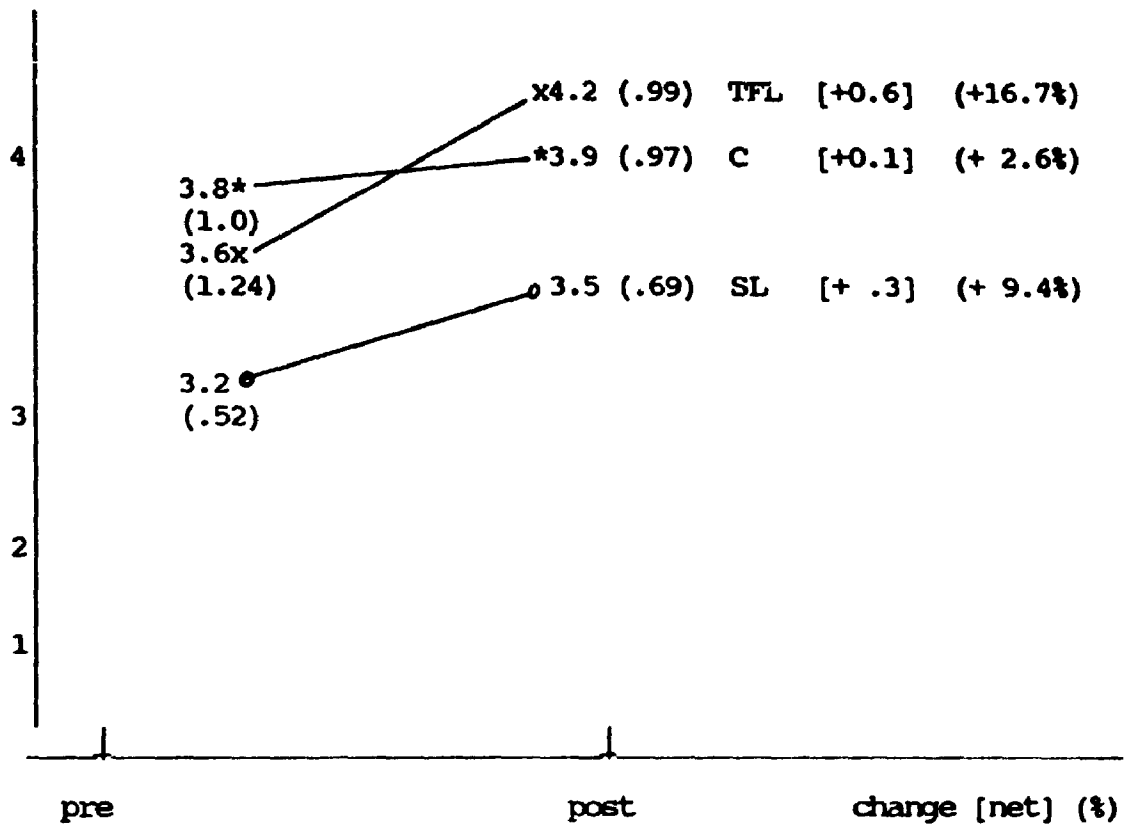
were not conducted

Respect

The degree of inmates' respect for and acceptance of their supervisor was assessed by the managers. It was used to measure one aspect of work habits, the degree to which inmates developed respect, and as an indicator of the effectiveness of the leadership style. There were improvements for all groups, ranging from 16.7 percent for Transformational, to 9.4 percent for Situational, to 2.6 percent for Controls. (See Figure 5-11.)

Managers reported several incidents consistent with increased respect and acceptance. Inmates started to ask to go into one of the TFL shops which they had always tried to avoid previously. In several shops, complaints by inmates about their supervisor reduced. Managers also drew the connection between increased respect and decreased turnover.

RESPECT
(manager's ratings)



Respect - Inmates appear to respect and accept their supervisor

<u>Manova</u>	<u>S.S.</u>	<u>d.f.</u>	<u>F</u>	<u>p</u>
trial	3.4	1	12.2	.001
interaction	1.24	2	2.2	.120

Post-Hocs

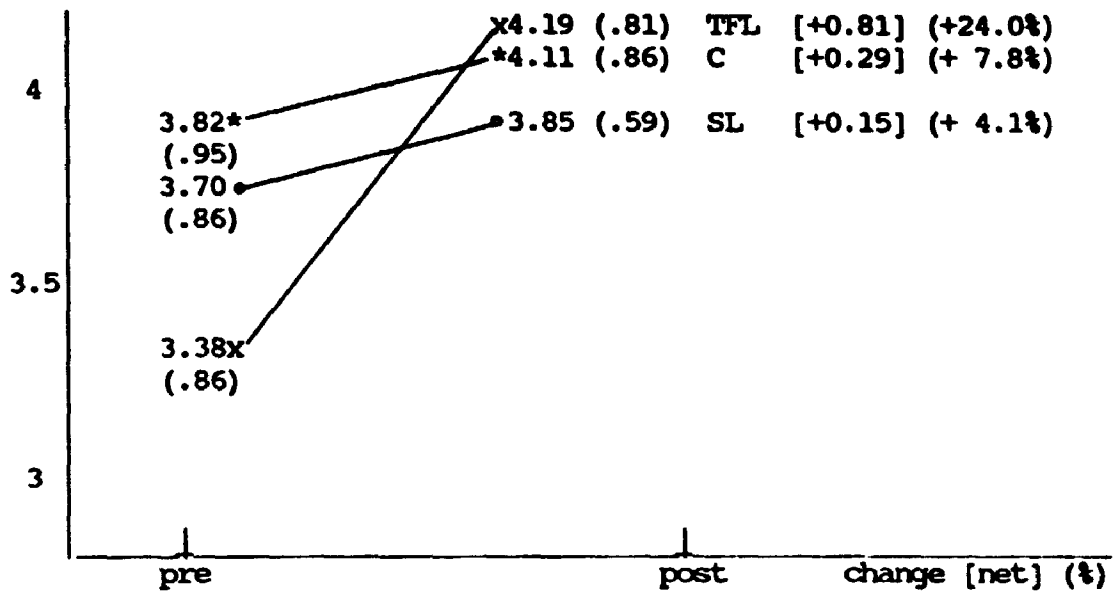
TFL post > TFL pre p < .05

Job Skills

The managers' opinion of this area showed a 24 percent increase in the Transformational Group, and 4 percent increase for the Situational Group. The Control Group improved 7.8 percent. (See Figure 5-12.)

There was a significant trial effect, and the interaction was only marginally not significant ($p=.097$). The TFL group which started with lower skilled inmates, improved significantly; the other two improved, but not significantly.

JOB SKILLS
(manager's ratings)



Inmates appear to learn job-related skills while in this shop

<u>Manova</u>	<u>S.S.</u>	<u>D.f.</u>	<u>F</u>	<u>p</u>
trial (pre-post)	5.0	1	9.99	.003
interaction	2.45	2	2.44	.097

Post Hoc

TFL post > TFL pre p < .001

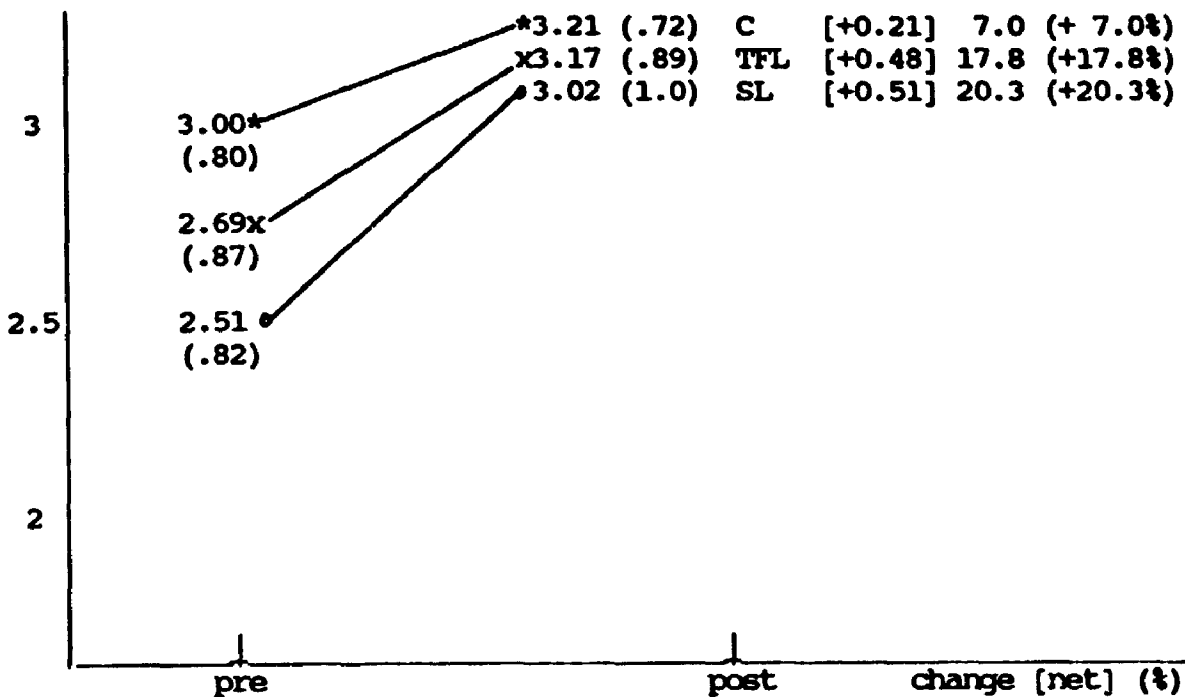
5.2.2.2 Personal Growth and Development Outside the Workplace

Case Manager Assessment

As part of the quarterly progress report case managers describe and assess each inmate's participation in rehabilitation programs, their acceptance (or not) of responsibility for their crime and their actions, and their potential for law-abiding behaviour. The experimental groups were significantly lower on this score at the pre-test than the control group. Improvements of 17.8 percent for the Transformational Group, and 20.3 percent for the Situational Group, compared to only a 7 percent gain for the Controls, reduced the gap to one that was not significantly different. (See Figure 5-13.) Tukey's univariate tests were used to establish significant pre-post differences within the experimental groups.

The comments in the reports indicated: increased participation in programs, such as Alcoholics Anonymous, Native Brotherhood, recreation; greater insight into their own behaviour, acceptance of responsibility for their crime, and acceptance of responsibility for their current behaviour.

PERSONAL GROWTH AND DEVELOPMENT
(as rated by Case Managers)



Manova

trial $p < .05$
interaction n.s.

Univariate

C pre > SL pre $p < .05$

Post Hoc

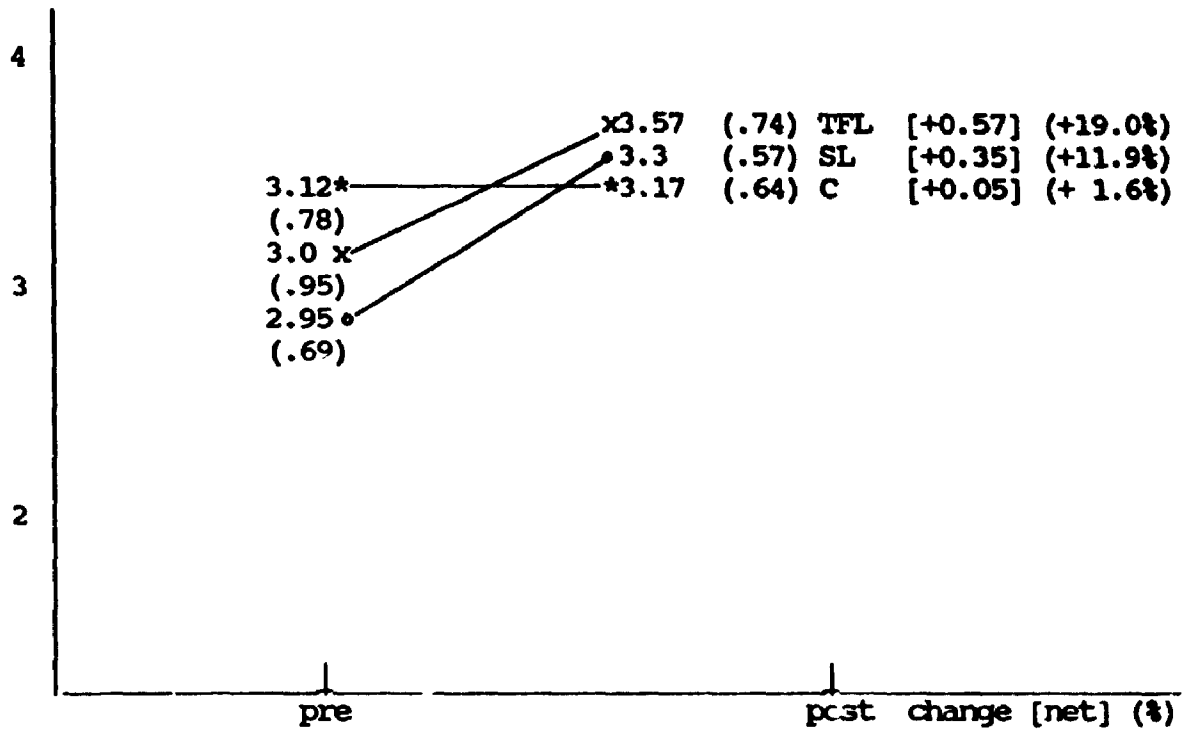
SL post > SL pre $p < .05$
TFL post > TFL pre $p < .05$

Citizenship

Managers' ratings of inmates becoming better citizens started fairly close together, then diverged as the Transformational Group improved by 19 percent, and the Situational Group by 11.9 percent. The Controls were essentially unchanged, up 1.6 percent. (See Figure 5-14.)

Some managers commented that this was the most difficult rating to make, as they had limited information on out-of-shop citizenship behaviour.

CITIZENSHIP
(managers ratings)



Inmates become better citizens while in this shop

<u>Manova</u>	<u>S.S.</u>	<u>d.f.</u>	<u>F</u>	<u>p</u>
trial	3.07	1	8.3	.006
interaction	1.23	2	1.7	.197

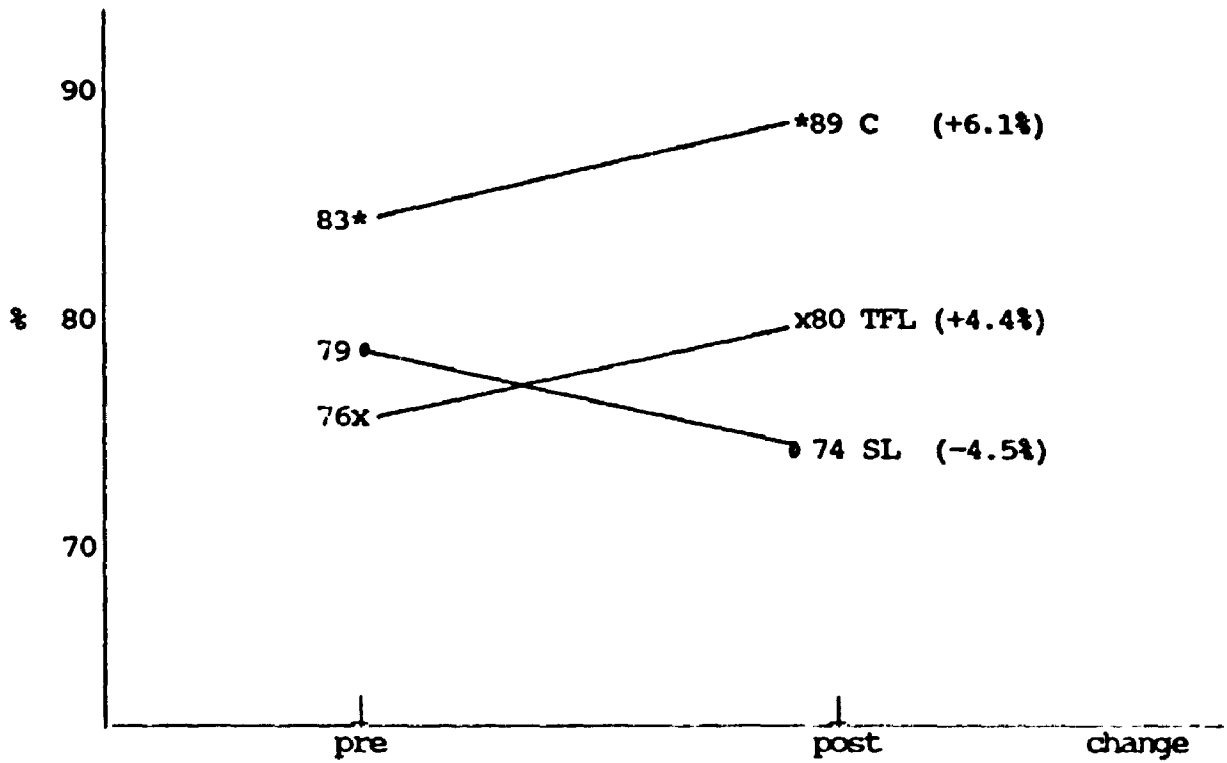
Post Hoc

TFL post > TFL pre p < .05

Disciplinary Offences

The per cent of inmates who were offence-free rose 4.4 percent for the Transformational Group, and 6.1 percent for the Control Group. The rate dropped 4.5 percent for the Situational Group. About 20 percent of the inmates accounted for all the disciplinary offences within the prisons. There were no statistically significant differences, using chi-square analysis. (See Figure 5-15.)

Per Cent of Inmates Offence-Free



Chi Square

no significant relationships

Summary of Personal Growth

Some, but not all, of the dependent variables showed improvement. With regard to on-the-job personal growth and development:

- **significant improvements were noted in the Transformational Group for turnover, respect, and skills;**
- **significant improvements were noted in the Situational Group for turnover;**
- **no significant improvements were noted in the Control Group.**

With regard to personal growth and development off-the-job:

- **significant improvements were made in the Transformational Group on overall growth and citizenship;**
- **significant improvement was made in the Situational Group on overall growth;**

- **no significant improvements were made by the Control Group.**

FIGURE 5-16
Summary of Personal Growth and Development

Variable	Transformational Group			Situational Group			Control Group								
	Pre	Post	Change %	Pre	Post	Change %	Pre	Post	Change %						
AT THE WORKPLACE															
Turnover-(1)	10.2	15.8	5.6	55.0	*	11.8	17.3	5.5	47.0	*	17.3	17.3	0	0	n.s.
Work Habits	3.38	4.05	0.67	19.8	n.t.	2.8	3.6	0.8	28.6	n.t.	3.58	3.94	0.36	10.1	n.s.
Respect	3.60	4.20	0.60	16.7	*	3.20	3.50	0.3	9.4	n.s.	3.8	3.9	0.1	2.6	n.s.
Job skills	3.38	4.19	0.81	24.0	*	3.70	3.85	0.15	4.1	n.s.	3.82	4.11	0.29	7.8	n.s.
BEYOND THE WORKPLACE															
Overall growth - case	2.69	3.17	0.48	17.8	*	2.51	3.02	0.51	20.3	*	3.00	3.21	0.21	7.0	n.s.
Manager ratings	3.00	3.57	0.57	19.0	*	2.95	3.30	0.35	11.9	n.s.	3.12	3.17	0.05	1.6	n.s.
Citizenship	76	80	4.0	4.4	n.s.	79	74	-5.0	(4.5)	n.s.	83	89	6.0	6.1	n.s.
Disciplinary Offenses-(2)															

Note: all ratings are on a 5 point scale, except turnover and disciplinary offences

1-measured in weeks for average length of stay

2-measured in per cent of inmates offence-free

significance* = p < .05

**5.3 HYPOTHESIS 2: TRAINING IN TRANSFORMATIONAL LEADERSHIP
WILL BE ASSOCIATED WITH GREATER INCREASES IN
SUBORDINATE PERSONAL GROWTH THAN TRAINING IN
SITUATIONAL LEADERSHIP WILL BE**

This hypothesis was partially supported. The Transformational Group improved on all seven dependent variables measuring growth and development, while the Situational Group improved on six. The Transformational gain was greater than the Situational on five of the measures, and the converse was true on the other two measures. Statistically significant improvements were made by both groups on turnover, work habits, and case managers' ratings of growth. In addition, the Transformational Group made significant improvements on respect, job skills, and citizenship. The data is summarized in Figure 5-16 above. The type of comments about personal growth in interviews with managers and shop instructors, and in case manager reports, were of a similar nature. That is, the quality and nature of growth was similar, whether it was associated with TFL or SL. Interviewees commented on less disruptive behaviour and improved turnover. Written reports noted more responsible behaviour and greater involvement in rehabilitative programs.

5.4 HYPOTHESIS 3: USE OF SITUATIONAL LEADERSHIP'S STYLE TWO "SELLING", WITH INMATES OF LOW MATURITY LEVELS WILL, CONTRARY TO THEORY, BE AS EFFECTIVE AS THE PRESCRIBED STYLE ONE "TELLING" WITH REGARDS TO INCREASED LEVELS OF PRODUCTIVITY AND PERSONAL GROWTH

There was insufficient data to test this hypothesis. There were fewer low skill, low motivation inmates than expected, and fewer foremen using Style 1 than expected.

The inmates in this study were more educated than is generally thought to be the case within CSC. The education department estimates 50 percent to be below Grade 9, whereas 28 percent on this study were. Functional literacy was quite high based on the ability of inmates to complete the MLQ questionnaires, in the TFL pre test.

<u>Education Level</u>	<u>% at educational level</u>			
	SL	TFL	Control	Average
Completion of Grade 8, or less	33	32	19	28
Grade 9 - 10	33	39	37	36
Grade 11 - 12	26	25	37	36
Grade 13 - graduate school	7	4	7	6

Using Hersey and Blanchard's categorization of maturity as a combination of willingness to work and ability to work, inmates were rated by the researcher, based on file data. Most prison work requires little of either skill or motivation - a source of concern to many inmates. Over all three groups, an average of thirty-nine percent of inmates were rated as able and motivated to do their jobs well (M4), five percent were rated as able, but not motivated (M3), forty-nine percent were motivated, but needed additional training or education (M2), and seven percent lack both skill and the desire to acquire it or perform well (M1).

In addition to fewer low maturity inmates than expected, there were fewer foremen using the Telling style than expected. In the researcher's opinion, based on interviews, only four foremen in each of the SL and TFL groups were

using a natural style similar to Telling. At the post-test, the same four foremen in the SL group rated themselves as using the "Telling" style.

The groups on whom S1 was used were consistently lower on each variable than the other groups were, both at pre-test and post-test. However, the gains made by the Telling group were similar to those made overall.

Qualitatively, interview data with inmates supported the hypothesis. There was appreciation for a boss who was firm, fair, and friendly, but not for one who was firm and grouchy. Foremen tended to express a lack of respect and comraderie for their fellows who used S1. Managers tended to see them as less effective.

Managers described the eight foremen who appeared to use a "Telling" style as autocratic, highly directive, low on interpersonal skills and warmth, and with poorer performance from their groups. One who used Style 1 was described as an excellent tradesman, but a misanthrope, more suited to his previous experience of pushing power lines across Arabian deserts.

Inmates described their ideal supervisor as one who was available for providing advice when one asked; approachable, fair, and friendly. They did not appreciate the instructor "hanging over their shoulders". They preferred to be given general direction by the instructor and pick up pointers from their colleagues. When a style one leader was described to them, they indicated their response would be resentment and a request for transfer to another shop, unless they really liked the work.

5.5 HYPOTHESIS 4: SHOP INSTRUCTORS TRAINED IN SITUATIONAL LEADERSHIP WILL BE MORE LIKELY TO ACCEPT AND TRY TO APPLY THE TRAINING THAN THOSE TRAINED IN TRANSFORMATIONAL LEADERSHIP

This hypothesis received some support. At the end-of-course evaluation the Situational Group expressed significantly higher intention to apply the training back on the job (8.2 for SL versus 7.5 for TFL, on a 10 point scale, $p < .05$). At the post test, the Situational Group reported higher usage, but it was not statistically significant (3.44 for SL versus 3.0 for TFL, on a 5 point scale). Slightly offsetting the trend to greater usage was the TFL Group's slightly

higher rate of implementing plans of action (2.53 for TFL versus 2.22 for S.L., on a 4 point scale).

These modest differences may have been due to different levels of developmental readiness, or due to SL being easier to apply, or to normal variance.

The training was seen in qualitatively different ways which the foremen described during post-test interviews. Situational Leadership training was seen as a good refresher in basic managerial leadership. It is skills oriented, encourages diagnosis of inmates as individuals, goal setting, and adjusting one's own approach to match the inmate's needs and the situation. While not affecting the basic style of those who took the course, it did affect their response to problem situations and difficult cases. It provided "tips" that were useful in specific instances. It involved applying skills most staff were aware of, had used at some time before, but had let slide. It was used most at the margins, with difficult cases and in difficult circumstances, to review why the basic style had been ineffective, and develop a new response. The content of the course was very well received, and the trainer was rated highly.

Transformational Leadership training was more of a personal development experience. It involved learning to do new things, to approach old problems in new ways. Those who took the course commented more on the outstanding nature of the trainers, and the impact of the course on them, than on the content of the course. Although several felt that the content was not applicable to inmates because of inmates' personalities and the hopelessness of trying to do anything, others were themselves transformed by the course and started doing their jobs in dramatically different ways.

The managers also reported qualitatively different effects. For the Situational Group, incidents of effective use of the training centred on resolution of critical incidents. For example, much was said about an incident where a foreman used Style 1 inappropriately, and the inmate reacted violently. The problem was resolved by re-diagnosing and switching styles. For the Transformational Group, the examples of effective use were more of changes in the person. Examples were: the manager of a foreman with a long reputation of being uninteresting and uninspiring reported he was seen, post-training, as interesting and stimulating by his inmates; a foreman who was using old, traditional technology moved to state-of-the-art; a chronic complainer started proposing

solutions; a foreman who in ten years had not had inmates requesting to go to his shop, now had several applicants.

5.5.1 Use and Impact

Correlations were done between post-test self-reported high use of the training and the dependent variables. For the Situational Group, high use was fairly consistently correlated with high ratings on the dependent variables.

Correlations were: overall performance ($r = .4$, $p = .10$) quality ($r = .4$, $p = .09$) speed ($r = .42$, $p = .07$) respect ($r = .34$, $p = .16$) good citizenship ($r = .33$, $p = .18$) and work habits ($r = .41$, $p = .09$). Statistical significance at $p = .05$ was approached but not achieved.

The dependent variables were converted from pre-post to gains, to control for the initial impact of high users starting at a different baseline (they had higher performing groups initially than non-users). Improvement on overall performance was significant ($r = .52$, $p < .05$), but other variables remained borderline (e.g. job skill improvement $r = .36$, $p > .15$). Those who rated themselves high on use generally had work groups that scored higher on the

pre-test, and they increased the gap - in other words, the already good instructors used the training and got better.

For the Transformational Group, there was no patterned association between those who claimed high use and their ratings on the dependent variables. There were no correlations, pre or post, that had r 's greater than .3 or probabilities less than .2. In other words, a foreman with a poor performing work group at the pre-test was as likely to use the training as one with a high performing group, and declared use of the training was not associated with greater improvements than declared low-use in the post-test.

5.6 MATURATION - SAME INMATES IN PRE AND POST TESTS

This section reports the results for the sub-group of inmates who were in both the pre- and post-test samples. The two cohorts were drawn from the same shops in the pre-test (August 1 to October 31, 1986) and the post-test (December 1, 1986 to February 28, 1987). Due to the high turnover rates, and use of random sampling, only 20% of the inmates in the pre-test were sampled in the post-test. (See Cook & Campbell, 1979, p. 126-133 for a discussion on cohort design).

Data was available for these individuals on the case manager's rating of personal growth and of work performance. For the Control Group there was no net change on either personal growth or overall work performance, in the opinion of case managers. (There were nine no changes, one increase, and one decrease). For the Transformational Group, both personal growth and work performance increased. Personal development and growth was up in five of ten cases, down in one, unchanged in four cases, for an average gain of 0.8 on a 5 point scale. Work performance was up in six cases, down in one, unchanged in 3, for an average gain of 0.6 on a 5 point scale.

For the Situational Leadership Group, both personal growth and work performance increased. Personal growth was up in seven of ten cases, unchanged in three, for an average gain of 1.1 on a 5 point scale. Work performance was up in six cases, down in one, unchanged in three, for an average gain of 0.6 on a 5 point scale.

The stable performance of the inmates in the Control Group who were in both the pre- and post-test cohorts is indicative that maturation or historical

influences were minimal, and most of the variance in the experimental groups can be attributed to the training.

Case Manager Ratings of Personal Growth - Repeated Cases

	<u>Mean Improvement</u>	<u>S.D.</u>
Transformational	.727	1.10
Situational	1.100	.99
Control	.000	.44
<u>Univariate F test</u> p = .026		

Case Manager Ratings of Work Performance, Repeated Cases

	<u>Mean Improvement</u>	<u>S.D.</u>
Transformational	.545	.82
Situational	.600	.84
Control	.000	.44
<u>Univariate F test</u> p = .121		

5.7 INMATE - SHOP COMPATIBILITY

There is an extensive literature on job-person fit that is not reviewed in this study, nor was it the intent of this study to address that issue. However, in post-test interviews, inmates frequently and strongly mentioned that in addition to the shop instructor, the type of shop and type of work were very important.

The great majority of inmates interviewed prefer jobs that:

- provide an opportunity to develop job skills;**
- provide job skills that are needed in outside job markets;**
- are interesting, intellectually stimulating, and promote learning;**
- have a pleasant, clean, safe work environment;**
- have a product that makes a social contribution (in their eyes);**
- can be done individually, rather than as part of a team;**
- can be done at an individual's pace;**
- can be done by one person from start to finish, providing an identifiable product rather than a contribution to a product; and**
- pay well.**

To test the inmates' observations, the 60 shops in the study were divided into roughly equal groups that: "A" fit the desired profile fairly well, "B" had some desired factors but lacked others, "C" lacked most desired factors.

"A" shops included computers (ADP, EDP), graphics, upholstery, and some trade shops. "B" shops included carpentry/cabinet, laundry, kitchen and maintenance paint. "C" shops included metal, paint, textiles, and mail bag repair. The "A" shops were consistently, but only slightly, better than the "C" shops on production factors such as performance, quality, and quantity. The "A" shops were consistently and significantly higher in work habits, personal growth and development, respect and citizenship (see Figure 5-18).

The improved personal development findings are consistent with research in the private sector, and with psychological theory. Inmates low on self-esteem, given a boring, repetitive, meaningless task that anyone could learn in half an hour, have no reason to become involved, work hard, and develop. Inmates given jobs that are intellectually challenging, make a contribution, and satisfy personal needs, have reasons to change. The generally higher pre-test scores of the Control group can be partly explained by this finding. For the Control group 30 percent of the shops were A type, whereas for the experimenter groups, only

15 percent were (SL 15%, TFL 15%). On the other hand only 5 percent of the Control group shops were the less-desired C, while it was 48 percent for the experimental groups.

Type of Shop

Variable	Type of Shop						Significant Difference p < .05 (Tukey's)
	A		B		C		
	\bar{X}	s.d.	\bar{X}	s.d.	\bar{X}	s.d.	
Work Habits	3.50	.71	3.47	.92	2.65	.61	A>C, B>C
Job Skills	3.77	.86	3.27	.59	3.71	.1	-
Work Performance(Case Man)	3.62	.86	3.63	.91	3.36	.86	-
Turnover rate per year	3.67	.67	4.10	.10	4.88	.88	-
Overall Performance	3.50	.86	3.40	.74	3.28	.77	-
Product Quality	3.85	.78	3.53	.64	3.82	.64	-
Speed	3.54	.71	3.40	.83	3.24	.83	-
Personal Growth	2.94	.88	2.71	.75	2.36	.75	A>C
Good Citizenship	3.23	.65	3.07	.88	2.65	.86	A>C
Respect for supervisor	3.92	.84	3.13	.3	3.29	.69	A>B, A>C
NOTE: 1. These are pre-training scores only, not modified by the impact of leadership training.							
2. Scores are managers' ratings by shop, except for the case managers' ratings of work performance and personal growth, which are by individual.							

5.8 QUALITATIVE DATA

Managers, during pre and post interviews universally thought that leadership made a difference. As one said, "give me the right staff and I could run a damn good prison in an old red barn". They noted differential effects on productivity, problem solving, inmate turnover and absenteeism, quality, and development of good work habits and pro-social values, which they attributed to differences in the leadership style and interpersonal relationships of shop instructors.

Ex-inmates who were interviewed reported the shop instructor was often an important influence on their lives in and out of prison. The shop instructor has six hours of contact with inmates per work day, for a period of a few weeks to several years. This greatly exceeds the six to ten hours a year of contact with case managers, or the infrequent, brief contacts with correctional officers. The quality of the shop instructor-inmate relationship is also different - it is less adversarial, the inmate has less need to "con" the instructor to get parole, passes, etc.

Examples provided by the inmates included an upholstery shop worker who was given responsibility for his tools, material, and product, re-upholstered a settee that was used in Government House during a royal visit. He is now head of an agency which helps ex-cons find and keep employment. He attributes this turnaround, after 15 years of crime, almost entirely to the influence and leadership of his upholstery shop instructor.

Another example was a group of inmates posing around a very well-made cabinet, for photographs to be proudly sent to wives and mothers showing the quality of their work.

Some shop instructors, however, were less convinced about their ability to influence inmates. About half felt that 80 percent or so of inmates were not influenceable. The staff cited the following factors which they saw as limiting their ability to influence inmates: high recidivism rate (80 percent was the popular estimate; 36 percent is the reality); low education, literacy, and skill levels, which prevent inmates from making effective contributions or learning; pride, and the inmate code, which prevent inmates from asking for help - they think they can do it all, right away; high turnover rates; the absence of meaningful rewards or incentives controlled by the foremen.

In addition, some did not see their role as including influencing inmates. They saw their role as tradesmen, trying to do a job or get a product out, who were burdened with the additional task of babysitting a group of inmates. At one institution the manager had told the instructors to produce, so they worked machines themselves, as lead hands rather than foremen/teachers, and worked machines over lunch and other periods when inmates were absent. In several shops, instructors indicated that much of the content of the product was their work. At another, two instructors worked supervising inmates on boring production runs while a third did the creative, interesting, and challenging work by himself.

On the other hand, some staff did think they influenced inmates. One foreman told of how he moved from one attitude to the other - he was driving home from work when he was pulled over by another car. The driver emerged, and was recognized as an ex-inmate. Fearing for his safety, the instructor greeted the ex-inmate. The ex-inmate, contrary to expectation, told the instructor that he now had a job, was going straight, and was very appreciative of the help provided by the instructor. Previously, the foreman had never had positive feedback from "the street".

The instructors who believed that inmates could be influenced by the instructor's leadership style tended to also have respect for inmates, a belief in a fair, firm, friendly approach, and an internal locus of control.

CHAPTER 6: DISCUSSION

6.1 SUMMARY OF THE STUDY

This study responds to a practical need in corrections management and to a gap in the research on leadership.

The Problem

The management problem is the effectiveness of foremen or "shop instructors" who are employed by correctional facilities to supervise inmate work. The shop foremen are responsible for the achievement of production and the development of good work habits and job skills by inmates, in shops that try to simulate private sector conditions. Shop foremen must achieve these goals working in a restrictive, highly bureaucratized system, with subordinates who don't want to be there, and are generally low on job skills, with poor work habits. Yet most shop foremen are hired for their trade skills, and come from small shops or one-man operations. They are usually inexperienced as foremen, are without training in teaching or psychology, and are without training or experience in corrections.

There is, therefore, often a poor initial match among the job, the employee, and the organization.

Despite this, anecdotal evidence indicated that some foremen have tremendous influence on the inmates who work for them. They are the staff most frequently in contact with inmates, and their potential for influence appears to be great.

This study was designed to provide shop foremen with training in leadership skills to try to increase their ability to positively influence inmates' productivity, on-the-job growth (skill development and work habits), and possibly off-the-job personal growth (improved citizenship, rehabilitation). The research gaps in leadership addressed by this study were the limited number of objective, data-based reviews of Situational Leadership, the limited number of applied field tests of Transformational Leadership, the limited number of longitudinal studies, and the neglect of corrections as a research site. In addition, this study focused on a practical implication of leadership theory - can leaders be trained?

Conceptual Framework

(inmates), the leadership theories chosen were two that went beyond traditional transactional leadership - Transformational Leadership (as defined by Bass, 1985) and Situational Leadership (as defined by Hersey and Blanchard, 1982). The approach was evaluative research of a practical application of training in the two theories.

Findings

Statistically significant results, backed up by qualitative data, supported the hypothesis that leadership training would be associated with subsequent increases in subordinates' productivity and personal growth, both on and off-the-job. Both experimental groups experienced increases in all three areas.

The hypothesis that Transformational Leadership training would be more effective than Situational in achieving personal growth was only partially supported. The anticipated impact of a 10% improvement was exceeded, beyond expectations, by gains of up to 55% for the Transformational Group. The Situational Group also exceeded expectations, with gains of up to 47%. The Transformational Group experienced significantly better scores on six variables

This study was itself an attempt to externally validate Situational Leadership and Transformational Leadership, from the mainstream to corrections. Reverse generalization to mainstream organizations is therefore logical.

Despite this external face validity, any generalizability must be based on induction. The lack of random assignment to treatment group limits the external validity of this study. Replication with other populations should precede generalization.

A second threat to external validity is a possible interaction of the tests with the treatment. By focusing attention on leadership, through knowing there would be an evaluation post-test, the foremen could have been sensitized to the dependent variables. It is possible that, knowing of the post-test to come, foremen put out more effort to apply the training than they would have if there were no evaluation, or if it were covert. If true, this may have contributed to this study showing significant results while some others didn't. Evaluation is a universally recognized desirable in any training. Generalizability of this study should include knowledge of an evaluation as well as the training, or risk reduced impact.

while the Situational Group experienced significantly better scores on three variables.

The hypothesis that use of Situational Style 1, "Telling", would be ineffective with low ability, low motivation inmates for whom it is prescribed was not tested, due to insufficient sample size. The limited quantitative data, and the qualitative data, did not reduce concern about the use of a directive style unaccompanied by relationship behaviour.

The hypothesis that Situational Leadership would be more acceptable to and used by the shop instructors was partially supported. Immediately post-course, the Situational Group had significantly higher intent to use the training; however, at the post-test reported use levels while higher were not significantly different between the two trained groups.

There were a number of other findings not related to the hypotheses. Inmates reported, and data supported, a difference by type of shop on personal growth variables.

6.2 INTERNAL VALIDITY

This section reviews the issue of internal validity, and discusses extraneous variables which provide competing hypotheses for the effects on the experimental groups.

The Control Group

The Control group was designed to assess the impact of history, maturation, test-retest effects, instrumentation, and statistical regression. Over 12 variables, the Control group averaged a two and a half percent gain from pre- to post-test, none of the gains (losses) was significant. Given that the experiment took place in an organization with an ongoing commitment to improving its performance on the dependent variables, the Control group performed well its role of demonstrating very limited historical, instrumentation, maturation, and test-retest influence.

Regression toward the mean also did not appear to be a factor. The pre-test grand mean of all groups on all variables (on the five point scales) was 3.37.

The TFL was 3.37, SL 3.20, and C 3.55. The post-test grand mean was 3.72, with TFL 3.89, SL 3.58, and C 3.69. Both experimental groups rose above the pre-test mean, while the Control group did not regress toward the mean.

Ideally, the Control and Situational groups would have been closer to the mean at pre-test. This would have made the manovas more meaningful as the experimental groups rose above the pre-test mean. The Control group was, on average, five percent above the mean on the nine five-point variables at pre-test, and 32 percent above the mean on turnover. The Situational Group was, on average, five percent below the mean on the nine five-point variables at pre-test, and ten percent below the mean on turnover. The Transformational group was at the mean, on average, on the nine five-point variables and 22 percent below the mean on turnover at pretest. Despite these differences, all movement in variable values at the post-test was in the hypothesized direction.

Multiple Measures

Internal validity was enhanced by use of multiple independent measures.

Leadership research has been limited by same-source bias (Bass, 1981) - the party giving a rating of leader style often also provides the dependent measures

of productivity, satisfaction, etc. In this study measures were obtained from computerized M.I.S. on value of goods produced, from independent ratings by case managers, from pay and attendance reports. All of these are audited or reviewed regularly. All were gathered independently of this study on an ongoing basis for central administrative purposes. The managers' ratings of shop performance was a subjective rating conducted specifically for this study. They are subject to traditional rater bias pressures.

There was consistency among the three sources of case manager, manager, and production data (see figures 5-7 and 5-16).

Hawthorne Effect

One rival hypothesis is that the provision of training in itself, apart from content or skills, increased the foremen's motivation to perform better and had a generalized positive effect on their performance.

The original design had a second control group, to be trained in a subject not related to leadership. This was rejected by the research site as too costly. It

would not have fully addressed the issue, though, as any training should affect some of the dependent variables.

The foremen in the Southern Regional (Transformational) expressed considerable pleasure at receiving training and meeting each other. The Northern Regional foremen were more familiar with training and each other.

There were considerable similarities in the impact of the training; however, similar effects from different approaches to the same problem are logical and frequent, in correctional programs (Gendreau, 1988, personal communication). There were also no significant differences between foremen who reported using the training and those who didn't, although probabilities were around 0.2.

Arguing against a Hawthorne effect are several factors. Indications that the foremen responded to the content of the training, in addition to the fact of being trained, also exist. First, there was the second-order nature of the effects. The foremen not only did their job better, their subordinates changed on dimensions such as case manager-rated growth that have no connection to Hawthorne type effects. Previous examples address impact on trainees, not subordinates of trainees. Second is the specificity of the effects on the intended

variables. Third is that there were some clear differences between the experimental groups on some variables and in the qualitative comments. Fourth, managers who did not take the training were able to notice and articulate foremen using specific skills that were the intended results of the training (e.g. use of inspiration, diagnosing maturity levels). Fifth, Hawthorne effects do not generally occur in leadership training. In fact several studies (Campbell et al 1970; Stogdill, 1974; Bass, 1981) show no effect.

Ultimately, the test for a Hawthorne effect would be a longer term follow-up, say 12 to 24 months later, after Hawthorne would wear off but leadership skills could be entrenched.

In the end, some of the impact on the dependent variables was probably due to the specifics of the training, and some due to the foremen just feeling good about receiving attention. But there is no evidence to suggest that the latter dominated the former.

Although the Control group and the multiple measures provide considerable internal validity, some concerns remain. Blake and Mouton (1988, p.33) have pointed out "any O.D. program evaluation, no matter what the approach, judged

according to the canons of rigor characteristic of scientific research, is extremely difficult ... the real world can't be reshaped to meet scientific niceties". This study fits that description.

6.3 EXTERNAL VALIDITY

This section reviews the issue of external validity, the generalizability of the findings to other situations.

The mix of institutions chosen in each region was designed to provide a representative sample from within Correctional Service of Canada. The pre-test scores of the Situational Leadership and Transformational Leadership groups were within five percent of each other on average. The Control group member scores from the Northern Region were nearly identical to the Control group member scores from the Southern Region. Correctional populations are generally considered to be similar across jurisdictions. The correctional population and the culturally disadvantaged have very similar profiles in the literature cited in Chapter Two.

This study was itself an attempt to externally validate Situational Leadership and Transformational Leadership, from the mainstream to corrections. Reverse generalization to mainstream organizations is therefore logical.

Despite this external face validity, any generalizability must be based on induction. The lack of random assignment to treatment group limits the external validity of this study. Replication with other populations should precede generalization.

A second threat to external validity is a possible interaction of the tests with the treatment. By focusing attention on leadership, through knowing there would be an evaluation post-test, the foremen could have been sensitized to the dependent variables. It is possible that, knowing of the post-test to come, foremen put out more effort to apply the training than they would have if there were no evaluation, or if it were covert. If true, this may have contributed to this study showing significant results while some others didn't. Evaluation is a universally recognized desirable in any training. Generalizability of this study should include knowledge of an evaluation as well as the training, or risk reduced impact.

One-shot training sessions are generally less effective in the long-term than leadership training that is part of a larger organizational design effort accompanied by training follow-up. (See section 2.8 for a review of the relevant literature.) Generalizability of this study to other situations would be enhanced if the training were part of a larger effort that meets the criteria described in section 2.8.

6.4 THE IMPACT OF LEADERSHIP TRAINING ON PRODUCTIVITY AND GROWTH

Leadership training of prison shop foremen who supervise inmate work was associated with increased productivity and personal growth of the inmates who work for them.

Statistically significant improvements were made for the Transformational Group on turnover, work habits, respect, job skills, citizenship, and progress toward rehabilitation, as measures of personal growth. Productivity increased, and managers' ratings of shop and individual performance increased significantly.

These findings are consistent with a growing body of research on Transformational Leadership (Avolio & Bass 1988; Howell 1988). They are also consistent with the industrial/organizational psychology literature on the culturally disadvantaged (Koch, 1974).

The unanticipated finding discussed in section 5.7, that inmates have needs for meaningful work, creates a more receptive environment for leadership directed at subordinate personal development as leaders seek to create and satisfy higher needs, and engage the full person of the follower.

The appeal to higher order needs is consistent with successful correctional programs that directly address inmates' moral maturity based on Kohlberg's theories (Duguid, 1981; Ross and Fabiano, 1985). The intellectual stimulation, the attempt to provide new ways of thinking, are the same as the very effective programs of cognitive restructuring for criminals cited in Ross and Fabiano (1985).

For Transformational Leadership, there is a very good theoretical fit with what has been shown to work in offender rehabilitation. This is a finding of major significance. Effective correctional programs have been based on changing

thinking patterns and raising levels of moral development (Ross & Fabiano, 1981). This study shows these same impacts can be achieved through day-to-day leadership, in addition to special cognitive development programs.

Some good correctional programs fail. Gendreau (1988) has spent some time analyzing several key factors in program management in corrections that contribute to or impede the success of a program. It seems reasonable to speculate that the use of Transformational Leaders to deliver moral development and cognitive restructuring programs would tremendously add to their success.

Situational Leadership training also was associated with impressive subordinate gains. There was more gain on productivity variables, and less on personal growth. The research literature cited in Chapter One was mixed in support/non-support of Situational Leadership. A very important criticism of that literature, however, is that it tests a proxy of Situational Leadership, and not the impact of people who have been trained in the model.

6.5 DIFFERENTIAL EFFECTS ON GROWTH AND DEVELOPMENT

The results section and Figure 5-17 detail the effects associated with training in the two leadership models.

The hypothesis that Transformational training would lead to greater subordinate growth was supported. However, the Situational training was more successful than expected. Their gains are very impressive. These findings lend support to this paper's earlier contention that the negative research literature on Situationalism is not really properly focused.

One finding was not anticipated, and emerged only in the qualitative data. That is, Transformational training had an impact on the personal growth of the foremen who were trained.

It is impossible to predict the longevity of the effects. It may well be that at six or twelve months, the Situational Group would increase, while the other faded, or vice versa. This study makes a contribution, but that would be enhanced by an extended time-series study.

6.6 USE OF STYLE 1 - TELLING

The concern raised in Chapter One and expressed in Hypothesis 3 was that use of a directive, telling style, unaccompanied by consideration, would be counter-productive with inmates. The reason was that such a style had been found to be ineffectual when used with the culturally disadvantaged.

Three factors made it difficult to assess this issue. First, most of the jobs in this study (and in prison in general) require very little skill or motivation to be performed adequately. Second, the inmates in this sample were considerably more mature, motivated, skilled and educated than had been estimated. Third, fewer foremen used a "Telling" style than had been expected. None-the-less, the qualitative comments and observations suggest caution in the use of a telling style. Even if one accepts Hersey and Blanchard's contention that the style is effective, some factors need to be considered:

- i) the prison environment is very low on consideration and inter-personal support, deliberate reduction of consideration may not be appropriate;

- ii) the people who used a telling style in this study, even after training, tended to mis-use it. They applied it to everyone, not just low maturity situations. They tended to use it as an expression of disrespect, as the only way to handle people for whom they saw no hope. A telling style can be used with the intent to have a transformational, developmental cycle impact, to promote growth. As such, it is a demonstration of concern and caring, although actual relationship behaviours are low. It was not used for those reasons in this study.**
- iii) inmate skills and motivation to work are underestimated. One reason is a biased feedback system. An inmate who is rehabilitated and leaves the criminal justice system is forgotten and never seen again. Failures re-enter the system, often the same shop, and are a constant reminder. Massive efforts at inmate education and upgrading have had an impact, but it is not recognized.**
- iv) the situation is not favourable to use of Style 1. Fiedler (1967) has long postulated that the favourableness of the work group norms and the situation modify the impact of leader style. Howell (1985) found that a "structuring" leader, low on consideration, working with a group having**

low productivity norms had subordinates with lower task satisfaction and high role conflict. If that occurred in prison, or with the culturally disadvantaged, instead of with the university students in Howell's study, they would demonstrate their low satisfaction by disruptive behaviour. When the task is simple and repetitive, as most prison jobs are, structuring and telling work less well (Fiedler, 1967).

The conclusion is that shop foremen who have low expectations of inmates, show disrespect for them, and use a telling style out of their own personal frustrations, will promote resentment and turnover. Shop foremen who, with an appropriate group of inmates, use a Telling style out of concern for productivity and subordinates' personal development may or may not be successful. This study found no examples where this approach was used. It may be that the prescriptions of Situational Leadership II (Blanchard, 1985) are more appropriate, that a high relationship, high task style should be used with new subordinates low on commitment.

The finding that there were few inmates in the lowest maturity group was inconsistent with popular expectations. This raises the question of whether the sample was better than average, or whether popular belief is wrong. There are

implications on the generalizability of the study, and on the feasibility of future research to test the hypothesis on the use of Style 1 Telling.

Maturity was assessed using three factors: recorded education level, recorded job training experience, and recorded willingness to work.

Recorded education level of this sample was 28 percent at or below grade eight. The national figures at the time were 50 percent at or below grade eight. Post-hoc investigation indicates four sources of the discrepancy. First, this research used achieved education, that is what was put down on file. The national figures used test-based competency. It is likely that many inmates had lost some of their academic skills since leaving school, or had never fully mastered them but had been promoted anyway. The grade level in this research thus probably overstates the level of functioning in basic academic skills. Second, the instrument used by Correctional Services Canada the "S.C.A.T." test, was completed voluntarily, and only by half of the inmates. It therefore cannot be considered to be generalizable to the full inmate population. Third, those inmates with low education were expected to make up a higher percentage of inmates in school or working as cleaners, with the industries and maintenance group (those involved in this research) to be slightly higher in education.

Fourth, the S.C.A.T. is administered at admission. Not only is this a time when inmates are upset, stressed and performing below their peak, it also does not give credit to the impact of a massive basic adult education effort in the prison. Finally, many of the files reviewed in the current research had credit of prison-achieved A.B.E. or G.E.D., and those were included, whereas they are not in the Correctional Services Canada figures which are based on level at admission.

Overall, the post-hoc assessment suggests that the academic competency of the research sample was comparable to the prison population.

Total job skill was not at deviance from expectations. Despite the higher than expected grade completion level, over half the sample was rated as lacking adequate job skills even for the low-skill jobs available in prison.

The key difference was in the percentage split between those unskilled inmates who were also unwilling and those unskilled inmates willing to work.

Expectations had been for the unskilled 80 percent would be unwilling, this research found only 15 percent. There was no previous empirical assessment of inmate work motivation that could be found to use as a comparison.

Based on a decade of research and management consulting in corrections, and in consultation with respected corrections researchers, this researcher tentatively concludes that the difference is due to faulty perceptions by correctional staff. The culture of corrections is negative, with 80% of the attention focused on the worst 20%. Foremen see only their failures returning - their successes (over 60% do not recidivate) are never heard from again. It appears that inmates as a group are consistently underestimated by staff. Even the sum of the individual ratings made by the foremen themselves, gives a higher average rating than the foremen give when asked to rate their group. Given reasonable working conditions and good supervision, inmates are generally willing to work.

The situation is somewhat reminiscent of the knocks that the American work force was taking in the late 70s and early 80s. Subsequent experience demonstrated that with good management, American workers performed as well as others. Research on inmates as workers demonstrates that with work conditions and supervision comparable to the private sector, similar productivity is achieved (L.E.A.A., 1981; Schaller, 1981; Grisson and Louis, 1981; Griesser, Miller, and Funke, 1984).

The research sample therefore appears to be representative of the population. Instead of being able to assess whether Style 1 is effective or not, the conclusion may well be it is inappropriate, because the population it is recommended for is so small. Prison foremen may also benefit from reviewing their assumptions to ensure there is not a negative self-fulfilling prophecy at work.

In the Transformational Group, there was a greater impact on growth variables than on productivity. This suggests that the process may be: leadership leads to growth which leads to productivity, whereas Situational Leadership holds leadership leads to productivity which leads to growth. In fact, both routes may work. The Situational Group achieved higher productivity than the Transformational Group, while the latter achieved higher growth and development. In time, productivity may lead to more growth, and growth to more productivity.

6.7 USE OF THE TRAINING

Three issues are related to the use of the training. First, can leadership be trained? Second, what will be the use of the training? Third, if used, what will the impacts on leaders and followers be?

6.7.1 Can Leadership Be Trained

This question should be answered with a clear yes, and the field move on to answering the question of how to train better. Leadership training can have an impact. This is consistent with the research cited in Chapter 2 on Transformational Leadership, the research and testimony supportive of Situational Leadership, and a growing body of research on how to make leadership development more effective. Clearly, not everyone trained will appreciate, develop, and use the skills, and not all who do will have an impact. On the whole, however, impact is possible.

6.7.2 Use of Situational Versus Transformational Leadership

Situational Leadership was somewhat more readily acceptable to staff, as predicted in Hypothesis 3. The literature is only now beginning to look at the interaction between leader and leadership training. It may be fruitful to explore what factors in the person predispose him to use and use effectively different leadership styles in response to training.

Situational Leadership training appeared to be a skill enhancement exercise, that made good foremen better. Transformational Leadership training appeared to be a personal development experience for some who then translated it into changed on-the-job behaviour and attempts to change subordinates.

Declared use of the training was associated with productivity and personal development and gains of inmates for the Situational Group. It was based on concepts and techniques the foremen were familiar with. The absence of a similar relationship for declared use of Transformational training is difficult to understand, since there was as great an impact on the inmates. Perhaps since personal change and more dramatic shifts in leader style were involved, some foremen had not yet mastered the new style and were making transition errors. Perhaps the impact on them had an impact on the inmates without the foremen's awareness. For example, in one case the manager reported seeing major changes in a foreman's style, which was supported by inmate and researcher observation. However, the foreman reported low use of the training, that he was already doing what the course said before the course, and hadn't changed.

For large organizations seeking to improve leadership through training, it may be productive to pursue investigation of the determinants of use of the training. Training could then be focused on high probability of success cases, and geared to individual needs (e.g. Transformational to those needing personal development, Situational to those needing skill enhancement and conceptual models). There was some support for Kuhnert and Lewis' (1987) analysis that the personal development level of the leader affects what leadership style will be chosen. That is, more mature leaders chose more transformational styles.

It may also be valuable to identify strategies that increase the probability of training being used, and provide coaching to those who are making the transition from one style to another.

6.7.3 Training Effects

An issue of concern in this research was which variables would be affected, over what time, and to what degree.

Effects of a 12 to 13 percent magnitude generally produced statistical significance, (depending on variance). Hypothetically, on the managers' ratings,

an improvement of one on a five-point scale for seven or eight of 20 foremen would be significant for the group as a whole. On individual inmate ratings (case manager ratings) an improvement (decrease) of one on a five-point scale for 20 of 60 inmates would be significant for the group as a whole. (Figures are approximate minimal levels.)

The variables of product quality and inmate disciplinary offenses appear not to have been affected by the training. Other variables had changes ranging from ten to 55 percent. It is likely that the impact on each variable would alter over time. It is important for future research, however, to know that effects can occur in three to four months. This makes feasible field experiments conducted within the time frames of the academic year.

Some variables were affected differently by Transformational and Situational Leadership. Effective application of the Transformational training should result in greater use of inspiration and charisma, which should show up on the respect for and acceptance of the shop instructor. The Transformational Leader adds emotional appeal to the use of rational techniques. (Bass, 1985, Willner, 1984, 1987). Situational Leadership does not stress this factor. Growth in respect for the Situational Leader may be due to respect for better decisions and diagnosis.

Consistent with this expectation, the gain in respect for Transformational Leaders was double that for Situational Leaders, and six times that of the Controls (see Figure 5-11).

Some variables, quality and discipline, were not affected.

6.8 INMATE INTEREST IN PERSONAL DEVELOPMENT

The overall impact of the training was greater than anticipated. This appears to be due, in part, to the greater than anticipated inmate interest in personal development. The emphasis on Individualized Consideration, in a system known for depersonalization, must have been very refreshing for the inmates. The use of relationship behaviour in support of task orientation was similarly effective.

Since McGregor first enunciated Theory X and Y, the majority of high performing organizations have supported Theory Y. Corrections has remained very much Theory X.

What inmates say they want is Consideration. They are, for the most part, interested in productive, meaningful work with a considerate, stimulating,

production oriented supervisor. While this goes against common wisdom, perhaps common wisdom needs to be challenged. The literature review and research findings reported in this paper indicate:

- i) unsatisfactory work experience in society is a problem for about half of all inmates. Conversely, half of all inmates have a good work record, and can be assumed to respond well to approaches that work well with the North American work force in general;**
- ii) inmates express an interest in work that is challenging and useful, and develop more in shops where this is provided;**
- iii) inmates express an interest in being supervised better, and having leaders they can follow.**

The clear but under utilized response is more effective leadership to take advantage of inmates' interest in personal development.

Peer Pressure In most companies the work group is a major influence on the individual's behaviour and satisfaction. In prison, the "inmate culture" is pervasive and powerful.

It may be that some leaders in this study affected their work group's norms. Many shop instructors and managers complained of the drain to other areas where the productivity norms were lower. The desire for jobs where one works alone may be an expression of a desire to avoid this peer pressure, and work at one's own pace.

The issue of criminality was beyond the scope of this study. Criminal behaviour may be reduced by personal growth and development in the workplace, or it may be an entirely different dimension that needs to be addressed elsewhere. This study does not converge on that issue.

6.9 IMPLICATIONS FOR PRACTICE

This study has implications for the practice of management at the research site, in corrections, and in general.

Corrections

Shop Instructors (foremen) can have a significant influence on inmate productivity, work-related personal growth, and outside-of-work development. Leadership training appears to be able to increase this influence in a positive fashion. This study suggests that the traditional neglect of the managerial leadership role of shop instructors is costly and counter productive, and should change.

Although not directly tested by this research, there were indications that correctional industry would benefit from other interventions in addition to leadership training, including:

- **a review of the nature of the work done in shops, the match between inmates' needs and wants in terms of type of work, product, and transferability to the street, and the challenge and opportunity to learn something useful. This review may influence the selection of shop types, products, and the use of custom work;**

- **a review of the issues of external equity, pay for performance and goal setting with feedback on results;**
- **development of an education system on what works, a feedback system to shops from parole supervisors on individual successes inmates have, and programs with overall high success rates;**
- **revision of staff selection procedures and criteria to include leadership skills and potential;**
- **increased involvement of shop instructors in the personal growth and development of inmates, and greater involvement in the case management process.**

The findings of this study are consistent with those of Ross & Gendreau (1982): there is no panacea, no simple cure for everything; but good programs, properly targeted, run by committed enthusiastic staff can make a significant difference.

In many instances, pre-test inmates' attitudes and behaviour were much different between the shop and the cell-block. Frequently good workers are

rated by their case managers as low on personal growth. Other data (see manager's rating) indicates that shop instructors are more successful at teaching work skills than in developing good citizenship and the work ethic. This has important implications for the traditional concept that hard work in itself leads to personal reformation. Some criminologists argue that what inmates lack is a marketable skill - they turn to crime because they can't get a good job. Others argue job skills are not relevant. The problem is the aggressive or withdrawing/quitting response to work problems. Earlier research (Crookall, 1982) found that half of CSC's inmates were legitimately employed at the time of committing the offence, that is half of all inmates, when on the street, demonstrated pro-social work behaviour and anti-social outside-work behaviour.

It would appear more useful for industries staff to stress the personal development features of SL & TFL theory, in addition to production, than to just emphasize production.

Setting high performance goals for inmates, showing confidence in their ability to meet those goals, and providing considerate, individual feedback was part of both SL and TFL training. These techniques alone have been well documented

as effective (Locke, 1968). As part of Transformational Leadership, they have been shown to increase motivation and performance (Smith, 1982).

This study suggests leadership be added to the list of what works in corrections. It suggests that inmates respond well to staff's use of inspiration, intellectual stimulation, and individualized consideration. It suggests diagnosis of inmates and use of one appropriate style from a repertoire of styles is also effective. It urges caution in the use of directive, autocratic behaviour unaccompanied by consideration and understanding.

Management

The intuitive appeal of Situational Leadership to practicing managers, and their frequent assessment of Situational Leadership training as beneficial to their organizations stands in contrast to the negative reviews received in the academic literature. This study suggests that the managers may be right - use of Situational Leadership training can benefit an organization, whether or not its theoretical basis is entirely validated, and even though it may be wrong in some of its prescriptions.

For the application of Transformational Leadership, there is confirmation of its effectiveness, and the ability of training to have second order impacts, that supports current less applied research.

The bottom line is that leadership training at the shop floor level can be a cost-effective intervention that also enhances the personal development of some subordinates and trainees.

GENERALIZABILITY

This research started with a review of three diverse literatures: corrections, industrial/organizational psychology, and the leadership domain in management. While there appeared to be a good fit among the three, it was an unusual application. The issue was whether a mainstream leadership theory could be effectively applied in a very difficult situation (a penitentiary) with a very different workforce (inmates). Much of the corrections research and popular opinion holds that inmates are a group unresponsive to such efforts and so different from the normal population as to require separate theories. The prison industry literature argues that many private sector management

techniques can be effectively applied in corrections, but has ignored the application of leadership.

This study found that the management and industrial/organizational psychology research was directly applicable to corrections. Standard leadership training resulted in gains beyond expectations in both productivity and personal development. The results provide support for the generalizability of the management literature, and, to a lesser extent, the industrial/organizational psychology literature. The "nothing works" school of corrections was not supported.

REFOCUSING ON SUCCESS

Previous sections have noted the "myth" that there is nothing one can do to influence inmates. Managers of staff who supervise inmate work may want to correct that impression by:

- i) arranging with parole officers who supervise inmates after their release, to provide feedback to shop instructors on the employment, personal

growth, and social adjustment of inmates who worked for that instructor;

ii) encouraging staff to focus their attention on the majority of inmates who are at M2-3-4 levels;

iii) encouraging further research into what works in prison industries.

6.10 RECOMMENDATIONS FOR FURTHER RESEARCH

6.10.1 Improvements to This Study

This study would have been better had some of the following difficulties been resolved:

- i) The Control Group - in retrospect, the control group should have included some industrial shops, and more of the shops that do not fit with the inmates' concept of a good shop. This would provide a better fit with the statistical tests that try to demonstrate divergence of similar populations rather than convergence of different populations. A second

control group, receiving three days training in a non-leadership topic, would have helped address a possible Hawthorne effect.

- ii) **Sample Size** - sample size was decreased by half at the decision of the manager of the research site. Several relationships appeared to exist in the data, all consistent with the hypotheses, which were not statistically significant. Increased sample size would determine if these apparent trends were random or an experimental effect.
- iii) **The Course Presenters** - despite efforts to control this factor, there were inevitable differences in presenter style that may well have influenced the results. Use of the same trainer to do both courses, or having more similar presentation styles, would reduce this moderating variable.
- iv) **Assessment of Style and Use of Training.** Gathering of data on leadership style used should have been more firmly entrenched in the study. Post-test assessment of style was voluntary, and only 25 percent of shop instructors chose to be assessed. Use of the training therefore had to be determined by less reliable self report.

6.10.2 Extension of this Study

Expansion of this study could lead to a greater contribution to leadership research.

Repeated Measures

The time periods over which leaders influence job performance, on-the-job growth, and off-the-job personal development are not well understood.

Replication of this study, using a different length of observation, or continuation, with repeated measures six, 12 and 24 months later would contribute to our understanding of the effects over time, such as fading and skill development. Does leadership influence peak quickly and then fade (in which case this study shows artificially high results) or does it start slowly and build (in which case this study would understate the effect). Does the impact of leadership training rise or fall over time? Do Transformational and Situational Groups behave differently over time? Will different dependent variables, for example job skill, improve over time? The shortness of the time to achieve measurable effects (four months post-training) is consistent with Avolio, Waldman and Einstein's (1988) finding of leadership effects in a three-month

study. This is encouraging, as it means longitudinal research can be conducted within the academic year.

Increased Intervention

A one-shot training session, unaccompanied by training of managers, not supported by follow-up, refresher training, or on-the-job coaching was deliberately chosen to provide a severe test for the theories. Having demonstrated an impact, some of what we know about effective organizational interventions can be added to assess just how much difference leadership style can make. Future sessions featuring follow-up, manager training, on-site coaching, etc. should enhance the experimental effect. "Relapse prevention", to use the corrections term, could augment and prolong the treatment effect.

Generalized Replication

This study has demonstrated the feasibility of research less encumbered by same-source bias and self-report than traditional leadership studies. Application of the measurement techniques in other settings where such data is available would help confirm the generalizability of the training.

Use of Other Theories

The same research design and site could be used to test other leadership training, such as the Managerial Grid, or a transactional theory, to see if the latter has any impact on the personal growth variables. Also, since Situational and Transformational are both effective, but apparently for different reasons, they can be combined in one training session to give either an additive or multiplicative effect, as Avolio has done in similar training at a major U.S. corporation.

6.10.3 Future Directions for the Field

There appears to be merit in some modifications or additions to the approach to research in the leadership field.

Comparative Testing

Additional insights are gained through the compare and contrast approach instead of the focus on one theory approach.

Practice-focused Symposium: Problem Solving Research

This research, in addition to testing two competing theories, addressed a management problem of critical importance to a major sector of society. Leadership theorists regularly gather to discuss and advance theory and research. Perhaps some of these sessions could be problem-focused. Take a setting that could benefit from application of effective leadership, gather theorists and researchers to study it, as a case study, and design, implement, and evaluate an intervention that at the same time contributes to theory. For example, compare training in transactional and transformational leadership in an industry that is on the ropes.

How to Recruit, Select, and Develop Leaders

Recent research is supportive of the concept that leaders can be trained, but are some more trainable than others? For example, for the five Transformational Group members who experienced noticeable personal growth, were there any pre-disposing factors as suggested by Kuhnert and Lewis (1987)? Could such

factors be identified beforehand, and training be focused on those most likely to use it?

6.11 CONCLUSIONS

Training in leadership can be a cost-effective intervention that can improve productivity and personal growth of the work group. Two leadership models, developed on normal populations, transferred well to the very difficult situation of prisoner work. An important bridge was established, to corrections as a research site for management, and to management as a fertile source of assistance to corrections professionals.

Situational Leadership theory has been criticized in the management literature, and this study did not reduce the concerns about use of a Telling style.

Training in the Situational Leadership model, however, is overall an effective and appropriate organizational intervention.

While having many of the features of transactional theories (see House, Woycke, and Fodor, 1988), Situational Leadership trained foremen appeared to be beginning to bridge the gap to some of the characteristics of transformational

theories, as evidenced by subordinate improvement on some personal growth and development variables.

Transformational Leadership training is also an effective and appropriate organizational intervention.

It appeared to influence some of the foremen in a transformational way, affecting values, self-esteem, and willingness to break with the past. It also appeared to be associated with subordinate improvements consistent with Bass (1985), House, Woycke and Fodor (1988) and Howell and Frost's (forthcoming) views of Transformational Leadership. The effects in both groups varied with the foreman and with individual inmates.

The combination of a desirable shop with good leadership should have an additive effect. Consistent with current management theories, meaningful work should help raise inmate's self esteem. This would be reinforced by the consideration and intellectual stimulation of a good foreman/leader. On the other hand, meaningless work reinforces low self-esteem and low motivation, making it more difficult for good leadership to have an influence.

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ORGANIZATIONAL DYNAMICS

*Leadership:
Good, Better, Best*

Bernard M. Bass



The transformational leader uses charisma, individualized consideration, and intellectual stimulation to inspire employees to make extraordinary efforts.

Leadership: Good, Better, Best

Bernard M. Bass

What does Lee Iacocca have that many other executives lack? Charisma. What would have happened to Chrysler without him? It probably would have gone bankrupt. Here are two more questions: How much does business and industry encourage the emergence of leaders like Iacocca? And how much effort has organizational psychology put into research on charismatic leadership? The answers are that business and industry have usually discouraged charismatic leadership and that, for the most part, organizational psychology has ignored the subject. It has

been customary to see leadership as a method of getting subordinates to meet job requirements by handing out rewards or punishments.

Take a look at Barry Bargainer. Barry considers himself to be a good leader. He meets with subordinates to clarify expectations—what is required of them and what they can expect in return. As long as they meet his expectations, Barry doesn't bother them.

Cynthia Changer is a different kind of leader. When facing a crisis, Cynthia in-

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spires her team's involvement and participation in a "mission." She solidifies it with simple words and images and keeps reminding her staff about it. She has frequent one-to-one chats with each of her employees at his or her work station. She is consultant, coach, teacher, and mother figure.

Barry Bargainer, a transactional leader, may inspire a reasonable degree of involvement, loyalty, commitment, and performance from his subordinates. But Cynthia Changer, using a transformational approach, can do much more.

The first part of this article contrasts transactional and transformational leadership styles and the results that are obtained when managers select each approach. The second section reports on surveys of personnel in the military and in industry and examines factors in both approaches to leadership, as they emerged from the survey results. Transformational leadership is presented as a way to augment transactional approaches to management, since it is often more effective in achieving higher levels of improvement and change among employees.

A NEW PARADIGM

For half a century, leadership research has been devoted to studying the effects of democratic and autocratic approaches. Much investigative time has gone into the question of who should decide — the leader or the led. Equally important to research has been the distinction between task orientation and relations orientation. Still another issue has been the need of the leader to "initiate structure" for subordinates and to be considerate of them. At the same time, increasing attention has been paid to the ability to promote change in individuals, groups, and organizations.

The need to promote change and deal with resistance to it has, in turn, put an emphasis on democratic, participative, re-

lations-oriented, and considerate leadership. Contingent rewards have been stressed in training and research with somewhat limited results.

In the past, we have mostly considered how to marginally improve and maintain the quantity or quality of performance, how to substitute one goal for another, how to shift attention from one action to another, how to reduce resistance to particular actions, or how to implement decisions. But higher-order changes are also possible. Increases in effort and the rate at which a group's speed and accuracy improve can sometimes be accelerated. Such higher-order changes also may involve larger shifts in attitudes, beliefs, values, and needs. Quantum leaps in performance may result when a group is roused out of its despair by a leader with innovative or revolutionary ideas and a vision of future possibilities. Leaders may help bring about a radical shift in attention. The context may be changed by leaders. They may change what the followers see as figure and what they see as ground or raise the level of maturity of their needs and wants. For example, followers' concerns may be elevated from their need for safety and security to their need for recognition and achievement.

The lower order of improvement — changes in degree or marginal improvement — can be seen as the result of leadership that is an exchange process: a *transaction* in which followers' needs are met if their performance measures up to their explicit or implicit contracts with their leader. But higher-order improvement calls for *transformational* leadership. There is a great deal of difference between the two types of leadership.

TRANSACTIONAL LEADERSHIP IN ACTION

Transactional leaders like Barry Bargainer recognize what actions subordinates must take to achieve outcomes. Transactional leaders clarify these role and task require-

ments for their subordinates so that they are confident in exerting necessary efforts. Transactional leaders also recognize subordinates' needs and wants and clarify how they will be satisfied if necessary efforts are made. (See Exhibit 1.) This approach is currently stressed in leadership training, and it is good as far as it goes; however, the transactional approach has numerous shortcomings.

First, even after training, managers do not fully utilize transactional leadership. Time pressures, poor appraisal methods, doubts about the efficacy of positive reinforcement, leader and subordinate discomfort with the method, and lack of management skills are all partly responsible. How reinforcements are scheduled, how timely they are, and how variable or consistent they are all mediate the degree of their influence.

Some leaders, practicing management by exception, intervene only when things go wrong. In this instance, the manager's discomfort about giving negative feedback is even more self-defeating. When supervisors attribute poor performance to lack of ability, they tend to "pull their punches" by distorting feedback so that it is more positive than it should be.

Another common problem occurs when supervisors say and actually believe they are giving feedback to their subordinates, who feel they are not receiving it. For example, Barry Bargainer may meet with his group of subordinates to complain that things are not going well. Barry thinks he is giving negative feedback while his subordinates only hear Barry grumbling about conditions. Barry may give Henry a pat on the back for a job he thinks has been well done. Henry may feel that he knows he did a good job, and it was condescending for Barry to mention it.

People differ considerably in their preference for external reinforcement or self-reinforcement. Task-oriented and experi-



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enced subordinates generally are likely to be self-reinforcing. They may say: "If I have done something well, I know it without other people telling me so," and "As long as I think that I have done something well, I am not too concerned about what other people think I have done."

Subordinates and supervisors attach differing importance to various kinds of feedback. Many subordinates attach more importance than do supervisors to their own success or failure with particular tasks, and to their own comparisons with the work of others. Subordinates are also likely to attach more importance than do supervisors to co-workers' comments about their work. Supervisors tend to put the most weight on their own comments to their subordinates, and to recommendations for rewards they, as supervisors, can make, such as raises, promotions, and more interesting assignments.

Transactional leadership often fails because the leaders lack the reputation for being able to deliver rewards. Transactional leaders who fulfill the self-interested expectations of their subordinates gain and maintain the reputation for being able to deliver pay, promotions, and recognition. Those that fail to deliver lose their reputation and are not considered to be effective leaders.

Transactional leadership may be abandoned by managers when noncontingent rewards (employees are treated well, regardless of performance) will work just as well to boost performance. For example, in a large, nonprofit organization, a study by Phillip Podsakoff et al. showed that contingent rewards (those given only if performance warrants them) did contribute to employee performance, but noncontingent rewards were correlated almost as strongly with performance as contingent rewards.

Noncontingent rewards may provide a secure situation in which employees' self-reinforcement serves as a consequence for good performance (for example, IBM's straight salaries for all employees). An employee's feeling of obligation to the organization for providing noncontingent rewards fuels his or her effort to perform at least adequately. The Japanese experience is exem-

plary; in the top third of such Japanese firms as Toyota, Sony, and Mitsubishi, employees and the companies feel a mutual sense of lifetime obligation. Being a good family member does not bring immediate pay raises and promotions, but overall family success will bring year-end bonuses. Ultimately, opportunities to advance to a higher level and salary will depend on overall meritorious performance.

When the contingent reinforcement used is aversive (reinforcement that recipients prefer to avoid), the success of the transactional leader usually plummets. In the same not-for-profit organization studied by Podsakoff et al., neither contingent reprimand, disapproval, nor punishment had any effect on performance or overall employee satisfaction. The same results have been observed in other organizations. Contingent approval and disapproval by results-oriented leaders did improve subordinates' understanding of what was expected of them but failed to have much effect on motivation or performance. In general, reprimand may be useful in highlighting what not to do, but usually it does not contribute to positive motivation, particularly when subordinates are expected to be innovative and creative.

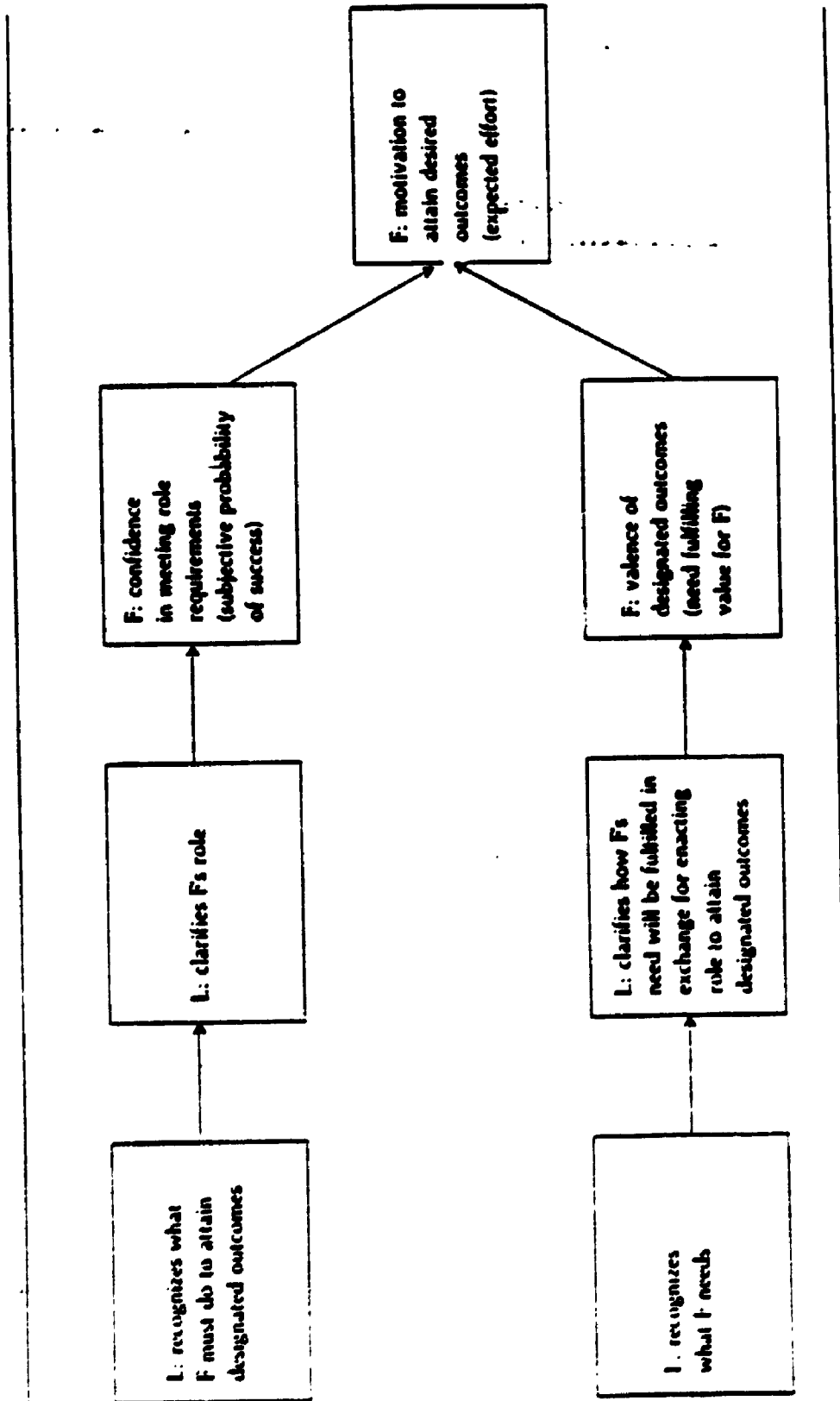
Even when it is based solely on rewards, transactional leadership can have unintended consequences. When expounding on the principles of leadership, Vice Admiral James B. Stockdale argued that people do not like to be programmed:

... You cannot persuade [people] to act in their own self-interest all of the time. A good leader appreciates contrariness.

... some men all of the time and all men some of the time knowingly will do what is clearly to their disadvantage if only because they do not like to be suffocated by carrot-and-stick coercion. I will not be a piano key; I will not bow to the tyranny of reason.

In working subtly against transactional leadership, employees may take short-

Exhibit 1
TRANSACTIONAL LEADERSHIP (L = LEADER; F = FOLLOWER)



cuts to complete the exchange of reward for compliance. For instance, quality may suffer if the leader does not monitor it as closely as he or she does the quantity of output. The employee may begin to react defensively rather than adequately; in some cases, reaction formation, withdrawal, hostility, or "game playing" may result.

THE ALTERNATIVE: ADD TRANSFORMATIONAL LEADERSHIP TO THE MANAGER-EMPLOYEE RELATIONSHIP

James McGregor Burns, the biographer of Franklin D. Roosevelt and of John F. Kennedy, was the first to contrast transactional with transformational leadership. The transformational leader motivates us to do more than we originally expected to do. Such a transformation can be achieved in the following ways:

1. Raising our level of consciousness about the importance and value of designated outcomes and ways of reaching these outcomes.
2. Getting us to transcend our own self-interests for the sake of the team, organization, or larger polity.
3. Raising our need level on Abraham Maslow's hierarchy from, say, the need for security to the need for recognition, or expanding our portfolio of needs by, for example, adding the need for self-actualization to the need for recognition.

Cynthia Changer is a transformational leader; Barry Bargainer is not. Exhibit 2 is a model of transformational leadership that starts with a current level of effort based on a follower's current level of confidence and desire for designated outcomes. A transactional leader contributes to such confidence and desire by clarifying what performance is required and how needs will be satisfied as a consequence. The transformational leader induces additional effort by directly increasing the follower's confidence as well as by elevat-

ing the value of outcomes through expanding his or her transcendental interests and level or breadth of needs in Maslow's hierarchy.

The need for more transformational leaders in business and industry was illustrated in an in-depth interview survey of a representative national sample of 845 working Americans. The survey found that while most employees liked and respected their managers, they felt their managers really didn't know how to motivate employees to do their best. Although 70% endorsed the work ethic, only 23% said they were working as hard as they could in their jobs. Only 9% agreed that their performance was motivated by transaction: most reported that there actually was little connection between how much they earned and the level of effort they put into the job.

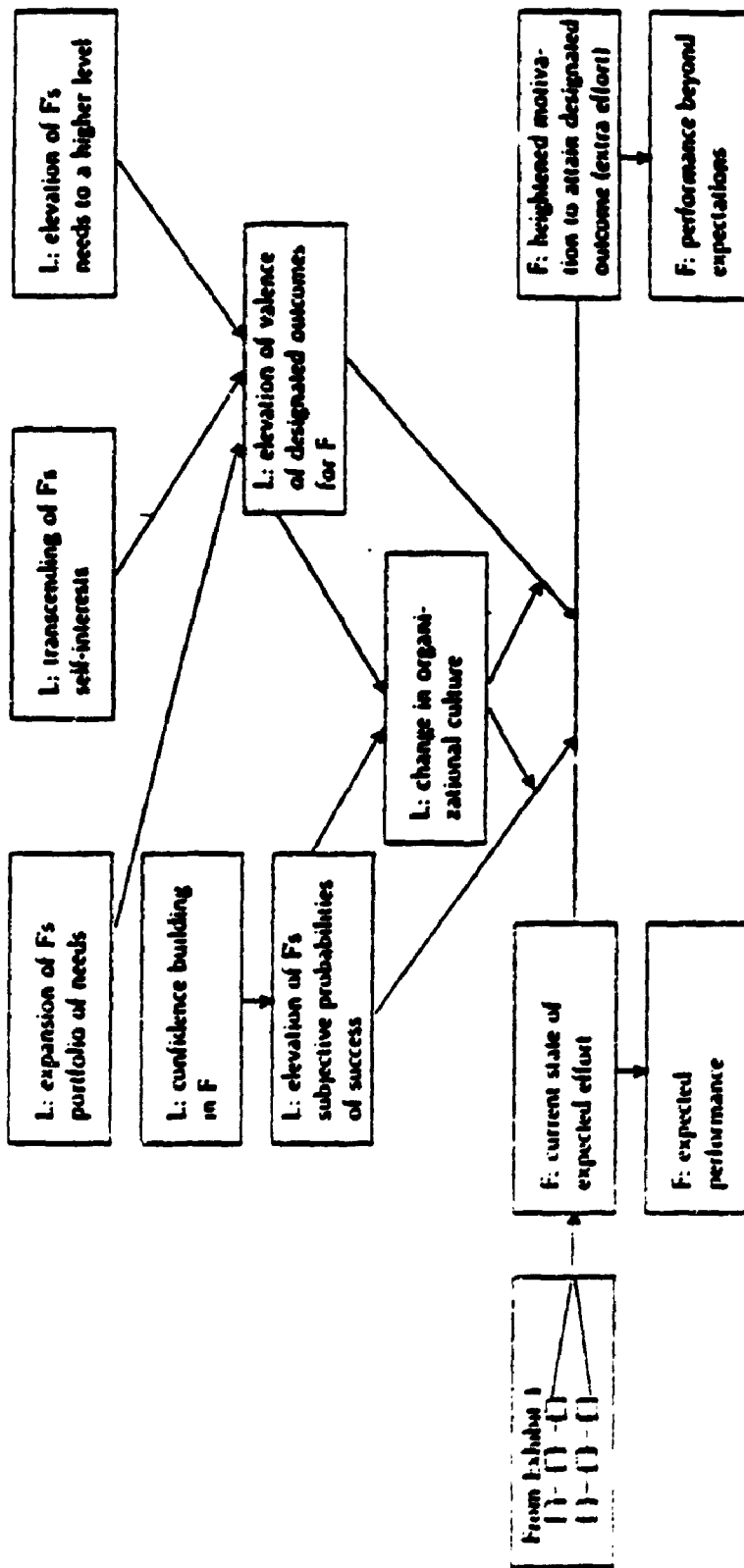
REPORT ON A STUDY OF TRANSFORMATIONAL LEADERSHIP

I set out to find evidence of transformational leadership and its effects at various levels in industrial and military organizations, *not just at the top*.

I defined transformational leadership for 70 senior executives. Then, I asked them to describe in detail a transformational leader whom they had encountered at any time during their career. All respondents claimed to have known at least one such person. Most cited a former immediate supervisor or higher-level manager in the organization. A few mentioned family members, consultants, or counselors.

This transformational leader induced respondents to work ridiculous hours *and to do more than they ever expected to do*. Respondents reported that they aimed to satisfy the transformational leader's expectations and to give the leader all the support asked of them. They wanted to emulate the

Exhibit 2
TRANSFORMATIONAL LEADERSHIP (L = LEADER; F = FOLLOWER)



leader. The transformational leader increased their awareness of and promoted a higher quality of performance and greater innovativeness. Such a leader convinced followers to extend themselves and to develop themselves further. Total commitment to and belief in the organization emerged as consequences of belief in the leader and heightened self-confidence.

Many respondents (all were male) indicated that the transformational leader they could identify in their own careers was like a benevolent father who remained friendly and treated the respondent as an equal despite the leader's greater knowledge and experience. The leader provided a model of integrity and fairness and also set clear and high standards of performance. He encouraged followers with advice, help, support, recognition, and openness. He gave followers a sense of confidence in his intellect, yet was a good listener. He gave followers autonomy and encouraged their self-development. He was willing to share his greater knowledge and expertise with them. Yet he could be formal and firm and would reprimand followers when necessary. Most respondents, however, were inclined to see the transforming leader as informal and accessible. Such a leader could be counted on to stand up for his subordinates. Along with the heightened and changed motivation and awareness, frequent reactions of followers to the transforming leader included trust, strong liking, admiration, loyalty, and respect.

In conducting a second survey, I used the descriptions from the first to create a questionnaire of 73 behavioral items. Responses to each item were on a five-point frequency scale. A total of 176 senior U. S. Army officers completed the questionnaire describing the behavior of their immediate superiors. Five factors emerged from a statistical factor analysis of the data. Two dealt with transactional leadership, the ex-

change relationship between superior and subordinate: contingent reward, by which subordinates earned benefits for compliance with the leader's clarification of the paths toward goals, and management by exception, by which the leader gave negative feedback for failure to meet agreed-upon standards. Three of the factors dealt with transformational leadership—the broadening and elevating of goals and of subordinates' confidence in their ability to go beyond expectations. These factors were (1) charismatic leadership (leaders aroused enthusiasm, faith, loyalty, and pride and trust in themselves and their aims); (2) individualized consideration (leaders maintained a developmental and individualistic orientation toward subordinates); and (3) intellectual stimulation (leaders enhanced the problem-solving capabilities of their associates). An interesting sidelight was that more transformational leadership was observed (by respondents) in combat units than in support units.

As expected, the three transformational factors were more highly correlated with perceived unit effectiveness than were the two transactional factors. Parallel results were obtained for subordinates' satisfaction with their leader. Charismatic, considerate, and intellectually stimulating leaders were far more satisfying to work for than were those who merely practiced the transactions of contingent reinforcement. I obtained similar results from a survey of 256 business managers, 23 educational administrators, and 45 professionals. Moreover, in these latter samples, respondents reported that they made greater efforts when leaders were charismatic, individualizing, and intellectually stimulating. Contingent reward was also fairly predictive of extra effort, but management by exception was counterproductive. Further analysis of the data by my colleague, David Waldman, supported the model shown in Exhibit 2. The analysis demonstrated that

when a leader displayed transformational abilities and engaged in transactional relationships, extra effort made by subordinates was above and beyond what could be attributed to transactional factors alone.

TRANSACTIONAL FACTORS: CONTINGENT REINFORCEMENT AND MANAGEMENT-BY-EXCEPTION

According to our questionnaire surveys, positive and aversive contingent reinforcement are the two ways managers in organized settings engage in transactional leadership to influence employee performance. Ordinarily, contingent reward takes two forms: praise for work well done and recommendations for pay increases, bonuses, and promotion. In addition, this kind of reward can take the form of commendations for effort or public recognition and honors for outstanding service.

Contingent punishment can take several forms as a reaction to a deviation from norms — when, for example, production falls below agreed-upon standards or quality falls below acceptable levels. The manager may merely call attention to the deviation. Being told of one's failure to meet standards may be sufficient punishment to change behavior. Being told why one has failed can be helpful, particularly to the inexperienced or inexperienced subordinate, especially if the negative feedback is coupled with further clarification about what kind of performance is expected. While other penalties — such as fines, suspensions without pay, loss of leader support, or discharge — may be imposed, these are less frequently used and are less likely to promote effectiveness.

When the manager, for one reason or another, chooses to intervene only when failures, breakdowns, and deviations occur,

he or she is practicing management by exception. The rationale of those who use this practice is, "If it ain't broke, don't fix it!" The research studies I have completed with military officers, business executives, professionals, and educational administrators generally indicate that as a steady diet, management by exception can be counterproductive. But contingent rewards yield a fairly good return in terms of subordinate effort and performance. Nevertheless, in the aggregate, there will be additional payoff when the transformational factors appear in a leader's portfolio.

Charismatic and Inspirational Leadership

Charisma is not exclusively the province of world-class leaders or a few generals or admirals. It is to be found to some degree in industrial and military leaders throughout organizations. Furthermore, charisma is the most important component in the larger concept of transformational leadership. In my study I found that many followers described their military or industrial leader as someone who made everyone enthusiastic about assignments, who inspired loyalty to the organization, who commanded respect from everyone, who had a special gift of seeing what was really important, and who had a sense of mission that excited responses. Followers had complete faith in the leaders with charisma, felt proud to be associated with them, and trusted their capacity to overcome any obstacle. Charismatic leaders served as symbols of success and accomplishment for their followers.

Charisma is one of the elements separating the ordinary manager from the true leader in organizational settings. The leader attracts intense feelings of love (and sometimes hatred) from his or her subordinates. They want to identify with the leader. Although feelings about ordinary

managers are bland, relations are smoother and steadier. Like most intimate relationships, the relations between the charismatic leader and his or her followers tend to be more turbulent.

There may be a scarcity of charismatic leaders in business and industry because managers lack the necessary skills. On the other hand, managers who have the skills may not recognize opportunity or may be unwilling to risk what is required to stand out so visibly among their peers. More charismatic leaders potentially exist in organizational settings; furthermore, they may be necessary to an organization's success.

The ability to inspire—arouse emotions, animate, enliven, or even exalt—is an important aspect of charisma. Inspirational leadership involves the arousal and heightening of motivation among followers. Followers can be inspired by a cold, calculating, intellectual discourse, the brilliance of a breakthrough, or the beauty of an argument. Yet it is the followers' emotions that ultimately have been aroused. Followers may hold an intellectual genius in awe and reverence, but the inspirational influence on them is emotional.

Consider the specific leadership behaviors Gary Yukl used to illustrate what he meant by inspirational leadership:

My supervisor held a meeting to talk about how vital the new contract is for the company and said he was confident we could handle it if we all did our part. My boss told us we were the best design group he had ever worked with and he was sure that this new product was going to break every sales record in the company.

The inspiring supervisor was not dispassionate. The supervisor talked about how *vital* the new contract was to the company. He said he was *confident* in his people. He told them they were the *best* group he had *ever* worked with. He was sure the product would *break every record*.

In summa, as a consequence of his or her self-confidence, absence of inner conflict, self-determination, and requisite abilities, a leader will be held in high esteem by followers, particularly in times of trouble. He or she can generally inspire them by emotional support and appeals that will transform their level of motivation beyond original expectations. Such a leader can sometimes also inspire followers by means of intellectual stimulation. The charismatic leader can do one or the other, or both.

Individualized Consideration

The transformational leader has a developmental orientation toward followers. He evaluates followers' potential both to perform their present job and to hold future positions of greater responsibility. The leader sets examples and assigns tasks on an individual basis to followers to help significantly alter their abilities and motivations as well as to satisfy immediate organizational needs.

Delegating challenging work and increasing subordinate responsibilities are particularly useful approaches to individualized development. As General Omar Bradley pointed out, there is no better way to develop leadership than to give an individual a job involving responsibility and let him work it out. A survey of 208 chief executives and senior officers by Charles Margerison reported that important career influences on them before age 35 included being "stretched" by immediate bosses and being given leadership experience, overall responsibility for important tasks, and wide experience in many functions.

The transformational leader will consciously or unconsciously serve as a role model for subordinates. For example, in the Margerison survey, the executives attributed their own successful development as man-

agers to having had early on in their careers managers who were models.

Managerial training supports the idea that managers profit from role models. What may be different in what I propose, however, is that the transformational leader emphasizes *individualism*. Personal influence and the one-to-one superior-subordinate relationship is of primary importance to the development of leaders. An organizational culture of individualism, even of elitism, should be encouraged; an organization should focus attention on identifying prospective leaders among subordinates.

Individualized attention is viewed as especially important by the new military commander of a unit. The commander is expected to learn the names of all those in the units at least two levels below his and to become familiar with their jobs. *Military leaders need to avoid treating all subordinates alike*. They must discover what best motivates each individual soldier or sailor and how to employ him most effectively. They must be generous in the use of their time. But as General Eugene Meyer notes, the leaders' interest must be genuine.

Individualized consideration implies that seniors maintain face-to-face contact or at least frequent telephone contact with juniors. The Intel Corporation accepted the fact that recently graduated engineers are more up to date on the latest advances in technology than are experienced executives of greater power and status in the firm. Therefore, the firm has consciously encouraged frequent contact and open communication between the recent college graduates and the senior executives through leveling arrangements. Senior executives and junior professionals are all housed in small, unpretentious, accessible offices that share common facilities. The organization stresses that influence is based on knowledge rather than power. In other well-managed firms, "walk-around

management" promotes individual contact and communication between those low and high in the hierarchy.

In another study of a high-tech company, Rudi Klaus and Bernard Bass found that project engineers were most influenced by and gained most of their information relevant to decision making from informal contact and individual discussion rather than from written documentation. This company did not believe that the aggregated data from management information systems were the most important inputs for decision making. Rather, two-thirds to three-quarters of the total work time of managers was spent in oral communication. It was the immediate, timely tidbits of gossip, speculation, opinion, and relevant facts that was most influential, not generalized reports reviewing conditions over a recent period of time. Individualized attention of superior to subordinate provided this opportunity for inputs of current and timely information.

Managers are most likely to make face-to-face contact with colleagues at their same organizational level (or by telephone for such colleagues at a distance physically). For superiors and subordinates, written memos are more frequently used. Yet regular, face-to-face debriefing sessions to disseminate important information from superior to subordinate will provide a better basis for organizational decision making and make the superior better equipped to deal with the erratic flow of work and demands on his or her time and the speed that decision making often requires. Unfortunately, unless personal contact becomes a matter of policy (such as walk-around management), communications from superior to subordinate are more likely to be on paper — or now, no doubt, increasingly on computer — rather than face-to-face.

Individualized consideration is reflected when a manager keeps each employee fully informed about what is hap-

pening and why—preferably in a two-way conversation rather than a written memo. Employees come to feel that they are on the inside of developments and do not remain bystanders. Sudden changes of plan are less likely to surprise them. If the interaction is two-way, employees have the opportunity to ask questions to clarify understanding. At the same time, managers learn first-hand their subordinates' concerns.

Individualized consideration is also demonstrated when the senior executive or professional takes time to serve as mentor for the junior executive or professional. A mentor is a trusted counselor who accepts a guiding role in the development of a younger or less experienced member of the organization. The mentor uses his or her greater knowledge, experience, and status to help develop his or her protégé and not simply to pull the protégé up the organization ladder on the mentor's coattails. This relationship is different from one in which a manager is supportive or provides advice when asked for it. Compared with the formal, distant relationship most often seen between a high-level executive and a junior somewhere down the line, the mentor is paternalistic or maternalistic and perhaps is a role model for the junior person.

A follow-up of 122 recently promoted people in business indicated that two-thirds had had mentors. This popularity

of mentoring in business, government, and industry reflects the current interest on the part of both individuals and organizations in the career development of the individual employee.

Intellectual Stimulation

The statement, "These ideas have forced me to rethink some of my own ideas, which I had never questioned before," sums up the kind of intellectual stimulation that a transformational leader can provide. Intellectual stimulation can lead to other comments like, "She enables me to think about old problems in new ways," or "He provides me with new ways of looking at things that used to be a puzzle for me."

Intellectual stimulation arouses in followers the awareness of problems and how they may be solved. It promotes the hygiene of logic that is compelling and convincing. It stirs the imagination and generates thoughts and insights. It is not the call to immediate action aroused by emotional stimulation. This intellectual stimulation is seen in a discrete leap in the followers' conceptualization, comprehension, and discernment of the nature of the problems they face and their solutions.

Executives should and can play a role as transforming leaders to the degree that they articulate what they discern, comprehend, visualize, and conceptualize to their

"An organizational culture of individualism, even of elitism, should be encouraged; an organization should focus attention on identifying prospective leaders . . ."

colleagues and followers. They should articulate what they see as the opportunities and threats facing their organization (or unit within it) and the organization's strengths, weaknesses, and comparative advantages. Leadership in complex organizations must include the ability to manage the problem-solving process in such a way that important problems are identified and solutions of high quality are found and carried out with the full commitment of organization members.

The intellectual component may be obscured by surface considerations. Accused of making snap decisions, General George Patton commented: "I've been studying the art of war for 40-odd years . . . [A] surgeon who decides in the course of an operation to change its objective is not making a snap decision but one based on knowledge, experience, and training. So am I."

The importance of a leader's technical expertise and intellectual power, particularly in high-performing systems, often is ignored in comparison with the attention paid to his or her interpersonal competence. Where would Polaroid be without Edwin Land? What kind of corporation would Occidental Petroleum be without Armand Hammer?

In this intellectual sphere, we see systematic differences between transformational and transactional leaders. The transformational leader may be less willing to accept the status quo and more likely to seek new ways of doing things while taking maximum advantage of opportunities. Transactional managers will focus on what can clearly work, will keep time constraints in mind, and will do what seems to be most efficient and free of risk.

What may intellectually separate the two kinds of leaders is that transformational leaders are likely to be more proactive than reactive in their thinking, more creative, novel, and innovative in their ideas, and less inhibited in their ideational search for solutions. Transactional leaders may be equally

bright, but their focus is on how best to keep running the system for which they are responsible; they react to problems generated by observed deviances and modify conditions as needed while remaining ever mindful of organizational constraints.

TRANSFORMATIONAL LEADERSHIP: BENEVOLENT OR MALEVOLENT?

Charismatic leadership, individualized consideration, and intellectual stimulation have been clearly seen in the moving and shaking that took place between 1982 and 1984 in a number of firms, such as General Electric, Campbell Soup, and Coca Cola. In each instance, the transformation could be attributed to a newly appointed chief. These transformational leaders were responsible for iconoclastic changes of image, increased organizational flexibility, and an upsurge of new products and new approaches. In each case, the transformational leadership of John F. Welch, Jr. of General Electric, Gordon McGovern of Campbell Soup, and Roberto Goizueta of Coca Cola paid off in invigoration and revitalization of their firms and an acceleration in business success.

Clearly, heads may be broken, feelings hurt, and anxieties raised with the advent of transformational leaders such as Welch, McGovern, or Goizueta. "Business as usual" is no longer tolerated. Such transformations may be moral or immoral.

For James Burns, transformational leadership is moral if it deals with true needs and is based on informed choice. The moral transformational leader is one who is guided by such universal ethical principles as respect for human dignity and equal rights. The leadership mobilizes and directs support for "more general and comprehensive values that express followers' more fundamental and enduring needs" (*Leadership*, Harper, 1978). Moral leadership helps followers to see the real conflict between competing values, the

inconsistencies between espoused values and behavior, the need for realignments in values, and the need for changes in behavior or transformations of institutions. Burns argued that if the need levels elevated by transformational leaders were not authentic, then the leadership was immoral.

The well-being of organizational life will be better served in the long run by moral leadership. That is, transformations that result in the fulfillment of real needs will prove to be more beneficial to the organization than transformations that deal with manufactured needs and group delusions. Organizational leaders should subscribe to a code of ethics that is accepted by their society and their profession.

The ethical transformational leader aims toward and succeeds in promoting changes in a firm—changes that strengthen firm viability, increase satisfaction of owners, managers, employees, and customers, and increase the value of the firm's products. But transformational leaders can be immoral if they create changes based on false images that cater to the fantasies of constituencies. Firms can be driven into the ground by such leaders. A transformational leader can lull employees and shareholders alike with false hopes and expectations while he or she is preparing to depart in a golden parachute after selling out the company's interests.

Whether transformational or transactional leadership will take hold within an organization will depend to some extent on what is happening or has happened outside of it. Welch, McGovern, and Goizueta all came into power to transform firms that were in danger of failing to keep pace with changes in the marketplace. Transformational leadership is more likely to emerge in times of distress and rapid change.

The personalities of followers will affect a leader's ability to be transformational. Charisma is a two-way process. A leader is seen as charismatic if he or she has followers who imbue him or her with extraor-

dinary value and personal power. This is more easily done when subordinates have highly dependent personalities. On the other hand, subordinates who pride themselves on their own rationality, skepticism, independence, and concern for rules of law and precedent are less likely to be influenced by a charismatic leader or the leader who tries to use emotional inspiration. Subordinates who are egalitarian, self-confident, highly educated, self-reinforcing, and high in status are likely to resist charismatic leaders.

WHICH KIND OF LEADERSHIP SHOULD MANAGERS USE?

Managers need to appreciate what kind of leadership is expected of them. Current leadership training and management development emphasize transactional leadership, which is good as far as it goes, but clearly has its limits. Transactional leaders will let their subordinates know what is expected of them and what they can hope to receive in exchange for fulfilling expectations. Clarification makes subordinates confident that they can fulfill expectations and achieve mutually valued outcomes. But subordinates' confidence and the value they place on potential outcomes can be further increased, through transformational leadership. Leadership, in other words, can become an inspiration to make extraordinary efforts.

Charismatic leadership is central to the transformational leadership process. Charismatic leaders have great referent power and influence. Followers want to identify with them and to emulate them. Followers develop intense feelings about them, and above all have trust and confidence in them. Transformational leaders may arouse their followers emotionally and inspire them to extra effort and greater accomplishment. As subordinates become competent with the mainly transformational leader's encouragement and support, contingent reinforce-

ment may be abandoned in favor of self-reinforcement.

Clearly, there are situations in which the transformational approach may not be appropriate. At the same time, organizations need to draw more on the resources of charismatic leaders, who often can induce followers to aspire to and maintain much higher levels of productivity than they would have reached if they had been operating only through the transactional process.



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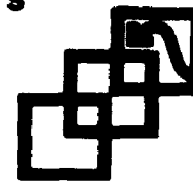
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Paul Hersey and Ken Blanchard's

Situational Leadership



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Over the last few decades, people in the field of management have been involved in a search for a "best" style of leadership. Yet, the evidence from research clearly indicates that there is no single all-purpose leadership style. Successful leaders are those who can adapt their behavior to meet the demands of their own unique situation.

A SITUATIONAL LEADERSHIP THEORY

A situational leadership theory helpful to managers in diagnosing the demands of their situation has been developed as a result of extensive research. This theory is based on the amount of direction (task behavior) and the amount of socio-emotional support (relationship behavior) a leader must provide given the situation and "the level of maturity" of the follower or group.

Task Behavior and Relationship Behavior

The recognition of task and relationship as two critical dimensions of a leader's behavior has been an important part of management research over the last several decades. These two dimensions have been labeled various things ranging from "autocratic" and "democratic," to "employee-oriented" and "production-oriented."

For some time, it was believed that task and relationship were either/or styles of leadership and, therefore, could be shown as a continuum, moving from very authoritarian leader behavior (task) at one end to very democratic leader behavior (relationship) at the other.

In more recent years, the idea that task and relationship were either/or leadership styles has been dispelled. In particular, extensive leadership studies at Ohio State University questioned this assumption and proved it wrong.

By spending time actually observing the behavior of leaders in a wide variety of situations, the Ohio State staff found that they could classify most of the activities of leaders into two distinct and different behavioral categories or dimensions. They named these two dimensions "Initiating Structure" (task behavior) and "Consideration" (relationship behavior). Definitions of these two dimensions follow.

Task behavior is the extent to which a leader engages in one-way communication by explaining what each follower is to do as well as when, where, and how tasks are to be accomplished. *Relationship behavior* is the extent to which a leader engages in two-way communication by providing socio-emotional support, "psychological strokes," and facilitating behaviors.

In the leadership studies mentioned, the Ohio State staff found that leadership styles tended to vary considerably. The behavior of some leaders was characterized mainly by directing activities for their followers in terms of task accomplishment, while other leaders concen-

trated on providing socio-emotional support in terms of personal relationships between themselves and their followers. Still other leaders had styles characterized by both task and relationship behavior. There were even some leaders whose behavior tended to provide little task or relationship for their followers. No dominant style appeared. Instead, various combinations were evident. Thus, it was determined that task and relationship are not either/or leadership styles. Instead, these patterns of leader behavior can be plotted on two separate and distinct axes as shown in Figure 1.

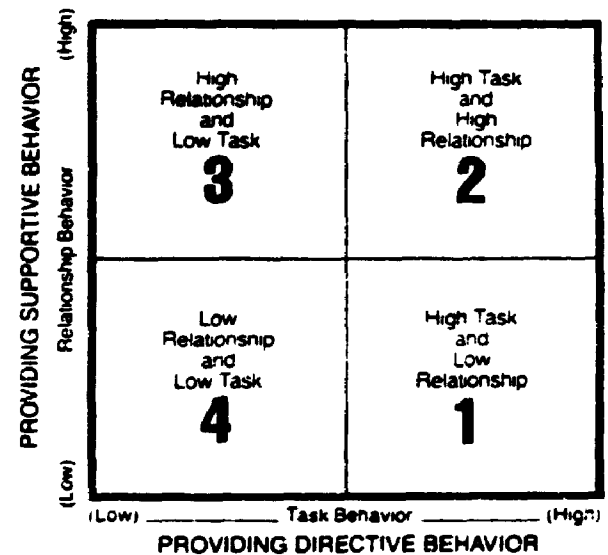


FIGURE 1 Four basic leader behavior styles.

Since research in the past several decades has clearly supported the contention that there is no "best" style of leadership, any of the four basic styles shown in Figure 1 may be effective or ineffective depending on the situation.

Situational Leadership Theory is based upon an interplay among (1) the amount of direction (task behavior) a leader gives, (2) the amount of socio-emotional support (relationship behavior) a leader provides, and (3) the "maturity" level that followers exhibit on a specific task, function, or objective that the leader is attempting to accomplish through the individual or group follower(s).

LEVEL OF MATURITY

Maturity is defined in Situational Leadership Theory as the capacity to set high but attainable goals (achievement-motivation), willingness and ability to take responsibility, and education and/or experience of

an individual or a group. *These variables of maturity should be considered only in relation to a specific task to be performed.* That is to say, an individual or a group is not mature or immature in any *total* sense. People tend to have varying degrees of maturity depending on the specific task, function, or objective that a leader is attempting to accomplish through their efforts.

Thus, a sales representative may be very mature in the way he or she approaches sales calls but may not demonstrate the same degree of maturity in developing and writing customer proposals. As a result, it may be quite appropriate for this individual's manager to provide little direction and help on sales call activities, yet provide a great deal of direction and close supervision over the individual's proposal writing activities.

The Basic Concept

According to Situational Leadership Theory, as the level of maturity of the follower continues to increase in terms of accomplishing a specific task, the leader should begin to *reduce* task behavior and *increase* relationship behavior. This should be the case until the individual or group reaches a moderate level of maturity. As the follower begins to move into an above average level of maturity, it becomes appropriate for the leader to decrease not only task behavior but relationship behavior as well. Now the follower is not only mature in terms of the performance of the task but also is psychologically mature.

Since the follower can provide his or her own "strokes" and reinforcement, a great deal of socio-emotional support from the leader is no longer necessary. People at this maturity level see a reduction of close supervision and an increase in delegation by the leader as a positive indication of trust and confidence. Thus, Situational Leadership Theory focuses on the appropriateness or effectiveness of leadership styles according to the *task relevant maturity* of the follower(s). This cycle can be illustrated by a bell-shaped curve superimposed upon the four leadership quadrants, as shown in Figure 2.

Style of leader vs. Maturity of followers

Figure 2 attempts to portray the relation between task relevant maturity and the appropriate leadership styles to be used as the follower moves from immaturity to maturity. As indicated, the reader should keep in mind that the figure represents two different phenomena. The appropriate leadership style (*style of leader*) for given levels of follower maturity is portrayed by a curvilinear function in the four leadership quadrants. The maturity level of the individual or group being supervised (*maturity of followers*) is depicted below the leadership model as a *continuum* ranging from immature to mature.

In referring to the leadership styles in the model, we will use the following shorthand designations: 1) high task-low relationship will be referred to as leader behavior style S1; 2) high task-high relationship behavior as leader behavior style S2; 3) high relationship-low task behavior as leader behavior style S3; and 4) low relationship-low task behavior as style S4.

In terms of follower maturity, it is not simply a question of being mature or immature, but a question of degree. As can be seen in Figure 2, some benchmarks of

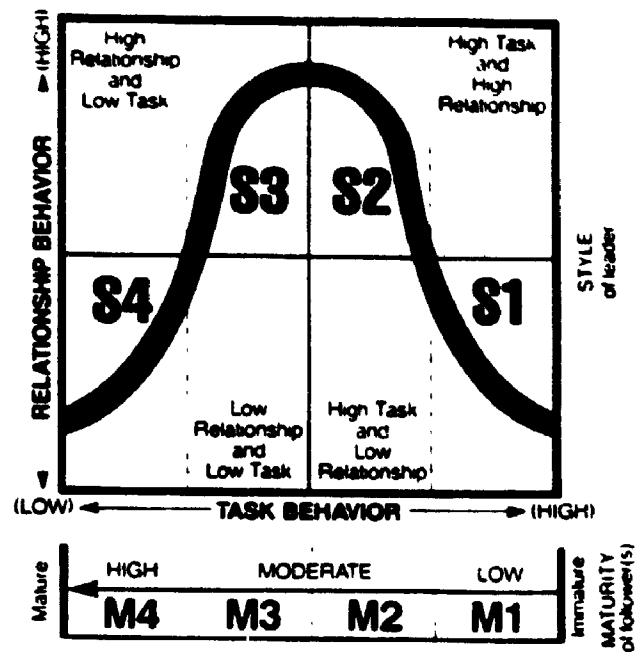


FIGURE 2 Situational Leadership Theory.

maturity can be provided for determining appropriate leadership style by dividing the maturity continuum into four levels of maturity. Low levels of task relevant maturity are referred to as maturity level M1, low to moderate as maturity level M2; moderate to high as maturity level M3, and high levels of task relevant maturity as maturity level M4.

APPLICATION

What does the bell-shaped curve in the style-of-leader portion of the model mean? It means that as the maturity level of one's followers develops along the maturity continuum from immature to mature, the appropriate style of leadership moves accordingly along the curvilinear function.

Determining Appropriate Style

To determine what leadership style is appropriate to use in a given situation, one must first determine the maturity level of the follower in relation to a specific task that the leader is attempting to accomplish through the follower's efforts. Once this maturity level is identified, the appropriate leadership style can be determined by constructing a right angle (90° angle) from the point on the continuum that identifies the maturity level of the follower to a point where it intersects on the curvilinear function in the style of leader portion of the model. The quadrant in which that intersection takes place suggests the appropriate style to be used by the leader in that situation with a follower of that maturity level. Let us look at an example in Figure 3.

Suppose a manager had determined that the maturity level in terms of administrative paper work was low. Using Situational Leadership Theory, the style of leader placed in S4 of the maturity continuum (shown in Figure

above M1. Once the manager had decided that she wanted to influence the subordinate's behavior in this area, the manager could determine the appropriate initial style to use by constructing a right angle from the X drawn on the maturity continuum to a point where it intersects the bell-shaped curve designated in Figure 3 by O. Since the intersection occurs in the S1 quadrant, it is suggested that when working with this subordinate who demonstrates M1 maturity on this particular task, the manager should use an S1 style (high task-low relationship behavior). If one follows this technique for determining the appropriate leadership style for all four of the maturity levels, it will become clear that the four maturity designations (M1, M2, M3, M4) correspond to the four leadership behavior designations (S1, S2, S3, S4); that is, M1 maturity needs S1 style, M2 maturity needs S2 style, etc.

In this example, when we say low relationship behavior, we do not mean that the manager is not friendly or personable to the subordinate. We merely suggest that the manager, in supervising the subordinate's handling of administrative paper work, should spend more time directing the person in what to do and how, when, and where to do it, than providing socio-emotional support and reinforcement. Increased relationship behavior should occur when the subordinate begins to demonstrate the ability to handle necessary administrative paper work. At that point, a movement from Style 1 to Style 2 would be appropriate.

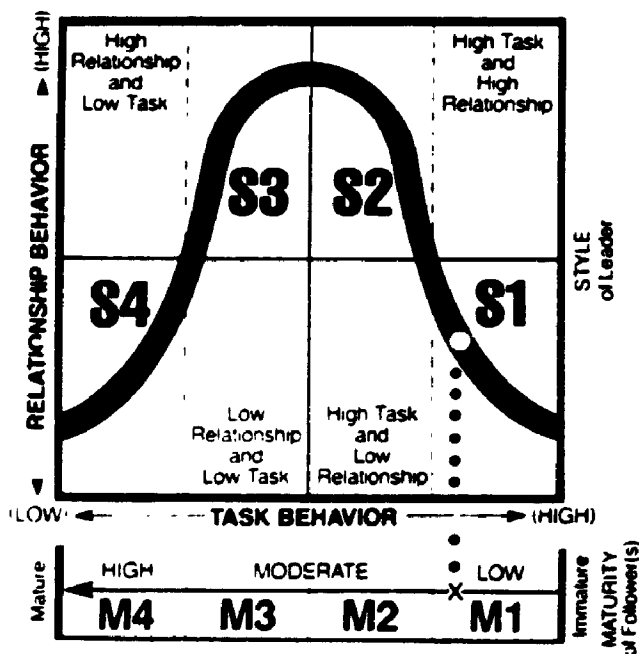


FIGURE 3 Determining an Appropriate Leadership Style.

This Situational Leadership Theory contends that in working with people who are low in maturity (M1) in terms of accomplishing a specific task, a high task/low relationship style (S1) has the highest probability of success in dealing with people who are of low to moderate maturity. M2, a moderate structure and socio-emotional style (S2) appears to be most appropriate,

while in working with people who are of moderate to high maturity (M3) in terms of accomplishing a specific task, a high relationship/low task style (S3) has the highest probability of success, and finally, a low relationship/low task style (S4) has the highest probability of success in working with people of high task relevant maturity (M4).

While it is important to keep in mind the definitions of task and relationship behavior given earlier, the labeling of the four styles of Situational Leadership Theory, as in Figure 4, on the following page, is sometimes useful for quick diagnostic judgments.

High task/low relationship leader behavior (S1) is referred to as "telling" because this style is characterized by one-way communication in which the leader defines the roles of followers and tells them what, how, when, and where to do various tasks.

High task/high relationship behavior (S2) is referred to as "selling" because with this style most of the direction is still provided by the leader. He or she also attempts through two-way communication and socio-emotional support to get the follower(s) psychologically to buy into decisions that have to be made.

High relationship/low task behavior (S3) is called "participating" because with this style the leader and follower(s) now share in decision making through two-way communication and much facilitating behavior from the leader since the follower(s) have the ability and knowledge to do the task.

Low relationship/low task behavior (S4) is labeled "delegating" because the style involves letting follower(s) "run their own show." The leader delegates since the follower(s) are high in maturity, being both willing and able to take responsibility for directing their own behavior.

MODIFYING LEVELS OF MATURITY

In attempting to improve the maturity of followers who have not taken much responsibility in the past, a leader must be careful not to increase socio-emotional support (relationship behavior) too rapidly. If this is done, the followers may view the leader as becoming a "soft touch." Thus the leader must develop followers slowly using a little less task behavior and a little more relationship behavior as followers mature. When an individual's performance is low, one cannot expect drastic changes overnight. For more desirable behavior to be obtained, a leader must reward as quickly as possible the slightest appropriate behavior exhibited by the individual in the desired direction and continue this process as the individual's behavior comes closer and closer to the leader's expectations of good performance. This is a behavior modification concept. For example, if a leader wants to improve the maturity level of a follower so this follower will assume significantly more responsibility, the leader's best bet initially is to reduce a little of the direction (task behavior) by giving the follower an opportunity to assume some increased responsibility. If this responsibility is well handled, the leader should reinforce this behavior with increases in relationship behavior. This is a two-step process: first, reduction in direction, and if adequate performance follows, second, increase in

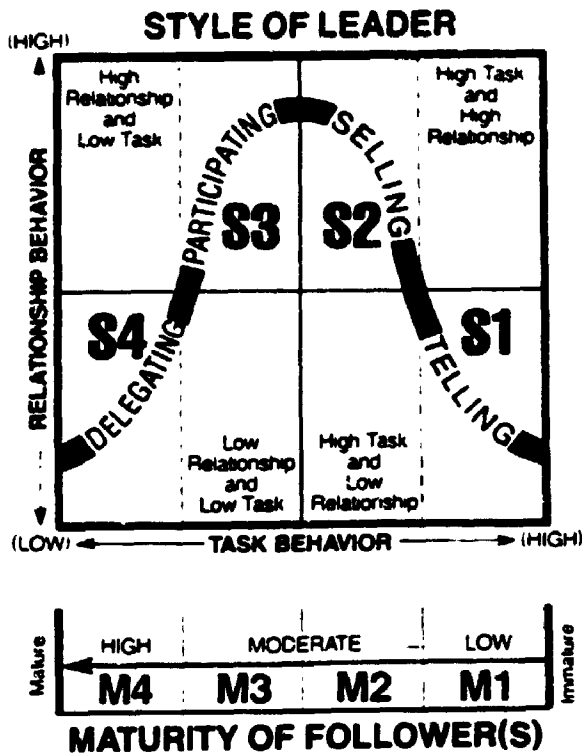


FIGURE 4 Situational Leadership

socio-emotional support as reinforcement This process should continue until the follower is assuming significant responsibility and performing as an individual of moderate maturity. This does not mean that the individual's work will have less direction, but the direction will now be internally imposed by the follower rather than externally imposed by the leader. When this process occurs, followers are not only able to provide their own direction for many of the activities in which they engage, but also begin to be able to provide their own satisfaction for interpersonal and emotional needs. At this stage followers are positively reinforced for accomplishments by the leader *not* looking over their shoulder and by the leader leaving them more and more on their own. It is not that there is less mutual trust and friendship (in fact, there is more) but it takes less direct effort on the leader's part to prove it with mature followers.

Although this theory seems to suggest a basic style for different levels of maturity it is not quite that simple. When followers begin to behave less maturely, for whatever reason, i.e. crisis at home, change in work technology, etc., it becomes appropriate and necessary for leaders to adjust their behavior backward through the bell-shaped curve to meet the present maturity level of the followers. For example, take a subordinate who is presently working well without much supervision. Suppose suddenly, a family crisis begins to affect this person's performance on the job. In this situation, it might very well be appropriate for the manager to increase *moderately* both direction and support until the subordinate regains composure.

Take another example of a teacher who was highly motivated and competent (M4) and therefore could be left on his own. Suppose he is promoted to principal. While it may have been appropriate to leave him alone (S4) as a teacher, now that he is a principal, a task for which he has little experience, it may be appropriate for his supervisor to change styles by first providing more socio-emotional support and then increasing the direction and supervision of his activities (Style 4 to Style 3 to Style 2). This high task-high relationship style should continue until the person is able to grasp the new responsibilities. At that time, a movement back from Style 2 through Style 3 to Style 4 would be appropriate. Starting off using the same leadership style that was successful while he was a teacher may now prove ineffective because it is inappropriate for the needs of this situation.

In summary, effective leaders must know their staffs well enough to meet their everchanging abilities and demands upon them. It should be remembered that over time followers as individuals and as groups develop their own patterns of behavior and ways of operating, i.e. norms, customs and mores. While a leader may use a specific style for the work group as a group, that leader may quite often have to behave differently with individual followers because they are at different levels of maturity. In either case, whether working with a group or an individual, changes in leadership style from S1 to S2, S3, and S4, *must be gradual*. This process by its very nature cannot be revolutionary but must be evolutionary—gradual developmental changes, a result of planned growth and the creation of mutual trust and respect.

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MANAGER'S QUESTIONNAIRE

To be given to shop supervisor's immediate superior.

DIRECTIONS:

As part of a study on managing inmate workers, it is important for us to know how effective the performance of the shops and the technical services work crews are.

Please rate the performance of each work group, over the past three months.

NOTE: This is an assessment of the effectiveness of the work group/shop's performance, not your opinion of the individual instructor/supervisor.

AREA: _____

	A	B	C	D	E
	FREQUENTLY IF NOT ALWAYS	FAIRLY OFTEN	SOMETIMES	ONCE IN WHILE	NOT AT ALL
1.	This work group's performance is outstandingly good.				
2.	Compared to other groups, the quality of work of this group is very good.				
3.	Compared to other groups, the speed with which work is done is very good.				
4.	Inmates appear to respect and accept their supervisor in this shop.				
5.	Inmates appear to become better citizens while in this shop.				
6.	Inmates appear to develop better work habits while in this shop.				
7.	Inmates appear to learn job-related skills while in this shop.				

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Mr. Paul Crookall
Evaluation and Special Projects
Correctional Services of Canada
340 Laurier Avenue West
Ottawa, Ontario
K1A 0P9

16.11.85

Dear Sir:

Thank you for giving me the opportunity to submit a proposal, and for the potential of participating in the "leadership training" evaluation project. I find it particularly exciting because of my background in corrections of some years ago, when I was a Probation Officer and Senior Probation Officer with the Alberta Solicitor Generals Department. At that time I instituted a variety of training programs for the Probation staff, which over a number of years eventually lead me to become Manager of Training and Development for the Public Service of Alberta, and of course eventually to private practice and my association with Dr. Paul Hersey at the Center For Leadership Studies.

I have been associated with Dr. Hersey for over ten years and have worked closely with the Center For Leadership Studies for the past five years, initially as an Associate in Western Canada, and now soon to become Leadership Studies Canada Ltd. (currently in the transition period as you will see by the letterhead). During my tenure with Leadership Studies I have had the opportunity to see the 'situational approach' applied in a wide variety of settings .. everything from the corporate boardroom to 'hands' in a refinery; from curricula and policy developers to children in the classroom; from City Council to community leaders to parents in the home ... all with a good deal of success and confidence. Because it is an influence model, I believe very strongly that it can also be very effective in working with inmates, whether in incarceration, on pre-release work programs, or under community supervision.

Having given you this brief summary of my thoughts on your application of our leadership model, I am enclosing more detailed information in the form of a brochure, the program objectives, and other supporting information.

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During our telephone conversation you indicated that your plan is to conduct 3 or 4 pilot programs at various locations, with a total of about 50 participants, and that based on the comparative performance of the group as evaluated against specific criteria as well as performance vis-a-vis another group, and a control group, you would make a final decision. Because we have participated in several such research projects before, I would offer our assistance in whatever way you see fit to support your efforts.

The workshop "Essentials Of Situational Leadership" is of three days duration. The optimum size of group is 16 to a maximum of 20 participants. As I mentioned on the telephone, the costs of conducting the pilots would be based on: costs of participant materials - \$185.00/person; instructional fee - \$750.00/day; expenses for travel, accomodation and subsistence - at cost and supported by receipts, or, on per diem allowance basis.

Paul, I hope this is the information you require in order to begin your evaluation work. I trust that you will feel free to call me if you need more information or clarification on anything contained herein.

Thank you for your consideration!

Sincerely yours,



Larry W. Armstrong
Managing Director

LWA/bja

Enclosures

reduced to 4,800 per course, preparation and delivery, during negotiations. 27,180

Note: this generic course model will be adjusted to CSC needs (e.g. dealing with inmates) based on 205
1) Mr. Armstrong's 15yr. in corrections 2) his pre-course visits to the institution to consult on our needs. P.C.

LEARNING OBJECTIVES FOR ESSENTIALS OF SITUATIONAL LEADERSHIP

THE MAJOR OBJECTIVES FOR THIS SESSION ARE THAT THE PARTICIPANTS WILL BE ABLE TO:

Part 1

- * Discuss a historical perspective on management, and leadership within organizations.
- * State the definitions of 'management' and 'leadership' and the differences between them.
- * Explain 'leadership style' and its importance to effective management.
- * Describe how power, and the perception of power, affect a leader's ability to influence others.

Part 2

- * Explain the terms task behavior and relationship behavior and describe them in behavioral terms.
- * Give examples of high and low task, and high and low relationship behavior.
- * Classify examples of behavior as either high/low task and high/low relationship.

Part 3

- * Describe the four basic styles of leadership behavior.
- * State the difference between attitude and behavior.
- * State the critical variable affecting a leadership situation.

Part 4

- * Describe the structure of the Situational Leadership model.
- * State how to evaluate the maturity levels of followers for different tasks.
- * Explain which leadership styles have the highest probability of success in various situations.
- * State the high-probability style for each level of maturity of the followers.

Part 5

- * State the basic components of each level of maturity
- * Discuss the behavioral indicators for each of the four leadership styles.

Part 6

- * State the "shorthand" definitions of each leadership style - Telling, Selling, Participating, Delegating.

Part 7

- * Explain the application of the Situational Leadership model to the development of people.
- * State the approach necessary for developing subordinates.
- * Describe how to recognize situations where the developmental cycle should be used.
- * Explain how to reinforce behavior which demonstrates growth in maturity.

Part 8

- * Explain the application of the Situational Leadership model to discipline and change.
- * State the approach necessary when regression occurs in subordinates performance.
- * Describe how to recognize situations where the regressive cycle should be used.
- * State the steps in a regressive intervention, and explain why each is important.

Part 9

- * State the components of Maslow's hierarchy of needs.
- * Apply Maslow's concepts as a diagnostic aid in assessing maturity.
- * Describe how changes in the environment induce changes in level of needs.

Part 10

- * Explain the Motivation-Hygiene theory and its relationship to Situational Leadership.
- * Describe the relationship between job satisfaction and job dissatisfaction in terms of employee maturity.
- * Explain the difference between motivators and maintenance factors and their relationship to performance.
- * Apply the concepts of the Motivation-Hygiene theory to the process of diagnosing maturity.

Part 11

- * Describe the Achievement Motivation theory as applied to Situational Leadership.
- * Apply the concept of achievement motivation in diagnosing employee maturity.
- * Explain the relationship of Maslow, Herzberg and McClelland to Situational Leadership.

Part 12

- * Differentiate between the various levels of employee maturity and basic leadership style.
- * State the high-probability styles for various situations.
- * State the elements of various leadership style configurations.
- * State their self-perceptions of leadership style and the style of their superiors.
- * Explain why there is no single correct style for managing people.
- * Explain where and how to build style range.
- * Describe how to increase adaptability.

THE CHALLENGE OF MANAGEMENT.....

.....is to achieve organizational goals by integrating the needs of the organization with the abilities, motivation, and performance of people.

- * Organizational success depends on managers who can work effectively with and through the people they are responsible for.
- * Leaders who understand, predict and influence the task-relevant behavior of their subordinates can contribute significantly to the return on "people" investment of their organizations.
- * The bottom line for today's managers is their ability to lead people effectively on an ongoing basis.

... situational leadership will help managers and supervisors refine the skills necessary to maximize their utilization of "people resources".

SITUATIONAL LEADERSHIP

.... has become the most widely accepted concept of leadership in organizations. It offers practical approaches for making the managerial and leadership decisions necessary for achieving operating results. It explains:

- * the essential behaviors of effective leaders.
- * techniques for building bottom-line results through the increased productivity of people.
- * on-the-job applications of the Situational Leadership model to diagnose subordinate readiness and apply the appropriate leadership styles for increasing performance levels and managing change.

SITUATIONAL LEADERSHIP IS FOR ALL MANAGERS

.....and supervisors in situations where productivity depends on influencing the performance of subordinates; sales..... marketing..... production personnel finance administration. The concepts and applications apply to: business industry government educational institutions volunteer groups and one that is important to most people, ... the family.

People in management roles need concepts and skills that build a foundation for effective utilization of people, including diagnostic tools for assessing and pinpointing performance areas requiring further development. They need skills to maintain and improve performance, avoid dissension and resolve conflicts before they escalate into major grievances.

A PERSPECTIVE ON MANAGEMENT, LEADERSHIP AND PRODUCTIVITY

From a review of leading business publications, one quickly concludes that when business leaders and economists discuss the 'driving forces' that can boost our sagging productivity and restore its competitiveness in the world markets, the talk usually centers around: science and technology; the necessity for new capital generation to finance investment in new production facilities; removal of government's hand from the private economy through deregulation of major industries; and the pressing need to correct inflation, which has debased not only our currency but our ability to measure the performance of our organizations.

Certainly, as the experts have argued, these factors are important; each can help bolster the economy and our organizations' performance. It seems however, that amid the furor about low productivity, remarkably little attention is being focused on another factor that may have an even more significant influence on the issue

That factor is the management/leadership of the organization.

Advancing the frontiers of science and technology can make new achievements possible, but it does not necessarily make them happen. Massive investments in capital facilities create potential for higher productivity, but do not automatically put those facilities into productive motion. And, improving our capability to account accurately for cost, expenses, and profitability can take much uncertainty out of our business operations, but it will not necessarily ensure profitability.

Management is the factor that can transform technology into new products and services that benefit users; that can convert plant investment into useful output of goods; and that can marshal and control the human resources that make it happen. Conversely, management is the factor that can inhibit the productivity of technology, capital, and people, if it fails to employ these resources with enterprise and skill.

If you agree with what has been said up to this point, chances are quite good that you have already taken steps to ensure that the managers in your organization, from the first level supervisors to senior executives, are being equipped to perform more effectively. Chances are also good, I think, that, even if you are highly satisfied with the results of your management development efforts to date, you are continuing to search for viable ways to do an even better job in the future.

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.....2.

With this in mind, I hope you will take a few minutes of your time to read the enclosed brochure. It describes a management training program, "The Essentials Of Situational Leadership", which has been developed by Dr. Paul Hersey of the Center for Leadership Studies, Escondido, California, and which is currently being used as an integral part of the management development effort at such major organizations as: PetroCanada, Syncrude, Suncor, Union Oil, AT&T, Pillsbury, Federal Express, Xerox, Government of Alberta, and notably IBM, who, not so incidentally, are in the process of using it to train over 37,000 of their managers worldwide.

Why are these companies, and so many other like them, encouraging their managers to attend this program, or in fact requiring them to do so? For the following reasons (they tell us) - First, as its title suggests, "The Essentials Of Situational Leadership" is aimed at helping managers improve their leadership skills, which have been identified in a recent AT&T study as the most critical to success in a management position. Second, it is designed to teach managers skills about how to make their people both productive and happy, not just how to make them happy in hopes that high levels of productivity will somehow follow. Third, as a recent study by a major company indicates, managers use the knowledge and skills they gain in the program when they return to the job. And last, but certainly not least, the same study tells us that in those situations where the knowledge and skills gained in the program are applied by managers and supervisors, subordinate job performance is higher, and the size of the gain in performance and productivity is practically as well as statistically significant.

Hopefully what I have said will strike a familiar note around some of the concerns that you have within your organization, to a degree that you will take the opportunity to investigate this management development program more fully.

As Tom Peters and Nancy Austin so aptly put it in their book *A Passion For Excellence* - "The concept of leadership is crucial to the revolution - so crucial that we believe the words 'managing' and 'management' should be discarded. "Management" with its attendant images, connotes controlling and arranging and demanding and reducing. "Leadership" connotes unleashing energy, building, freeing, and growing. It was a shadow over the pages of *In Search Of Excellence*, but was seldom labeled - the one element that connects them all. It is leadership".

Larry W. Armstrong

TRANSFORMATIONAL LEADERSHIP: A NEW PARADIGM FOR TRAINING EFFECTIVE LEADERS

EXECUTIVE SUMMARY: The purpose of this workshop is to train participants to be more effective leaders in their organizations by using a newly tested model of leadership, a model that bridges the gap between leadership as a transactional process and leadership that emphasizes the development of individuals and groups. After completing this workshop participants will have a thorough understanding of both models of leadership and they will be able to utilize each approach in working with their subordinates.

Since the approach we are taking to leadership training incorporates some new concepts, we have taken the liberty of explaining these concepts in some detail below. Our purpose is to offer potential workshop participants a sufficient background concerning how this program differs from other more traditional workshops on training leader effectiveness.

The Multifactor Leadership Model

Transactional Leadership: Leadership For Lower Order Change

Most managers practice transactional-type leadership. A transactional leader (or manager) works on recognizing the actions subordinates must take to achieve their objectives. The transactional manager helps his/her subordinates to clarify their objectives and responsibilities so that they are aware of what is required of them. In the course of clarifying individual objectives the leader must attune himself/herself to the needs and preferences of his/her subordinates. Based on a thorough understanding of the subordinate's needs, the leader attempts to develop a job environment in which the subordinate's needs can be satisfied. If in fact, the necessary effort is made on the part

of the subordinate to achieve his objectives, he or she will receive the appropriate rewards--rewards which were mutually agreed upon at the time that the objectives were set. One can view this style of leadership as a transaction where the subordinate and his leader enter into a contractual agreement which specifies the subordinate's responsibilities and the rewards for the successful attainment of the agreed upon objectives. Clearly, as far as transactional leadership goes it is a very effective and a necessary strategy for leading others. However, it is a style of leadership which results optimally in performance as expected.

Transformational Leadership: Gaining Higher Order Change

James McGregor Burns, a political scientist and eminent biographer, first noted the distinction between a transactional-style of leadership and one which takes on transformational qualities. As compared to a transactional leader, a transformational leader strives for self development in his subordinates. In other words, the leader transforms others into leaders themselves. A transformational leader is also able to motivate followers to do more than they originally expected, thus leading to performance beyond expectations. This level of motivation and subsequent performance is achieved in the following manner: The leader.....

1. Raises our level of awareness about the importance and value of what we do and provides us with innovative ways for reaching new goals.

2. Motivates us to transcend our own self interests for the sake of the team's success.
3. Works with us to expand our portfolio of needs, by continually emphasizing the utility of satisfying higher order needs.

Transformational-type leaders put considerable energy into developing subordinates so that they can assume a leadership role for their own behavior and eventually for others.

Transformational vs. Transactional Leadership

Transformational leaders are clearly more charismatic and inspire subordinates to go beyond expected levels of performance.

Transformational leaders establish and maintain an individualistic orientation toward subordinates.

Transformational leaders emphasize self development and individual change.

Transformational leaders work on getting subordinates to look at old problems in new ways.

What Do We Know About Transformational Leaders?

Transformational leadership occurs to some degree at all hierarchical levels of organizations including military, educational, profit making, and not for profit organizations.

Transformational leaders are more satisfying to work for and lead others to higher levels of individual and organizational effectiveness.

Transactional managers can and have been trained to be more transformational in their approach to leadership.

Multifactor Leadership Training Program

Module 1: Managing the Leadership Role Using Transactional Leadership Style.

- Objectives:
1. Explain the primary dimensions of transactional leadership styles.
 2. Identify optimal strategies for leading others using transactional leadership style.
 3. Delineate where transactional leadership ends as a useful approach for motivating subordinates and where transformational leadership begins.

Module 2: Managing the Leadership Role Using Transformational Leadership Style.

- Objectives:
1. Explain the primary dimensions of transformational leadership including an emphasis on charismatic and inspirational leadership, individualized consideration, and intellectual stimulation.
 2. Identify optimal strategies for leading others using transformational leadership style to motivate followers to go beyond expectations.
 3. Delineate the role(s) a transformational leader can assume to effect changes in the organizational culture.

Module 3: Feedback on How You and Your Subordinates Perceive You as a Leader.

Brief Summary: Four weeks prior to the beginning of the workshop participants will receive four copies of the Multifactor Leadership Questionnaire. This survey has been developed over the last four years to measure both the transactional and transformational aspects of leadership behavior. Upon receipt of the questionnaire participants are asked to distribute the survey to three subordinates (or peers) who have had the opportunity to observe them in a leadership role on the job. Participants also complete the survey rating their own perceptions of their leadership performance. After completing the survey, respondents mail their responses on the survey to a data processing center in New York for analysis and interpretation. During the third module participants will receive individual feedback on their leadership potential comparing their own perceptions to those of their subordinates. Participants will also have the opportunity to compare their leadership ratings to other members of the workshop as well as a normative sample of managers who have participated in earlier workshops. (We have appended an example of the feedback printout for your review).

- Objectives:**
1. Examine differences in how your subordinates perceive your leadership style as compared to your self perceptions.
 2. Identify leader skills that you can improve upon during the course of the workshop as well as back on the job.
 3. Practice becoming a more effective transformational leader.

END OF DAY 1

Module 4: Transformational Leaders That We All Know

- Objectives:
1. Examine behaviors that transformational leaders exhibit.
 2. Examine several examples of transformational leaders in in real life settings.
 3. Determine how workshop participants can incorporate transformational leadership behaviors into their existing portfolio of leadership behaviors.

Module 5: Diagnosing Individual Needs

- Objectives:
1. To learn how to determine what individual needs your subordinates have.
 2. To complete a needs profile on a subordinate.
 3. To use that profile for determining a strategy for negotiating with the employee to unfreeze past behaviors.
 4. To develop follow-up interventions when initial strategies fall short of your goals and objectives.
 5. To practice effective "successive incrementalism" with specific goals in mind.

Module 6: Transaction, Delegation, and Avoiding MBE

- Objectives:
1. To learn how to communicate goals in an effective and supportive manner.
 2. To complete a full goal setting program on an individual case provided by prison authorities.
 3. Evaluate the opportunities and risks in the goal setting programs and develop contingency action plans to deal with changes in an individual's orientation

END OF DAY 2

Module 7: BECOMING MORE CHARISMATIC

- Objectives:
1. Learning behaviors that result in perceived charisma.
 2. Practicing communication that is inspirational--learning how to monitor, develop meaningfulness, and movement through inspirational communication
 3. Developing an inspirational communication on videotape for review and critique

Module 8: Creating a Vision Through Intellectual Stimulation

- Objectives:
1. Practice linear and nonlinear problem-solving skills.
 2. Learning to establish contact points with future problem areas and opportunities.
 3. Examining how both transactional and transformational leadership skills contribute to effective problem solutions.

Module 9: TRANSFERING A NEW LEADERSHIP PARADIGM TO YOUR HOME ENVIRONMENT

- Objectives:
1. Analyze characteristics of your home organization that will facilitate and/or inhibit the transference of skills from the workshop to your daily responsibilities.
 2. Develop a comprehensive strategy for effectively utilizing your newly acquired leadership skills back on the job.
 3. Determine what your next step will be in your self development as a leader.

End of Day 3

Toward Understanding Transformational Leaders: "The Three I's"

David A. Waldman, Francis J. Yammarino, and Bruce J. Avolio

School of Management

State University of New York at Binghamton

Toward Understanding Transformational Leaders: "The Three I's"

Leadership is a key responsibility for managers. Despite some writers' attempts to pinpoint differences between the terms leadership and management¹, people called managers must practice good leadership to be successful.

Why then do many managers have difficulty seeing themselves as leaders and as developing others through their leadership? There are at least three key reasons. First, there is a widespread belief that leadership is somehow innate or natural. From this perspective, the qualities of a leader might be viewed as strength, physical appearance, intelligence, and charm. You, therefore, have the potential for becoming a leader if, and only if, you have the proper mix of these qualities.

A second reason is that the concept of leadership is often ill defined or defined so narrowly that it is not practical nor useful. For example, throughout the 1950's and 1960's, a popular model of leadership focused on the leader's style of behavior used to influence and provide guidance. Some managers were seen as influencing followers in a primarily participative or delegative manner, while others influenced followers by being more directive and authoritarian. Most management writers claimed that the best way to lead was to be participative or delegative since this would encourage employee involvement and foster growth, development, and commitment to the goals of the organization.

In the late 1960's and into the 1970's, a switch in orientation occurred, Hersey and Blanchard², among others, claimed that what is considered an effective leadership style depended upon the situation. Some situations called for a participative/delegative style; some situations required a more directive/authoritarian style. Thus, during the 1970's, the focus in leadership training was switched from the leader to the context in which

he/she led.

Although the situational leadership model is quite helpful in training leaders to evaluate their surroundings, it does not take into account all of the dynamics nor truly exciting aspects associated with what many of us consider "true" leadership inspiration or charisma. More recent work on leadership indicates that these aspects are important and useful.

A final reason why some managers may overlook the important role of leadership is the assumption that only top executives of a company need to be "strong" leaders. From this perspective middle- and lower-level managers are viewed primarily as implementors not developers; they are the people who control the day-to-day transactions of an organization; but do not have to "lead" others. Contrary to this position, recent research suggests that leadership is represented by a "cascading" or falling dominoes process. Specifically, that some degree of leadership is evident throughout all levels of an organization and the leadership observed at the top is reflected by the type of leadership observed at all levels of the organization.

The Transformational Leader

A more comprehensive framework of leadership has recently been discussed under the label of transformational leadership by such management writers as Warren Bennis, Bernard Bass, and others³. Tichy and Ulrich⁴, for example, described this exciting type of leadership as involving dramatic organizational changes, development of a vision of what an organization can be, and getting others to commit to carry out the vision. Moreover, transformational leaders help to realign the values and norms of their organizations when change is required.

Tichy and Ulrich focused primarily on broad-ranging, system-wide changes necessary to remedy the crisis situations faced by many U.S. corporations. The authors provided many examples of transformational leadership, such as Lee

Iacocca and John Dabutts, chief executive officers of Chrysler and AT&T, respectively. However, Tichy and Ulrich, like many others in the past, felt that transformational leadership fell within the domain of organizational leaders. What they also have ignored is answering the question of how transformational leadership applies to middle-level managers, first-line supervisors, project leaders, and co-workers. Although transformational leadership may exist to a greater degree at the tops of organizations, e.g., military, industrial, political, it will cascade throughout and be present at many organizational levels⁵. It may not only cascade, but transformational leadership can also be "selected in" to the organization at any level.

Employees throughout an organization need individualized consideration, intellectual stimulation, and inspirational motivation, what we will consider the "Three I's" of transformational leadership⁶. Now the question remains as to precisely how to develop and then apply these "three I's" of transformational leadership when working with individuals and groups at all levels of an organization. Toward this end, this paper is to first describe how you can effectively influence the behavior of your co-workers using a transacting leadership style. Next, a more powerful and effective form of influence, transformational leadership, will be discussed.

Transactional Leadership

The most common form of leadership can be termed transactional. This form of leadership has as its main focus the accomplishment of individual goals which support or are linked with organizational goals in the short term. Managers/Supervisors considered effective transactional leaders are good at defining and communicating the work which must be done. As a result, employees perceive clarity in their job roles and expectations set for them. In addition, employees are motivated to achieve "expected" performance standards in that transactional leaders make it clear to them what they will

receive for the level of performance required. Rewards for expected performance may include satisfactory performance ratings, pay increases, praise and recognition, and better work assignments.

The skills associated with transactional leadership are relatively straightforward. To fulfill the transactional role, the focal manager must first understand precisely what goals are expected by his or her supervisor. He/She must then be able to correctly define work activities and goals to be accomplished with the cooperation of his/her employee to ensure that the higher-level manager's expectations are met. The focal manager must understand the strengths and weaknesses of his/her employees, as well as what their individual needs and desires are. Basic communication skills are necessary to determine and disseminate information pertaining to responsibilities, goals, and needs.

Transactional leadership is clearly effective at maintaining acceptable standards of performance in an organization. It is an essential ingredient for effective performance at all organizational levels. It is true that most employees do have a strong desire for clarity in their work situations in terms of knowing their responsibilities and associated rewards for maintaining expected performance. To the extent that transactional leadership can provide greater clarity--it is effective. However, transactional leadership does not go far enough. It cannot readily answer the following questions:

1. Why are employees willing to sacrifice their own self-interests for the good of the leader, their co-workers, or the organization?
2. How can employees come up with creative new approaches to their work-related problems?
3. Why are some managers able to mold the values and heighten the commitment level of employees?
4. What sort of leadership involves the long- versus the short-term

development of employees?

5. What sort of leadership does it take, when necessary, to get performance from employees beyond required expectations?

These questions imply an even more proactive approach to dealing with employees than that implied by transactional leadership. In short, what is required is transformational leadership.

Transformational Leadership

A model of transformational leadership is shown in Figure 1. The following aspects of the model are discussed below: (1) antecedents of transformational leadership, (2) characteristics of transformational leadership, (3) connection between leader and follower, and (4) payoff of transformational leadership.

Antecedents of Transformational Leadership

Transformational leadership does not just happen by chance. A number of antecedents set the stage for the display of such leadership. These include individual qualities and experiences which a leader carries as assets into a situation, as well as what occurs within the organizational setting.

Individual. Self-confidence and conviction on the part of a leader are a key to transformational leadership. Such qualities are developed over an individual's lifespan on the basis of "life events" or experiences. These experiences originate in one's early family life, at school and work, and in one's later personal life. It is not clear as yet whether there is a specific combination of experiences that will lead to the potential for transformational leadership to be displayed by an individual. However, it is clear that success experiences and being surrounded by people who provide supportive feedback and challenges are a must for the development of an individual's self-confidence. Likewise, a family or educational background which encourages the development of a high need for achievement will foster

the potential for future transformational leadership capabilities. "Self-development" is the first step towards developing transformational leadership.

It is also clear that the aspiring transformational leader must be willing to examine his or her strengths and weaknesses as a leader. It is important to know one's strengths because it is from these strengths that leaders derive personal power⁷. An individual's strengths which impact personal power can include technical expertise, willingness to take appropriate risks to be successful, the concern shown for people in need, the ability to communicate clearly and powerfully when needed, how one deals with crisis situations, and the leader's record of previous accomplishments. Possession of such basic characteristics is what allows an individual to have a strong transformational influence on potential followers.

An identification of weaknesses is perhaps even more important than realizing one's strengths. An individual has at least two choices concerning his/her weaknesses--either do nothing and learn how to live with one's weaknesses, or do something and attempt to correct them. If the weakness is correctable and could adversely affect the leadership role, a would-be transformational leader should actively seek improvements. For example, a tendency toward self-indulgence or being less concerned with other people's opinions is correctable over time and could adversely affect an attempt toward being a transformational leader. Fundamental to transforming others is the willingness on the leaders' part to transform himself/herself.

Organizational. In addition to the experiences and qualities comprising an individual's background, it is important to consider what goes on in the organization day to day that may enhance or constrict transformational leadership. These include: (1) the form of role modeling available from current leaders in the system, and (2) the structure and culture of the organization. Concerning role modeling, recent research has demonstrated that

transformational leadership can evolve through a cascading process in organizations. Employees at lower levels of the organization learn effective leadership behavior by observing the behavior of successful, appealing, higher-level managers, supervisors or project leaders. Over time, the behaviors of the leader which are most readily blended into an individual's personal style will be adopted. Consider the budding transformational leader whose boss shows concern for individuals and their unique problems and opportunities. After observing and consistently being surrounded by such behavior, the budding transformational leader begins to show it toward his or her own people. This is especially true if the boss seems to be successful using individualized consideration, and rewards such consideration on the part of his/her employees--the cascading process thus begins.

The structure and culture of the organization are also factors which help mold transformational leadership. Highly structured, rule-bound organizations make it more difficult for innovative, transformational leaders to emerge. Instead, we would more likely expect a transactional style of leadership when dealing with employees to achieve what is expected of them. Transformational leadership will not grow as quickly in organizational settings where there is a lack of tangible or intangible rewards for developing employees or in which managers fear that proficient employees may replace them. In contrast, organizations with cultures that value and reward innovation, change, development, and respect for the individual will have a more facilitative impact on the developing transformational leaders.

Characteristics of Transformational Leadership: The Three I's

Rather than merely focusing on ways to manage the status quo and day-to-day operations, transformational leaders try to maintain and communicate a vision of where their groups/units or organizations are heading. They focus on turning problems into opportunities, and take an active interest in the

development of individual employees. They are keenly interested in broadening their employees' ideas, as well as their own, to help move them from concerns for existence and security toward concerns for achievement and growth. They also put effort into arousing their employees' awareness, the needs of the organization, and the employees' own needs. The awareness of needs forms the basis or foundation for eventually elevating those needs. Transformational leaders display three distinct characteristics: (1) individualized consideration, (2) intellectual stimulation, and (3) inspirational motivation.

Individualized Consideration. Transformational leaders pay attention to the individual employee and his/her needs, rather than treating them all alike and as having the same needs. Such leaders listen to and share an individual's concerns while simultaneously helping to build their confidence. Perhaps individualized consideration is best represented in the mentoring role. A mentor takes the time to learn the strengths and weaknesses of a "student" while helping to nourish abilities and confidence--making the individual treatment of the mentoree a necessity.

Individualized consideration can also be shown by a leader who serves as a personal advocate for an employee--"going to bat." A leader who goes to bat makes sure that the employee has the help and resources necessary to achieve current goals. This may involve active negotiating or maneuvering with people in other departments or units who pose problems. For example, other managers may desire to redirect or add to the job activities of an employee to meet certain pressing demands that they may have. However, the employee's leader would attempt to resist such pressures if the new activities could result in an unreasonable workload and not further the employee's development. Transformational leaders attempt to remove unnecessary "roadblocks" in the system.

Behaviors relating to the practice of individualized consideration can be

more symbolic in nature, especially at higher levels of management. Consider the General Manager or CEO who takes the time to learn as many employee names as possible so that conversations, as infrequent as they may be, can be more personal and informative. Also, consider the upper-level manager who practices management by walking about⁸. Managers who successfully show such leadership do not primarily look for trouble or exceptions, but rather attempt to find activities that are worthy of praise and recognition. Similarly, GM's and CEO's can answer questions for shop-level employees. In sum, these behaviors demonstrate important symbolic concern for individual employees by leaders who are at a much higher level of the organizational hierarchy. The same kind of symbolic concern can also be shown by a co-worker to another co-worker who merely takes the time out of a busy day to listen or says a few words of encouragement to help their co-worker over a difficult hurdle.

Intellectual Stimulation. To serve in a transformational role, a leader should be concerned with providing ways and reasons for people to change the way they think about technical problems, human relation problems, and even their own personal attitudes and values. An intellectually stimulating leader helps people to think about old problems in new ways and to use reasoning and evidence rather than unsupported opinion. Such a leader may also, over time, attempt to sway an individual employee's own personal values which may be at odds with those of the leader or the organizational culture. Consider the "lone wolf" who does not share important information with co-workers. Transformational leaders dissuade such behaviors by attempting to provide reasons why and how it is in everyone's best interest to work as a team to achieve a group objective.

A two-way intellectual stimulation may be necessary when work problems and decision making are complex or difficult. In some situations a good leader not only stimulates the thinking of followers, but also is open to and

stimulated by their reasoning and ideas. Such intellectual interactions are especially helpful when the leader has limited expertise or information concerning a problem. This activity is analogous to the CEO using stimulation when dealing with the outside environment of their organizations. Government agencies, consumer groups, suppliers, and so forth, require reasoning and evidence to support the company goals which a CEO represents.

Inspirational Motivation. Until recently, management writers treated inspirational leadership as something that should be placed high on a shelf, never touched nor tarnished. The feeling was that inspirational motivation was rooted in the leader's personal charisma. Unfortunately, the dictionary definition of charisma/inspiration is that it is a "gift" and, thus, something that one either has or does not have. In either case, an individual's personal charisma could not be changed or developed so the tendency was to deal with more tangible characteristics of leadership, such as participative leadership, while ignoring how leaders inspire others.

The current attention being paid to transformational leadership continues to suffer in that charismatic/inspirational motivation is considered the sole province of CEO's rather than a quality shared to some degree by people at all levels. While personal charisma and inspirational motivation may be most noticed at the top of an organization, people at lower levels may also show a high degree of inspirational motivation in the eyes of their followers and co-workers. Antecedents, such as past personal accomplishments, the development of communication skills and role modeling of other charismatic/inspirational leaders, creates the potential of one's own ability to inspire others. This potential is realized in part by the interplay with individualized consideration and intellectual stimulation when the person is in a leadership role. Such behavior strengthens the leader's inspirational appeal because it makes followers feel valued, self-confident, and assured that their leader can

overcome obstacles and help the group to meet new challenges, opportunities, and change.

A leader's inspirational motivation is further strengthened if a vision or simply specified mission of where the work group is heading is shared by co-workers/followers. As other means of generating excitement and confidence, inspirational motivational leaders often set an example of hard work, give "pep" talks, remain optimistic in times of crisis, and may, when appropriate, share employees' duties when workloads get heavy.

Connection Between Leader and Follower

The payoff of transformational leadership must be tempered by an important caveat: Some employees may not react well to a leader even though most view the leader in a positive way as transformational. There are at least two possibilities why this happens. First, there may be some style or personality conflict between leader and follower. For example, a leader may have a direct, albeit loud and boisterous manner of communicating. Although most followers understand and do not mind this leader's communication style, a particular follower could find it to be offensive. It follows that the leader's attempts at individualized consideration and intellectual stimulation could be misinterpreted or ignored by that follower, even when the leader has the best intentions.

A second and perhaps more basic reason for lack of connection between leader and follower is that the two individuals may differ in terms of important biographical variables. These include age, gender, where one grew up, as well as many other life/developmental experiences. Differences between leader and follower on such variables may impede the building of mutual trust and empathy initially, which is critical if a leader is to make a transformational impact. This is not to say that, for example, a younger employee cannot serve as a transformational leader for an older employee, or

vice versa. However, one or both of the parties may have certain attitudes stemming from different life experiences which may preclude the establishment of a successful transformational leader/follower relationship from the outset. What's important is that part of the transformational process is getting beyond these initial differences and learning how they impact the leader/follower relationship.

Payoffs from Transformational Leadership

Time is one of the most valuable resources of a leader. As such, leaders need to be very aware of how they spend their time. Transformational leadership is an active, time-consuming process in that much time is initially devoted to followers, however, the payoffs can be significant and substantial. The inspirational motivation of a transformational leader can often produce individual effort and performance beyond normal expectations.

This means going beyond the expected performance described in one's job description when necessary. Instead, an individual can "willingly" expand their job descriptions. Innovations and creativity, sparked by intellectual stimulation and individualized consideration, become the norm rather than the exception. Followers become self-motivated rather than only relying on receiving motivation from others, namely his or her leader. Gradually, this means that less rather than more time has to be spent leading followers. The cascading process begins, and followers become more transformational themselves--leaders develop leaders.

Perhaps the key payoff of transformational leadership is that employees are not resistant to self-development and frequently demonstrate an enhanced commitment to their job, co-workers and the organization through personal sacrifice. Having only transactional leadership fosters a "what's in it for me" attitude among employees. They learn exactly what they must do at work so that their own needs can be satisfied. In general, but especially during hard

times, individuals must be willing to sacrifice some of their self-interests for the good of the group or the organization. Not enough resources or rewards may be available to satisfy everyone's needs.

Middle and lower organizational level leaders can also get employees to develop as well as to make self-sacrifices that contribute to the continued performance of their departments and, in many cases, their own performance. Over time, commitment is shifted from mere concern for one's own self-interests to concern for one's work, one's co-workers, and the organization. Transformational leadership is an integral part of ensuring a committed workforce focused on cooperation and innovation.

Conclusion

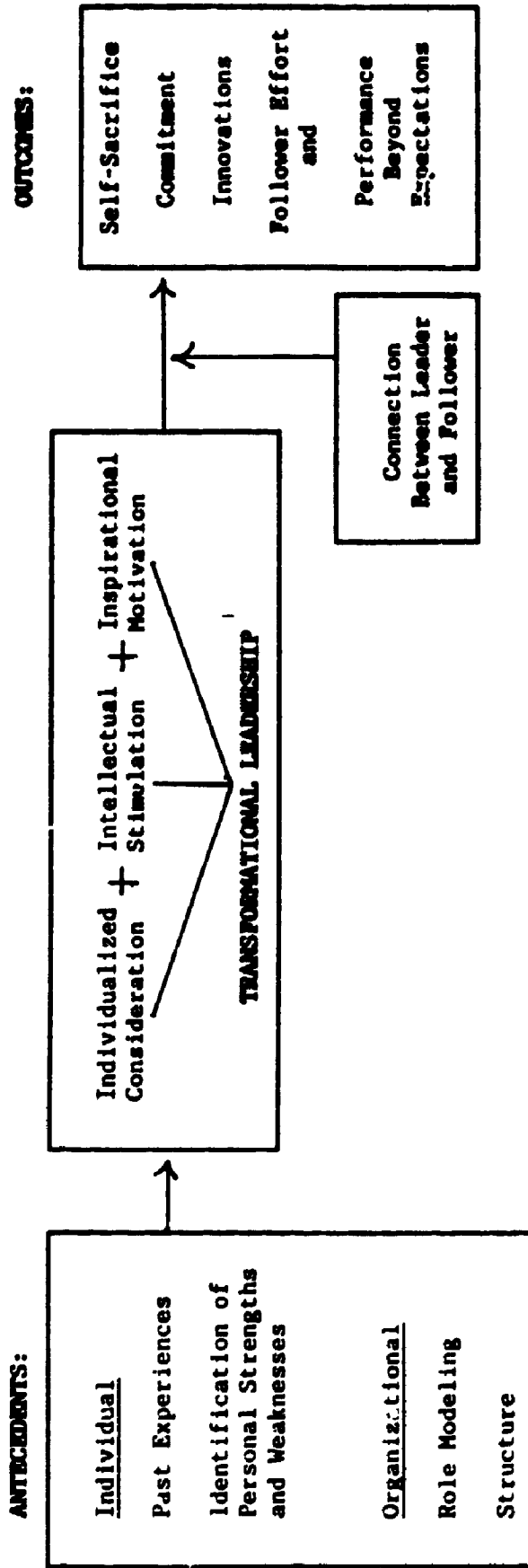
In a continually changing environment, the long range success of an organization depends on the ability of leadership at all levels to develop, stimulate, and inspire. Transformational leaders--that give individualized consideration, spark intellectual stimulation, and provide inspirational motivation--should be understood and fostered to increase the chances of such success. The three I's are the keys to that success!

References

- 1 Interesting ideas concerning the distinction between the terms "leadership" and "management" are discussed by Abraham Zalesnik, "Managers and Leaders: Are They Different?," Harvard Business Review, May-June, 1977:67-78.
- 2 See Paul Hersey and Kenneth H. Blanchard, Management of Organizational Behavior: Utilizing Human Resources, 3rd edition, (Englewood Cliffs, NJ: Prentice-Hall, 1977).
- 3 See Warren Bennis, "Leadership Transforms Vision into Action," Industry Week, May 31, 1982:54-56.
- 4 See Noel M. Tichy and David O. Ulrich, "The Leadership Challenge--A Call for the Transformational Leader," Sloan Management Review, Fall 1984:59-68.
- 5 See Bernard M. Bass, David A. Waldman, Bruce J. Avolio and Michael Bebb. The findings are to be published in a 1987 issue of Group and Organization Studies. The article will be entitled "Transformational Leadership and the Falling Dominoes Effect."
- 6 For a more detailed description of these characteristics, see Bernard M. Bass, Leadership and Performance Beyond Expectations, (New York: The Free Press, 1985).
- 7 An informative article on the development and use of power in organizations is Robert C. Benferi, Harry E. Wilkinson, and Charles D. Orth, "The Effective Uses of Power," Business Horizons, May-June, 1986:12-16.
- 8 For an interesting description of the concept of "management by walking about," see Thomas J. Peters and Robert H. Waterman, Jr., In Search of Excellence, (New York: Warner Books, 1982:121-125).

Transformational Leadership

Figure 1



University Center at Binghamton

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State University of New York / Binghamton New York 13901

School of Management
Telephone (607) 777 2182

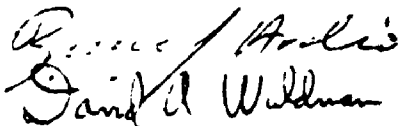
Dear Shop Instructor:

As part of the leadership development workshop you will be attending from October 22-24, you will receive feedback about certain factors that represent effective leadership. The key to making this feedback as meaningful as possible is to answer the attached questionnaire carefully. Although some of the questions may not represent things that you presently do in your job, we are sure that you at least have opinions on the items. It's those opinions that will help us to analyze your responses.

The other part of the feedback is even more important. It will tell us how the people who you are responsible for leading, the inmates, perceive your leadership behavior. The inmates to whom you choose to give the other three forms will really determine the extent to which the feedback is helpful. They should be people who are both rational enough and responsible enough to fill out the questionnaire meaningfully. They should be inmates who have been in your shop long enough to make judgements about your leadership behavior and qualities. The prison official who gave you your questionnaire will assist in the administration of questionnaires to inmates.

We assure the anonymity of all questionnaires. That is, no one associated with the Canadian prison system will have access to questionnaires filled out by either instructors or inmates. See you later this month.

Sincerely,



Bruce J. Avolio and David A. Waldman
Assistant Professors of Management
SUNY--Binghamton
Binghamton, NY 13901
(607) 777-2544
or
(607) 777-3007

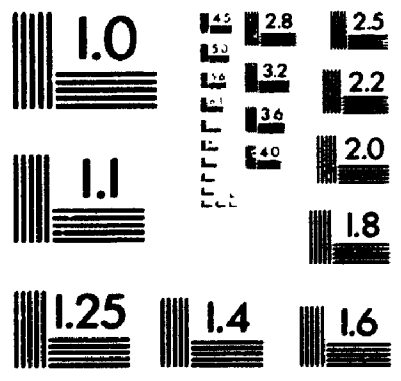
	4 	3 	2 	1 	0
	FREQUENTLY, IF NOT ALWAYS	FAIRLY OFTEN	SOMETIMES	ONCE IN AWHILE	NOT AT ALL
6. I tell inmates that what they get out of this shop depends on what they put in.	4	3	2	1	0
7. I enable inmates to think about old problems in new ways.	4	3	2	1	0
8. I treat each inmate as an individual.	4	3	2	1	0
9. I give inmates what they want in return for doing their job.	4	3	2	1	0
10. I have my inmates' respect.	4	3	2	1	0
11. I make inmates optimistic about their future.	4	3	2	1	0
12. I believe that "if it ain't broken, don't fix it".	4	3	2	1	0
13. I give inmates good reasons to question how they look at problems.	4	3	2	1	0
14. I let inmates do their work and stay out of their way.	4	3	2	1	0
15. I confront inmates when their work isn't done.	4	3	2	1	0
16. I make inmates want to work harder and better.	4	3	2	1	0
17. If the inmates don't bother me, I don't bother them.	4	3	2	1	0
18. I don't make much difference to my inmate's work.	4	3	2	1	0
19. If inmates do what I want, they can get what they need from me.	4	3	2	1	0
20. If an inmate needs individual help, I'll spend time with him.	4	3	2	1	0

	4	3	2	1	0
	FREQUENTLY, IF NOT ALWAYS	FAIRLY OFTEN	SOMETIMES	ONCE IN AWHILE	NOT AT ALL
21. If inmates have a difficult work problem, I can find a solution quickly.	4	3	2	1	0
22. Inmates have an agreement with me about what needs to be done and the reward they will get for doing it.	4	3	2	1	0
23. I take corrective action if inmates make mistakes.	4	3	2	1	0
24. I point out what inmates will get if they do their job.	4	3	2	1	0
25. I make sure inmates think through what they have to do before they start working.	4	3	2	1	0
26. I give "pep" talks to inmates.	4	3	2	1	0
27. Whatever inmates do at work is OK with me.	4	3	2	1	0
28. I give newcomers a lot of help.	4	3	2	1	0
29. I make sure to know about it when inmates do something wrong at work.	4	3	2	1	0
30. My inmates don't know where I stand on matters concerning work.	4	3	2	1	0

4

OF/DE

4



Please judge how effective you are as an instructor by using the following scale:

4	3	2	1	0
EXTREMELY EFFECTIVE	VERY EFFECTIVE	EFFECTIVE	ONLY SLIGHTLY EFFECTIVE	NOT EFFECTIVE

If the question doesn't apply, or you don't know, please leave the answer blank; otherwise, CHOOSE THE ONE NUMBER that best describes your effectiveness and circle that number.

31. The work effectiveness of your shop made up of yourself and your inmates is overall:	4	3	2	1	0
32. How effective are you in representing your shop's needs to higher authority?	4	3	2	1	0
33. How effective are you in getting what your inmates need to do their job?	4	3	2	1	0
34. How effective are you in meeting the goals set for your shop?	4	3	2	1	0

Please judge inmate satisfaction with you as their leader by using the following scale:

If the question doesn't apply, or you don't know, please leave the answer blank; otherwise, CIRCLE THE ONE NUMBER that best describes your satisfaction level.

4	3	2	1	0
EXTREMELY SATISFIED	FAIRLY SATISFIED	NEITHER SATISFIED NOR DISSATISFIED	SOMEWHAT DISSATISFIED	VERY DISSATISFIED

35. How satisfied do you think the inmates are with you as their instructor?	4	3	2	1	0
36. How satisfied are you that the leadership style you use is the right one for getting your shop's job done?	4	3	2	1	0

Thank you for taking the time to complete this survey. The results of the survey will be available to you at our October 22 meeting.

INSTRUCTOR'S NAME _____

LEADERSHIP QUESTIONNAIRE (INMATES)

DIRECTIONS

Listed below are statements about your instructor. For each statement, please judge how frequently each of the following statements is true about your current instructor. Judge how frequently your instructor fits the description, from frequently (4) to not at all (0). Select the one number for each statement that best applies or best represents your opinion by circling that number. For example:

My Instructor tells me how to do my job. 4 (3) 2 1 0

If you circled 3 as above, you would be saying that your instructor tells you how to do your job fairly often. If the question doesn't apply, or you don't know, please leave the answer blank.

	4	3	2	1	0
	FREQUENTLY, IF NOT ALWAYS	FAIRLY OFTEN	SOMETIMES	ONCE IN AWHILE	NOT AT ALL
1. My instructor gives me individual attention when I need it.	4	3	2	1	0
2. My instructor is content to let me do my job the way I always have done it.	4	3	2	1	0
3. My instructor's ideas have gotten me to think about some of my own ideas which I never questioned before.	4	3	2	1	0
4. My instructor has gotten me to do more than I thought I would do.	4	3	2	1	0
5. My instructor gives me new responsibilities which help me learn.	4	3	2	1	0
6. My instructor tells me what I can get from work based on my performance.	4	3	2	1	0

	4	3	2	1	0
	FREQUENTLY, IF NOT ALWAYS	FAIRLY OFTEN	SOMETIMES	ONCE IN AWHILE	NOT AT ALL
7. My instructor gets me to think about work problems in new ways.	4	3	2	1	0
8. My instructor treats me as an individual.	4	3	2	1	0
9. My instructor gives me what I want and in return, I do my job.	4	3	2	1	0
10. My instructor has my respect.	4	3	2	1	0
11. My instructor makes me optimistic about my future.	4	3	2	1	0
12. My instructor believes that if "it ain't broken, don't fix it".	4	3	2	1	0
13. My instructor gives me good reasons to question how I look at problems.	4	3	2	1	0
14. My instructor lets me do my work and stays out of my way.	4	3	2	1	0
15. My instructor confronts me only when my work is not completed.	4	3	2	1	0
16. My instructor makes me want to work harder and better.	4	3	2	1	0
17. If I don't bother my instructor, he doesn't bother me.	4	3	2	1	0
18. It makes no difference to my work if the instructor is around or not.	4	3	2	1	0

	4 	3 	2 	1 	0
	FREQUENTLY, IF NOT ALWAYS	FAIRLY OFTEN	SOMETIMES	ONCE IN AWHILE	NOT AT ALL
19. If I do what my instructor wants, I can get what I need.	4	3	2	1	0
20. If I need individual help, my instructor will spend time with me.	4	3	2	1	0
21. If I have a difficult work problem, my instructor can find a solution quickly.	4	3	2	1	0
22. My instructor and I agree on what I have to do at work and the reward I will get for doing it.	4	3	2	1	0
23. My instructor corrects me when I make mistakes at work.	4	3	2	1	0
24. My instructor tells me what I will get if I do my job.	4	3	2	1	0
25. My instructor gets me to think through what I have to do before I get started working.	4	3	2	1	0
26. My instructor gives me "pep" talks.	4	3	2	1	0
27. Whatever I do at work is OK with my instructor.	4	3	2	1	0
28. My instructor gave me help when I was a newcomer here.	4	3	2	1	0
29. My instructor makes sure he knows about it when I do something wrong at work.	4	3	2	1	0
30. I don't know where my instructor stands on matters concerning work.	4	3	2	1	0

4	3	2	1	0
EXTREMELY EFFECTIVE	VERY EFFECTIVE	EFFECTIVE	ONLY SLIGHTLY EFFECTIVE	NOT EFFECTIVE

Please judge how effective your instructor is by using the following scale. If the question doesn't apply, or you don't know, please leave the answer blank; otherwise, CIRCLE THE ONE NUMBER that best describes your instructor's effectiveness.

31. The work effectiveness of your shop made up of the other inmates and the shop instructor is overall:	4	3	2	1	0
32. How effective is your instructor in representing the needs of your shop with the administration?	4	3	2	1	0
33. How effective is your instructor in getting what you need to do your job?	4	3	2	1	0
34. How effective is your instructor in meeting the production goals set for your shop?	4	3	2	1	0

Please judge how satisfied you are with your instructor by using the following scale. Use the five possible answers and select the one that best describes your satisfaction level.

4	3	2	1	0
EXTREMELY SATISFIED	FAIRLY SATISFIED	NEITHER SATISFIED NOR DISSATISFIED	SOMEWHAT DISSATISFIED	VERY DISSATISFIED

If the question doesn't apply, or you don't know, please leave the answer blank; otherwise, CIRCLE THE ONE NUMBER that best describes your satisfaction with the instructor.

35. How satisfied are you with your shop instructor?	4	3	2	1	0
36. How satisfied are you that your instructor's leadership is the right style for helping you to get your job done?	4	3	2	1	0

Thank you for taking the time to complete this survey.

**SITUATIONAL LEADERSHIP QUESTIONNAIRE
FOR SHOP SUPERVISORS**

283

Leadership SituationsDirections:

Assume you are the instructor/foreman involved in each of the following twelve situations, supervising a group of inmates. Each situation is briefly described. There are four alternative actions you might take in each situation. Read all four, think about what you would do, then circle the letter of the alternative action which is closest to the way you would act in that situation.

Please circle only one choice for each situation:

RE-
COMMEN-
DED *
STYLE

SITUATION	ALTERNATIVE ACTIONS	
1. The inmates in your work group are not responding lately to your friendly conversation and obvious concern for their welfare. Their work performance is in a tailspin.	I would: A. Emphasize the use of uniform procedures and the necessity of getting the job done. B. Make myself available for discussion, but not push. C. Talk with the inmates and then set goals. D. Intentionally not intervene.	S1 A
SITUATION	ALTERNATIVE ACTIONS	
2. The observable performance of your group is increasing. You have been making sure that all members were aware of their roles and standards.	I would: A. Engage in friendly interaction, but continue to make sure that all inmates are aware of their roles and standards. B. Take no definite action. C. Do what I can to make the group feel important and involved. D. Emphasize the importance of deadlines and tasks.	S2 A
SITUATION	ALTERNATIVE ACTIONS	
3. Members of your group are unable to solve a problem themselves. You have normally left them alone to solve problems. Group performance and interpersonal relations have been good.	I would: A. Involve the group and together engage in problem-solving. B. Let the group work it out. C. Act quickly and firmly to correct and redirect. D. Encourage group to work on problem and be available for discussion.	S3 B

* This column will be deleted before distribution to foremen.

G-2

SITUATION

4. You are considering a major change. Your subordinates have a fine record of accomplishment. They respect the need for change.

ALTERNATIVE ACTIONS

I would:

- A. Allow group involvement in developing the change, but not push. S4
 B. Announce changes and then implement with close supervision. C
 C. Allow group to formulate its own direction.
 D. Incorporate group recommendations, but I would direct the change.

SITUATION

5. The performance of your group has been dropping during the last few months. Inmates have been unconcerned with meeting objectives. Redefining roles has helped in the past. They have continually needed reminding to have their tasks done on time.

ALTERNATIVE ACTIONS

I would:

- A. Allow group to formulate its own direction. S1
 B. Incorporate group recommendations, but see that objectives are met. C
 C. Redefine goals and supervise carefully.
 D. Allow group involvement in setting goals, but not push.

SITUATION

6. You have just taken over an efficiently run shop. The previous instructor ran a tight ship. You want to maintain a productive situation, but would like to begin humanizing the environment.

ALTERNATIVE ACTIONS

I would:

- A. Do what I can to make group feel important and involved.
 B. Emphasize the importance of deadlines and tasks. S2
 C. Intentionally not intervene. D
 D. Get group involved in decision-making, but see that objectives are met.

SITUATION

7. You are considering major changes in the way work is done in your shop. Members of the group have made suggestions about needed change. The group has demonstrated flexibility in its day-to-day work.

ALTERNATIVE ACTIONS

I would:

- A. Define the change and supervise carefully.
 B. Acquire group's approval on the change and allow members to organize the implementation. S3
 C. Be willing to make changes as recommended, but maintain control of implementation.
 D. Avoid confrontation; leave things alone.

SITUATION

8. Group performance and interpersonal relations are good. You feel somewhat unsure about your lack of direction of the group.

ALTERNATIVE ACTIONS

I would:

- A. Leave the group alone.
 B. Discuss the situation with group and then initiate necessary changes. S4
 C. Take steps to direct subordinates toward working in a well-defined manner. A
 D. Be careful of hurting boss-subordinate relations by being too directive.

SITUATION

9. Your work group has a project that is overdue. Goals are not clear. Attendance is poor. Workdays are social sessions. Potentially they have the talent necessary.

ALTERNATIVE ACTIONS

I would:

- A. Let the group work it out.
 B. Incorporate group ideas, but see objectives met. C
 C. Redefine goals and supervise carefully.
 D. Allow group involvement in setting goals, but don't push.

SITUATION

10. Your inmates, usually able to take responsibility, are not responding to your recent redefining of standards.

ALTERNATIVE ACTIONS

I would:

- A. Allow group involvement in redefining standards, but not push involvement.
 B. Redefine standards and supervise carefully. S2
 C. Avoid confrontation by not applying pressure.
 D. Incorporate group recommendations, but see that new standards are met.

SITUATION

11. You have been transferred to a new shop. The previous supervisor was uninvolved in the affairs of the group. The group has adequately handled its tasks and direction. Group inter-relations are good.

ALTERNATIVE ACTIONS

I would:

- A. Take steps to direct subordinates toward working in a well-defined manner.
 B. Involve subordinates in decision-making and reinforce good contributions.
 C. Discuss past performance with group and then examine the need for new practices. S3
 D. Continue to leave group alone. B

SITUATION

12. Recent information indicates some internal difficulties among subordinates. The group has a remarkable record of accomplishment. Members have effectively maintained long range goals. They have worked in harmony for the past year. All are well qualified for the task.

ALTERNATIVE ACTIONS

I would:

- A. Try out my solution with subordinates and examine the need for new practices. 50
- B. Allow group members to work it out themselves. 2
- C. Act quickly and firmly to correct and redirect.
- D. Make myself available for discussion, but be careful of hurting boss-subordinate relations.

COURSE EVALUATION

APPENDIX "H"

1. Overall how satisfied were you with this course?

	very dissatisfied			so-so			very satisfied							
	1	2	3	4	5	6	7	8	9	10	mode	mean	s.d.	level of signif.
Situational (n=20)	1	0	0	0	0	0	3	4	5	7	10	8.5	3.1	.5
Transformational (n=20)	0	0	1	0	1	1	1	3	4	9	10	8.5	2.0	

2. Did the course instructor(s) achieve the objectives he (they) set for this course?

	no, not at all					yes, totally								
	1	2	3	4	5	6	7	8	9	10	mode	mean	s.d.	level of signif.
Situational (n=20)	0	0	0	0	0	1	3	1	7	8	10	8.9	2.2	.1
Transformational (n=20)	0	1	0	0	0	1	1	6	2	9	10	8.5	3.5	

3. Do you intend to apply what you learned in this course back on the job?

	Never			Sometimes				Frequently			mode	mean	s.d.	level of signif.
	1	2	3	4	5	6	7	8	9	10				
Situational (n=20)	0	0	0	1	0	4	1	6	0	8	10	8.2	3.9	.05 *
Transformational (n=20)	1	0	0	0	1	6	1	4	1	6	6,10	7.5	4.3	

* (use of t-test)

4. Do you have any comments about the course, its strengths, weaknesses, or ways to improve it?

Situational

- . needs more time, more and longer breaks
- . needs more group participation, role playing, experiential exercises
- . needs more inmate-related examples
- . needs less videos
- . should be given to senior managers, and to shop instructors early in their career
- . should be a practical, valuable tool
- . helped clarify previously misunderstood areas, I now know the reasons for changes
- . good course, the best I've had
- . should have a one-day refresher in about six months to share our experiences.

Transformational

- . use more institutional examples
- . I've thought of lots of new things and old things in different ways
- . showed where our weaknesses are
- . should be continued with union, management, and given to line staff before they start work with inmates
- . well put together, excellent, opens one's eyes
- . well prepared and well presented
- . very relevant content, stimulating
- . very good course
- . a lot learned to be put into practice
- . down-to-earth approach

5. Do you have any comment on the trainer(s)?

- Situational
- . Maturity level 4 (several comments)
 - . did a good job, kept our interest
 - . well set out
 - . clearly understood
 - . very good
- Transformational
- . good, know their subject
 - . have patience, wouldn't give up on me
 - . excellent, very good (several comments)
 - . well prepared
 - . committed and sincere, understanding
 - . deeper understanding of CSC would make them more credible
 - . A-1, a dynamic duo.

Canada Service Correctionnel / Canada Service correctionnel

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Appendix J



**INMATE EMPLOYMENT
PERFORMANCE
EVALUATION**

**ÉVALUATION DU
RENDEMENT DU
DÉTENU**

EPS Number / Numéro SED: _____
 Family name / Nom: _____
 Given name(s) / Prénoms: _____
 Date of birth / Date de naissance: _____

RATING PERIOD / PÉRIODE VISÉE: FROM / DE _____ TO / À _____
 CURRENT LEVEL / NIVEAU ACTUEL: _____
 WORK LOCATION / LIEU DE TRAVAIL: _____

PERFORMANCE RATING — ÉVALUATION DU RENDEMENT

CHECK FIVE FACTORS OUT OF THE FOLLOWING SEVEN / COCHER CINQ FACTEURS DES SEPT

CHECK RATING FOR ALL FIVE FACTORS / COCHER LA COTE APPROPRIÉE POUR LES CINQ FACTEURS

- JOB STABILITY / STABILITÉ DU TRAVAIL
- TIMELINESS / ASSIDUÏTÉ
- MOTIVATION / MOTIVATION
- INTERPERSONAL RELATIONSHIP / RELATIONS INTERPERSONNELLES
- QUALITY OF WORK / QUALITÉ DU TRAVAIL
- QUANTITY OF WORK / QUANTITÉ DU TRAVAIL, ABILITY TO WORK WITHOUT SUPERVISION / CAPACITÉ DE TRAVAILLER SANS SURVEILLANCE

	1	2	3	4	5
Job Stability / Stabilité du travail					
Timeliness / Assiduité					
Motivation / Motivation					
Interpersonal Relationship / Relations interpersonnelles					
Quality of Work / Qualité du travail					
Quantity of Work / Quantité du travail, Ability to work without supervision / Capacité de travailler sans surveillance					
TOTAL					
X1	X2	X3	X4	X5	

JUSTIFICATION FOR LEVELS 1 OR 2 / JUSTIFICATION POUR LES NIVEAUX 1 OU 2

TOTAL MULTIPLIED BY RATING / TOTAL MULTIPLIÉ PAR LA COTE

GRAND TOTAL / TOTAL GLOBAL

COMMENTS / RECOMMENDATION — OBSERVATIONS / RECOMMANDATION

- LEVEL / NIVEAU 2 LEVEL / NIVEAU 3 LEVEL / NIVEAU 4 LEVEL / NIVEAU 5

INMATE'S — SIGNATURE — DU DÉTENU: _____ INSTRUCTOR'S — SIGNATURE — DU MONITEUR: _____ DATE: _____

WORK SUPERVISOR'S — SIGNATURE — DU SURVEILLANT AU TRAVAIL

BOARD DECISION — DÉCISION DE LA COMMISSION

- LEVEL / NIVEAU 0 LEVEL / NIVEAU 1 LEVEL / NIVEAU 2 LEVEL / NIVEAU 3 LEVEL / NIVEAU 4 LEVEL / NIVEAU 5

COMMENTS — OBSERVATIONS

CHAIRMAN OF BOARD — SIGNATURE — DU PRÉSIDENT DE LA COMMISSION: _____ DATE: _____

CSC/SCC 740 (R.06-09)
 CD DC 333
 11/01/99 3445

NOTE: COMPLETION/HANDLING AND DISTRIBUTION INSTRUCTIONS (ISSUED AT A LATER DATE)
 NOTA: INSTRUCTIONS POUR COMPLETER TRAITER ET CLASSER CETTE FORMULE
 (ÉMIS À UNE DATE ULTÉRIEURE)

CASE MANAGER REPORTS

APPENDIX "K"

Case Managers are penitentiary employees responsible for assessing inmates, gathering information from a variety of sources, liaising among various departments, and counselling. Each is assigned a caseload of about 40 inmates, spread over several shops. Each is responsible for reporting, at least quarterly, on each inmate's personal growth and work performance, among other things.

These narrative reports were coded numerically for statistical analysis.

Personal Growth and Development

This variable essentially measures the case manager's opinion of the progress made toward rehabilitation. Below are a description of the ratings, and some examples of pre and post assessments.

1 = actively antisocial and disruptive, pro-criminal

2 = non-involved

3 = involved in a limited way in rehabilitation

4 = accepts responsibility for his crime, actively involved in rehabilitation

5 = rehabilitated, ready for release

pre H remains uninvolved in any type of formal counselling.

"2"

post During the last two months a well structured support system for

"4" release purposes has been developed at the request of H. H appears to have made significant progress in recognizing his deficits and developing the motivation to address them.

pre C feels the reason he is back in prison is his common law wife

"2" spent more than he earned. He made up the difference by writing bad cheques. C states he does not have a drug or alcohol problem. Reports indicate he does. C states he plans to stay out of trouble and do his time.

post His request for transfer to reduced security was denied because

"2" of his lack of insight and self-control necessary to stay out of trouble. He has also applied for a Private Family Visit with his common-law wife, despite the fact he attributes his problems to her and claims he is considering ending their relationship unless she changes her behaviour.

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Your file Votre référence

Our file Notre référence

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FEB 27 1990
GRADUATE STUDIES

Professor Bernard Bass
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USA 13901

31.01.90

Dear Bernard:

I have, at last, completed the thesis comparing the impact of training in Transformational Leadership and Situational Leadership.

As part of the appendix, pages 222-227, I have included your article on "Leadership; Good, Better, Best" from Organizational Dynamics. Winter, 1985 pages 26-40.

Authority to reproduce the article would be very much appreciated. I know you have verbally agreed when we spoke in Montreal, however, the university's thesis officer requires it in writing. If you would be so kind as to forward authority to me, I will send it on to the University of Western Ontario.

My apologies for not doing this sooner.

Your very truly,

Paul

Paul Crookall

*Congratulations
Permission Granted
Bernard Bass
2/16/90*



Canada



Leadership
Studies

January 18, 1990

Mr. Paul Crookall
197 Lincoln Heights Rd.
Ottawa, Ontario
K2B 5L7

Dear Paul:

Please be advised that this letter provides you a release on copyright to use the *Situational Leadership Model - Style of Leader* - copyright Paul Hersey/Kenneth Blanchard, 1977, Center for Leadership Studies, as part of your research thesis. This release applies to use of the model for this document only, and no other use or reproduction for any other purpose is granted nor implied.

Sincerely,


Larry W. Armstrong
Managing Director

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