

***TRANSFORMATIONAL LEADERSHIP: A HOLISTIC VIEW  
OF ORGANIZATIONAL CHANGE***

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OF ORGANIZATIONAL CHANGE***  
FIRST EDITION

**PAUL B. SCHLOSBERG**

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Part One: **Introduction**

“A leader is best when people barely know he exists

Not so good when people obey and acclaim him

Worse if they despise him

But of a good leader who talks little, when his work is done

His aim is fulfilled, they will say

‘We did it ourselves.’”

**~Lao-Tzu~**

Institutional leaders are faced today with ever-increasing dilemmas: the inundation of information and technology, progressive changes in cultural roles, increasing diversification of trade and partnerships – dramatic occurrences that are affecting every aspect of modern organizational life.

Therefore, when we study leadership, vital questions for consideration are: Are current leaders truly knowledgeable in facilitating effective, collaborative problem solving among diverse groups? Are workers encouraged to

use their individual skills in the best, most efficient ways possible for *both* workers and organizations? In our fast-paced culture, are workers happy or merely overstressed cogs in bureaucratic managerial hierarchies? And, finally, will the answers to these questions make differences in terms of worker satisfaction, team and individual performance, and the ultimate successes of organizations?

The central purpose of this writing is to present and reinforce methods and theories of management that are the most successful in getting people to work effectively together, and in building worker satisfaction. And transformational leadership, I believe, is the leadership theory and practice that sets excellent teams and organizations apart from average ones. James Macgregor Burns in the Nineteen Seventies popularized the term transformational leadership. Burns characterized it as, “leadership that goes beyond traditional leadership’s focus on traditional needs to fulfill higher levels of human needs such as actualization; it delivers true value, integrity, and

trust,” rather than merely an “eye for exchanging one thing for another.”<sup>1</sup>

In transformational leadership, not only is team achievement important, but also collective vision and shared meaning; because along with individual motivation, they are what drive achievement, build resonance, and increase work satisfaction. Former United States Presidential cabinet member Elliot Richardson, once when asked what causes effectiveness on teams, described the craft and strategy as, "...a function, however communicated, of the clarity of its purpose...the organization should in one way or another convey an appreciation of the people who comprise it. That means not only recognition of their roles, but appreciation of their service...it is important to convey a sense of significance or value of what you are doing and the integrity of your operation.."<sup>2</sup>

Organizational transformation, ideally, is about changing an organization from one without a clear purpose to one that is empowered, unified, and with an organized, compelling mission. Therefore perhaps we should begin by



asking: What are organizations and teams, and what they composed of? What are their purposes? They are simply collections of individuals brought together to reach a desired goal. They are composed of human beings - individuals each with specific issues, challenges, problems, as well as talents, creativities, hopes, and visions; and, leaders in organizations must deal with their human condition. Thus, for the possibility of moving toward organizational transformation, people must clearly change. They must change their views and their behaviors, along with of course additional necessary changes in organizational systems, structures, and processes.

It is true that leadership and teamwork can be viewed from an almost unlimited number of perspectives, and the massive amount of both supporting and conflicting literature available is proof. Nevertheless, as mentioned, it is known by theorists and by those who have studied and applied the theory, e.g., leaders and managers in organizational settings that two distinctly oppositional but also complimentary dynamics of management exist:

humanistic and scientific management. Together, in the proper balance, they can coalesce to become transformational leadership.

Since the beginning of history, leaders have attempted to motivate workers to work harder, longer, and more efficiently. And from the beginning, leaders and workers have negotiated and struggled against one another regarding issues of worker autonomy, cooperation, work climate, organizational health, humaneness, and so forth. However, it was not truly until the dawn of the industrial revolution that a modern, systematic study of the relationships between management and workers was engaged. It is widely accepted today that Frederick Taylor's scientific management is the genesis of the merging of leadership, worker efficiency, and industrial technology around the start of the industrial revolution (more later on this).

Because of the innovations in modern industry, mechanization, and more recently the advents of micro-technology, organizational leaders now have the ability to

influence work performance and perhaps worker's lives in both good and bad ways more dramatically than ever.

Therefore, I believe it is time that a serious discussion be broached about a balance between humanistic and scientific management, or what perhaps can also be described as a more holistic organizational theory and practice. Currently different views exist about the evolution of this development. Some believe we are already well on our way toward integration. For example, in a recent *Harvard Management Update* article David Stauffer wrote, "The history of modern management has been characterized by the swing of a pendulum, propelled to one end of its arc by the work of Frederick Taylor, the father of scientific management, and then pulled to the other by the tenets of humanistic management. But today's organizations to watch are taking the best of these two schools and from them synthesizing new ways to manage."<sup>3</sup> I agree with Stauffer that some organizations are successfully merging the two ideas, but believe we are nevertheless overall short of an ideal – scientific management is still generally

instituted at the top levels of organizational decision-making (though perhaps not necessarily in middle management and direct contact of leaders and workers). Therefore, this text focuses mainly on the humanistic side of leadership, and will focus on recently heavily researched aspects of humanistic leadership: transformational leadership, emotional intelligence, and interpersonal communications.

In the past twenty years or so, writer Daniel Goleman pioneered exciting research in the field of emotional intelligence (EI) and ways leaders in organizations use it<sup>4</sup>. The competencies Goleman describes that comprise emotional intelligence – mainly, the ability of a leader (or worker) to effectively handle oneself (one’s emotions which are the catalysts for action), and handle one’s relationships with others – in my view are also fundamentals of holistic, transformative leadership.

Emotional intelligence is what intelligence theorists have called a “new yardstick” for leadership success and ultimately life-success: it is a metric that assesses the

whole person, and not merely the one-dimensional assessment based solely upon cognitive intelligence.<sup>5</sup> The foremost competencies that Goleman and other EI researchers like Peter Salovey, John Mayer, and Reuven Bar-On outline that compose emotional intelligence are self-awareness, self-regulation, motivation, empathy, and social skills, with a number of detailed sub-competences.

In this paper, I attempt to show how research supports the views that a collaborative, balanced, and non-“command and enforcement” style of leadership and team development – or, transformational leadership – works best to create enhanced interpersonal synergy, enlightened interpersonal communications, and thus facilitate efficient, high-powered teams in organizations<sup>6</sup>. My focus is to explore the research, the analysis, and the practice behind the topic in depth.

The ideas for this paper are derived from qualitative, exploratory research: my review of the literature; personal interviews; personal leadership and participatory experiences with two environmental organizations –

Sustainable South Shore (<http://www.sustainabless.org>) and Hull Wind (<http://www.hullwind.org>). I also draw from experiences of lesser involvement with additional community and non-profit organizations, and experiences in the corporate, retail, and high-tech arenas.

In writing this paper, I faced another challenge relating the two different styles of leadership, those in non-profit and for-profit organizations. Community organizations, often because of their loose structure, high volunteer involvement, and the benevolent spirit of workers directed toward a charitable or humane cause, tend to be by default less command and controlled and more people-centered; though that is certainly not true as a hard and fast rule. In the text, I explore primarily the similarities between the two, of both non-profit and for-profit organizations

The text is organized as follows: Part One is the Introduction, and following it in Part Two is the Literature Review where key concepts for a foundation study on leadership are discussed. Research shows that successful teams and successful leaders display certain defining

characteristics, which help frame a core discussion, and I explain how emotional intelligence and balance are critical to an effective leadership style.

Part Two is segmented into four sections for clarity and ease of reference. In subsection one I explore the ways in which EI is part of the delicate leadership balance, a main component is the balance between humanism and scientific management.\*

Subsection two is an exploration of the theoretical roots of leadership. I discuss the influences that Newtonian thought has on management, as well as influences of people such as Frederick Taylor, Douglas McGregor, Abraham Maslow, and Fred Herzberg.

Subsection three is a review of the communications and knowledge management side of leadership study. In communications, I focus on areas of interpersonal communications and leadership such as group dynamics,

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\* Scientific management has also been described as “efficiency” or performance management.

entrenched teams, supportiveness, trust, and norms. In the area of knowledge management, learning organizations and skills development are reviewed.

Subsection four looks at organizational health and stress management, and how leadership plays an integral part in helping workers to manage stress through effective interpersonal communication and synergistic team building.

Part Three, the final section, is reserved for concluding thoughts and future considerations.



**Part Two:** Literature Review

Upon review of the literature, I have developed a framework of two supporting ideas for a discussion on transformational Leadership. The first is that successful teams and successful leaders have a number of observable generally agreed upon traits. The traits of a successful team are clear direction, goals, and an overall uniform purpose; diverse talents and competencies; a unified commitment; strong relationships; effective interpersonal communications; elevated trust; mutual accountability; positive leadership; well-defined roles; and, adequate resources <sup>7 8 9 10</sup>. Research shows that although a positive response to leadership from team members is certainly not guaranteed, nevertheless, typically it is a positive, collaborative style of leadership that helps build success traits on teams <sup>11</sup>. Perhaps through gaining an understanding of these traits we can better understand why leadership works – because undoubtedly there are specific styles of leaders who are able to facilitate positive teams. This concept or idea of the generally agreed upon success

traits of teams and leadership is a central to this thesis and used here as a guideline with which to relate leadership effectiveness, though I focus primarily on a few of the core traits.

The second concept is that the positive style of leadership that builds successful teams is one that is balanced, integrated, and emotionally intelligent. Theorists describe the balance I mention as the balance between humanistic and scientific management styles.<sup>12</sup> What I have found is that a balanced leader (e.g., a balanced individual therefore potentially able to provide balanced leadership) is one who possesses and uses emotional intelligence, as well as functional (cognitive) and other (multiple) intelligences. In my view, the work of Goleman, Boyatzis, McKee, Mayer, Salovey, and others on emotional intelligence and leadership are extensions of transformational theory. In other words, transforming leaders display the characteristics and skills of emotional intelligence: these leaders are values oriented, self-aware,

flexible, competent, and sensitive to the individual needs of a team.

In an increasingly technological and culturally diverse environment, a leader's ability to be responsive to human needs, use empathy, be aware, remain flexible, and use multiple intelligences is essential. The ability for a team leader to define her or his leadership style is critical, as well as to have the ability to shift gears and "switch" styles when appropriate for the situation and find the appropriate balance between action and non-action. For example, at times a leader must be able to implement structure and direction without being overbearing. Alternatively, at other times he or she must be able to step back and allow team members to collaborate, learn, and create their own solutions independent of management, sans rigid control. My guess is it has always been that way; however, never has it been more imperative than today with increasing technology, increasing cultural diversity, and the human and performance needs in organizations.

Certainly, through history, we have witnessed transformational, emotionally intelligent leaders - people like Gandhi, Martin Luther King, Nelson Mandela, and modern business leaders like Steve Jobs, among others. However, I wonder if because of increasing pressures and complexities, as we look toward the future there is a greater need for everyday leaders who will possess elevated transformational characteristics and EI skills. Going forward in this text, we will explore these possibilities.

**One: The Humanistic Scientific Balance**

Although it is perhaps difficult to determine whether functional skills or inter or intra-personal ones are more important for a team's success, an important point of this writing, is to increase the awareness that the transformational team approach, balanced emotional intelligence skills, and skills of self-awareness are still somewhat lacking in organizations and in leadership today. In other words, my experiences in organizations has led me to believe that an imbalance exists – much attention is paid to performance, function, and task, but less to process, collaboration, and people. The literature supports these experiences: our leaders, and future leaders, are still not trained satisfactorily in the areas of inter or intra personal, or EI competencies, particularly ones such as empathy and team leadership. In a study performed at the top business schools, results show that management students generally only gain a two percent increase in EI competencies during their typical four years of undergraduate study. We can

compare this with the students' obvious substantial increases in functional or cognitive competencies.<sup>13</sup>

Perhaps surprisingly, these values imbalances in future leaders will not only cause their organizational climate to suffer, but also organizational performance to suffer as well. Research shows that *positive work climate* (or, the social, or interpersonal atmosphere of an organization) comprises up to twenty to thirty percent of a team's performance. Therefore, the leaders' training and eventual developed leadership style is critical, because leaders unquestionably have a dramatic impact upon team climate and performance<sup>14</sup>. The amount of literature and knowledge found in research, academia, and organizations regarding transformational leadership is increasing; unfortunately, however, the use of transforming leadership still seems to be lacking in practical application.

### **1. EI in Collaborative Processes**

A reason that, in the past, the emotionally intelligent communication between management and workers was not as necessary, perhaps, was that collaborative decision-

making between leaders and workers was less common. The traditional model influenced what is called dissonant, or toxic leadership. Also referred to as transactional leadership – the top-down, task-focused style in which, Burns says, “leaders approach followers with an eye to exchanging one thing for another.” It manifests as “*I’m the boss – I give the orders*” and invariably leads to impersonal leader-worker transactions and alienation. Transactional leadership is prevalent in many organizations.

An important issue may be raised: the dilemma of enlightened leadership is rooted in an age-old conundrum concerning worker initiative. It can be argued the reason that stringent, even coercive leadership is sometimes necessary is that individuals – often skilled, experienced professionals – are perhaps, at times, incapable of taking initiative or assuming responsibility. Organizational theorist Robert P. Vecchio states, “[that] coercive power underlies much of the routine compliance that occurs in organizations. Decisions to arrive at work on time, meet deadlines, and so forth are often largely due to fear of being

fired, ridiculed, or reprimanded. Rightly or wrongly, coercive power is frequently used in most organizations.”<sup>15</sup> It is unfortunate that professionals must be coerced to follow basic protocol. However, the idea behind transformational and enlightened leadership – as we will see when we review McGregor’s Y Theory – is that individuals will often elevate themselves to relatively high levels of initiative and production when provided with the tools, freedom, and encouragement necessary to be successful.

## **2. Sustaining Team Leadership**

A positive trend I have noticed, however, still lacking, is to the increased use of a less hierarchical style of leadership, and the top-down, directive transactional model of management is increasingly less accepted<sup>16</sup>.

Organizational consultant and author Fran Rees explains specific reasons: First, because of increasing complexity and specialization, a team leader cannot specialize in enough areas to make all the decisions her or his team faces; help must be provided by members on the team.



Second, the increased diversity found in organizations today forces a manager to consider various perspectives of team members. Third, because of changing structures of organizations, workers are often called upon to work independently more often. Finally, workers more clearly understand there are alternative ways of managing, and sense that command and control direction does not perhaps provide optimal performance.<sup>17</sup>

It means that the need for a collaborative leadership and work-style is critical. Former U.S. Secretary of Labor Robert Reich has stated that organizations of all types are moving toward the order of greater complexity and greater technology; henceforth, teams and leadership must adapt to this growth<sup>18</sup>. Powerful collaboration is more important than ever as technology dramatically affects all areas of business and organizations, and Reich states (in regards to collaborative processes in organizations) that, “Modern science and technology is too complicated for one brain. It requires groups of astronomers, physicists, and computer programmers to discover new dimensions of the universe;

teams of microbiologists; oncologists, and chemists to unravel mysteries of cancer..."<sup>19</sup> Leading business strategist Kenichi Ohmae concurs, "What all this means for leaders is that we have to build networks rather than pyramids. We have to learn to share, sort, and synthesize information, rather than simply direct the work of others"<sup>20</sup>

The main point of effective leadership, therefore, is to facilitate and orchestrate team members with diverse skills and abilities, technical or non-technical, to achieve a worthy, common goal. Yet, it is often pointed out on a larger "macro" scale leadership is sometimes ineffective at facilitating efficient team collaboration. Larson and Lefasto put forth that even as a society we have the collective wealth – e.g., the natural resources, strategic capabilities, and industrial competency – to provide the basic sustenance for humankind<sup>21</sup>. But we lack the 3 C's – the ability to communicate, collaborate, and coordinate them sufficiently.

Perhaps we can relate these problems to the more far reaching social issues of environmental leadership.

Environmental sustainability is a clear example of the need for effective leadership and collaborative synergy, and an example of the way collaboration is lacking. Larson and Lefasto point to the greenhouse effect, or, global warming, which has been described as one of the top ten issues facing society today <sup>22</sup>. Our global political, educational, and business leaders clearly understand this problem, understand the solution, and have the technology and resources to solve it: simply by reducing our CO<sub>2</sub> use, and by replacing carbon based fuels with superior technology that is available and already in use. Seemingly simple. But we have not been able to coordinate our efforts sufficiently to overcome the problem. The inability of our society and its leadership to work together and solve environmental problems may directly parallel that which occurs on teams when efficient, synergistic communication is lacking.

## Two: **Leadership Theory**

Certainly, through history we have examples of transformative and emotionally intelligent leaders with characteristics equal to, or perhaps even greater than exceptional modern leaders. Pulitzer Prize winner and leadership expert James MacGregor Burns contends that in-depth study of leadership is quite old in both Eastern and Western civilization. Burns cites examples of people like Plato, Confucius, Plutarch, and great Christian thinkers, that a “rich literature on rulership flourished in the Classical and Middle Ages.”<sup>23</sup> However, Burns also points out that for various reasons the collected knowledge of leadership eventually became fragmented, creating disconnected pockets of information. In fact, in his research he found that today the massive New York Public Library (as of his writing) held only one item for the search term “Political Leadership,” among its many thousands of volumes.<sup>24</sup>

Only recently, Burns says, in the last half-century or so, have we begun to develop a compendium of

contemporary leadership study.<sup>25</sup> Behavioral theorists generally group leadership theory into four categories, though with overlaps, and theories that don't necessarily fit into neat categories. The four generally recognized categories are trait, behavioral, situational (or, contingency), and, transformational.<sup>26 27</sup> The categories have gone by other names too, for example, transformational leadership is sometimes also called charismatic; and prior to these four was the "great man theory."<sup>28</sup>

### **3. Newton And Taylor**

A discussion on the history of Western leadership theory and practice is not complete without some context of the larger philosophical and cultural forces that have shaped it. Physicist and new age philosopher Fritjof Capra explains the evolution of scientific thought and the mentality that unquestionably influenced the practice of leadership. Capra illustrates how great Enlightenment thinkers such as Isaac Newton, Rene Descartes, and Francis Bacon dramatically impacted the world as we know

it today, including our modern business world. Philosopher Descartes' statement "*Cogito ergo sum*" – or, "*I Think, therefore I exist*" – had become the model of Western logical thinking. And Newton's intricate mathematical views of the Universe laid out in his groundbreaking treatise, *Principia*, became the accepted scientific "description of nature for more than two-hundred years."<sup>29</sup> Capra states that the "Newtonian Universe was, indeed one huge mechanical system, operating according to exact mathematical laws." And Descartes' philosophy, based one-dimensionally upon logical explanation without intuitive feel, along with Newton's mechanistic system, left little if any room in Western thought for the usefulness of balanced thinking, feelings, creativity, and subjectivity. In many respects the soul of Western culture has been disconnected by the influence of these two men's brilliant yet imbalanced, overly rationalized models.

The clear manifestation of the evolution of Newtonian and Cartesian thought in organizations is Frederick Taylor's "scientific theory of management." Taylor's work was

pivotal in the industrial revolution, in the massive explosion of manufacturing and industrial production that even today drives Western economic dominance. Taylor's management ideal, similar to the ideas in Newton's *Principia*, regarded "the factory as machine," and the worker as merely another piece of the mechanistic paradigm.<sup>30</sup> As science developed new machines and new technologies to drastically increase efficiency and production, it was necessary for the worker to become mechanistically efficient to keep pace. In many ways, material and financial capital were valued more than human capital.

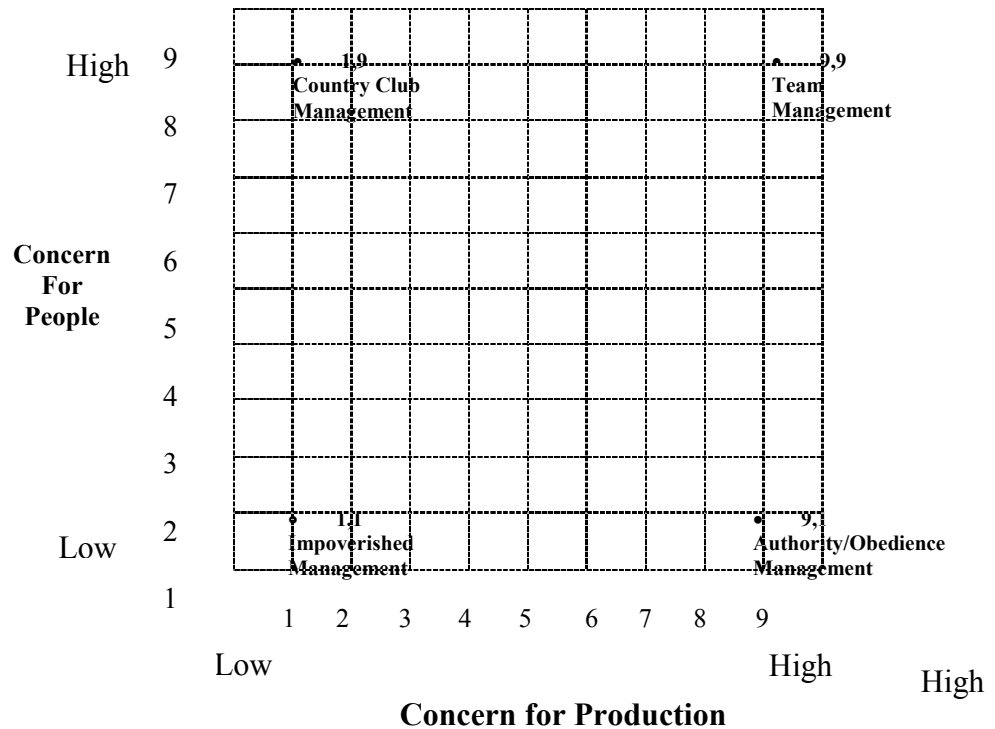
Hand in hand with efficiency was the development of bureaucratic hierarchies in organizations. According to Griffith, bureaucracies were "hierarchical organizations with layers of managers in a clearly established system of 'super- and sub-ordination'...the focus of bureaucracy is the rationality of rules, and lead to decisions that are made according to the rules without regard of the people involved."<sup>31</sup> This bureaucracy contributed to the alienation of the worker.

#### **4. McGregor's Theory Y, No "One Size Fits All"**

Though no complete agreement exists on what comprises leadership, ideas have certainly been discussed and argued. The truth is no "one size fits all." No one technique or approach exists since organizations are comprised of individuals; and simple wisdom shows us individuals are like snowflakes, no two are alike. It is perhaps a simple but profound idea underlying humanism and the mindset of emotional intelligence.

One way of understanding management, upon reviewing Blake and Mouton's research (see fig.1), is that ideally, the greatest example of a manager is found in the uppermost upper right quadrant (9,9) with high concern and skills with people, together with high concern and capability for production.<sup>32</sup> We can assume this ideal leader is extremely difficult if not impossible to find, and thus recognize upon assessment, that most good managers will typically fall somewhere either below or to the left of that ideal (on the grid).



Figure 1 *The Management Grid*

Source: Adapted from R. Blake and J. Mouton, "A Comparative Analysis of Situationalism and 9,9 Management," *Organizational Dynamics* 21 (1982) cited in Vecchio, R.P. *Organizational Behavior: Core Concepts*. (4th Edition) Dryden Press, 2000, p.158

different organizations will require different types of managers to suit particular needs for their industry. Most, if not all organizations appreciate and require managers to drive high performance and production levels. Therefore, a manager who rates high on the Blake and Mouton grid's

horizontal production axis would be typically rated highly in most industries.

What isn't as obvious yet increasingly recognized is there are situations where organizations may trade some measure of leadership performance for a leader with high concern for people. They will choose EI or transformational qualities in order to build a healthy perspective and balance in the organization, at the expense of pure productivity, e.g., a humanistic scientific balance. It is particularly true in service and hospitality industries such as hotels, fitness centers, restaurants – places where concern for people, and quality of service are recognized as necessary.

Building healthy successful organizations is, in my view, the heart of transformational leadership, and Douglas McGregor's Theories X & Y developed in 1957, perhaps the theoretical foundations. The central ideas of this paper are heavily influenced by McGregor's work. Although McGregor may not have been the first to identify dual concepts of leadership and motivation (explained below), he may have been the first to clearly define them.

McGregor fundamentally established two clear and conflicting ideologies of leadership and motivation.<sup>33 34</sup> The first, called Theory X, is command and control, or coercive leadership. In Theory X, according to McGregor, individuals will work best when they are pushed by leaders through external motivating factors to perform – rewards of materialism, power, and self-centered achievement – rather than through enlightened inner guiding principals. Theory X asserts that the lower aspects of Maslow’s Hierarchy of Needs – e.g., physiological needs, belonging, and safety<sup>35</sup> – are used by leaders to coax individuals, and form the core of an individual’s motivation to succeed.

Theory Y is far more positive, however. Theory Y says people are motivated internally by higher needs: that work is positive, and at best enjoyable, natural and satisfying. In fact, an individual truly performs exceptional work when he or she is satisfied by doing it. McGregor also believed that not only designated leaders should accept leadership responsibility – average workers have the ability to do so, as well. From McGregor’s work, exciting and

growing ideas have spawned today such as “participative management” and "self-directed work teams." A theorist named Fred Herzberg took McGregor's and Maslow's work one more step, he defined motivation in Theory Y and the Hierarchy of Needs succinctly in relation to the factors of the work environment.

Achievement, profit, and status in my view *are important* in McGregor’s model. However, I believe that McGregor – like Maslow and Herzberg, but unlike X Theorists – attempted to display that a healthy, integrated, and balanced perspective are what leads to motivation and success. In other words, leadership and individual goals should not be built solely upon one-dimensional personal gain factors. Rather, they should be built upon balanced team and human values similar to the ones that Goleman describes. The positive values, mirroring the characteristics of successful teams, are needs for enjoyable, satisfying work, satisfaction of group achievement, and needs for work that's congruent with one's inner values. The end result is greater productivity and greater work quality. Ergo,

this means to say that individual harmony, team harmony, and success are not mutually independent.

There are leaders and managers today, inline with Taylor's ideas, who still believe the best leadership methodology is one-dimensionally based upon scientific or performance management. However, perhaps clues of the opposite is that most large corporations are instituting the concepts and practices discussed here – emotional intelligence, learning organization models, transformative visionary leadership styles, collaborative processes, and quality circles. However, in my opinion, they are still not used enough, and when used are often merely token gestures.

It seems to raise the question: If the tools we have discussed are so powerful, why aren't companies implementing them across the board? It would seem academic, because research and common sense support their validity. The answer may be that change for most people and for leaders is difficult because it engenders time, energy and resources – and, requires leaders to perhaps

move out of their comfort zone. Budgets are typically tight and shortsightedness common in many organizations, in order to save money, companies are often unwilling to invest in long-term solutions; they would rather implement quick fixes and stagnant though familiar methodologies rather than risk changing company culture. Companies typically would rather not disturb the status quo, even with current systems that are not necessarily optimal.<sup>36</sup>

### **5. Trait, Behavioral, And Contingency**

The study of transformational leadership theory and organizational behavior today is mainly a merging of the study of the trait, behavioral, and situational theories. There is only a small degree of emphasis placed on traits, but more on values, on specific situations, and on interpersonal EI styled skills. From the study of team traits, we are able to learn clues about how characteristics, patterns, and behaviors in leaders develop. However, the concern perhaps should not be with surface and observable characteristics, yet rather with the underlying foundations that shape team and individual behavior. An enhanced

understanding of leadership behavior can positively impact team process and performance.

To clarify, traditionally, it was recognized that five traits consistently demarcated a leader: dominance, self-confidence, intelligence, high-energy level, and task-relevant knowledge.<sup>37</sup> But because the understanding of effective leadership has grown, theorists now recognize that traits are somewhat superficial, they do not display a complete picture of well-rounded leadership. People like Goleman, Boyatzis and McKee, in their analysis of effective teams have moved beyond surface characteristics toward a profound understanding of values and competencies at the core of effective leadership.

### Three: **Communications and Knowledge Management**

In the workplace, an individual worker's duties may or may not involve a large amount of interpersonal communication; however, it is estimated that a manager's responsibilities typically rely as much as eighty percent on communication. And as the workplace becomes increasingly collaborative, the need for managers to

understand dyadic communication and understand group communication is imperative. In fact, Larson and Lefasto assert, "...[a] movement to collaborative teamwork has been one of the sea changes that have swept through organizations during the last two decades of the twentieth century."<sup>38</sup>

A balanced, healthy organization is one in which communications are in synergy, and people are sensitive enough to put their own needs aside. Listening skills are important - a manager who listens well is likely better equipped to handle conflicts, team problems, and interpersonal issues.

Perhaps, it can be said that a manager has two primary challenges when communicating with workers: The first is in one-to-one leader-worker relationships, and the second is group communication, in creating an effective atmosphere for group dialogue and work. In one-to-one exchanges with workers, listening skills create a rapport of trust. Examples of one-to-one communications are coaching and counseling, performance feedback, delegating



tasks, and in other live correspondences. Communications writer Marty Brounstein has researched interpersonal communications on teams. Brounstein explains that a leader uses four primary methods for listening: passive, selective, attentive, and active<sup>39</sup>. Of these, Brounstein states that passive, selective, and attentive are only partially effective mainly because they are “lukewarm”; and, active listening is by far the most powerful, because it is positive, empowering, and focused. Brounstein states that in active listening the listener actually emphasizes the speaker’s message, and therefore helps to draw it out. The leader or manager (or, listener), will therefore ideally be focused on listening to the speaker rather than on his or her own agenda, hence becoming more effective.

A main thrust of this text is that all leadership skill and even active listening are only mechanical without the values of understanding, patience, and empathy interwoven – or, without emotional intelligence. In contemporary society, business, economics, and communication processes are speed-driven; selling and marketing agendas

are the sine qua non; human understanding and empathic listening often get pushed aside. Yet people by nature are instinctive: when a worker is not listened to, he or she feels ignored or resentful, if though perhaps unconsciously.

There is a difference between truly hearing and merely listening, and effective managers must do the former. Often, poor managers fail because they don't listen well enough. For example, Yale's former president Benno Schmidt was fired, and his unhappy former Yale employees provided this post-mortem explanation: "Benno doesn't listen; and when he listens, he doesn't hear; and when he hears, he doesn't understand; and when he understands, he's against it."<sup>40</sup> Being listened to means inclusion by leadership, and it is difficult to envision a healthy dynamic work climate without worker inclusion in decision-making, and without empathic listening at the fore.

Enlightened leaders are the leaders who are able to listen and communicate well to foster results. In the case of Hull Wind, the largest commercial wind turbine on the

east coast, a vast web-like network of communications excellence has been central in its historic development.

The Hull Municipal Light, community based Hull Wind with its leader Malcolm Brown, through very effective human relations have cooperatively engaged the community, energizing its mission. The mission is to bring wind power, starting with a medium sized turbine and adding more later, into the small town of Hull. The first turbine, erected in 2001, has substantially reduced energy costs, while at the same time offsetting pollution from dangerous fossil fuel emissions. \* \*

How did they do it? Hull Municipal Light is one of a number of municipally run light departments in the United States. In essence, Hull Light is a not-for-profit community based venture: though Hull Light has designated leaders, mostly the organization is non-hierarchical composed of six

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\*\* Even before factoring in renewable energy production credits and green certificate credits, the Town of Hull has saved approximately \$140,000 per year in electricity costs.

appointed board members; all decisions are run in a “town-hall” manner incorporating the participation of community citizens. Effective leadership and team communications are central to its success. Malcolm Brown, considered the “father of wind power” in the Greater Boston region, along with a few wind enthusiasts founded the not-for-profit organization Hull Wind. Brown’s emotionally intelligent leadership style – subtle, friendly, enthusiastic, non-hierarchical, and humble – is central to Hull Wind’s success.

Why is the Hull Wind and Hull Light communications network (along with a number of other prominent organizations such as University of Massachusetts Amherst's Renewable Energy Research Laboratory, the Mass Energy Consumers Alliance, and Sustainable South Shore, among others) so effective? One of the main reasons is that Brown’s team has been willing to reach out the community and to reach partner organizations to help build an environmental network. It is a measure of their openness and supportiveness (more later

on this). Those who have worked on Brown's team such as his partner Andrew Stern attest to Brown's ability to connected with others, listen effectively, teach and involve others in the project. According to Stern, Brown has been "completely unselfish and excelled at getting things done cooperatively in the community."

## **6. Group Communications**

Group leadership, though similar to one-on-one communications, brings alternate sets of complex challenges. Examples of types of group communications are team meetings, collaborative sales and marketing calls, department or branch meetings, company symposiums, and team outings. Certain situations require live communications, and solutions can only be enacted through groups facilitated by skilled experienced group leaders. A skilled facilitator empowers people toward meaningful collaboration, greater direction, and productivity.

According to experts who have studied group communication, healthy, open communication is a keynote

of an effective team. Of course, effective leadership potentially comes from anyone on the team, not only designated leaders. Which raises an important point: *Powerful leadership can be enacted by anyone in a group, but particularly so when designated leaders promote the ideas of non-hierarchical leadership.* Larson and Lefasto however explain that an open and healthy communication climate is not typically the norm, and an individual's influence is often directly proportional to his or her ability to communicate, "... when teams have members who are capable of creating the circumstances for surfacing, discussing, and resolving problems, these people [become] extremely valuable members of the team."<sup>41</sup>

### **7. Supportiveness, Trust, and Norms**

In the beginning of the paper, I outlined some keynotes or characteristics of effective teams. Paralleling the characteristics are the characteristics of leaders who have the ability to create effective teams. Perhaps we could ask, then, what *are* the skills and characteristics of leaders who are able to inspire effective team communication?

Larson and Lefasto, in their research of thousands of team leaders and team members agree that two key characteristics that stand out: openness and supportiveness.<sup>42</sup> Openness and supportiveness, according to Larson and Lefasto, contribute to a balanced, healthy, and productive team by creating a climate that helps open the creative flow of ideas, builds positive synergy among group members, and perhaps, most importantly, cultivates the sense of trust in the group. However, as implied earlier, “characteristics” may not be the best word to convey the ideas of openness and supportiveness; perhaps these ideals can better be described as values, competencies, or perhaps qualities.

Trust is dynamic – many factors must coalesce in order to nurture trust in work and interpersonal relationships. One essential element is the good character values of a team’s participants. At the start of a work relationship, team members often don’t have the benefit of knowing a lot about one another’s history, or of their values and personalities. That’s why openness and supportiveness

are essential: the qualities of openness and supportiveness help create a certain comfort level between individuals as familiarity and trust mature over time. Organizational expert Peter Senge says, "...Great teams rarely start off great. Usually they start as a group of individuals. It takes time to develop the knowledge of working together as a whole..."<sup>43</sup> Trust develops as participants gain awareness of one another's work style, ability, and values. A skilled facilitator needs an intuitive sense of the ways people interact in order to help a team achieve optimum results. In a group setting, some people work well together while others do not; and a leader is counted on to navigate the nuances of relationships and interpersonal communication.

The ways individuals interact in groups, e.g., the group culture, is also described as the group "norms". Norms are the "implicit and explicit agreement" about the ways things are done in a group.<sup>44</sup> Every team, organization, or group that works together for any duration of time develops norms. The types of norms vary greatly from one team to another, and usually revolve around



issues of group communication; norms sometimes develop by themselves.<sup>45</sup> A good leader or facilitator understands that team members should contribute to team norms: Common sense shows that integrally involved participants are more committed to their team's purpose. Examples of some types of norms are how often the group meets; which team members are most influential or regularly vocal in team meetings; the style of group discussion; the expectations among team members; the process of group decision-making, among others. Some norms are explicitly agreed upon, while others develop implicitly.<sup>46</sup>

Relationship norms that develop on a team, e.g., cliques or sub-groups, contribute to a team's climate. For example, one destructive norm is an entrenched team. An entrenched team can be a whole team or subdivision in which a group of individuals who have performed well together become arrogant, isolating themselves from others.<sup>47</sup>

I have experienced the dark side of entrenchment. The organization I helped create had an entrenched team,

which caused friction among members. As a community-based non-profit organization, SSSh's meetings were open to the public, our goal was to build unity and consensus, and new leaders were encouraged to emerge from among original participants. However, three established community leaders banded together separating themselves from core members creating the entrenched team. The result was that a number of the original team members, though initially enthusiastic, either reduced their involvement or dropped out completely due to dissension. Ideally, an effective leader would have had the necessary skills to resolve the disruptive situation by bringing the issues out at team meetings, and resolving problems through effective discussion. In the case of SSSh, the leaders did not, and group rapport was strained long-term.

### **8. Leadership in the Learning Organization**

Among the modern researchers influencing the transformation to a more balanced and humanistic leadership culture, perhaps the most influential has been Peter Senge. Senge, the Director of the Center for

Organizational Learning at MIT's Sloan School of Management, originated the concept of the Learning Organization and is considered a foremost pioneer in the field of organizational learning, organizational leadership and communications. Aspects of Senge's learning organization model have been seen historically in both Western and Eastern Civilizations – particularly Classical Greco-Roman and Asian cultures. However, Senge has developed ideas and processes that align individual learning and self-development together with team and organizational performance into one unified system. Senge admits, however, that our culture is only in the initial phases of developing true learning organizations.

Senge's ideas about leadership, self-development, and communications have been important; what's enlightening is that his ideas are gradually receiving acceptance in companies. The idea that an individual's learning and self-development are centrally important to an organization's success forces theorists to re-evaluate traditional models of leadership. As Senge points out, until

organizations develop progressive, flexible systems for individual learning and personal development, and until organizations become more open to bottom-up, non-hierarchical methods, powerful team learning will be difficult. Learning starts at a core level, which is the level of each individual worker.

### **9. Learning and Skills Development**

In Senge's learning organization model, a key to both team success and worker self-development is facilitation of the individual worker's functional skills. It is a win-win situation for both worker and organization: workers benefit with greater self-esteem and marketplace value; and, the organization benefits by gaining more highly skilled workers. Functional skills are those used to complete specific work tasks; no organization prospers without well-developed functional skills of team members. Some real-world examples where functional skills are used is in tasks like software programming, grant writing, bookkeeping, sales prospecting, customer service, or any other activities of various vocations. All organizations, from community

non-profits to multinational corporations have needs for people to learn and use functional skills, daily. Obviously, the way to gain new skills or improve old ones is through *learning*. Senge says, “We know that a genuine learning cycle is operating when we can do things we couldn’t do before. Evidence of new skills and capabilities deepens our confidence that, in fact, real learning is occurring.”<sup>48</sup> Essentially leaders must become skilled instructors and possess the ability to communicate effectively for real individual learning to develop. As Larson and Lefasto state, “Collaborative leaders work at making team members as knowledgeable and as smart as possible about the [organization] and its underlying issues.”<sup>49</sup> The best way for individuals to maximize their learning is by implementing the types of knowledge information management systems that innovators like Senge and others have proposed for learning organizations.

#### Four: **Stress and Performance**

In the envisioned balanced organization of the future, effective leaders will be aware that worker stress, health, and performance are inter-dependent. For maximum productivity and the achievement of synergy, stress-management and worker well-being is un-ignorable. As mentioned, some primary factors affecting performance are healthy team culture, effective open team communications, reduced stress from minimized interpersonal conflict, and the clearly defined responsibilities of team participants. Characteristics, qualities, and values of successful leaders are similar to ones that describe low-stress, healthy, emotionally intelligent team culture. The point is that balanced individuals and balanced low-stress team culture creates improved opportunities for enhanced productivity.

From their research work performed at the University of Cincinnati's College of Engineering, Shoaf et al. state that the modern study of balanced organizational leadership and organizational development has originated from researchers mentioned (above) – e.g., McGregor, Maslow, Herzberg, and

Vroom. It has now evolved into an area of study called "Organizational Health"; though, as shown, it is also called by various names.<sup>50</sup> In addition, Shoaf et al. describe this upcoming field or research paradigm as the way performance leadership or performance management affects human factors such as mental and physical health, social well-being, and environmental factors such as clean air, or a toxin-free work environment.

What Shoaf et al. contend, similar to my thesis, is that in the United States not enough attention is paid to the essential balance between well-being and performance. They state that organizational development or re-engineering initiatives such as lean- manufacturing and Six Sigma focus intensely on performance, but not on how this micro-focus affects worker and organizational well-being. However, the key to Shoaf et al.'s message, similar to mine, is that worker well-being is essentially important to organizational performance.

## **11. Interpersonal Stress**

Occupational stress is a vast topic; and, certainly, gaining an understanding of stress and learning tools for stress management are important to both performance and organizational health. For this text, we will focus upon the individual stress caused during interpersonal communication to understand how stress affects leadership and performance. Undoubtedly, a leader's style and her or his awareness of team relationships can have a tremendous effect either positively or negatively on the team.

The reason it is important to take a “holistic” approach to team-building is that when interpersonal stressors are reduced, greater levels of teamwork can become reality. The agreed characteristics of successful teams I have mentioned as well as Larson and Lefasto’s key characteristics of high performing teams – e.g., openness and supportiveness – describe healthy functioning, low-stress, emotionally intelligent leaders and team members. *The same values, skills, and methodologies that contribute to strong team and individual performance also contribute to the health of the individual.* Professor Kenneth Pelletier,



author of the Behavioral Medicine bestseller, *Mind as Healer, Mind as Slayer*, has studied stress in executives and organizations at the University of California; Pelletier writes that in the business culture of today common misconceptions are that pressure, competition, and stress always deliver greatest results. However, Pelletier also states that research seems to disprove this theory. Pelletier cites research done by Ari Kiev and Vera Kohn from their AMA study report *Executive Stress* that shows that there are as many Type B individuals in executive and middle management positions as there are Type A's.<sup>51</sup> The Type A individual is widely recognized as one who exhibits "inflexible, time pressured behavior," and is typically a hard-driving, "climb the ladder" person. This likely does not describe someone who is open and supportive. Type B's on the other hand – or, ones who perhaps closely fit the description of emotionally intelligent behavior – are typically more easygoing and relaxed regarding their work schedule.<sup>52</sup> Frankly, it is difficult to envision one with Type A behavior as a well-rounded emotionally intelligent leader.

That does not mean to imply that Type A's are not good people, or are incompetent, or cannot possess characteristics of EI. However, one with a balanced leadership style will display values of reflectiveness, contemplativeness and sensitive awareness – which typically does not characterize the Type A personality. The Type A leader will undoubtedly contribute to interpersonal stress among team members.

### **11. Personality Typology and Temperament**

In recent years a large amount of research has been devoted to understanding Type A and Type B personalities, and much research has also gone to the wide variety of temperaments and typologies that exist on teams. Some primary uses of typology are to harmonize team relationships, reduce interpersonal stress, reduce conflicts, and ultimately maximize performance and productivity. As leaders and individuals' progress to become more knowledgeable about communications, conflicts and stress can be reduced through the recognition of temperament mismatches, and by optimizing temperament synergy.

Temperaments have been studied for years, dating as far back as Classical Greek civilization, though their use in organizations is relatively new. In ancient Greek culture, the great physician Hippocrates grouped temperaments into four categories: phlegmatic, choleric, melancholic, and sanguine. Although his idea that temperaments were related to bodily humors (or fluids) has proven incorrect, his characterization of temperament has been recognized as quite accurate. (See fig. 2). Carl Jung, Isabel Myers, and Katherine Briggs and Jerome Keirsey have spurred much of the modern work on typology. In creating the Myers Briggs Type Indicator (MBTI), Isabel Myers and Katherine Briggs furthered Swiss Psychologist Carl Jung's work by isolating sixteen individual types springing from the four basic temperaments.

Figure 2 *The Four Temperaments*

<b>The Four Temperaments</b>			
<b>Descriptive</b>	<b>Hippocrates</b>	<b>Keirsey</b>	<b>MBTI</b>
Guardian	Melancholic	Dionysian	SJ
Artisan	Sanguine	Dionysian	SP
Idealist	Choleric	Apollonian	NF
Rationalist	Phlegmatic	Promethean	NT

Source: Adapted from R. Hatley, "Personality Types: The Four Temperaments" Retrieved July 2005 from <http://home.pacbell.net/earnur/essays/personality-types.html>

As we can see from the temperament chart, there are definite connections between various research efforts historically on temperament and typology and newer paradigms I have described. What is important now is for leaders to gain an intuitive feel for how people inter-relate and communicate, and an intuitive feel of the various personality types. They should also become aware of the clashes between certain types as well as the synergy between others, then plan accordingly. Nichalin Suakkaphong, Doctoral candidate at the University of

Arizona doing research on teams and learning states that creativity, learning, and good leadership go hand in hand. Disagreements and struggles between teammates for greater innovation often occur because “managers don’t understand how to manage employees with different styles,” which spurs what she calls “creative abrasion” or an irritating disharmony that can spoil team synergy.<sup>53</sup>

### Part Three: **Conclusions and Future Considerations**

In conclusion, we have seen that managing in both large and small organizations involves intricate processes and tasks, even in lower and middle leadership positions; and describing here all the nuances of management is beyond the scope of this paper. I have attempted, however, to gain and convey an in-depth perspective of the applied psychology and philosophy of transformational leadership. I have taken a holistic, systems approach to transformational leadership and attempted to encapsulate as much as possible by focusing on a few important aspects of leadership, communications, and organizational behavior.

Transformational thought, emotional intelligence, the balance between humanistic and scientific management, leadership theory, communications, and learning are all excellent starting points in the study of leadership. However, what is perhaps most true is that knowledge must be applicable in order to be useful; hands-on experience is critical for leaders to become truly skilled. One can learn

and study volumes yet still be unable to be translate knowledge into effective leadership; and, conversely, one may have very little intellectual understanding or formal education yet have an excellent grasp of leadership (admittedly increasingly difficult in the current information age). Goleman and Boyatzis state that emotional intelligence is intuitive – some leaders are able to transform work environments based upon their intuitive feel and hands-on skill. In other words, certain people have in-bread ability for emotional intelligence and transformational leadership. Research, nonetheless, has shown that any leader or individual can improve their leadership skills and emotional intelligence with training. Perhaps a good ancillary question may therefore be: Can individuals become overly learned, or overly trained as leaders? Are there elements of leadership and emotional intelligence that are natural, inherent, found only in the normal development of human awareness and development of the human psyche, yet perhaps spoiled by over-analysis and over-training? In other words, can we go too far with

leadership analysis and training, thus taking away spontaneity, authenticity and the organic interplay between individuals?

Regarding the idea of balance, it is perhaps admittedly difficult for leaders to know where to draw the line between scientific (or, performance) management and humanism. In other words, management must draw boundaries, and ways to motivate workers implemented in order to ensure maximum productivity and a healthy bottom line. Yet, at what point does worker performance begin to lag from the feelings of coercion, suffocation, or, immature treatment by managers? There is always a back and forth interplay between managers and workers – when workers display high levels of initiative, micromanagement is typically reduced, allowing greater freedom for creativity and independent thought, consequently spurring greater worker ingenuity.

Interestingly though, in many organizations ingenuity is neither valued nor at times seemingly necessary, and hence managers do not consider cultivating



it. In organizations where maintaining the status quo is important, the attitude often is: “if it aint broke don’t fix it”; or, “if sales are good, leave it alone.” However, again, the point I have hopefully emblazoned in this text is that performance is merely one part of the equation: long-term success may necessitate a deeper and wider-scale assessment of the culture. In those situations, experience has shown me that leadership may not value creativity enough (perhaps for what appear to be practical reasons). The problem is when productivity, speed, and volume are a company’s main priorities, it becomes quite difficult to entertain ideas of enhanced creativity; and, personal development and health can be stifled.

When worker creativity is stifled, emotional and physical health suffer; therefore performance suffers, too. Research shows that when workers experience excessive emotional stress their effectiveness is impaired. Obviously, the nature of work is a factor - whether or not it is a good fit with worker abilities - and leadership style plays a significant role.

Whether workers remain satisfied and productive over the long term may be an important indication of whether they are also healthy (and vice versa). An interesting workplace health study by Karasek and Theorelli, cited in Lynch, found that "... ten percent of people in high-demand, high-control jobs exhibited symptoms of depression. That figure is ballooned to fifty-seven percent for workers in high-demand, low-control jobs. Likewise for cardiovascular symptoms, such as chest pain and shortness of breath: three percent of those in high-demand, high-control jobs complained of such symptoms, compared to twenty percent in high-demand, low-control positions."<sup>54</sup>

From Karasek and Theorelli's research, it can be seen that individuals are more capable of being productive in jobs in which they are given autonomy and a level of individual comfort, even when workload is high. From their research, clearly, the main source of toxic stress is not necessarily work demand, but rather whether one feels a sense of control in their work. The bottom line, therefore, is

that good leaders find ways to help workers gain a sense of control in their work - the underlying idea behind emotionally intelligent, transformational leadership. Lynch also adds "...Add a bad manager to the high-demand, low-control mix, and the situation becomes even more toxic. Employees who received little social support while working high-strain jobs were considerably more likely to suffer from depression than were those who had support on the job, according to Karasek and Theorelli's study."

HR departments are beginning more and more to use assessments to better understand employee capabilities and understand how far management can go to improve productivity. Effective human resource management is the backbone of a positive leader-worker fit. As consciousness levels grow in organizations, increasingly we see better synergy and communication between leaders and workers, and more of a premium on the leader-worker fit. It harkens back to the "one size does not fit all" perspective, and the best organizational assessments are based upon worker individuality and temperament typology.

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### **Appendix A: Key Terms**

**command/enforcement.** A leadership style and practice that is very similar to Transactional Leadership, but more rigid and coercive.

**dyadic communication.** Involves communication between two people.

**group norms.** The informal rules that groups adopt to regulate group members' behavior. Norms refer to team members' implicit and explicit agreements about "how we do things around here."

**emotional intelligence (EI).** The ability to effectively understand and handle one's emotional self (self regulate); and to handle emotions well in relationships with others.

**multiple intelligence theory.** The theory that there is a number of distinct forms of intelligence - other than merely the traditional model of cognitive intelligence – which individuals possess in varying degrees. Howard Gardner



proposes seven primary forms: linguistic, musical, logical-mathematical, spatial, body-kinesthetic, intrapersonal (e.g., insight, metacognition) and interpersonal

**team.** A group of two or more people working together with an agreed common purpose.

**team synergy:** A sense of harmony among members of a team in regards to their common purpose; the alignment of collective motivations among team leaders and members.

**transactional leadership.** Everyday exchanges that take place between leaders and team members as they routinely perform duties. Exchanges are based on the offer of contingent rewards for specific performance.

(e.g., social skills). Gardner recognizes other forms exist, too.

**transformational leadership.** Leadership that goes beyond traditional leadership's focus on traditional needs to fulfill higher levels of human needs such as actualization; it

delivers true value, integrity, and trust, rather than merely an "eye for exchanging one thing for another." <sup>54</sup>