

**TRANSFORMATIONAL LEADERSHIP THEORY:  
CREATIVE ADVANCE OR THEORETICAL DESPERATION**

by

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Dissertation submitted to the Faculty of the  
Virginia Polytechnic Institute and State University  
in partial fulfillment of the requirements for the degree of

Doctor of Philosophy

in

Sociology

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**(ABSTRACT)**

Transformational leadership is held by its theorists to consist of charisma (mission articulation, empowerment, and confidence in followers), intellectual stimulation, and individualized consideration. It is alleged to result from flexible structure, crisis, and high socio-economic status (except for charisma in connection with the latter) and to produce a favorable organizational climate, identification with the organization, expectation of success, and, most of all, extra effort. The present research, however, discloses serious problems with the model based upon theory: the inability of a principal component analysis to distinguish the leadership dimensions and the outcomes of identification and expectation of success; an absence of effects of SES and crisis on the leadership variables; and the direct effects of the exogenous variables on organizational climate. Even with regard to the central concept of charisma, considerable ambiguity is found. The conclusion of the present research is that transformational leadership theory represents "theoretical desperation" in a sociological sub-discipline increasingly perceived to be unproductive of significant results.

While the relationship between charisma and extra effort holds up in the present study, the connection is problematic, since extra effort is uncorrelated with positive changes in the churches. A possible interpretation of the lack of correlation between extra effort and substantive

changes is that leadership operates to create and maintain fictions functional for both the leader and his/her host organization. The use of language in the development of meaning also highlights the importance of incorporating the idea of power in leadership studies.

## ACKNOWLEDGEMENTS

The author wishes to thank the members of his dissertation committee for their invaluable assistance in the production of this research project. Each one made enduring contributions to the author's mind and perspective as well as to this paper. Their demand for excellence will serve as a model for a long time to come. It would have been difficult to have found a more helpful and involved committee. In particular, appreciation is extended to Dr. Ellsworth Fuhrman for his patience over seven years and for his ability to lift a sagging spirit on many occasions; to Dr. Michael Hughes for his guidance during the analysis phase and for his endurance of hurried conversations and numerous telephone calls; to Dr. Mark Waddell for his taxing but highly productive questioning; to Dr. George Hillery for his example of a gentle passion for knowledge; and to Dr. Carl Dudley who was able to help me believe that I could accomplish the research task when it would have been easy to think otherwise.

In addition, deep and sincere appreciation is to be expressed to my wife, \_\_\_\_\_, for her encouragement and for the example of her own joy in learning.

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## CHAPTER ONE

### INTRODUCTION

At the historical origins of sociology is the concern with order and authority. As Nisbet shows (1966:21-23), the French and Industrial revolutions shattered the last vestiges of traditional obligations. With the weakening of behavioral constraints and the diminution of "normative disciplines" (Nisbet: 107), the conditions were ripe for an explosion of theorizing on how humans cohere beyond the compulsions of economic exchange. Whether it is Durkheim's proposal of occupational groupings, or Marx' delineation of the coercive character of class relations, or Weber's explorations into the historical development of different patterns of authority, the underlying concern is the same: how order emerges and is buttressed under the conditions of the modern world.

One expression of the continuing preoccupation with orderly human relationships is the theoretical concern with leadership. Like other areas in sociology, such as organizational theory (Scott, 1981:127-132), reflection and research in the field of leadership have been developmental. Until recently the field has been characterized by a conviction that leadership constitutes the premier force in human associations.

When the human-relations theorists of the 1930's discovered a system of informal interaction and non-economic motivations among workers, the stage was set for intensive research on the topic of leadership (Lombardo and McCall, 1978: 3-4). Interest in the field flowered after World War II (Fielder, 1967: 6). The volume of research is impressive; Stogdill's The

Handbook of Leadership (1974) reviewed more than two thousand books and articles on the subject of leadership. The results of the fluctuating interest and theoretical optimism (Campbell, in Hunt and Larson, 1977: 223) are twofold. First, the work produced a number of well-defined concepts and relationships held to explain leadership. These include the optimum fit between leader and situation (contingency theory, Fielder, 1967); enhanced performance through the leader's clarification of the link between work behavior and rewards for the subordinate (path-goal theory, House, 1971); initiating structure and consideration (the Ohio State School, Fleishman, 1969); optimal conditions for varying types of decisions (decision-making theory, Vroom and Jago, 1974); and the development of in-group and out-group relationships (role-making model, Graen and Cashman, 1975).

The second result is a growing skepticism in the field of leadership studies regarding the potential of existing theories to satisfactorily explain leadership (Meindl, et al., 1985: 78). In 1967 Fielder wrote that "Leadership research thus far has failed to give us simple answers" (1967: 5). Stogdill stated in 1974 that "The endless accumulation of empirical data has not provided an integrated understanding of leadership" (1974: vii). As late as 1982, Sheridan et al. acknowledged that "Yet, even in the face of the prodigious body of literature, there has been a growing discussion of the inadequacy of this research to explain the underlying leadership phenomena" (in Hunt, et al., 1982: 122). Extending this assessment of leadership studies, Pfeffer argues for leadership as a symbolic construct developed through attributional processes (1977: 104); and Miner suggests that the leadership concept has "outlived its usefulness" (in Hunt and Larson, 1975: 200). The death blow to conventional models of leadership

would be widespread acceptance of Lundberg's suggestion that personality factors as well as physiological and psychological variables be reinstated (in McCall and Lombardo, 1978: 81).

While some (Hunt and Larson, 1975) propose to continue research through the refinement of current perspectives, others are beginning to reconceptualize leader-follower relationships altogether and in the process are articulating novel conditions for both the practice and the theoretical understanding of leadership. First, after surveying the "transitions and transformations" of the 1980s, such as reduced organizational resources, the ascendancy of expectations of shared power, and increased collaboration, Lippitt argues that effective leader-follower relationships will require the elimination of socialization into vertical authority relations, the enhanced role of "interdependence and mutual aid," and an emphasis on cooperation as bases of motivation in organizations (1982). Pearce takes Lippitt's argument further by suggesting that "employees will increasingly resemble volunteers" (1982: 385). Second, Adams and his collaborators (1984) have announced a paradigm shift in organizational analysis, in which the central categories are vision, purpose, actor empowerment, and management of meaning, all of which energize the system and create greater identification of members with the organization. Third, several theorists have suggested that organizational goals as developed or assimilated by participants will increasingly provide a means of control alternative to those of supervision and utilitarian reward (Satow, 1975; Willer, 1967; Rothschild-Whitt, 1979; Ouchi, 1980; Swanson, in Robertson and Holzner, 1980). Fourth, Galbraith argues that in organizations of increasing complexity and information-

processing, deformalization and multiple-authority relations, with their accompanying interactional ambiguity, tend to appear (1977: 167-173).

### Statement of the Problem

Transformational leadership theory represents an attempt to incorporate the above reconceptualizations of leader-follower relations, while retaining the conventional assumptions of leader influence on organizational outcomes and behavior of followers. Because of its recency and its exaggerated claims regarding the efficacy of certain types of leadership acts at a historical juncture when leader causality is increasingly subjected to criticism, transformational leadership theory is eminently worthy of empirical testing. Three sets of questions constitute the foci around which the research revolves: (1) Are organizational structure, crisis, and socio-economic characteristics of members significantly related to the emergence of transformational leadership acts? (2) Are valued organizational outcomes, such as climate, identification with the organization, expectation of success among followers, and, especially, extra effort of members significantly related to transformational leadership? Additionally, can the transformational, the transactional, and the traditional forms of leadership be distinguished vis-a-vis their ability to predict organizational climate and extra effort? (3) Is satisfaction with the leader significantly related to transformational leadership acts? Additionally, do these types of leadership differ in their ability to predict satisfaction with the leader? If the first two questions can be answered in the affirmative, the basic structure of conventional theory, i.e., the leader's causal influence on the organizational structure and followers, can be preserved. If they are answered negatively, on the other hand, the skepticism in the field of leadership studies will

continue to mount. An affirmative answer to all three questions would, moreover, provide substantial support for the potential role of the much-neglected concept of charisma in organizational analysis. In order to pursue these questions, the overall plan of the dissertation involves, first, the isolation of those concepts which cluster with each other; second, the determination of those propositions strategic to transformational leadership theory; and, third, subjection of these hypotheses to empirical test. Such a test is imperative given the juxtaposition of the theory's claims and its currently weak evidence (a longitudinal study by Roberts and factor and correlational analyses by Bass).

### The Relevance of the Study

The contemporary American social scene is characterized by voices both celebrating and lamenting the diminution of conventional forms of authority. The issue is the "demystifying of authority; differences of strength may remain, but the authority is disposed of Otherness - of strength which appears mysterious and unfathomable" (Sennett, 1981: 159). It has become customary to attribute the breakup of inclusive loyalty to institutional authorities to increasing societal differentiation and the resulting ideational fragmentation, intensification of urban problems and dissatisfaction with societal response, the collapse of the Protestant Establishment and its cultural and ideological hegemony, the ascendancy of a new middle class, the empowerment of formally disenfranchised social categories, and the shattering of American international dominance (Ahlstrom, in Muller and Wilson, 1978: 452-453; Carroll, 1981: 108-111; Bell, 1975; Harrison, in Knudten, 1967: 250-251). However, since

authority relations lie at the foundation of social order, the issue is not authority as such but its form and bases of legitimation.

Maccoby baldly announces that "the old models of leadership no longer work" (1981: 23). Arguing that social relationships reflect the level of technological development, he suggests that four types of "social character" have produced distinctive patterns of leader-follower relations: the Protestant ethic (17th century), the craft ethic (late 18th century), the entrepreneurial ethic (19th century), and the career (gamesman) ethic (roughly 1935 to 1950s). Observing that the economic structure has changed drastically since the 1960s, Maccoby asks, "Where is the new model of leadership?" (1981: 38). He is joined by Zaleznik, who draws a distinction between management as a technical operation and leadership (1977) and who, along with others, calls for a new form of leadership (Zaleznik, 1983; Greenleaf, 1977; Burns, 1978; Roberts, 1985).

Since the data used in the present study are drawn from two religious groups, the leadership dilemma can be highlighted by particular reference to the clergy. Indeed, it may properly be argued that this occupational grouping is especially sensitive to the shifting demands for legitimation of authority claims found in the public at large. A paradoxical phenomenon is that of the "suspicion of leadership joined with the cry for leadership" (1972-1976 Quadrennial Commission for the Study of Bishops and District Superintendents, cited by Duecker, 1983: 77). "There is an urgent call for leadership and guidance in moral, spiritual, and policy matters" (Waltz, 1980: 49). From the pastoral side, "as much as anything else, pastors are confronted by the question, 'what is authentic congregational leadership?' What does it require in terms of knowledge, skills, and personal maturity?"

(Harris, 1977: 77). Harris also states that "Today's clergy are virtually thrown onto their own resources to pioneer and accumulate tested knowledge of effective congregational leadership in the turbulent environment of a modern secular society" (1977: 116). Yet, "no extensive body of professional experience, precedent, or knowledge about the modern practice of ministry exists" (Harris, 1977: 115). Judging from the evaluation given in the first section of this chapter, such uncertainty may be said to exist regarding leadership in general.

### Conclusion

As has been indicated, leadership studies are in a state of confusion, and practitioners often find themselves in situations in which nothing, or very little, seems to eventuate in desired outcomes among subordinates. Leadership concepts have proliferated, the research projects are multitudinous, and various leadership acts have been prescribed for different circumstances. Out of the potpourri of theories transformational leadership theory has emerged with bold claims to account for effective leadership. Yet, it remains to be subjected to the same rigorous tests to which other theories have been submitted. Whether the theory will survive as a theoretical option depends, in part, upon the type of investigation attempted in this dissertation.

## CHAPTER TWO

### REVIEW OF LITERATURE

According to White and McSwaim, transformational theory in general is tied to the humanism that invaded the area of public administration in the decade of the 1960s; more specifically, it has emerged from the convergence of process philosophy, gestalt psychology, transactional analysis, interpretive sociology, and radical political science (in Morgan, 1983:292). In addition to White and McSwaim, the theory has been enunciated by Burns (1978), Adams et al. (1984), Berlew (1974), and Bass (1975, 1985a, 1985b). Of this group, Bass is the best-known, having published works on organizational psychology and management over more than two decades (1960, 1964, 1965, 1966, 1979, 1981, 1982, 1983) and having edited Stogdill's Handbook of Leadership (1981). His 1985 complete and systematic statement of transformational leadership theory and his academic pedigree demand recognition of the perspective.

There are several societal trends which help to account for the emergence of transformational leadership theory. One has already been noted by White and McSwaim, i.e., the infusion of humanism into public administration and the concomitant emphasis on meaning for organizational actors. For these writers meaning itself entails the actualization of potentialities in the self previously untapped. In fact, transformation of both self and of social arrangements depends upon the emergence of contents from the unconsciousness of individuals (White and McSwaim, 1983: 276). Another tack some theorists take is to highlight Maslow's

hierarchy of needs as an indication of the possibility of expanding motivation in actors. Following this line entails viewing leadership as modifying the need level of followers upward and so generating bases of action that transcend immediate self-gratification (Burns, 1978: 65-66; Bass, 1985a:21).

Another set of trends has already been suggested by Lippitt and Pearce. Other developments include increasing industrial democracy (Bass, 1981:599; Bennis, 1966); increases in the "percentage of relations-oriented personnel in the U.S. labor force"; pluralism with its accompanying necessity of negotiation and consensus-building; "a more energy-conserving world" with its "requirement for better relations and a mounting concern for productivity"; and the economic shift from manufacturing to services (Bass, 1985a). These developments, it is claimed, have reached the state of "critical mass" (Harrison, in Adams, 1984: 99) at which new forms of leadership are necessary. Thus, a distinction is drawn between managing and leading (Zaleznik, 1977), and some are vocal in the call for novel forms of leadership (Zaleznik, 1983; Greenleaf, 1977; Maccoby, 1981; Burns, 1978; Roberts, 1985).

### Organizational Transformation Analysis

Transformational leadership theory can be seen as a part of a recently developed perspective on organizations. The underlying assumptions of the "new" organizational paradigm are spelled out by Nicoll around three categories: ordering, causing, and knowing (in Adams, 1984: 4-14). With almost evangelistic fervor, ordering, or structuring, in organizational transformational theory is said to be heterarchical, or built around overlapping hierarchies, "with no one controlling person, principle,

or object at the top of everything" (Nicoll, in Adams: 7). The implications of this view of structuring are (1) an abandonment of "objective knowledge" or an "ultimate reality" and (2) holarchy, or each system having "its own characteristics, but its functioning in reality...an outcome of its membership in the larger system," with the latter determining behavior and meaning (Nicoll, in Adams: 8). Included in Nicoll's discussion is the postulation of five casual models: singular, external causes, or linear sequence; entropy; cybernetics: "second cybernetics," or feedback in an open system; and "conscious intent" (In Adams: 9-10). With increasingly complex systems, possible outcomes are indeterminate (Nicoll, in Adams, 1984). Under "knowing," Nicoll asserts the ascendancy of the "plurality of knowledge...multiple perspectives, and incomplete truth," knowing as a volitional phenomenon, and the relational and situational character of "facts" (in Adams: 11). In sum, in an organizational world where authoritative linchpins are weakened and meanings are an emergent of shifting interaction, not imposed, the negotiation of differences, the emergence of motivating meanings, and the leadership role in producing such organizational transformations are claimed to be paramount.

The transformational view of organizations and leadership are combined in Ackerman's typology (in Adams, 1984: 114-137). She defines the traditional perspective on organizations as a "form" or "substance" approach, according to which the managerial task is the development of coherence among statically conceived structural parts. Here the emphases are control and problem-solving: "Design ways to maintain control over work, schedules, and peoples' needs. Plan by the numbers" (Ackerman in Adams, 1984: 116). Active control over structural relations is called

"managing in the solid state" (Ackerman in Adams, 1984: 122). The alternative view, and the one proposed by Ackerman, is that of organizations as energy (action) where managing is behavior in the "flow state." Since organizations are viewed as perpetually shifting forces, with purpose lying at their center and activated by value-neutral polarities, such as line-staff, change-stability, and risk-safety, certain managerial tasks follow: flexible alteration of structures, development of intrinsic motivation among subordinates, allowance of tensions, emphasis on meaning of work and the organization, and non-attachment to power and authority. Organizational considerations and leadership concepts are also combined by Harrison (in Adams, 1984: 97-112). Proceeding on the assumption that the fundamental origin of social arrangements is thought, he defines a leader "as a source of vitality and vision, who can articulate values which organizational members live by" (in Adams, 1984: 99-100). The two most important consequences of purposive and visionary leadership are "alignment" and "attunement" (love). The first is defined as identification of the organizational member's purpose with that of the organization, "the merging of the individual's strength with that of the collectivity" (Harrison, in Adams, 1984: 100), while the second indicates "harmony among the parts of the system, and between the parts and the whole" (in Adams, 1984: 111). The appropriate form of leadership for the aligned and attuned organization is said to be "stewardship": leader concern for subordinates, receptivity, willingness to share power and authority, and non-defensiveness, all of which are expected to produce emulation by followers and, therefore, greater productivity.

## An Overview of Transformational Leadership Theory

Burns was the first to isolate transformational leadership from conventional categories of leader behavior in his distinction between transformational and transactional leadership. The latter is characterized by an exchange enacted for a particular transfer of mutually valued goods; as a result, it excludes an enduring bond between parties and a "continuing pursuit of a higher purpose" (1978: 20). Bass has given transactional leadership specificity with his concepts of contingent reward and management-by-exception. Regarding the former, "The leader and follower agree on what the follower needs to do to be rewarded or to avoid punishment" (Bass, 1985a: 123); regarding the latter, the leader exerts direct control only when the subordinate's work deviates from the prescribed standards (1985a: 135). Elements of leadership that operate through the provision of contingent reward are explicitness of instructions, job related communication, involvement of the subordinate in the setting of performance criteria, and support for the subordinate (Bass, 1985a: 128). According to Bass, the major exemplar of these leadership desiderata is path-goal theory (1985a: 127). Of the two transactional kinds of leadership, contingent reward is the more effective for subordinate performance and satisfaction (Ibid.:124). Transactional leadership is held by Bass to be especially related to a well-ordered society of strong and clear norms and to an institutional base in which the status quo is highly valued and in which a sense of cultural continuity (the external environment) is acute and to clear goals and a relatively unambiguous task structure (organizational environment) (1985a: 153-159).

In contrast to the transactional type, transformational leadership, according to Burns, "occurs when one or more persons engage with other in such a way that leaders and followers raise one another to higher levels of motivation and morality" (1978: 20, italics his). The elevation is the transforming effect. For Bass, transformational leadership is that set of behaviors which "motivates us to do more than we originally expected to do" and operates in one of three related ways: (1) by elevating awareness concerning the value of certain outcomes and the manner of attaining them; (2) by raising an interest in the organization or higher level ends above immediate self-interest; and (3) by raising one's need level upward on Maslow's hierarchy of needs or "expanding our portfolio of needs and wants" (1985a: 20).

Bass is the most forthright among transformational leadership theorists in announcing that the perspective is a paradigm shift (1985a: 27). While he retains the conventional dependent variables of subordinate effort, leader effectiveness, and subordinate satisfaction with the leader (1985a: 213, 219), the transforming independent variables of inspiration, mission articulation, intellectual stimulation (ability to move followers to new thought patterns), and individualized consideration (concern for individuals) are held to produce second-order changes in followers (significant jumps in effort, group performance, and attitudes) (1985a: 27). Specifically, transformational leadership behavior "motivates us to do more than we originally expected to do" by altering followers' perceptions of the value of outcomes, by elevating group interests over individual self-interest, and by orienting followers to personal needs not yet fulfilled (1985a: 20). Essentially the same ideas are expressed by Roberts' definition of

transformational leadership as productive of the "redefinition of a peoples' mission and vision, a renewal of their commitment, and the restructuring of their systems for goal accomplishment" (1985: 1020). In sum, transformational leadership is said to be a paradigm shift because (1) it incorporates novel independent variables, (2) it predicts second-order effects, and (3) it changes the context in which leadership is subsequently exercised.

In spite of the formal similarity of their two definitions, Burns and Bass differ in three significant ways. First, through the phrase "expanding our portfolio of needs and wants," Bass allows transformational leadership to occur on any level of need, not just on the "higher" ones. Second, while Burns views transformational leadership as morally elevating, Bass views it in amoral terms. The latter writes, "But from our point of view, transformational leadership is not necessarily beneficial leadership"; and the movement of leader appeal may even be "downward," e.g. Hitler's demagoguery or the conversion of a set of school dropouts into a group of delinquents by an influential leader. Third, in contrast to Burns, who conceives transformational and transactional leadership as opposite ends of a continuum, Bass views the two types as occurring together, but in varying degrees for different leaders (1985a: 20-22). As was true for transactional leadership, Bass also suggests environmental factors which foster transformational leadership: rapid social change, cultural "distress," weakened institutional supports, uncertainty, market turbulence, and protection of children's rights (external environment); and unclear goals, flexible structures, and task non-repetitiveness (organizational environment) (1985a: 154-159).

Apart from societal changes, there are, according to Bass, theoretical reasons for forging ahead with an approach such as transformational leadership theory. First, prior research, with its restriction to the easily quantifiable concepts of exchange theories and its assumption of rational and economically motivated behavior, has neglected the potency of myth and symbols, and this in spite of the fact that "experimental psychology itself has long abandoned the purely cost-benefit approach to motivation" (1985a: 6-7). Second, views of motivation alternative to that of the cost-benefit approach implicit in expectancy theories, e.g. in the path-goal model, make possible advances in theoretical analysis. Alternative views include homeostasis (motivation to regain a steady state); stimulus intensity, rather than mere frequency of leadership acts, as a motivator; the prior existence of motivation in subordinates (and so, leadership as disinhibition); and the potency of intrinsic rewards over extrinsic ones (1985a: 7-8). Third, explanation of organizational effectiveness in terms of impersonal forces, such as that found in the ecological model (Aldrich, 1979), requires supplementation by a view of leadership as causative and generative (Bass, 1985a: 9).

According to Bass, transformational leadership consists of three dimensions: charisma, intellectual stimulation, and individualized consideration. The first is by far the most important dimension of the three and consists of three components. The first is inspiration; it is said to be "emotionally arousing, animating, enlivening, and even exalting to followers and their effects" (1985a: 62). Its foci may be followers' achievement, power, or affiliation motives (1985a: 64) and operates through persuasion and rousing communications (1985a: 67). In addition to extra effort, its

effects are claimed to be follower self-confidence and open communication and trust among organizational members, or organizational excitement (1985a: 71-73). The second component of charismatic leadership is a change- and mission-orientation, or "the ability to create, articulate, and communicate a compelling vision that induces commitment to it, clarity about it, and support for it" (1985a: 28). What ostensibly occurs at this point is an elevation of awareness among followers of what is possible and desirable from the standpoint of the followers' values themselves. Empowerment, third, is the participation of members in the direction and control of their organization and its ends. By intellectual stimulation, the second dimension of transformational leadership, Bass means "the arousal and change in followers of problem awareness and problem solving, of thought and imagination, and of belief and values, rather than arousal and change in immediate action" (1985a: 49). It is especially important in weakly structured situations (Bass, 1985a: 102) and effects transformation through the interpretation of symbols and the creation of new ones (Bass, 1985a: 108). Individualized consideration, the third dimension of transformational leadership, means that "each subordinate will be treated differently according to each subordinate's needs and capabilities" (Bass, 1985a: 82). Its specific forms include frequent contact, provision of autonomy to subordinates, informal communication, high information flow, differential treatment of subordinates, counseling, and mentoring (Bass, 1985a: 86-90). The results of such processes are said to be follower self-confidence and ownership of decisions (Bass, 1985a: 99), consequences which may properly be subsumed under organizational excitement.

## Hypotheses Implicit in Transformational Leadership Theory

The preceding section reviewed transformational leadership theory in a general way. However, the treatment can be made more specific by highlighting the hypotheses entailed by the theory. What follows is the identification of the major variables and a statement of their supposed relationships. Not all transformational theorists emphasize, or even deal with, all the variables discussed below; the object is to present a composite delineation of the variables and their relationships. For example, Berlew fails to discuss performance outcomes among subordinates, his causal ordering terminating with member identification with the organization. However, when the total body of literature is considered, identification appears as a variable prior to extra effort. The hypotheses, taken as a group, specify the causal processes suggested by transformational leadership theory. The extent to which each hypothesis is elaborated or discussed will depend upon the degree of ambiguity present in the literature.

Neither Berlew (1974) nor McKnight (in Adams, et al., 1984) view organizational crisis as important for the appearance of transformational and, in particular, charismatic leadership. On the other hand, for Roberts organizational crisis, e.g. decline in funds, is an important factor in the appearance of transformational leadership (1985: 1024). Bass is more specific when he states that "charismatic leadership is more likely to appear when groups, organizations, cultures, and societies are in a state of crisis and transition" (1985a: 5). The latter view is consistent with those of Weber (1947), House (in Hunt and Larson, 1977), and Tucker (in Rustow, 1970: 80). While the connection between crisis and charisma is imprecisely stated, since the former appears merely to facilitate the latter but is neither

necessary nor sufficient for its predicted effect, the views of Bass and Roberts lead to the following hypothesis:

The greater the organizational crisis, the greater the perception of charismatic leadership by followers.

Although the bulk of the literature on the effects of organizational crisis concerns charisma, the same relationship is held by Bass to be true of the other two dimensions of transformational leadership (1985a: 153-154). Therefore, another hypothesis can be generated as follows:

The greater the organizational crisis, the greater the individualized consideration on the part of the leader.

Another issue relating to the determinants of leadership is that of the effect of the socio-economic status of members. On the one hand, charisma is said to exist in complex organization (Bass, 1985a: 27-28, 42). Bass also concurs with House's argument that ideological values, as the condition for the emergence of charismatic leadership, can be found or generated in many organizations (in Hunt and Larson, 1977: 204). In particular, the organic type of organization, which involves ill-structured tasks, unclear goals, participation, and person-orientation, facilitates the emergence of charisma (Bass, 1985a: 161-162). Ambiguity is created, however, when Bass observes that subordinates who are "equalitarian, self-confident, highly educated, and high in status," or precisely those likely to be found in organic structures, will tend to resist charismatic leadership (1985a: 164). Moreover, House states that the mechanical type structures, (highly routinized and repetitive work patterns) are negatively related to "ideological value orientations" (in Hunt and Larson, 1977: 204)). In other words, neither those in mechanical organizations nor the highly educated,

who tend to be employed in more organic structures, are said to be receptive to charismatic leadership. What is surprising is that with charisma carrying the burden of the theory the range of conditions tending to prevent its appearance is quite broad and inclusive. Since Bass also argues that flexible subordinates tend to be receptive to individualized consideration (1985a: 164), perhaps the following hypotheses capture the thrust of transformational leadership theory on these matters:

The higher the socio-economic status of organizational members, the lower the level of charismatic leadership.

The higher the socio-economic status of organizational members, the greater the individualized consideration of the leader.

The set of determinants of transformational leadership is completed by flexible organizational structure, which is claimed to be positively related to both charisma and individualized consideration (Bass, 1958a: 158).

Therefore, two additional hypotheses are:

The greater the flexibility of the organizational structure, the greater the leader's charisma.

The greater the flexibility of the organizational structure, the greater the leader's individualized consideration.

Since Bass considers intellectual stimulation as a dimension overlapping charisma (1985a: 101), it is omitted from the present consideration and from inclusion in the model being tested in this research. On the other hand, individualized consideration appears to be quite analytically distinct from charisma. However, there is ambiguity with regard to the logical status of individualized consideration; in one place, it is said to moderate the effects of charisma (Bass, 1985a: 52), in spite of its independence as a separate causal variable. It is clear that individualized

consideration is hypothesized to cause extra effort. However, it is also possible to view it as contributing to charisma, following the logic of the development of idiosyncratic credit (Hollander, 1958). This construction, which appears to adequately reflect the thrust of transformational leadership theory, prompts the following hypothesis:

The greater the leader's individualized consideration, the greater his/her charisma.

For Berlew organizational excitement is the perception on the part of members that their efforts have a significant impact on the environment, i.e., that their organizational behavior makes a difference (potency). In addition, members experience their organization as mission-oriented (Berlew, 1974: 23). As Bass states, the antecedents of such excitement are supposedly found in certain types of leader behavior: "envisioning what real benefits are involved, clarifying what goals can be reached and why, and building a sense of confidence in success" (1985a: 654). This concept of leadership, which is reinforced by the leader activation theory of Sheridan et al. (in Hunt and Larson, et al., 1982), is consistent with the leader activities specified by Berlew: "development of a 'common vision...related to values shared by the organization's members' and 'making organization members feel stronger and more in control of their destinies, both individually and collectively" (1974: 23). With this consideration Roberts agrees, in that she isolated four variables in the behavior of the school district superintendent of her study which led to an "energized" district: the leader's mission statement, her strategic vision, her act of restructuring the district for change, and her empowerment of members through their

participation (1985). The constructions by transformational leadership theorists produce the hypotheses:

The greater the charismatic leadership, the more favorable the organizational climate.

The greater the leader's individualized consideration, the more favorable the organizational climate.

As already seen, organizational climate is an important variable for transformational leadership theorists. The result of this variable is said to be "total identification" between the individual and the organization such that two previously distinct purposes and interests become a unity (Berlew, 1974). A different relation is posited by Bass. According to him, organizational excitement is an arousal phenomenon that fosters members conceiving of interests beyond their individual ones (1985a: 65). In particular, it includes self-confidence in followers, following the leader's example of courage and commitment, and introducing programmatic challenges (Bass, 1985a: 66-72). But for Bass, excitement is related to extra effort as the dependent variable. Transformational leadership theorists, therefore, suggest the following hypotheses:

The more favorable the organizational climate, the greater the followers' identification with the organization.

The more favorable the organizational climate, the greater the members' expectation of success.

Additional relationships predicted by transformational leadership theory can be briefly delineated. First, charisma and individualized are conceived as having direct effects on extra effort and indirect effects on the same criterion variable through organizational climate (Bass, 1985a: 73). At the same time, the effects of charisma and individualized consideration on extra effort are supposedly mediated by expectation of success and

identification with the organization (Berlew, 1974: 23; Bass, 1985a: 66-72). In addition, expectation of success supposedly affects extra effort through identification (Berlew, 1974: 23). Hypotheses implicit in this treatment of transformational leadership theory are as follows:

**The greater the charismatic leadership, the greater the extra effort of followers.**

**The greater the leader's individualized consideration, the greater the extra effort of followers.**

**The more favorable the organizational climate, the greater the extra effort.**

**The greater the charismatic leadership, the greater the expectation of success by followers.**

**The greater the leader's individualized consideration, the greater the expectation of success by followers.**

**The greater the leader's individualized consideration, the greater the identification with the organization by followers.**

**The greater the expectation of success on the part of followers, the greater their identification with the organization.**

**The greater the follower's expectation of success, the greater their extra effort.**

### Critical Evaluation of the Literature

While transformational leadership theory marks out a new intellectual synthesis, its evidence is relatively weak. The major study of transformational leadership theory (Bass, 1985a) consisted of two steps. First, Bass factor-analyzed the data from a 73-item questionnaire completed by 174 respondents and generated three transformational factors (charisma, intellectual stimulation, and individualized consideration) and two transactional ones (contingent reward and management-by-exception). Charisma was overwhelmingly the major factor, accounting for 60% of the

89.5% of the variance of consequence; the variance explained by the other two transformational factors ranged from 3.1% to 6.3% (the same range as for the transactional factors). The second stage consisted of computations of zero-order correlations between the five factors and extra effort, follower satisfaction with the leader, and leader effectiveness. Bass found that the transformational factors were consistently and more strongly related to the dependent variables than were the transactional ones. The major weaknesses lies in the way the data were handled. While the charisma factor produced the highest correlations, the items it included renders the relationships ambiguous. The items covered (1) follower responses, which may hide unanalyzed personality characteristics of both the leaders and the followers (trust in the leader, respect for him/her, modeling, and faith in the leader), (2) mission articulation by the leader, (3) empowerment of followers (encouragement of the subordinate to express feelings and opinions and to understand the points of view of others), and (4) leader success ("he/she is a symbol of success and accomplishment") (Bass, 1985a: 211). In addition to the inclusion of (1) and (4), both of which are attributional, rather than behavioral, the statistical technique is also questionable. As Scott notes of the work of the Aston group, which used a similar procedure, "the use of factor scores disrupts the connection between theoretically defined variables and empirical measures so that it is often difficult to interpret measures of association" (1981:243-244).

A more fundamental theoretical issue is the justification of calling transformational leadership theory a "new paradigm." It is instructive to note that the model possesses the same formal structure as found in conventional perspectives, i.e., preoccupation with leader-group relations to

the exclusion of larger systemic considerations (although, it should be noted, Bass developed a systems model in his article "Contingent Aspects of Effective Management Styles," in Hunt and Larson, 1974), and assumes a causal relationship between leader behavior and outcomes among followers. The presuppositions may merit the criticism of reductionism (McCall and Lombardo, 1978:160-161). The possible inclusion of unanalyzed personality characteristics under the rubric of charisma has already been noted. In addition, individualized consideration appears to be an augmented form of consideration already developed by the Ohio State tradition, and it is fairly easy to see the connection of intellectual stimulation with path-goal clarification and initiating structure in preexisting theories. Once these observations are combined with those on the relationship between socio-economic status and charisma, one may conclude that the most distinctive concepts of transformational leadership theory are progressively eroded by qualifications.

Questions also arise concerning central propositions of transformational leadership theory. Presumably, the relationship between crisis and the appearance of charismatic leadership holds because threats to organizational equilibrium prompt actors to search for novel solutions. At the same time, there are problems with the predicted relationship which could result in a non-correlation. First, the appearance and acceptance of charismatic leadership as responses to organizational crisis are only two of several possible reactions (Whetten, in Kimberly and Miles, 1980:363). While prescriptions for innovation are common, empirical research typically presents "piecemeal and conservative responses to retrenchment" (Whetten, 1981:80). According to Whetten, four consequences seem to follow

organizational crisis: (1) managerial constriction of the communication network, (2) reduction of participation in decision-making, (3) a more stringent enforcement of rules and policies, and (4) rejection of disconfirming definitions of problems (1981: 84). These predicted responses to crisis supposedly weaken the role of the three transformational factors identified by Bass. Second, since organizational crises are both objective and subjective, i.e., mediated by members' perceptions which may have various origins, indexes of crises may be less than adequate. Third, leaders, according to Michaels (1962), use various strategems to augment their positions and to furnish grounds for their proposals; and the artificial creation of crises may be one of them. One need hardly press the point, moreover, that the appearance of organizational success is often a means of gathering support from sponsoring publics or organizations, such as funding agencies. These observations are especially appropos given Gilmore's suggestion that "forces in the social ground are reducing the buffering or protection of boundaries for those exercising leadership" (1982:343). In short, the proposition concerning the relationship between crisis and the appearance of transformational leadership lacks the requisite specificity and rigor necessary for a scientific hypothesis.

With regard to the hypothesis that a relationship exists between transformational leadership and excitement of members, observations on the reasons persons may belong to, and identify with, an organization constitute a set of alternative explanations. Roof has asserted, for example, that the dynamics of meaning and social location operate in localistically oriented participants in voluntary organizations and churches (1976:178). In more general terms, McCall and Lombardo (1978: 156) observe that myths and

traditions help to shape both the behavior of leaders and "followers' attributions and expectations." Miner (1982: 296-297), additionally, has argued that group systems possess inducement properties independent of particular leaders and that inducement for members in professional systems is dispersed in the values of the system rather than generated by leader behavior. Indeed, ever since the research of human relations theorists, recognition of the role of social factors internal to, and shaped by, the work group has been widespread. In short, excitement may be due to the impact of organizational and extra-organizational values upon the participants and may, therefore, have little to do with the specific generative behavior of the leader. In addition, if such a causative factor were operating, organizational excitement and identification may be related only because of their common origin in values independent of a particular leader.

Opponent process theory provides another reason why the predicted relationship between leadership behavior and excitement and between excitement and identification may not hold. Sheridan et al. (1982) propose that when a stimulus, such as leader behavior, exceeds an individual's acceptance level, an "opponent inhibitory process is triggered" in the recipient person and results in behavior or attitudes opposite to those intended by the sender of the stimulus. Essentially, the changes suggested by transformational leadership theorists can generate a result opposite to excitement, or, at least, a diminution of it. Whetten points out that under certain circumstances, e.g. crisis, innovation can have dysfunctional consequences (1980:371). In effect, the energy generated in followers could result in non-excitement and even a negative reaction and that produced by excitement could result in non-identification and even alienation. What

transformational leadership theory needs at this point, but lacks, is a specification of possible moderating variables.

An important hypothesis of transformational leadership is that followers' identification with the organization is related to extra effort. There are two considerations which call this connection into question. First, the relationship between attitudes, such as loyalty, and performance is looser than that assumed to be true by the theory. Lombardo and McCall assert baldly that "It is fantasy to expect a simple, linear relationship between attitudes and performance" (1978: 6). Participation in decision-making, presumably designed to enhance the quality of decisions but also to foster commitment to the organization, has been shown, by Yukl, for example, to produce inconsistent results (1981:216-217). Second, if, as Frew states, "an organization's ideology consists of the profile of goals which a participant believes his organization should be pursuing" (1973:120), i.e., is a motivator of effort, it is also true that an ideology transcends reference to a particular organization and its unique characteristics. It is this "loose coupling" between identification and extra effort which could account for the absence of a relationship between the two variables. For example, in a previous investigation the researcher found that a sizable minority of United Methodist ministers were deeply alienated from many official policies and priorities of their church but that their commitment to what they saw as classical Wesleyan themes (an organizationally transcendent ideology) led them to organize an alternative organization within the denomination and to agitate for change (extra effort). It is possible, moreover, that identification and extra effort are related only because they are related to a third variable, i.e., the internalization of the transcending ideology.

Up to this point, the present section has dealt with specific problematic areas of transformational leadership theory. However, it is possible to place it in a broader perspective. It should be clear that the approach is oriented to the interests of management and, to that extent, represents a managerial ideology. Nowhere, for example, are the issues of power, conflict, hegemonic domination, and distorted communication explored. The extremely sanguine view of organizations implicit in the approach ignores the differential positions of actors in organizations and, especially, the role of power-holders in defining, structuring, and constraining the behavioral and cognitive options of organizational members and publics external to the organization; nor does the theory consider the influence of governmental agencies in determining the context in which work is planned and executed. In fact, one might well question whether organizations such as those assumed in transformational leadership theory exist anywhere and whether they should exist, since what is envisioned is a goose-step type of structure functioning in the interests of non-specified definers of grand purpose and value. Indeed, one might well argue that the view is the final denouncement of "cow sociology" (Scott, 1981: 90).

The observations of Bendix, although given in 1956 and oriented to the work of Mayo, provide illumination on the issue just presented. Arguing that the human relations approach, while marginal to managerial practice, is significant for managerial ideology (1956:319), he proposes that its function has been to "enlist the cooperation of the many with the few" (1956: 331). Bendix also suggests that the themes of human relations have been prominent on the middle management level as "managerial collectivism" increases in large firms (1956: 334-337), while upper level

management and CEOs retain more traditional aggressive attitudes. In an interesting passage, he suggests that human relations thinking is analogous to the "polite manners" of the 15th and 16th centuries:

For the calm eyes which never stray from the other's gaze, the easy control in which laughter is natural but never forced, the attentive and receptive manner, the well-rounded good-fellowship, the ability to elicit participation and to accomplish change without upsetting relationships - may be so many devices for personal advancement while the man is on the way up (1956: 335)

The final touch in Bendix's analysis is the suggestion that the attitudes implicit in the human relations approach are a "threat of totalitarianism" (1956: 338). Under the conditions of "operational imperatives of large organizations," high integration of business and national interest, and industrial collectivism, the possibility of the invasion of the private sector and even thoughts and feelings becomes acute when appeals "become one of the means for the centralized manipulation of interaction among managers and workers, as well as the conflicts between them" (1956: 340).

### Conclusion

Transformational leadership theory is a bold statement on the effectiveness of certain types of leadership acts. The burden of these claims to explain an unprecedented amount of variance in subordinate performance is carried primarily by its concept of charisma. Accordingly, theorists are being asked to incorporate into their thinking about leadership such amorphous notions as "higher level needs," myths, imagination, and fantasy with which effective leadership supposedly coheres. It is said to be a theory especially appropriate to a rapidly changing society which demands ongoing

negotiation between persons. The full set of hypotheses constitutive of transformational leadership theory can be summarized as follows:

**I. Hypotheses relating to the determinants of transformational leadership**

1. The greater the organizational crisis, the greater the perception of charismatic leadership by followers.
2. The greater the organizational crisis, the greater the individualized consideration on the part of the leader.
3. The higher the socio-economic status of organizational members, the lower the level of charismatic leadership.
4. The higher the socio-economic status of organizational members, the greater the individualized consideration of the leader.
5. The greater the flexibility of the organization, the greater the leader's charisma.
6. The greater the flexibility of the organizational structure, the greater the leader's individualized consideration.

**II. Hypotheses relating to the effects of transformational leadership**

7. The greater the leader's individualized consideration, the greater his/her charisma.
8. The greater the charismatic leadership, the more favorable the organizational climate.
9. The greater the leader's individualized consideration, the more favorable the organizational climate.
10. The greater the charismatic leadership, the greater the extra effort of followers.
11. The greater the leader's individualized consideration, the greater the extra effort of followers.
12. The greater the charismatic leadership, the greater the expectation of success by followers.
13. The greater the charismatic leadership, the greater the identification with the organization by followers.
14. The greater the leader's individualized consideration, the greater the expectation of success by followers.

15. The greater the leader's individualized consideration, the greater the identification with the organization by followers.

### III. Hypotheses relating to the effects of intervening variables

16. The more favorable the organizational climate, the greater the follower's identification with the organization.
17. The more favorable the organizational climate, the greater the members' expectation of success.
18. The greater the followers' identification with the organization, the greater the extra effort of followers.
19. The more favorable the organizational climate, the greater the extra effort.
20. The greater the expectation of success on the part of followers, the greater their identification with the organization.
21. The greater the followers' expectation of success, the greater their extra effort.

However, transformational leadership theory is caught in a curious tension. On the one hand are its ambitious claims and its presupposition of values and attitudes allegedly widespread in the public, such as participation and autonomy. On the other hand, its claims are beset with serious questions. These questions relate not only to central concepts and predicted relationships but also to its logical status. The latter revolves around the issue as to whether the theory is empirically based, an ideology which masks vested interests, or propaganda of consultants who wish to help create a particular kind of organizational world. The dissertation will hopefully provide a partial answer to this question.

## CHAPTER THREE

### METHODOLOGY I: DATA AND ORIGINAL MODEL

The situation chosen for the testing of the propositions implicit in transformational leadership theory should meet at least three conditions. First, it should be one in which organizational crisis occurs across units. Second, it should be one in which socio-economic status and leadership vary. The second condition is especially important in view of the closure in Bass' sample, which constitutes a serious limitation. His sample was 177 individuals of whom 95% were full colonels, "senior military officers," and "general officers" (less than 2% women). Thus, the sample restricts variation of educational attainment, occupational background, and leadership style. An additional difficulty is that the military subculture demands obedience to, and respect for, superiors as part of the organizational culture. Also, extraneous factors, such as socialization and promotion aspirations, are likely contaminating the correlations and obscuring the dynamics of dyadic and group interaction. The research site, third, should also be one in which mission and self-transcending interest are paramount, if not empirically, at least as the *raison d'être* of the organization.

#### The Data Sources

Two different sets of religious organizations (see Appendix A for a description of the two denominations) have been chosen as data sources: churches of the Western North Carolina Conference (WNCC) of the United Methodist Church (UMC) and churches of the Southern Baptist Convention

(SBC). While both are examples of the free church tradition, they differ in significant ways: the degree of hierarchy, theological homogeneity, the method of pastoral placement, and the basis of clerical influence. The fact that pastors among Baptists are elected, rather than appointed, as in the UMC, means that the data should reflect differences in group responses to pastoral leadership, e.g. greater receptivity among the former than the latter (Hollander and Julian, 1970:49; Ben-Yoav, et al., 1983).

The UMC satisfies the first requirement. The denomination has lost roughly one and a half million members since 1965. A leading church analyst has stated: "I am convinced that the membership decline...is systemic, not a brief passing phenomenon" (Schaller, quoted in Wilke, 1986:26). According to Deucker, the decline is symptomatic of a "lack of common purpose in mission" and ambiguity in accountability (1983:117). At the same time, many United Methodist churches experience decline and dwindling resources more than others, and some are increasing their memberships (Christian Advocate, May, 1986). The SBC presents a different picture, with an increasing membership over the same time period as the UMC's losses. However, it is reasonable to expect SBC churches with declining or stable memberships to appear in the sample for a variety of reasons, such as location in areas of population change. The UMC also satisfies the second condition. As a pluralistic denomination, it embraces wide variation in beliefs, ethnic composition, social class, and pastoral backgrounds and relational style. While SBC churches vary by class, ethnic composition, and leader background and education, it is much more conservative and homogeneous theologically (Kelly, 1972:26), although it has been characterized by a conservative-moderate polarity for many years

(Hefley, 1985). For both religious bodies the range of leader behavior is tapped by the inclusion of transactional, transformational, and traditional leadership items in the questionnaire used in the study. The relatively autonomous character of local churches is the breeding ground of such diversity.

Churches from both denominations also satisfy the third requirement. Thus, the following statement is drawn from the Discipline, the UMC's official book of polity:

We live in confident expectation of the ultimate fulfillment of God's purpose. We are called together for worship and fellowship and the upbuilding of the Christian community. We call persons into discipleship. As servants of Christ we are sent into the world to engage in the struggle for justice and reconciliation. We seek to reveal the love of God for men, women, and children of all ethnic, racial, cultural, and national backgrounds and to demonstrate the healing of the gospel with all who suffer (Section 103, Discipline, 1984).

For Baptists, the following statement of purpose taken from a Baptist church's constitution is illustrative:

The purpose of this body shall be to provide regular opportunities for public worship, to sustain the ordinances, doctrines and ethics set forth in the New Testament for the church...to nurture its members through a program of Christian Education; to minister to needs of people; to channel its offerings to the support of the objects of the Redeemer's Kingdom; and to preach and propagate among all people the gospel of the Revelation of God through Jesus Christ as Savior and Lord (Local Baptist Church Constitution, Randolph County, North Carolina, 1987).

While in any local church, solidary incentives mix with purposive ones and may even predominate over them, the latter may be legitimately invoked by both pastor and members; in any case, they remain the official ideological context. It is at this point, it may be noted, that churches

converge with the type of organizations studied by value-rational theorists and envisioned as increasingly emergent by Adams et al. (1984).

### The Sample

The sub-populations consist of churches of the Western North Carolina Conference of the United Methodist Church and churches of five Baptist associations of central North Carolina, with chairpersons of the official boards serving as respondents, or better, informants. For United Methodists the board is called the Administrative Board (or in some cases, the Administrative Board/Council) and for Baptists, the Board of Deacons. In the United Methodist case, the board is the official decision-making body, while for Baptists the board's decisions are provisional until acted upon by the whole congregation, in which final authority resides. In both cases, however, respondents are those members most familiar with the internal dynamics of the congregation and pastor-congregation relations. The board chairpersons have been chosen for three reasons: (1) as the dominant member of the board, they are expected to be especially privy to pastor-congregation interaction and to the state of affairs within the church; (2) they are expected to be those persons who work most intimately with the pastor; and (3) as the dominant member of the congregation, and thus, as the one with the most stake in his/her position of lay leadership, the chairperson is expected to be the one who most avidly guards the ethos of the congregation from possibly deleterious effects of clerical leadership practices. Even if (3) is not true of a particular chairperson, he/she is the one most likely to receive communications from other members regarding pastor-congregation relations (in conjunction with the chairperson of the Pastor-Parish Relations Committee in UMC churches). The response of the

chairperson to pastoral leadership can vary from antagonism to enthusiastic endorsement, and the source of the response is his/her vested interest in his/her position and his/her perception of congregational interest.

The above considerations mean that the selection of the chairperson introduces a certain ambiguity into the data. On the one hand, the unit of analysis is the congregation. However, as the individual who has vested interest in his/her position vis-a-vis the pastor and the congregational ethos, his/her responses may be tainted with personal and perceived congregational interest, which may be expected to merge with each other. One such interest emerged in the data collection process, when one chairperson called the researcher to register his reluctance to complete the questionnaire because of pastor-congregation turbulence. In another case, a respondent ignored her present pastor of one year because of her negative reaction to him and answered the questions in terms of her previous pastor, whom she evaluated positively; this case was dropped from the file. That is, one possible response bias is to answer items such that one's church and, therefore, one's pastor are put in a favorable light. In this sense, the selection of the chairperson as a respondent constitutes a weakness of the research design. On the other hand, because the chairperson's position is a sieve for perceived clerical leadership effects and organizational activities and changes, one should be able to infer such leadership effects with some degree of assurance. This is a strength of the research design.

The WNCC is divided into fourteen geographical and administrative districts, embraces 1,047 churches of varying sizes (from, say, a dozen members to 4,025), socio-economic levels, physical locations, and ethnic composition, and has a total membership of 276,504. Like many other

conferences, it is in a state of gradual decline. In 1973, for example, its membership was 280,667, while in 1986 the figure stood at 276,504, a loss of 1.5%. Over the same period of its decline, its grand total expenditures have continued to grow (\$16,185,483 in 1973 to \$69,775,408 in 1985, or a 331% increase), suggesting a strain on present members and greater competition among clergy for valued positions. Over the last few years, any indication of a stabilizing membership or even a slowing of decline has been greeted with jubilation by officials (Bridge, June, 1986:2). Although recently the emphasis on church growth practices has become more prominent among high ranking leaders, it, along with accompanying program directives, have been met with clerical and lay responses ranging from indifference to hearty endorsement.

Geographically, the WNCC includes the region west of a line running east of Charlotte through Greensboro and east of Reidsville in the northern part of the state to the state's western boundaries. In terms of membership the five largest districts are Charlotte, Greensboro, Gastonia, Statesville, and Winston-Salem (21,539 to 34,925). In addition to possible positions of associate pastor and special appointments, such as to college teaching posts and campus ministry, assignments are of two types: to single-church pastorates, often called stations, and to multi-church positions, often called circuits. The latter are composed of low-membership churches, each of which alone is unable to support a pastor. In terms of this distinction, the WNCC includes 283 stations and 207 circuits. This differentiation serves as a vague distinction for location on the career trajectory, with circuits being served by local pastors, students, those just out of seminary, and those who, for one reason or another, fail to satisfy the expectations of conference-level

decision-makers. As might be expected, those districts with the highest proportion of circuits are the rural and mountain ones, e.g. Marion, Northeast (Northern Piedmont), North Wilkesboro (foothills and mountains), and Waynesville (mountains).

To draw a sample of chairpersons of the boards of WNCC churches, a computer printout of churches was obtained from conference headquarters in Charlotte, North Carolina. Initially, every other church was drawn from the list which had been numbered by conference officials; when the alternating selection would have resulted in obtaining data on the same pastor from two or more respondents, as would be possible in the case of circuits, the researcher moved on to the next church on the list. When the sample yielded more than 500 cases, the sample was cut back to 318 by excluding the names of chairpersons that appeared first on a computer printout of names and addresses arranged alphabetically by columns. Given the arrangement of the list, the names eliminated from the WNCC sample ranged from those beginning with "A" to those beginning with "R".

A different pattern was employed to develop a sample of chairpersons of deacon boards of Southern Baptist churches. In this case, associations were selected which bore a resemblance, on an intuitive basis, to the geographical distribution of WNCC churches. Accordingly, lists of chairpersons were obtained from the Randolph (Randolph County), Piedmont (Greensboro and outlying area), Central (High Point and surrounding areas), Pilot Mountain (Winston-Salem and outlying rural areas), and South Yadkin (Statesville and surrounding rural areas) associations. The total number of churches represented by these associations is 247. However, since some of the names of chairpersons

provided by associational secretaries were connected with non-reporting churches, only 217 questionnaires were mailed to Baptists. Each pastor serves a single church, in contrast to the Methodist structure of circuits. However, the five associations have a total of thirty-four bi-vocational pastors, with the largest number found in the largely rural South Yadkin association.

### The Data Collection Process

The data collection consisted of two phases. First, the questionnaire was mailed to nineteen respondents as a pretest. These individuals were contacted by telephone, and they consisted of eleven United Methodists and eight Baptists. The former were taken from the computer printout list of chairpersons and the latter from those whose names appeared as messengers to the 1986 Randolph associational meeting. The respondents were excluded from the final mailing. Seventeen questionnaires were returned. As a result of the pretest, several changes were made in the instrument. First, a response item was changed from "not at all" to "never." Second, two extra effort items were made more behavioral by changing "increases the motivation" (Bass) to "increases the level of activity" and "to achieve more than they expected they could do" (Bass) to "outstanding achievement." The third change consisted of strengthening several items. For example, "inspires loyalty" (Bass' language) was changed to "inspires total loyalty;" "church will grow" was changed to "membership will grow by 25% in the next four years" and "accomplish great things in our church" was changed to "make a great impact on our community." Pretest respondents were also invited to comment on the clarity of the questionnaire, but no suggestions were offered.

The second phase, the data collection proper, was undertaken by the Center for Social Research and Human Services of the University of North Carolina at Greensboro. On February 19, 1987, the questionnaire, which had been prepared in booklet form, was mailed, along with a cover letter explaining the study, to 527 respondents (the original number was 535, but eight addresses were incorrect and the forms were returned unopened). On February 26, respondents who had not yet returned their forms received a postcard which further urged their participation. On March 18, a second questionnaire along with an accompanying letter was mailed to respondents who had failed to return their forms to the Center. Two-thirds of these questionnaires were sent by certified mail. The result of the process was completion by 422 respondents, or an 80% response rate.

### The Variables

An important element in the research project are trend data on the churches as an independent indicator of crisis. The years 1976, 1981, and 1986 were chosen. The information was lifted from WNCC and Baptist journals. Baptist figures are furnished by church clerks, while WNCC data are provided by pastors, with the former simply being transcribed into the journals and the latter being corrected for error by conference statisticians. The five comparable indicators are number of baptisms, membership, average Sunday School attendance, number of youth, and per capita expenditures. In the case of WNCC churches, an additional indicator was average worship attendance; comparable data were not available for Baptist churches. In the case of the first two indicators, the relevant figures were simply lifted from the journals. Even so, since the UMC practices infant baptism, and thus relies heavily on biological additions, while Baptists

practice adult baptism, the figures are only roughly comparable. For example, if two churches of equal size and in similar locations of the two denominations had an equivalent number of baptisms for a given year, one could reasonably infer that the Baptist church was more aggressive in its recruitment practices. In the case of youth, two or more journal columns were added together to create comparability. Thus, for WNCC churches, "Children (birth through sixth grade) in all classes and groups" was added to "youth (up to and including 17 years of age)." For Baptist churches four columns were added.

Per capita expenditures were obtained by addition of columns and then division by the size of the membership. The expenditures of the United Methodist Women were added to local expenditures (principal and interest paid, improvements on buildings and grounds, and program and operating expenses), clergy and staff support-local church, and contributions sent to the conference. The sum was then divided by the membership for each year. For Baptist churches, local expenditures (staff salaries, money paid for construction, debt retirement, church literature, and "all other local expenditures") were added to mission expenditures for each year and then divided by the membership. This laborious procedure was initiated when the sums for several Baptist churches were found to be inconsistent with the journal grand total. It is highly likely that some contributions escape this accounting procedure, since some groups, such as Sunday School classes and youth groups, doubtless possess funds used for their special projects. However, these funds are probably negligible in terms of the summed figures for a given church. For example, to take the most glaring omission, funds contributed by the United Methodist Men were not included in the

calculation since no record was provided for 1976. In 1985 these monies totaled \$415,921 for the WNCC. However, when that amount was added to the WNCC's grand total expenditures of \$69,775,408, its percentage was only .59. It may also be noted that more than half of WNCC churches lack a United Methodist Men, and some may have unchartered organizations and so failed to submit a figure for contributions.

The variables included in the questionnaire fall into the following categories: leader behavior, organizational structure, organizational climate, identification with the church, expectation of success, extra effort, organizational crisis, satisfaction with the pastor, characteristics of the church, characteristics of the pastor, and respondent characteristics. Negatively expressed items were interspersed in order to reduce response set. Twenty-seven items cover leader behavior, which subsumes the more specific categories of transformational leadership (inspiration, confidence in followers, mission articulation, empowerment of followers, intellectual stimulation, and individualized consideration), transactional leadership (contingent reward and management-by-exception), and traditional leadership (leader performance in the areas of preaching, visitation, administration, teaching, counseling, community participation, and personal conversation). All items employed a Likert-type scale: "strongly agree," "agree," "undecided," "disagree," and "strongly disagree" for the first two forms of leadership and "far below average," "below average," "average," "above average," and "above all expectations" for traditional leadership.

With the exception of traditional leadership questions, all leader behavior items were derived from Bass' instrument, especially those with high loadings in his factor analysis. At the same time, many of Bass' items

were modified or made more pointed relative to the particular situation of the respondents. An example of modification is the change in the intellectual stimulation item from "provided me with new ways of looking at things which used to be a puzzle to me" to "provides new ways of looking at Christian faith and church issues." An example of sharpening the focus of an item is the change in the inspiration question from "inspires loyalty" to "inspires total loyalty to himself/herself." These and other changes were prompted by what was seen to be inadequate variation in the pretest responses.

The extra effort items, as measures of the major criterion variable, were made as behavioral as possible, in contrast to Bass' items which accent motivation. Four items deal with the outcome among followers. But because each item asked for performance over groups and areas, a total of twenty-three response categories was generated (in effect, twenty-three items). For example, for the questions "leads the following groups to outstanding achievement," "has led the following groups to increase their level of activity," and "the following groups are working harder now than they did a year ago," the listed groups were identified as typical church members, lay leaders, youth groups, men's groups, women's groups, and senior citizens. Responses were recorded on a Likert-type scale ("strongly agree," "agree," "undecided," "disagree," and "strongly disagree"). The fourth extra effort item was more general and requested choices on lay performance in worship and Sunday School attendance, membership, number of groups other than worship and Sunday School, and financial contributions. The scale used was "increased greatly," "increased slightly," "remained the same," "decreased slightly," and "decreased greatly."

Since transformational leadership theory hypothesizes the influence of organizational characteristics on leader behavior, and since these relationships are built into the model to be tested, structural variables were included on the questionnaire. The items were organized around internal hierarchy (two items), rule dependency (two items), extent of decision-making (three items), and group participation (one item). Internal hierarchy, measured by degree of influence of the board over the range of discretion exercised by members, and rule dependency were taken from the test items employed by Scalf et al. (1973), which were, in turn, adapted from Hall (1961). An example of the first is "every officer and teacher in our church has another officer to whom he/she regularly reports," and an example of the second is "there are more rules and regulations in our church than our members think there should be." Extent of decision-making and group participation were included as indicators of flexibility and person-orientation, dimensions Bass identifies with "heuristic teams" as favorable conditions for the emergence of transformational leadership (1985a:161-162). Decision-making, for example, is measured by number of actors involved in election of officers and in the creation of the church budget. An additional structural variable is socio-economic status of members, which is measured by average salary and educational level of members and occupational type. The first two variables are transformed in order to create composite scales.

Variables intervening between leader behavior and extra effort are organizational climate, member expectation of success, and identification of members with the organization. The first subsumes consensus, e.g. "our members gladly accept what is asked of them"; change orientation, or the

willingness to attempt new programs; and conflict resolution processes, or the speed with which clerical and lay leadership respond to complaints or questions regarding the church concerning the church budget. Identification with the organization is measured by the perceived readiness of members to include new members and the assessment of one's own church relative to successful churches of comparable size. Variable items are transformed to form composite scales.

Two other important variables are organizational crisis and satisfaction with the pastor. The first of these is measured by the trend data discussed above and by two items on the location of the church (changing for worse, stable, or improving) and congregational distress within the church. The independent trend data will not only allow an additional indicator of crisis but also permit an evaluation of the accuracy of the respondent's judgement. Satisfaction with the pastor is measured by the number of years the church, as reported by the respondent, wishes the present pastor to remain in his/her position and by a statement of overall satisfaction with him/her.

The remaining variables included on the questionnaire cluster around the following categories: characteristics of the church (size, age, denomination, location, and ethnic composition), characteristics of the pastor (age, sex, tenure, length of the three previous pastorates, education, attractiveness, and respondent's assessment of his/her probable success outside the church), and respondent characteristics (length of membership, number of church positions, sex, nature of relationship with the pastor, general attitude toward the clergy, degree of attachment to one's church, belief intensity, and level of aspiration regarding church growth). A final

set of variables deal with pastor-congregation congruity, the pastor's humility, and his/her traditional value orientation.

### Research Hypotheses

One of the purposes of the present research is to determine whether the leader behavior factors as produced by Bass, especially the transformational ones, would appear with data gathered from other respondents in another situation. His principal components analysis with varimax rotation generated three transformational factors and two transactional ones; and these were treated as independent variables for extra effort, whose measures were also included in his 73-item questionnaire. He notes, however, that as many as 450 respondents would be necessary to ensure stability of results from the number of questions in his instrument (Bass, 1985a:207-209). The tool used for the research reported here includes forty-seven items that cover leader behavior and extra effort (fifty-four items when traditional leadership is included). In this sense, the initial methodological flaw is overcome. Accordingly, the first procedure in the present research is to submit the data to a similar factor analysis in order to test the implicit hypothesis of the presence of the factors as stipulated by Bass.

The heart of the present research is the generation of a set of simultaneous equations to represent the causal processes hypothesized by transformational leadership theory. With the use of such equations, path analysis allows the examination of the internal structure of a theory (Bohrnstedt and Knoke, 1982:419). The technique consists of the production of a system of multiple regression equations which generate numerical measures of combined effects and of the contribution of each

independent variable when all others are adjusted in order to remove their influence on the dependent variable. From the correlation coefficient, one is able to decompose the total effect of a variable into its direct and indirect effects.

Since path analysis is an attempt to trace causal influences, it assumes the three conditions of covariation between variables, non-spuriousness of relationships, and the temporal priority of the independent to the dependent variable (Nachmias and Nachmias, 1981:83-84). As with multivariate analysis in general, controls are statistical. Time order is a more difficult problem for the model to be tested inasmuch as non-reciprocity cannot be absolutely demonstrated. However, one is able to say that, as with many correlational designs involving cross-sectional data, the variables appear to have been temporally ordered by transformational leadership theorists on the basis of theoretical considerations. In addition, path analysis assumes equal variances of Ys for each X (homoskedasticity), a mean value of error terms, and the absence of correlation between error terms and their relevant independent variable (Duncan, 1975:4-5). These assumptions are held to have been met by the model.

The model to be tested by the path analytic procedure is shown in Figure 1. It is expressed mathematically by the following set of equations:

$$X4 = p41X1 + p42X2 + p43X3 + Ru$$

$$X5 = p54X4 + p51X1 + p52X2 + p53X3 + Rv$$

$$X6 = p65X5 + p64X4 + Rw$$

$$X7 = p75X5 + p76X6 + p74X4 + Rx$$

$$X8 = p84X4 + p85X5 + p86X6 + p87X7 + Ry$$

$$x9 = p98X8 + p94X4 + p96X6 + p95X5 + p97X7 + Rz$$

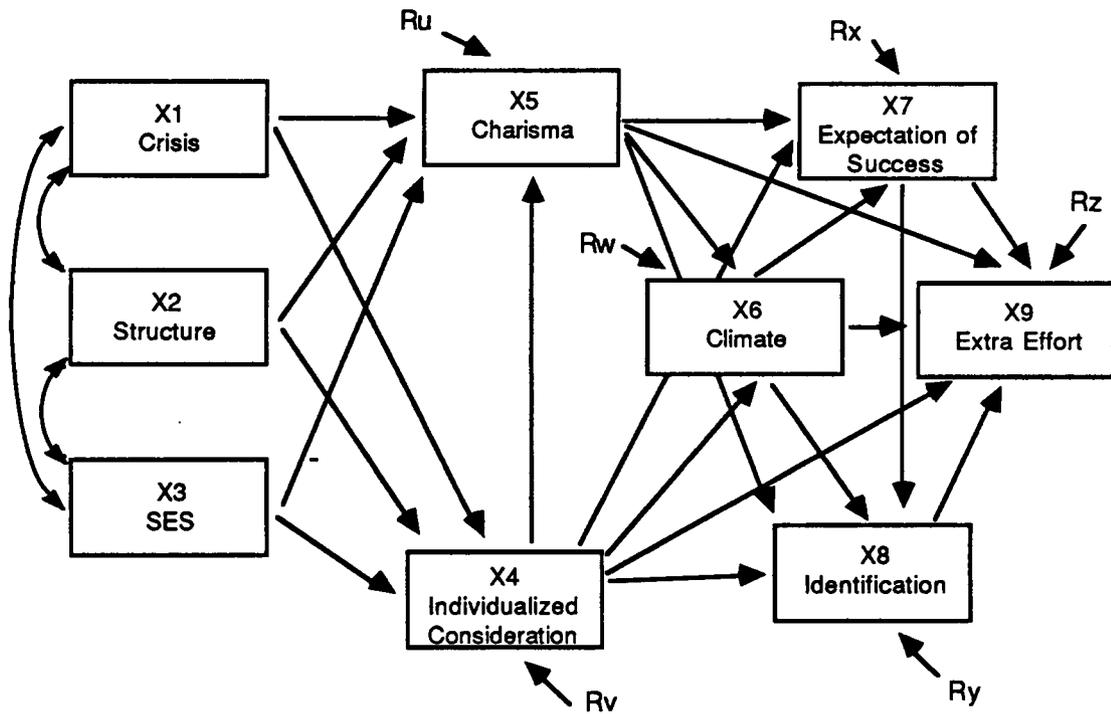


Figure 1  
**Path Diagram of the Transformational Leadership Processes**

The recursive model tested here summarizes the hypotheses predicted by transformational leadership theory as reviewed earlier and specifies the causal processes by which transforming leader behavior supposedly originates and generates the follower outcome of extra effort. Clarity is required at this point concerning the place of the model in this dissertation. The null hypotheses are, of course, the absence of linear, significant relationships between independent and dependent variables (Nie, et al., 1975:332), while for transformational leadership theorists the hypotheses are that the relationships are linear and significant. From the standpoint of the researcher, however, the null hypotheses are, in fact, the research hypotheses. There are many ways the interests of science can be served, and disconfirmation of the propositions of a group of theorists is one of them. What is fundamental, of course, is that all claims, whether originating from a writing researcher or from others, be tested by the rules of evidence. To advance the cause of science, prejudices must be bracketed to the degree to which humans are capable to allow the data to speak for themselves as much as possible. Research is also situational. That is, while it ultimately aims toward generalization and trans-situational principles, it also attempts to discern processes and patterns which may or may not operate at a given time for particular circumstances. It is in the spirit of allowing the claims of transformational leadership theory to stand or fall on the basis of stringent methodological criteria, given the limitations of time, money, and access, that the model is presented and tested.

### Conclusion

The conditions necessary for a test of transformational leadership theory appear to be in place. While more items for some of the concepts,

such as expectation of success and identification, might be desirable, practical considerations limit any additions. The important thing to notice about the items is that they correspond, for the most part, with those used by Bass; in some cases they have been strengthened, as, for example, in the case of the more behaviorally oriented extra effort items. Even so, the weakness of the latter is that they are still perceptual in character. While observational methods may be preferable to the questionnaire approach, it is perhaps sufficient that Bass' procedure be duplicated as much as possible since the aim of the dissertation is a negation of the transformational leadership model.

## CHAPTER FOUR

### METHODOLOGY II: SCALES AND ANALYSIS

This chapter is devoted to two major tasks: to describe the process by which the scales used in the analysis were derived and to evaluate the model of transformational leadership. To anticipate the results of the evaluation, the model developed in the preceding chapter was found to be inadequately supported. Moreover, an indicative regression analysis indicated the plausibility of an alternative model. This revised model and the conclusions it entails will be discussed in the subsequent chapter on interpretation and conclusions.

#### Test of Background Propositions

Before the discussion proceeds, it would be appropriate to consider the background propositions implicit in the argument that transformational leadership generates second-order changes in performance. The reader will recall that transformational leadership theorists argue that transformational leadership is both theoretically and empirically distinct from the transactional type and, further, that Bass produced results in support of differentiation among charisma, individualized consideration, and intellectual stimulation (dimensions of transformational leadership). To test these two propositions, the present research included a principal component analysis with varimax rotation on the questionnaire leadership items, including traditional leadership. The results are shown in Table 1. The items can be identified with the following key: charisma - C; individualized

Table 1

**Rotated Factor Matrix of the  
Complete Set of Leadership Items**

Items	Factor1	Factor2	Factor3	Factor4	Factor5
LOYAL (C)	.10109	.12054	-.10618	.01734	.83464
EXCITE (C)	.52237	.19851	.21507	.10071	.08885
CANDO (C)	.60977	.39655	.16629	.21048	-.01493
SHARES (IS)	.51607	.26274	-.10995	.38533	-.00102
MODEL (C)	-.04371	.10033	.65839	-.00222	.29481
CONSIDER (C)	.67436	.39583	.17740	.21382	.03497
GWORK (CR)	.57552	.04699	-.04405	-.09937	.29272
DECIDE (C)	.13647	-.01814	.70435	.21737	-.03058
COMMIT (C)	.68737	.35970	.22707	.14110	-.00325
WWANT (CR)	.63590	.36460	.10015	.21340	-.00732
POVIEW (C)	.23803	.12910	.66107	-.02059	-.19034
PURPOSE (C)	.70381	.32838	.28254	.07661	-.09902
GUIDE (MBE)	.17889	.09673	-.56148	-.17755	.18509
TREAT (IC)	.18038	.26273	.69947	.01525	.02383
EXPRESS (C)	.54455	.21241	.40403	.04151	-.01019
IMPACT (C)	.70307	.29869	.30908	.07549	-.09723
OWAYS (MBE)	-.15544	-.17045	-.13392	-.75804	.03683
NWAYS (IS)	.07722	.07903	.50051	.43935	.30139
NEGLECT (IC)	.22178	.33445	.57498	.01388	-.19046
TRY (MBE)	-.13292	-.16237	-.11525	-.73645	-.00383
PREACH (TL)	.36000	.50830	.13533	.17964	.13090
HOMES (TL)	.13348	.72916	.17434	.04794	.03830
ADMIN (TL)	.27785	.62417	.17122	.22477	.11354
TEACH (TL)	.29114	.70956	.09443	.11070	.02158
COUNSEL (TL)	.29393	.74693	.18087	.06448	-.01290
PARTIC (TL)	.22812	.72023	.08896	.11609	.00565
CONVERS (TL)	.33094	.73442	.09493	.09507	.03576
Eigenvalues	9.77258	2.23052	1.29125	1.26305	1.06422
Pct. of Var.	36.2	8.3	4.8	4.7	3.9
Cum Pct.	36.2	44.5	49.2	53.9	57.9

consideration - IC; intellectual stimulation - IS; contingent reward-CR; management-by-exception - MBE; and traditional leadership - TL.

Three results of the analysis emerged. First, the only set of items loaded on a single factor was the traditional leadership ones; these included preaching, teaching, visitation, administration, counseling, community participation, and personal conversation. In spite of the emergence of a single factor, however, the correlation between traditional leadership and the transformational scales of charisma (.6989), individualized consideration (.5122), and intellectual stimulation (.4360) are substantial and present serious problems of multicollinearity for later analysis. Second, clear patterns of transformational and transactional items were missing. Thus, the first factor, which accounted for 36.2 percent of the total variance, received heavy loadings on charisma, contingent reward, and intellectual stimulation. The same ambiguity appeared in the third factor, which was characterized by heavy loadings on charisma, individualized consideration, and intellectual stimulation. The same pattern was also true of the final two factors. The only leadership variable not positively correlated with the others is management-by-exception. In short, the present analysis failed to confirm the hypotheses of distinction among the dimensions of leadership. Third, all factors together accounted for only 57.9 percent of the common variance. This figure stands in marked contrast to the 89.5 percent generated by Bass (two of his original factors were dropped when his sample was enlarged and the eigenvalues fell below 1.0) (Bass, 1985a:213). In short, in spite of the heavy emphasis placed by transformational leadership theory upon charisma, there is considerable ambiguity in this concept.

## Scale Construction

The first question regarding scales was whether to employ the two questionnaire items on crisis or the independently derived data on changes (increases or decreases) in the church. The latter was chosen for two reasons. First, the alpha is a function of both number of items and intercorrelations (Bohrnstedt and Knoke, 1982: 361); however, the latter was only .2260, indicating the inadequacy of the two items. The Pearson  $r$  correlation between the crisis scale and the trend data was a negligible  $-.16$ , suggesting that respondents' answers to the perceptual items was little modified by actual demographic changes, although, as the negative sign indicates, there is some basis of perception in actual changes. It is possible, moreover, that the crisis items are affected by non-demographic dynamics internal to the church. For example, the correlation between the crisis scale and the organizational climate scale was a substantial  $-.5308$ , in contrast to a correlation of  $.1166$  between the trend data (time3-time1) and climate. These observations support the choice to use the trend data rather than the perceptual items. Second, although one may hypothesize an inertia in church officials to record decline in the church, trend data are doubtless superior to the crisis scale precisely because they were produced independently of the respondent. Moreover, there is some degree of accountability built into official reportage that is lacking in respondents' answers.

As the reader will recall, trend data were obtained from denominational journals and covered total membership, Sunday School membership and attendance, number of children, and per capita expenditures for the years 1976, 1981, and 1986. When these data were

subjected to a principal component analysis, three factors emerged: an involvement factor (total membership, Sunday School membership and attendance, and number of children), a recruitment factor (baptism), and a financial contribution factor (per capita expenditures). The first set of items was chosen to constitute the trend scale for two reasons: first, the difference in meaning of baptism for the two religious bodies and, second, the inadequacy of financial contributions as an indicator of crisis (the reader will recall, for example, that the giving of UMC members has increased in spite of an overall membership and Sunday School decline). A reliability analysis of the involvement items yielded an alpha of .9571. The principal component analysis results are presented in Table 2.

The trend data were used in the following way: first, the composite mean for each trend variable for the three years was derived. Second, a single scale for each year was obtained by the addition of each variable minus the respective mean. Third, additional variables were created by a process of subtraction (time2-time1, time3-time2, and time3-time1). It was the latter which was entered into the regression equations. Thus, a church with a combined decline on the four involvement items would result in a negatively valued trend data scale.

As already indicated, the structure concept was measured by items on internal hierarchy, rule dependence, extent of participation in decision-making, and group participation. However, only three decision-making items (percent voting on officers and budget), one rule dependence item, and one group participation item were combined to comprise the final organizational structure scale. An initial principal component analysis of the eight questionnaire items produced four factors. The results are

Table 2

**Rotated Factor Matrix of  
Trend Data on the Churches**

Items	Factor1	Factor2	Factor3
TMEMB1	.86327	.34797	.05046
TBAP1	.61758	.33141	.08841
CHILDRE1	.86702	.28090	.13958
SSMEMSH1	.89208	.25652	.15736
AVSSATT1	.87409	.26406	.20305
PLCAPEXP1	.23114	-.04107	.65503
TMEMB2	.82959	.45759	.05745
TBAP2	.27103	.81703	.08123
CHILDRE2	.68962	.62678	.10273
SSMEMSH2	.75096	.59624	.11158
AVSSATT2	.75631	.55313	.14357
PCAPEXP2	-.10481	.29386	.73638
TMEM3	.76560	.58355	.06934
TBAP3	.36367	.74807	.11900
CHILDRE3	.56687	.73715	.14828
SSMESH3	.60254	.71243	.13315
AVSSATT3	.63163	.68956	.16701
PCAPEXP3	.11111	.04640	.62183
Eigenvalues	11.8675	1.2933	1.0054
Pct. ov Var.	65.9	7.2	5.6
Cum Pct.	65.9	73.1	78.7

shown in Table 3. The key is as follows: decision-making - DM, hierarchy - H, rule dependence - R, and participation - P.

As Table 3 shows, the structure concepts failed to be unambiguously distinguished; only decision-making and rule dependence emerge as distinct. In order to maximize a common dimension the researcher ran a reliability analysis for the initial eight items, then for the final five. The alpha for the first was .4631, and for the second, .5711. The alpha for the final scale is admittedly low, but the deletion of any of the items would have failed to increase it.

The rule dependence item may measure discretion in internal church affairs. If this is the case, all five items would be indicators of group control over internal affairs.

The charisma scale consists of nine of eleven possible items. They can be categorized as follows: confidence in followers' ability to accomplish organizationally relevant outcomes (two items); mission articulation (three items); inspiration (one item); and empowerment (two items). Along with an inspirational item, these items yielded two factors which together accounted for 60.9 percent of the variance. The inspirational item was dropped when its deletion caused the alpha to increase to .8774. The results are given in Table 4.

The questionnaire included only two individualized consideration items. They produced an alpha of .6405, which is acceptable for only two items. The socio-economic status scale was likewise composed of only two items, average income of members and average educational attainment. Their alpha was .6061, but their intercorrelation was .5490, suggesting their adequacy for the scale.

Table 3

**Rotated Factor Matrix of  
Church Organizational Structure Items**

Items	Factor1	Factor2	Factor3	Factor4
PERMISS (H)	- .00078	.60946	.31413	.26199
PERCENT (DM)	.12198	.73451	-.25497	-.06799
RULES (RD)	.00805	.71804	.04789	-.09053
QUESTION (RD)	-.01492	-.04457	-.02663	.94874
OVER (H)	.10256	.17147	.76858	.11576
BUDGET (DM)	.94390	.05269	-.03659	-.00332
OFFICERS (DM)	.94989	.02129	-.03333	-.00704
SOME GP (P)	.22248	.21361	-.64819	.19569
Eigenvalues	2.02399	1.42294	1.12442	1.01905
Pct of Var.	25.3	17.8	14.1	12.7
Cum. Pct.	25.3	43.1	57.1	69.9

Table 4

**Rotated Matrix of  
Charismatic Leadership Items**

Items	Factor1	Factor2
EXCITE	.62017	.12152
CANDO	.79841	.10086
MODEL	.04297	.77970
CONSIDER	.81325	.15213
DECIDE	.16808	.77924
COMMIT	.82743	.14501
POVIEW	.30943	.63168
PURPOSE	.82396	.20083
EXPRESS	.60987	.35698
IMPACT	.80228	.23164
Eigenvalues	4.79841	1.29473
Pct of Var.	48.0	12.9
Cum. Pct.	48.0	60.0

Twenty-three questionnaire items were designed to measure extra effort, but the final scale consisted of twelve items. Two questions were asked of respondents: "our pastor leads the following groups to outstanding achievement" and "our pastor has led the following groups in increase their level of activity"; bot questions specified typical church members, lay leaders, youth groups, men's groups, women's groups, and senior citizens. A principal component analysis generated three factors, the first consisting of the items just mentioned, the second of responses to the question, "the following groups are working harder now than they did a year ago," and a church performance factor (average attendance in church and Sunday School, membership, number of groups, and financial contributions). The results are given in Table 5.

The items in the first factor were chosen to constitute the extra effort scale for the following reasons: first, they were originally based on the items used by Bass in his study, in contrast to the other two items which were developed by the researcher. The reader will recall from chapter three that the two questionnaire items were strengthened forms of "increases the motivation" and "to achieve more than they expected they could do" (Bass). In order to pursue the logic of replication as much as possible, they are used as the measure of extra effort in the present research. Second, their squared multiple correlation coefficients were consistently higher (from .772 to .8834) than those of the other items (.3495 to .6973). Third, their deletion would have caused the alpha to fall below the .9497 level. It may also be noted that the items comprising the church performance factor were excluded from consideration because of their similarity to the items constituting the trend data scale (see Q-4 in the questionnaire). It may also

Table 5

## Rotated Factor Matrix of Extra Effort Items

Items	Factor1	Factor2	Factor3
ACHCM	.81015	.20083	.17715
ACHLL	.81757	.18362	.17538
ACHYG	.76967	.22121	.09347
ACHMG	.86316	.20207	.17056
ACHWG	.84155	.17592	.09982
ACHSC	.79141	.19030	.10815
INCCM	.77535	.24248	.24792
INCLL	.81912	.20359	.20117
INCYG	.80220	.25055	.13927
INCMG	.85185	.20528	.14456
INCWG	.85584	.20551	.11555
INCSC	.81359	.17699	.13002
HARDCH	.20573	.73709	.21640
HARDLL	.24437	.79662	.09033
HARDYG	.19685	.77929	.22356
HARDMG	.21671	.76659	.17438
HARDWG	.20908	.79059	.08255
HARDSC	.27786	.70980	.05691
WORSHIP	.14218	.13644	.87406
SS	.16101	.12670	.83142
CHMEM	.11932	.07948	.83738
GROUPS	.13423	.25808	.66860
FINAN	.23693	.10250	.58564
Eigenvalues	11.07378	2.76647	2.15089
Pct. of Var.	48.1	12.0	9.4
Cum. Pct.	48.1	60.2	69.5

be pointed out that the results of analysis using "working harder" as a measure of extra effort will be presented in a subsequent chapter.

The final scales entailed by the path model were expectation of success, organizational climate, and identification with the organization. At this point, however, the results of a principal component analysis required a revision of the original model. Essentially, the variables specified by transformational leadership theory failed to emerge as empirically distinct. The results of the analysis are shown in Table 6, and the items can be identified by the following key: expectation of success - ES; organizational climate - CL, and identification - I.

As can be seen from Table 6, all of the climate items, with the exception of consensus, define the first factor, but this is also true of the items designed to measure expectation of success and identification with the organization. The unidimensionality of the first set of items is underscored by an alpha of .7109 (when consensus is deleted), up from .3527 when only the climate items are included in the reliability analysis. In a second principal component analysis, consensus was eliminated; this time only one factor resulted. Accordingly, expectation of success and identification were removed from the model. The content of the final scale is as follows: willingness of members to try new programs even if this means discarding long-established ones, members' belief that their church would increase its membership, happiness of members to invite strangers to visit and join their church, members' belief that their church would grow in the next four years, members' perception of their church in a favorable light upon comparison of it with churches of similar size that are doing well, members' willingness to accept what is asked of them, and willingness of pastor and lay leaders to

Table 6

## Rotated Factor Matrix of Organizational Climate Items

Items	Factor1	Factor2
CONSEN (CL)	-.04683	.85649
NPROG (CL)	.66098	-.26625
INCMEMB (ES)	.66549	-.03650
HAPPY (I)	.52288	.30090
NEXT (ES)	.68300	.11229
LIGHT (I)	.62175	.24382
ACCEPT (CL)	.48880	.42970
SLOW (CL)	.45572	.05388
Eigenvalues	2.55792	1.05305
Pct. of Var.	32.0	13.2
Cum. Pct.	32.0	45.1

respond to question and concerns about the church budget. On the basis of these contents, the climate scale was defined as a general satisfaction with the local church. The correlation matrix of the final scales is given in Table 7.

With the incorporation of expectation of success and identification items into the climate scale, the revised model is given by the following equations:

$$X4 = p41X1 + p42X2 + p43X3 + R_w$$

$$X5 = p54X4 + p51X1 + p52X2 + p53X3 + R_x$$

$$X6 = p64X4 + p54X4 + R_y$$

$$X7 = p76X6 + p75X5 + p75X4 + R_z$$

#### Problems with the Model

However, there are problems with the model which militate against its acceptance as a reflection of leadership processes. First, in an early principal component analysis, individualized consideration failed to emerge as a separate dimension. Both individualized consideration items, Q-1,R and Q-1,W (see questionnaire), were heavily loaded on the third factor along with charisma, intellectual stimulation, and management-by-exception. In a later principal component analysis, when the two individualized consideration items were added to the nine charisma items, two factors emerged. The results are given in Table 8.

As can be seen from Table 8, the two individualized consideration items load with two charisma items, Q-1,L and Q-1,O (see questionnaire). A reliability analysis of all eleven items yielded an alpha of .8902, in contrast to an alpha of .8774 when only the nine charisma items were considered. Since the two items load with charisma-empowerment items, it

Table 7

**Correlation Matrix of  
Transformational Leadership Scales**

	TREND	SES	STRUC	IC	CHARIS	CLIM
TREND						
SES	.0602					
STRUC	.0143	-.0864				
CHARIS	.0225	-.0038	.3303			
IC	.0092	.0490	.2209	.6406		
CLIM	.1166	.1658	.4404	.4160	.3030	
EXEFF	.0924	.0100	.2922	.7650	.5186	.3937

Table 8

**Rotated Factor Matrix of  
Charisma-Individualized Consideration Items**

Items	Factor1	Factor2
EXCITE	.6285	.1309
CANDO	.8027	.1442
CONSIDER	.8005	.2058
DECIDE	.1068	.7266
COMMIT	.8122	.2173
POVIEW	.1978	.7442
PURPOSE	.7956	.2902
EXPRESS	.5660	.4252
IMPACT	.7662	.3245
TREAT	.2307	.7537
NEGLECT	.3170	.6743
Eigenvalue	5.3565	1.3302
Pct. of Var.	48.7	12.1
Cum. Pct.	48.7	60.8

is plausible to conceive of all of them as aspects of the same relational, empowering phenomenon, in which case charisma either needs to be more narrowly limited to mission articulation or enlarged to embrace individualized consideration. At any rate, since the two concepts are distinguished by Bass, the latter is dropped from the model. The implications of the differentiation in the concept of charisma will be discussed in the next chapter.

The second problem with the model is that some of its fundamental assumptions failed to be satisfied. In path analysis, the presence of a line between two variable indicates a prediction of a significant path coefficient, while the absence of a line between variables represents a hypothesis of a zero or a non-significant beta coefficient. The assumptions can be quickly tested by the construction of fully-saturated model, i.e., one in which all variables are related to each other. This model is represented by the coefficients in Table 9. Granting for the moment the propriety of including individualized consideration in the model, an important assumption is that the effects of the exogenous variables on the outcomes are wholly mediated by the leadership variables. In fact, and contrary to the model, Table 9 shows (1) that individualized consideration is unrelated to extra effort; (2) that all three exogenous variables are directly related to organizational climate while individualized consideration is not (structure explains more variance in climate than does charisma); (3) that the trend data and the socio-economic status variable are unrelated to charisma; and (4) that the trend and socio-economic status variables are unrelated to individualized consideration. While some predicted relationships are supported, e.g. those between climate and charisma and extra effort, the analysis shows that the

Table 9  
**Multiple Regression Test of the Assumptions  
 Underlying the Transformational Leadership Model**

<u>Dependent Variable= Extra Effort</u>				
<u>Variables</u>	MR	R <sup>2</sup>	SE	Beta
Climate				.0706#
Charisma				.6598*
Individualized Consideration				.0326
Trend				.0508
Socio-economic Status				-.0023
Structure	.7248	.5254	6.5809	.0264
<u>Dependent Variable= Climate</u>				
<u>Variables</u>				
Charisma				.2661*
Individualized Consideration				.0442
Trend				.0720#
Socio-economic Status				.1785*
Structure	.5461	.2983	3.558	.3418*
<u>Dependent Variable= Charisma</u>				
<u>Variable</u>				
Individualized Consideration				.5919*
Trend				.0115
Socio-economic Status				-.0166
Structure	.6579	.4329	4.5208	.1866*
<u>Dependent Variable= Individualized Consideration</u>				
<u>Variable</u>				
Trend				.0012
Socio-economic Status				.0652
Structure	.2252	.0507	1.6942	.2209

\*p=.0000

#p<.05

original model is misspecified; therefore, its further evaluation would be pointless. The multiple regression results and the entailed alternative model will be discussed in the following chapter.

### The Effects of Transformational and Transactional Leadership Compared

The reader will recall that three questions, as enunciated in chapter one, guide the present research. The bulk of the dissertation deals with the first two, which have been elaborated in the form of a model. The assumption behind the propositions is, of course, that transformational leadership will appreciably account for extra effort and organizational climate and so will be shown to be a better predictor than transactional leadership. An alternative way of dealing with this assumption is by directly comparing the effects of the two types of leadership on the several outcome variables. The model can, of course, stand by itself as a test of transformational leadership theory; and it is the centerpiece of the research. However, there is merit in directly comparing the effects of the two types of leader behavior. Admittedly, the present section is something of a digression, but it contributes, nonetheless, to the overall design of the dissertation, which is to test the validity of transformational leadership theory. It is to be noted that satisfaction with the leader is added as a dependent variable. Such an inclusion is appropriate given the variable's importance in leadership studies and the claims made by transformational leadership theory with regard to it; as is true of extra effort and organizational climate, Bass has argued that transformational leadership produces a second-order level of satisfaction with the leader (1985a: 219).

This section is devoted to answering three questions: (1) can the transformational, the transactional, and the traditional forms of leadership

be distinguished vis-a-vis their effects on extra effort? (2) Can the three leadership modes be distinguished vis-a-vis their effects on organizational climate? (3) Do the three types of leadership differ in their effects on satisfaction with the leader?

In order to deal with the above questions, three scales were used: one consisting of traditional leadership items with the exception of the one on personal conversation; a second one composed of all the transactional leadership items; and a third consisting of all the transformational leadership items. The last combination was affected when (a) high intercorrelations between charisma and the other transformational dimensions emerged in a correlation matrix and (b) the tolerance for charisma was calculated at .386 for all three systems in an earlier regression analysis. The alpha for the transformational scale was .89. Multicollinearity also casts suspicion on the conclusions drawn by Bass from his correlations. The transactional leadership scale presented a serious problem. While a principal component analysis produced two factors (management-by-exception and contingent reward), the alpha for all items was only .183; the highest correlation, .35, was between two contingent reward items. With such a low unidimensionality of measurement, one may properly expect ambiguous results. However, the analysis was restricted to these items, and nothing could be done to improve the data.

The procedure used to deal with the three questions is multiple regression. The results are shown in Table 10. The intercorrelations of the independent variables are .0292 for traditional and transactional leadership; .7037 for traditional and transformational leadership; and -.0405 for transactional and transformational leadership. Although the correlation

Table 10  
**A Comparison of Effects of Leadership Styles upon  
Organizational Climate, Extra Effort,  
and Satisfaction with the Leader**

<u>Independent Variable= Climate</u>				
<u>Variables</u>	<u>MR</u>	<u>R<sup>2</sup></u>	<u>SE</u>	<u>Beta</u>
Traditional Leadership				.2481*
Transactional Leadership				-.1146*
Transformational Leadership	.4590	.2107	3.7664	.2382*
<u>Independent Variable= Extra Effort</u>				
<u>Variables</u>				
Traditional Leadership				.3174*
Transactional Leadership				.0973*
Transformational Leadership	.7586	.5755	6.2065	.5042*
<u>Independent Variable= Satisfaction with the Leader</u>				
<u>Variable</u>				
Traditional Leadership				.3619*
Transactional Leadership				.0112*
Transformational Leadership	.6467	.4182	1.0933	.3464*

\*p=.0000

between transformational and traditional leadership is high, their tolerances are just acceptable (.5535 and .5539, respectively).

The first thing to notice about the first part of Table 10 is the low  $R^2$ , which signifies that non-leadership variables not included in the system are largely accounting for a favorable organizational climate. It could be argued that while the explained variance is higher in the other two systems, they are disappointingly low in view of the comprehensiveness of the independent variables and the exaggerated claims made of transformational leadership theory. The results are, however, consistent with the theory in that the transactional leadership scale has a negligible beta and in that it is negative. Traditional and transformational leadership, on the other hand, contribute equally to the explained variance. The same equality holds, for the most part, for the other two systems; the differential in the betas for the second system is to be noted, however. Apparently, while transformational and traditional leadership contribute heavily to both extra effort and satisfaction with the leader, in contrast to transactional leadership, which contributes little to the variance explained, the former is more important than traditional leadership for extra effort; and for satisfaction their effects are roughly comparable. The analysis therefore provides evidence for the differential impact of transactional and transformational leadership in keeping with theory's predictions. Caution is perhaps suggested in the interpretation of the differential contribution of transformational and traditional leadership, given the high correlation between the two scales.

In summarizing this section, two observations can be made. First, the argument of transformational leadership theory that transforming leadership is more predictive of outcome variables than transactional

leadership is supported; this is most clear in the cases of extra effort and satisfaction with the leader. However, one must bear in mind the extremely low unidimensionality of the transactional items. In fact, the scale's alpha is so low that the reliability of the results of the analysis is suspect, at least with regard to the contribution of transactional leadership. The major variables in distinguishing the two groups are transformational and traditional leadership. Second, in the case of satisfaction with the leader, traditional leadership is the most explanatory variable and the major contribution to the discriminating function. Why this is the case would be instructive to explore.

### Conclusion

The results of the preceding analysis are mixed with regard to transformational leadership theory. First of all, there is considerable ambiguity in connection with the major variables. Thus, individualized consideration, expectation of success, and identification with the organization failed to emerge as distinct and were, accordingly, dropped from the model. Moreover, there is ambiguity as to the meaning of the central leadership variables of charisma since, when it is combined with individualized consideration, the two overlap. Second, not only are the paths involving expectation, identification, and individualized consideration dropped from the model, but the predicted relationships between the exogenous and leadership variables failed to be supported, except for that between structure and charisma. Instead, the predetermined variables all predict organizational climate, a fact which reduces the importance attached to the leadership variables. All of the above results are serious obstacles to the acceptance of transformational leadership theory. On the other hand,

the major and distinguishing hypotheses are supported; in particular, charisma predicts both member satisfaction with the organization and extra effort, as will be shown below. These confirmed relationships justify the plausibility of the central core of the theory. However, questions remain concerning the conceptual status of charisma and extra effort. Third, transformational leadership theory is weakly supported in its contention of a differential impact of transformational and transactional leadership on the outcome variables. However, the conceptual uncertainty as to the meaning of charisma and extra effort noted above requires further consideration. In any discussion of transformational leadership, fourth, it will be necessary to recall the inability of the principal components analysis to clearly differentiate among the five leadership dimensions. Although the regression and discriminant analyses disclosed a difference in impact of transformational and transactional leadership upon the outcome variables, it should be obvious that an absence of empirical distinctiveness among the five hypothesized factors chips away at the foundation of the theory itself.

## CHAPTER FIVE

### ANALYSIS OF THE INDUCTIVE MULTIPLE REGRESSION RESULTS

As the preceding chapter indicated, there are serious problems with the original model of the transformational leadership process. The first had to do with the inability of the data to yield the distinct leadership dimensions as hypothesized by the theory. The second involved the failure of the data to satisfy the model's assumptions. In other words, the model was found to be misspecified. The present chapter is devoted to an analysis of the model which was generated by inductively structured multiple regression.

#### A Methodological Note

Since the model developed in the present chapter is different from the one originally constructed, it is appropriate at this point, given the criticisms directed by McPherson (1976) against "theory trimming," to inquire into the logical status of the former. Theory trimming, as defined by McPherson, involves the deletion from a model of path coefficients which are calculated at zero or which are non-significant; and it often entails the confusion between the model developed in a post hoc fashion from the model constructed on the basis of theory. As McPherson points out, the assumption is often made by practitioners of theory trimming that the resultant model is more valid or realistic than the analytically-derived model. Since, in chapter five, paths were deleted from the model based upon transformational leadership theory, the question is whether the

present research has fallen prey to the methodologically questionable procedure of theory trimming.

Perhaps the best way to deal with this issue is by detailing the assumptions of the original model and the analysis undertaken. The basic structure of the original model based upon the theory is as follows: (1) the exogenous variables produce certain leadership acts; (2) the leadership variables produce the outcomes of organizational climate and extra effort; and (3) relationships between the exogenous and outcome variables are non-existent, since the former are mediated by the leadership variables. However, as chapter five shows, important theoretically-derived expectations failed to be supported by the data. Moreover, the analytically-based model was seen to be deficient because, first, individualized consideration could not be substantiated as a separate leadership variable and, second, expectation of success and identification with the organization could not be supported as independent outcome variables (they were eventually incorporated within the climate variable). In other words, expectations derived from transformational leadership theory were falsified. In fact, to deal only with the regression analysis, the exogenous variables were found to be related to the outcome variable of climate and the trend scale and socio-economic status to be unrelated to the single remaining leadership variable. To this point, then, the procedure taken in this research satisfied the demands of legitimate model testing.

The logic of the inductive multiple regression analysis is governed by the structure of the model based upon the theory. First, extra effort as the final criterion in the model was used as the dependent variable in the first system, with all the other variables in the model as independent variables.

Second, climate, as the other outcome variable analytically prior to extra effort, was used as the dependent variable in the second system, with all other variables except extra effort used as independent variables. Third, leadership, and in particular, charisma, since individualized consideration had been eliminated, was used in the third system as the dependent variable, with the exogenous variables serving as independent variables. The resulting model is, of course, a post hoc creation. It is at this point that the procedure could become susceptible to the strictures articulated by McPherson, since there are no longer any predictions involved, i.e., there are no zero coefficients against which the path estimates can be compared.

To bring the above discussion to a focus vis-a-vis the possibility of theory trimming in the present study, it can be reiterated that the theory was tested in chapter five. There the analysis disclosed that the expectations generated by transformational leadership theory failed to be satisfied. This was shown to be the case on the two bases: principal component and multiple regression analyses. It should be stated clearly that the analysis in the present chapter is not theory-testing; that was, to repeat, accomplished in chapter five. As McPherson states, "it is absolutely crucial to make a distinction between observing empirical regularities and predicting them" (1976: 103). Falsification of the model in this chapter cannot occur. Instead, all that is being attempted is the observation of "empirical regularities."

### The Revised Model

The chief characteristics of the revised model are (1) the absence of direct effects of the socio-economic status of members and negative changes (crisis) on charisma, (2) direct effects of the exogenous variables on

organizational climate, and (3) the exclusion of individualized consideration as a leadership variable; one should also recall the elimination of paths to and from expectation of success and identification with the organization. The second characteristic vitiates the prominence of leadership acts as found in transformational leadership theory, and the third reduces the explanatory possibilities of leadership behavior. In Table 11, where the multiple correlation, the  $R^2$ , and the standard error of the estimate are given for each system, the results of the inductive multiple regression can be seen.

The equations defining the inductively derived model are given as follows:

$$X4 = p43X3 + Rx$$

$$X5 = p54X4 + p51X1 + [52X2 + p53X3 + Ry$$

$$X6 = p64X4 + p65X5 + Rz$$

The results as indicated in Table 11 are portrayed in figure 2. For purposes of analysis, the figure will be called Model I.

As the results indicate, charisma, the single leadership dimension remaining from the previous analysis, is virtually unexplained by transformational leadership theory ( $R^2 = .1003$ ). The major reason for the decline in the variance explained from the system proposed by the theory is the omission of individualized consideration as one of the independent variables, which artificially inflated the  $R^2$  (beta of .4329). Since the exogenous variables cover wide-ranging aspects of social life relevant to organizations, charisma appears to be a phenomenon with virtually no connection to antecedents. The only variable with significant effects on the appearance of charisma is organizational structure. The latter variable, it will be recalled, measures the degree of involvement of members in the

Table 11

**Inductive Multiple Regression Analysis of  
Transformational Leadership Processes  
(Significant Betas Only)**

<u>Dependent Variable= Charisma</u>				
<u>Variables</u>	MR	R <sup>2</sup>	SE	Beta
Structure	.3167	.1003	5.6888	.3173*
<u>Dependent Variable= Climate</u>				
<u>Variables</u>				
Socio-economic Status				.1807*
Trend				.0718*
Structure				.3428*
Charisma	.5451	.2971	3.5577	.2937*
<u>Dependent Variable= Extra Effort</u>				
<u>Variables</u>				
Charisma				.6834*
Climate	.7244	.5247	6.5792	.0859#
p=.0000				
#p<.05				

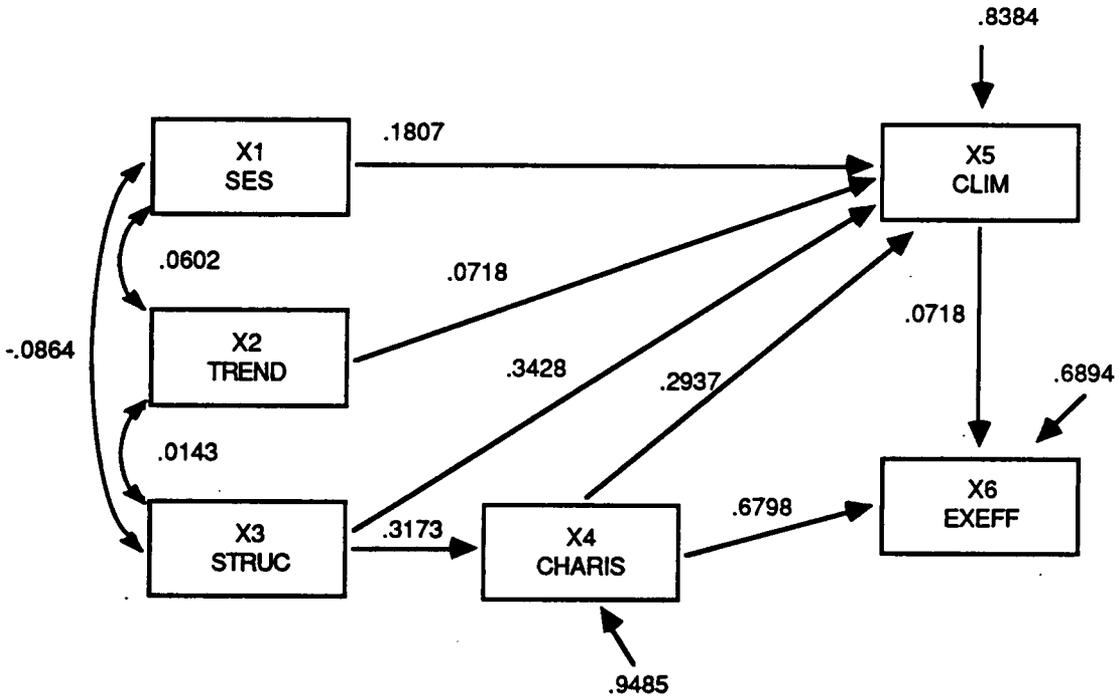


Figure 2  
**A Model of Transformational Leadership  
 Processes Derived from Inductive Multiple Regression**

internal affairs of the church. In other words, the greater the extent of responsibility members have for the major decision areas, the greater the likelihood of charisma on the part of the leader.

Nonetheless, one must question the meaning of charisma in the theory in view of its historical connection with low socio-economic status of followers (Weber, 1978:178-179; 1958:247) and "emergency and enthusiasm" (Weber, 1978: 232), the latter of which apparently awaits some personage who articulates the inchoate tendencies. Empirically, Mulder et al. (1970) echo the classical connection when they show that crisis, defined as threat to the "survival of the system," is associated with the emergence of a non-consultative and non-relationally oriented leader who enunciates relevant directions. Transformational leadership theory properly reflects the conventionally recognized determinants of charisma, at least with regard to socio-economic status and crisis, but as a variable in the model charisma is almost unexplained. It is plausible to argue that the problem lies in the concept of charisma. As Weber, for example, has argued (1947:361), charisma, as a strictly sociological phenomenon, is revolutionary and breaks the bounds of traditional and bureaucratic authority. In other words, charisma appears outside normal channels of behavior by creating "new obligations" (Weber, 1947: 361). But in transformational leadership theory, charisma is harnessed to the interests of participants in organizational routine; in fact, it could be argued that it serves the interests of organizational elites, as seen in Bass' emphasis on its serving increased productivity. Of course, the reader may recall Weber's observations on the "routinization of charisma" (1947: 363-366), which postulate the integration of the original leadership impetus into normal economic and social

arrangements. But if transformational leadership theory has in mind such routinized charisma, or a charisma of office, one wonders why its theorists invoke explanatory variables belonging to a different genre of social events (Weber saw charisma as the authority counterpart to the affectual type of social action, not to value-rational action, the latter of which seems to underlie transformational leadership theory's preoccupation with goal enuciation). Again, the problem seems to be misspecification. Given these considerations, particularly the one which suggests that transformational leadership theory fails to cohere with the classical concept of charisma, perhaps it is not surprising that the measure of member control over, and integration into, the organization is the only exogenous variable which predicts the appearance of charisma as it is defined in the theory. Perhaps it is not too farfetched to suggest that what transformational leadership theorists are really measuring is goal clarification, a concept, it may be recalled, which has already been developed by path-goal theory.

With regard to organizational organizational climate, and with paths leading from the exogenous variables and charisma, the variance explained is low at .2971, especially in view of the heavy emphasis placed upon the effects of charisma by transformational leadership theory. In fact, organizational structure is more predictive of organizational climate than is charisma, followed by socio-economic status at .1807. In other words, the major determinant of general satisfaction with the organization is members' control over the organization, not charisma. Thus, the emergence of socio-economic status and structure, along with charisma, as predictors of satisfaction with the organization and perceived prospects for the future runs headlong against the major thrust of transformational leadership

theory. In addition, increase in membership and in general member activity (positive values of the trend scale) is also a significant predictor of organizational climate. Thus, demographic and structural factors are significant predictors of organizational climate apart from the pastor's leadership. It may be noted that although climate's explained variance is low, it is still an improvement over .1648 when charisma and individualized consideration alone are used as explanatory variables, as in the original model.

In connection with extra effort as the criterion, the major role of charisma as defined by the theory reasserts itself (beta of .6998). The  $R^2$  jumps to a more respectable .5247. In this system, only organizational climate and charisma have direct effects. It may be noted that the deletion of individualized consideration virtually left the variance explained unchanged, with an  $R^2$  of .5229 in the original system.

Another way to assess socio-economic status the revised model is by a decomposition of effects. The relevant information is given in Table 12. Since the effects have already been discussed, only brief comments are in order. As Table 12 shows, two relationships involve indirect effects. According to the model, structure affects climate indirectly through charisma only slightly (.0932). With a total effect of .436, it is clearly the most important significant predictor of organizational climate; people feel more satisfied and positive about their organization to the degree to which they participate in its shaping. The indirect effect of charisma on extra effort through organizational climate is almost non-existent (.0211); frankly, this result is strange from the standpoint of transformational leadership theory. With a total effect of .7099, charisma emerges as the

Table 12

**Decomposition of Effects of  
Transformational Leadership Variables**

Bivariate Relationship	Total Covariance	Direct Effects	Indirect Effects	Total Effects	Non-causal
X1X5	.1658	.1807		.1807	-.0149
X2X5	.1166	.0718		.0718	-.0448
X3X5	.4404	.3428	.0932	.4360	.0044
X3X4	.3303	.3173		.3173	.0130
X4X5	.4160	.2937		.2937	.1223
X4X6	.7650	.6798	.0211	.7009	.0641
X5X6	.3937	.0718		.0718	.3219

most important predictor in the model. The large non-casual component of X5X6 is due to the common dependence of extra effort on climate and charisma.

### Alternative Models Based Upon Different Conceptions of Charisma

As was pointed out in the last chapter, a major problem with transformational leadership theory is an imprecise delimitation of leadership behavior. As already noted, Bass admits that intellectual stimulation overlaps with charisma; for that reason the former was omitted from the original and subsequent models. In addition, individualized consideration was dropped from the analysis because of its lack of sufficient distinction from the charisma items. In the last chapter, results showed that the former loaded with two charisma items and that its addition to the charisma scale in a reliability analysis caused the alpha to increase. Table 8 demonstrates that the nine charisma items and the two individualized consideration items yield two factors. The first consists of six items; three of these measure mission articulation and deal with the leader's ability to orient followers to future accomplishment of organizationally relevant desiderata; two measure the leader's confidence in the followers' interest in goal accomplishment and in their ability to realize such ends; and one, an inspirational item, measures the leader's ability to generate followers' commitment to their organizational responsibilities. Because of the future orientation implicit in the factor, it may properly be called mission articulation. The other factor consists of two empowerment items (Q-I, L and Q-10), and the other two items, formerly considered as individualized consideration, measure the leader's non-discriminative attentiveness to the unique needs of members. The second factor may be defined as

empowerment-relational attentiveness. What the principal component analysis suggests, given the weight placed upon the concept by transformational leadership theory, is the desirability of a more precise definition of charisma. It is possible, moreover, that different models are associated with the two factors. In order to test this possibility, a multiple regression analysis was conducted with each charisma variant, with the items in the first factor being called charisma1 and the four in the second factor being called charisma2. Table 13 displays the results of the analysis using charisma1 (mission articulation).

The use of charisma1 in the analysis produces even more significant changes in the model hypothesized by transformational leadership theory. As before, exogenous variables are directly related to climate. But, interestingly, the trend scale drops out as significant, and there is likewise no significant effect of organizational organizational climate on extra effort. The results are graphically displayed in Figure 3. The model will be called Model II. As Figure 3 shows, with charisma1 (mission articulation) as the criterion, there are even fewer determinants than before. But even more strikingly, with the absence of a path from organizational organizational climate, the effects of the leadership variable appear to be the sole determinant of extra effort (beta of .702). The model has mixed implications for the theory. On the one hand, it is weakened still further in that one of the twelve propositions is disconfirmed (proposition 19), leaving only three confirmed. On the other hand, the theory is strengthened in that the central role of charisma (as mission articulation) is supported.

When charisma2, or empowerment-relational attentiveness, is used in the analysis, a different model emerges along with significant implications

Table 13

**Inductive Multiple Regression Analysis of  
Transformational Leadership Processes Using Mission  
Articulation as Charisma1  
(Significant Betas only)**

<u>Dependent Variable= Charisma1 (Mission Articulation)</u>				
<u>Variables</u>	MR	R <sup>2</sup>	SE	Beta
Structure	.2996	.0898	4.2347	.2993*
<u>Dependent Variable= Climate</u>				
<u>Variables</u>				
Socio-economic Status				.1800*
Structure				.3456*
Charisma1	.550	.3026	3.5438	.3022*
<u>Dependent Variable= Extra Effort</u>				
<u>Variables</u>				
Charisma1	.7423	.5511	6.3942	.7020*

p=.0000

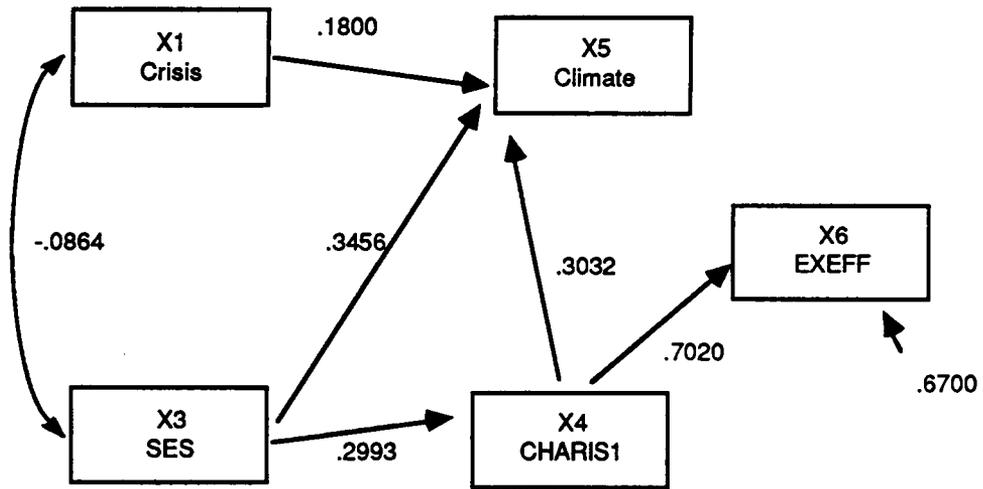


Figure 3  
**An Inductive Model of Leadership Processes  
 with Mission Articulation as Charisma1**

for the emphasis placed on leadership acts by transformational leadership theory. The multiple regression results are given in Table 14.

The outstanding characteristics of the model using charisma2 are (1) changes in the betas, (2) changes in the variance explained, and (3) a direct path from organizational structure to extra effort. Figure 4 portrays the results of the above table. The model will be called Model III.

In Model III the variance explained in all three systems falls, slightly for charisma2 and climate as criterion variables and dramatically in connection with extra effort (from .5247 for Model I and .5511 for Model II). In the absence of a forceful leader, there is apparently an increase in non-system variables accounting for extra effort. In the case of the betas, a general equality exists for all three models in connection with the relationship between the exogenous variables and organizational climate (except for the trend variable in Model II, which is non-significant). There is a drop in the beta for structure-charisma2 from Model II (.2993) and from Model I (.3173). Member involvement in decision-making still accounts for empowerment-relational attentiveness but less than is the case for charisma as mission articulation and less than is the case for charisma as a combined phenomenon. The most substantial beta changes occur in connection with the effects of charisma2 on climate, the effects of climate on extra effort, and the effects of charisma2 on extra effort.

The Model III beta for charisma2 and climate (.1948) drops from .3022 for Model II and from .2937 for Model I. There is, therefore, less of an impact of charisma as empowerment-relational attentiveness on the general satisfaction of members with their church. In the second case, the change is indeed dramatic; the beta for climate-extra effort (.2142) jumps

Table 14

**Inductive Multiple Regression Analysis of Transformational Leadership Processes Using Empowerment-Relational Attentiveness as Charisma2 (Significant Betas Only)**

<u>Dependent Variable= Charisma2</u>				
<u>Variables</u>	<u>MR</u>	<u>R<sup>2</sup></u>	<u>SE</u>	<u>Beta</u>
Structure	.2487	.0618	2.9055	.2467*
<u>Dependent Variable= Climate</u>				
<u>Variables</u>				
Socio-economic Status				.1768*
Trend				.0801#
Structure				.3870*
Charisma2	.5051	.2551	3.6625	.1948*
<u>Dependent Variable= Extra Effort</u>				
<u>Variables</u>				
Structure				.0880*
Climate				.2143*
Charisma2	.5251	.2757	8.1220	.3742*

\*p=.0000

#p<.04

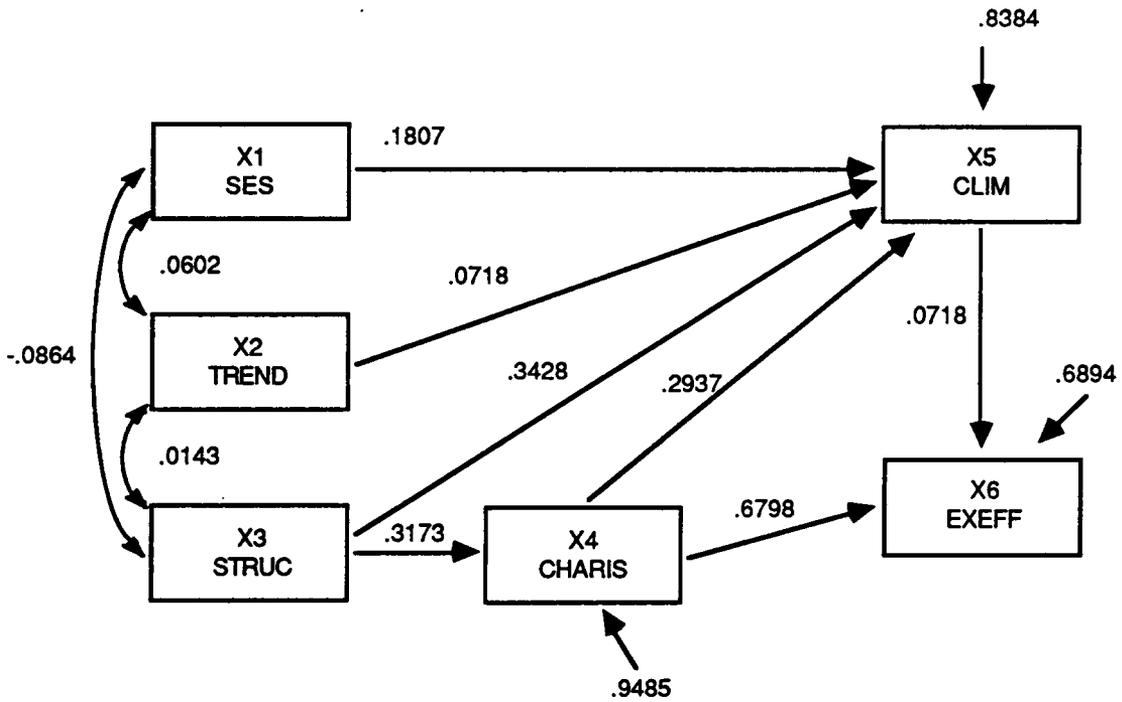


Figure 4  
**An Inductive Model of Leadership Processes  
 with Empowerment-Relational Attentiveness as Charisma<sup>2</sup>**

from .0718 (Model I) and from a non-significant .0546 for Model II. Apparently, in the absence of a highly persuasive mission articulator, the organizational organizational climate asserts itself as a determinant of extra effort; the elimination of the one prompts the emergence of the other. These results suggest a tension built into transformational leadership theory. On the one hand, mission articulation appears to be the most distinctive feature of the concept of charisma in the theory, as, for example, in Bennis and Nanus who speak of it as the "spark of genius in the leadership function" (1985:103), but an accent on this aspect eliminates the impact of organizational climate on extra effort. In this case proposition 19 would be disconfirmed. On the other hand, charisma as empowerment-relational attentiveness is relatively non-distinctive since comparable ideas are clearly found in Likert's System IV (1967:14-24), in Tannenbaum and Cooke's suggestion regarding the value of increased total control (1987:35-43), and in Argyris' conception of interpersonal competence (11962:15-27). But this aspect of charisma is associated with an enhanced effect of organizational climate on extra effort. It would appear that transformational leadership theory will not allow the same effects of organizational climate on extra effort with both aspects of charisma. In practical terms this means that a leader's choice of style is important for the issue of the dependency of followers. With charisma<sub>1</sub>, follower self-esteem may be reduced; with charisma<sub>2</sub>, it may be enhanced. For in Model III, the role played by the leader in affecting extra effort is shared with the followers. One may also hypothesize that leader succession would be easier for Model III than for Model II.

The third important result of using charisma<sup>2</sup> is appearance of a significant path from structure to extra effort (beta of .088). One may say, therefore, that with the elimination of a leader who fills the stage with powerful mission articulation, the involvement of members in decision-making exerts a direct effect on extra effort (the total effect of charisma<sup>2</sup> is .175). The picture which emerges from Model III is that of a leader as a partner in a cooperative enterprise, even through the explained variance in extra effort is reduced. Clearly, the choice of style involves the question of what is important in an organization; what may be involved at this point are short- and long-term considerations. Ironically, a weakened form of charisma results in a strengthening of the effects of organizational climate.

One final matter to consider in this chapter is the question of the appropriate measure of extra effort. There is ambiguity in Bass on the proper direction one should take in operationalizing this crucial concept. First, second-order changes (extra effort) embrace greater effort, increased speed and accuracy and effort, changes in attitudes and values, greater performance levels, enhanced quality of product, and higher "maturity level of followers' needs" (Bass, 1985a: 3-4); these aspects of extra effort are so diverse that it may be impossible to devise a single measure of the concept. In other words, it is appropriate to suggest that "extra effort" lacks precise meaning; and if such is the case, measurement is a moot point. Second, extra effort is largely measured by Bass in terms of motivation; of the three extra effort items in his questionnaire, two tap the influence of the leader on motivation, and only one item measures actual (self-reported) performance ("makes me do more than I expected I could do").

There are, it seems, two chief ways that extra effort can be measured: in terms of the motivation of followers and in terms of behavioral changes, and the two are independent of each other. If the former is chosen as the basis of measurement, the researcher runs the risk of symmetrical relationships, i.e., measures of charisma and of extra effort become indicators of the same dimension, or at least, indicators of two dimensions which cannot be distinguished from each other. For example, if charisma is defined as value articulation and motivation is defined as value activation, which would be appropriate in terms of the transformational leadership literature, measurement of one would be measurement of the other. On the other hand, extra effort can be defined in terms of behavioral, substantive changes among followers. While motivation is a legitimate topic of study, extra effort as behavioral changes in followers is undoubtedly the intentionality behind the development of transformational leadership theory, since the latter purports to explain processes of relevance to the product maximizing interests of organizational leaders. The distinction between the two types of measures is indicated by Bass' study itself; the correlation he obtained between charisma and extra effort is quite lower (.33) for the more behaviorally-oriented item than for the motivational ones (.61 and .58) (1985a: 213).

It should be obvious that it is extremely important to know what one is measuring. In the present case, transformational leadership theory is sociologically significant and interesting only if predictions are made concerning analytically and empirically distinct variables. This entails, then, the definition of extra effort as behavioral changes in followers that add substantially to the production of organizational goods.

In keeping with the superiority of the behavioral definition of extra effort, the inductive multiple regression technique was used with the "working harder" measure of extra effort. As the reader can observe from the questionnaire (Q-3,P), the item has the merit of containing a built-in baseline of comparison of performance, in contrast to the other measures which lack such an internal standard. Moreover, the baseline is so recent that the former behavior may be easily recalled. In short, the "working harder" measure is more behaviorally-oriented and more similar to the minority item in Bass' questionnaire than the items used as measures of extra effort used to this point in this dissertation. The differential in the correlation coefficients discovered by Bass suggests the possibility that the more behaviorally-oriented measure will result in substantial modifications of findings in the present study.

The results of the inductive multiple regression analysis are given in Table 15. What is of interest is the system which involves extra effort as the criterion. As can be seen, significant changes occur in the results when the more behaviorally-oriented "working harder" measure is employed. First of all, the  $R^2$  plunges from .5247 to .1910, in spite of the addition of the trend variable as a new predictor; there is little that is impressive about such a low level of explained variance. Second, the beta for charisma falls dramatically from .6834 to .2821, while the beta for climate and extra effort increases markedly from .0859 to .2296; there is little differential in the impacts of the two variables on extra effort. Third, the trend variable appears as a significant predictor of extra effort. As the trends worsen in the local church, members exert increased effort, presumably to correct the situation. In short, when the behaviorally-oriented measure of extra

Table 15  
**Inductive Multiple Regression Analysis Using  
 "Working Harder" as the Measure of Extra Effort  
 (Significant Betas Only)**

<u>Dependent Variable= Charisma</u>				
<u>Variables</u>	MR	R <sup>2</sup>	SE	Beta
Structure	.3167	.1003	5.6888	.3173*
<u>Dependent Variable= Climate</u>				
<u>Variables</u>				
Socio-economic Status				.1807*
Trend				.0718*
Structure				.3428*
Charisma	.5461	.2971	3.4477	.2937*
<u>Dependent Variable= Extra Effort</u>				
<u>Variables</u>				
Trend				-.0807*
Climate				.2296*
Charisma	.4371	.1910	4.0327	.2821*
*p=.0000				
#p<.04				

effort is used, the importance of charisma drops markedly and other variables take on added importance. What is most glaring about the new results is, however, the low  $R^2$ ; charisma is, in other words, failing to account for second-order changes of the magnitude suggested by transformational leadership theory.

The tendency of the importance of charisma to drop when the more behaviorally-oriented measure is used is heightened when charisma is defined as empowerment-relational attentiveness (see Table 16). As one can readily see, the  $R^2$  falls even more to .1355. Perhaps even more glaring is the dramatic decrease in the charisma beta to .0997 and the increase of climate to .3018. Even when charisma is narrowly defined as mission articulation, its explanatory is not substantially improved over the initial inductive analysis; the results are given in Table 17. The beta for charisma is .3255, and the  $R^2$  is .2127. That is, even when charisma is sharply focused, its explanatory potential is still much reduced when the measure of extra effort is the item couched in behavioral terms. The question which immediately arises is whether the role of charisma would be further reduced with measures even more directly tied to behavioral changes in followers.

### Conclusion

Several conclusions result from the analysis of this and the preceding chapters. First, because of the ambiguity of the expectation of success, identification with the organization, and individualized consideration variables and its consequent deletion from the Model, propositions 12-18, 20-21, 2, 4, 6, 7, 9, and 11 are not even applicable. An alternative statement is that they fail to be confirmed. Indeed, the discussion has provided rather strong evidence against those connected with individualized

Table 16  
**Inductive Multiple Regression Analysis Using  
 “Working Harder” as the Measure of Extra Effort  
 with Mission Articulation as Charisma1  
 (Significant Betas Only)**

<u>Dependent Variable= Extra Effort</u>				
<u>Variables</u>	<u>MR</u>	<u>R<sup>2</sup></u>	<u>SE</u>	<u>Beta</u>
Climate				.2104*
Trend				-.0834#
Charisma2	.3681	.1355	4.1689	.0997#

\*p=.0000

#p<.05

Table 17  
**Inductive Multiple Regression Analysis Using  
 “Working Harder” as the Measure of Extra Effort  
 with Empowerment-Relational Attentiveness as Charisma2  
 (Significant Betas Only)**

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<u>Dependent Variable= Extra Effort</u>				
<u>Variables</u>	MR	R <sup>2</sup>	SE	Beta
Climate				.2104*
Trend				-.0834#
Charisma2	.3681	.1355	4.1689	.0997#

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\*p=.0000

#p<.05

consideration. A multiple regression analysis using individualized consideration as specified by the original model produced these results: (1) only structure among the exogenous variables affects individualized consideration (.2909), and (2) individualized consideration has no significant direct effect on either climate or extra effort. Even with individualized consideration included in the analysis, propositions 2, 4, 9, and 10 receive no support. Its omission from the model constitutes an even stronger challenge to transformational leadership theory.

Second, contrary to transformational leadership theory, neither socio-economic status nor the trend variable affect the emergence of charisma, disconfirming propositions 1 and 3. Also contrary to the theory are the direct effects of the exogenous variables on climate. As the reader will recall, under the conditions of Model III, structure even affects extra effort directly.

Third, the propositions that receive support are 5, 8, 10, and 19 (four of the original twenty-one). However, even the confirmation of the surviving propositions is compromised by the ambiguity inherent in the concept of charisma. As the discussion has shown, transformational leadership theory is characterized by a tension between two aspects of charisma. If, on the one hand, the theory chooses to accent charisma as mission articulation, proposition 19 is disconfirmed, leaving only three from the original twelve. Moreover, the trend variable becomes irrelevant to any variable in the system altogether. This is ironic, since it is charisma as mission articulation which appears to be the distinctive element in the theory. On the other hand, if charisma as empowerment-relational attentiveness is emphasized as the major leadership variable, proposition 19

is strengthened; but the theory loses its differentiating focus. Moreover, structure asserts itself as a significant direct effect on extra effort, which runs counter to the theory's theoretical assumptions beyond those already violated.

Even more significant for the question of the validity of transformational leadership theory is the fact that the role of charisma in the production of extra effort is dramatically reduced when the latter concept is increasingly measured by a behaviorally-oriented item. This finding is a strong challenge to the most important prediction of the theory. It highlights the crucial nature of measurement, suggests that transformational leadership theory is deficient in its critical operationalizations, and raises the possibility that the charisma-extra effort beta could be reduced even further.

In general, it may be stated that transformational leadership theory is grossly misspecified. With each methodological refinement, some aspect of the theory is eroded. The three propositions which remain from the original twenty-one, under all the conditions of the three models, are: (5) the greater the flexibility of the organization, the greater the leader's charisma; (8) the greater the leader's charisma, the more favorable the climate of the organization; and (10) the greater the leader's charisma, the greater the members' extra effort; and (10) is severely crippled when the measure of extra effort becomes more behaviorally-oriented. Whether these limited confirmations are sufficient warrant for the advocacy of the theory and its further development depend upon the strength of the sentiments underlying its original enunciation. But from the standpoint of the researcher, there are too many qualifications to the theory to seriously

consider it as a plausible theoretical option. In this sense the theory is judged to be theoretical desperation. This conclusion is supported further by the suggestion in this chapter that transformational leadership theory has bastardized a venerable and legitimate sociological concept, i.e., the theory's use of charisma fails to cohere with its sociologically established usage. Of course, a theorist has the discretion to develop concepts as he/she deems fitting. But at least, precision should be sought by the proper linkage of ideas, rather than importing one concept with its associated ideas into an area where different dynamics operate. In the case of transformational leadership theory, this precision seems to be lacking and may contribute to the serious problem of misspecification, as when historically recognized determinants of charisma are held to explain a phenomenon unrelated to the charisma of classical literature. Given the diverse socio-economic status of the term, "charisma" is a slippery term at best, and greater caution must be exercised in using the term than is displayed in transformational leadership theory.

## CHAPTER SIX

### REFLECTIONS AND SUGGESTIONS FOR FUTURE RESEARCH

The preceding two chapters have dealt with the focal questions enunciated in chapter one. Transformational leadership theory has been judged to be theoretical desperation because of the inability of its variables to emerge as distinct; the progressive erosion of its propositions; the ambiguity, even tension, inherent in the notion of charisma; and the tendency of the amount of variance in extra effort to fall with the use of increasingly behavioral measurement. However, two relationships have persisted throughout all the stages of analysis. Charisma, whether in the form of mission articulation or empowerment-relational attentiveness or both combined, has significant effects on both organizational climate and extra effort. The fact of this persistence under various conditions and even with the use of "working harder" as a measure of extra effort suggests some empirical basis for the central charisma-extra effort proposition. Since the charisma-extra effort relationship is the more important of the two predictions for future research, it will be singled out for examination in this concluding chapter. However, other matters will be discussed so that closure may be gained on the study.

#### Observations on the United Methodist Church and the Southern Baptist Convention

As already noted, data were obtained from churches of the United Methodist Church and the Southern Baptist Convention. The reason for using the two denominations was to increase variation in the population

from which data were drawn. An early question facing the researcher was whether differences between the religious bodies were so great that the latter should be compared on the operation of leadership dynamics, i.e., whether the original model would be more appropriate in one denomination, as a set of conditions, than in another. It is obvious that the discovery of such conditions would have been a finding of great significance for the present research.

In order to explore the possibility of relevant differences between the two religious bodies, the denominations were compared with each other on twenty-seven variables. Significant differences emerged from the analysis of variance for seven variables: structure, traditional leadership, size of the church, tenure of the pastor, length of previous pastorates, members' expectation of pastor's success outside the church, beliefs of the respondent, respondent's commitment to his/her local church, and organizational climate. However, the question of differentiation between the two denominations was dropped when significant differences failed to emerge for charisma, charisma<sub>1</sub>, charisma<sub>2</sub>, trend, socio-economic status of members, intellectual stimulation, individualized consideration, and transactional leadership. While exploration of reasons for the significant differences might be interesting, such differences were evaluated to be unimportant for the testing of the model; and the matter was dropped.

### The Meaning of Extra Effort

As has already been pointed out, much ambiguity resides in the concept of extra effort as it is used by transformational leadership theorists and, in particular, Bass. Formally, the definition is simple; it is second-order changes in followers or subordinates, i.e., changes beyond what would

be expected from conventional leadership behavior. Beyond this formal definition, however, difficulties begin to multiply. Extra effort ostensibly includes greater effort, greater speed and accuracy in behavior, changes in values and attitudes, greater performance, higher levels of product quality, and higher "maturity level of followers' needs" (Bass, 1985a: 3-4), i.e., change in commitment, motivation, and productivity. In other words, Bass lumps together both attitudes and behavior as areas in which extra effort is generated. This duality in the concept raises the question of what is being measured in a particular instance. It clearly is inappropriate to attempt to measure the global concept in terms of one of its dimensions, especially given the asymmetry between attitudes and performance (Lombardo and McCall, 1978: 6). That is, one may measure changes in attitudes as extra effort, but one has not thereby measured performance. A high beta for a relationship between leadership and one aspect of extra effort may not entail a high beta for the other possible relationship. This issue is left unresolved in the transformational leadership literature; in fact, there appears to be a certain naivete on this question.

As already noted, Bass appears to accent motivational measures of extra effort. In this case, the respondent reports change in his/her motivation as the result of leadership acts ("motivates me to do more than I originally expected I could do" and "heightens my motivation to succeed") (Bass, 1985a: 213); i.e., the effect is a change in aspiration or desire for a future state of affairs. Given the lack of coherence between attitude and performance, this is an incomplete operationalization of extra effort. Bass' items and the development of measures of extra effort used initially in this dissertation may explain a finding in the present study. It will be recalled

that the trend variable measures church and Sunday School membership, Sunday School attendance, and number of children. The scale was structured in such a way as to take on negative and positive values. With negative values, it indicates decline and is used as a measure of crisis. However, positive values indicate numerical increase and heightened activity on the part of members. The scale, then, may properly be considered a dual indicator, with its positive values closely related to what extra effort ostensibly measures. However, the two scales may be said to be uncorrelated (.0924). Thus, while charisma and extra effort are related (.765), charisma and the trend variable are not (.0225). In other words, extra effort appears to measure a phenomenon other than observable and substantive outputs. This is precisely what would be expected on the basis of the theoretical analysis of the items used by Bass, which also served as the foundation for the items initially used in the present research.

The use of motivational items may help to explain the beta for the relationship between charisma and extra effort (.7244 for Model I, .702 for Model II, and .3742 for Model III, and especially the first two). The measures for charisma and extra effort may be tapping the same dimension. As Miner has pointed out (1982), group systems possess values and symbols which function to motivate and direct all the members regardless of position; thus, a relationship between leader behavior and follower motivation may be spurious. In the case of the military and the clergy, to cite examples relevant to the present study, the position of leader has utilitarian value, to be sure, but it is also a symbol of the entire organization and its accompanying values into which the participants have been, or are being, socialized. Except in cases of extreme dereliction of duty

or unacceptable deviation, one might expect to find an identity of attitudes vis-a-vis the position incumbent and the organization itself. In short, if the motivational items are used in a study of transformational leadership, one might reasonably expect to find support for the charisma-extra effort relationship. But given the symmetrical character of the relationship, its sociological significance would be problematic.

That there is merit in the above argument is suggested by the finding which emerges when extra effort is measured in a more behavioral manner ("The following groups are working harder now than they did a year ago," which not only has a built-in standard of comparison but avoids a possibly biasing reference to the influence of the leader). The reader will recall that the beta for the charisma-extra effort relationship dropped dramatically (.2821 for Model I, .3255 for Model II, and .0997 for Model III). Although there is a significant relationship between charisma and extra effort under all conditions, there seems to be a tendency for the beta to fall when the measure for extra effort is made more behavioral. The finding also raises the possibility that as one moves even further toward behavioral operationalization of extra effort, the beta for the charisma-extra effort relationship would drop to a non-significant level. If one assumes that the operationalization of extra effort should be as behavioral as possible, which is the position taken here, the finding of a dramatically reduced beta furnishes additional evidence that transformational leadership theory is theoretical desperation.

The above discussion is not only an attempt at a resolution of an ambiguity in the matter of extra effort but also a hint as to a possible niche for leadership in organizations. For it is legitimate to speak of leader

effectiveness and yet to exclude substantive changes from its effects. If this conclusion is justifiable, there is one sense in which leadership has "outlived its usefulness" (Miner, 1977: 104) and makes no difference in organizational dynamics. It is precisely this fact that is suggested by the cognitive approach, according to which organizations are defined as "interpretation systems" (Daft and Weick, 1984). Accordingly, one may then assign substantive outcomes to dynamics external to the organization, as well as to internal forces such as technology and inherited structure, and symbolic outcomes to management or leadership, as Pfeffer has argued (1981: 1-8). Pfeffer has also argued that the distinction between substantive and symbolic outcomes parallels the one between attitudes and behavior and that both sets of relationships are loosely coupled (1981: 1-8). Management and leadership as interpretation entail the creation of fictions serving the organization or groups within the organization. Indeed, Pondy asserts that the effectiveness of a leader "lies in his ability to make activity meaningful for those in his role set - not to change behavior but to give others a sense of understanding" (in McCall and Lombardo, 1978: 94). Pfeffer gives an interesting example of how a problematic situation, i.e., comparably low salaries in a school of business administration that was widely perceived as research-oriented, was converted to a public definition neutralizing the initially negative overtones and eventually serving the interests of the organization. Through a process of social definition the school's niche was buttressed and even enriched by the resultant consensus that its faculty was drawn to the intrinsic rewards it offered. Thus, a fiction not only enhanced the school's public image but also served as a motivation to effort among organizational members. If it is true, as Gallup suggests, that "people tend

to judge a man by his goals, by what he's trying to do, and not necessarily by what he accomplishes" (quoted in Edelman, 1980: 78), perhaps the same is true for organizations. In this case, the relationship between leadership and extra effort would not be symmetrical, since leader articulation and preferences would result in definitional changes in subordinates. However, it would be exceedingly difficult, or at least, problematic, to call such definitional changes extra effort, unless, at a minimum, one could demonstrate isomorphism between attitudes or definitions and overt behavior or unless one rested content with calling any change in subordinates extra effort, which is hardly satisfactory given the claims of transformational leadership theory.

### The Meaning of Charisma

The most problematic concept in transformational leadership theory is that of charisma. This judgement has been supported by the evidence of tension in the notion. But the difficulties go much deeper, and the misuse of the idea undergirds the exaggerated claims made by the theorists. That the notion of charisma is plagued by ambiguity has also been indicated by the observation on the symmetrical character of the relationship between the charisma and extra effort. Even so, the idea of charisma deserves further examination before this study draws to a close.

The difference between Bass' use of the idea of charisma and Weber's understanding has already been noted and need not be recited again. But it may be further suggested that Bass' misappropriation of the concept is bound up with his neglect of the subtlety in Weber's formulation. For Weber, at least three ideas are integral to the conceptualization of charisma. First, charisma is "a certain quality of an individual personality" which

distinguishes him/her from others; second, the validity of charisma depends upon acknowledgement of it by sympathetic followers'; and third, the basis of the claim to legitimacy of charisma lies in the obligation of "those who have been called to a charismatic mission to recognize its quality and to act accordingly" (Weber, 1947: 359). The subtlety in Weber lies in the reciprocity between the "certain quality" and recognition by followers, i.e., while charisma may be defined analytically as a bestowal of grace upon the favored individual, it is, dialectically, dependent upon recognition by followers. This is the subtlety missed by Bass. Nonetheless, Weber himself may contribute to such a misunderstanding vis-a-vis his definition of charisma as "a certain quality of an individual by virtue of which he is set apart from ordinary men" (1947: 358). It may be only a short step from such a definition to a characterization of charisma as mission articulation, empowerment, and inspiration, as in transformational leadership theory. What Bass and others seem to have done is to extract one component of Weber's formulation from its rich fabric of associated ideas and, in the process, to have vitiated its classical connotation. The result is a straightforward identification of charisma with properties of an individual which can then be treated as any other variable.

While a careful, and respectful, reading of Weber would have prevented the misuse of the concept of charisma by transformational leadership theorists, it is possible to push his suggestions even further. Weber's statement, for example, that the basis of the claim to legitimacy of charisma is the duty of those called to the charismatic mission to follow is strangely ill-conceived; for the duty, as it is perceived by the leader, can only be maintained by the acknowledgement of followers. Even more

important is that Weber's definition itself is misleading, for a "certain quality" has no ontological status independent of the sympathetic integration of the quality or charismatic mission into the followers' life experiences. Charisma is constituted, that is, by both the object and the perceiving subject in dynamic interaction for the fundamental reason that the charismatic mission constitutes a claim upon the loyalties of followers (the hermenutical circle). Weber seems to have overlooked the implications of his own determination of the Sitz im Leben of charisma: "an emotional form of communal relationships" (Weber, 1947: 360). The communal character of charisma (charisma only exists in dynamic recognition and development of historical communities) means is that it will extremely difficult, if not impossible, to fit it into conventional categories used in research and measurement, because charisma is not an isolable variable but a dynamic pattern of interaction whose elements derive their meaning from the interactional complex. To the degree to which this conceptualization of charisma has merit, transformational leadership theory is ill-conceived from the very beginning. Even if this approach to charisma is not accepted, it is clear that Weber, through whom the concept entered into sociology, fails to provide grounds for the simplistic definition of charisma as used by transformational leadership theory.

To summarize this section, transformational leadership theorists have used the notion of charisma in an inappropriate way. It is certainly appropriate to predict a significant relationship between mission articulation and empowerment as leadership variables and behavioral and substantive outcomes in subordinates, for this hypothesis can be easily tested. At least two things may happen, however, when the notion of charisma is imported

into a set of theoretical ideas and hypotheses: (1) one may violate the internal consistency of the original formulation; and (2) one may obscure the hypotheses themselves. Both errors seem to have been committed by transformational leadership theorists. The second error may easily be seen in the charisma-extra effort hypothesis when the latter concept is measured in motivational terms (the contrast with the "working harder" analysis should be kept in view). In this case, transformational leadership theory calls upon us to treat a complex, dynamic process in which dimensions are inextricably implicated in each other in the same way as the conventional scheme involving independent and dependent variables. Confusion and frustration, as well as misleading results, are almost certain to follow.

#### Suggestions for Future Research

One theme which has been conspicuous by its absence from the transformational leadership literature is that of power. This is hardly surprising, given the managerial bias in the theory. However, the above considerations suggest an important mechanism by which power may operate and, therefore, inject the theme as a crucial object of future leadership studies. Power as a phenomenon based upon reward, legitimacy, coercion, and expertise (Kaplan, in Kahn and Boulding, 1964:15-16) is a conventional notion. But power based upon the ability to articulate and successfully disseminate meanings is a concept which needs to be elaborated. That is, language may be conceived as a resource that is both "drawn from an order of domination and at the same time" reproduces "that order of domination" (Giddens, 1976:122). If pastors can develop the fiction of the heightened effort among parishioners, in spite of an absence of substantive outcomes, there is clearly a suggestion of the role of language in the

augmentation of social position (it may be noted that the data of this research yielded a correlation of .6446 between charisma, excluding the individualized consideration items, and satisfaction with the leader. The reader may also recall the discussion in chapter four on the vulnerability of pastors, which, when combined with satisfaction with them, may incline the more skeptically inclined to a suspicion of institutionalized "lying" among the clergy as a self-serving device).

One impression that has emerged from the present research, as well as being reinforced by the notion of management/leadership as interpretation, is that studies of leadership must go "where the action is." One reason the survey methodology was chosen for this dissertation was to reproduce as exactly as possible the conditions under which Bass' study was made, while, at the same time, correcting biases generated by his military sample. However, if leadership is a social inference and if it is essentially a process of creating and communicating meanings for oneself and fellow actors, it will be necessary to observe and record the processes themselves. This will entail observational and interview methodologies. Pfeffer, for example, suggests the use of the causal map, by which individuals indicate the connection between events and perceptions (1981: 19). Moreover, since the effects of leadership acts may well be time-lagged, content analysis will be an appropriate complementary procedure. For example, annual reports may be analyzed for the detection of themes or emphases emerging from organizational groups. Another possibly fruitful method would be the embedded case study (Yin, 1984:42-45), since meanings are negotiated, however differentially, in groups in organizations. At any rate, leadership,

as a processual phenomenon, will ideally be studied as close to the unfolding of events as possible.

As suggested in chapter three, the situation in which leadership studies are conducted may well have consequences for the conclusion that are drawn. Bass' military subjects, for example, were probably predisposed to a heady respect for superior position because of the socialization into recognition of hierarchical superiors, the visibility and power of the regalia of office, and the role of obedience in promotion endemic to their type of organization. If this is the case, it is hardly surprising that the semblance of charisma appeared in Bass' data. As suggested in chapter one, there are certain conditions which are supposedly increasingly prominent in modern organizations, such as higher level of shared power, collaboration, cooperation of actors, negotiated goals, and deformalization and multiple-authority relations. It is clear that these conditions obtain for only certain kinds of organizations and for certain levels, such as middle management and staff (labor has not ceased to be excluded from an equitable share in profits or to be subjected to alienating working conditions simply by fiat). Nonetheless, at least for some types of leadership studies (studies of leadership in opposition should not be neglected), it will be necessary to search for research situations in which these conditions are found. Churches are a decided improvement over the military, since in the former the role of negotiation is markedly more prominent and the possibility of withdrawal of support for the leader is more obvious. The continuum needs to be traveled even further, since religious ideology may well serve as a restraint on action particularly if the belief system is rigid and favors obedience. In particular, research should be conducted in situations of technological and goal

ambiguity and of high levels of equality among actors. Perhaps volunteer service organizations are appropriate sites for the observation of leadership processes. At the same time, highly structured organizations may be profitably used as sites for the analysis of the role of language as a power mechanism complementing already existing forms of domination.

### Conclusion

Finally, it is fitting to inquire regarding what this dissertation has contributed to the sociological enterprise. There are at least two ways this question can be considered. For sociology is both a critical "form of consciousness" (Berger, 1963:30) and an ongoing organized production of conclusions concerning the human condition, even if the latter are never securely nailed down. The present research both exemplifies and continues the critical dimension of sociology. Transformational leadership theory is a claimant to theoretical loyalties. It is, beyond that, an attempt to stake out and justify directions for decision-makers and to articulate a rationale for the acceptance on the part of subordinates of control efforts by superiors. As such, it is pervaded by the ideological interests of organizational elites (cf. the emphasis on commitment to the organization and productivity). However, it purports to be based upon empirical observations. It is precisely the juxtaposition of managerial interests and a claim to empirical support which blurs the boundaries of sociology. One role of sociologists is to preserve the integrity of their discipline, and one important way this can be accomplished is by reasoned research. Insofar as this dissertation has helped to mark off sociological boundaries by methodological rigor and critical insight, it contributes to, and enriches, the sociological perspective.

Regarding the second dimension of sociology, the present research has hopefully made a contribution in that it has helped to focus the issues with which leadership studies should be concerned. The sociological enterprise is marked by temporality because the world possess the same characteristic. Accordingly, one major task of sociology is to identify the relevant foci for its activity. More specifically, the form of the concern with leadership as a sociological phenomenon is shaped by changes in culture, values, population characteristics, and the economy. Although the intention of this dissertation was primarily critical, it has hopefully helped to highlight the issues of language and power in leadership. While, admittedly, the orientation to these concerns is tangential and appears as a reflection, there is, perhaps, value in articulating the process by which these issues come to focus.

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## APPENDIX A:

### THE UNITED METHODIST CHURCH AND THE SOUTHERN BAPTIST CONVENTION

The data used to answer the research questions are drawn from churches of the United Methodist Church (UMC) and the Southern Baptist Convention (SBC). The present chapter is devoted to a description of these two religious bodies. The purpose is to present the general outlines of the milieu in which clergy of the two denominations (the leaders of this study) seek to exert influence in the local church. The presentation will revolve around three foci: an overview of historical trends of the two religious groups as revealed in the annual General Minutes of the UMC and the yearly SBC Annual; general expectations directed toward clergy; and denominational structures.

#### Overview of Trends

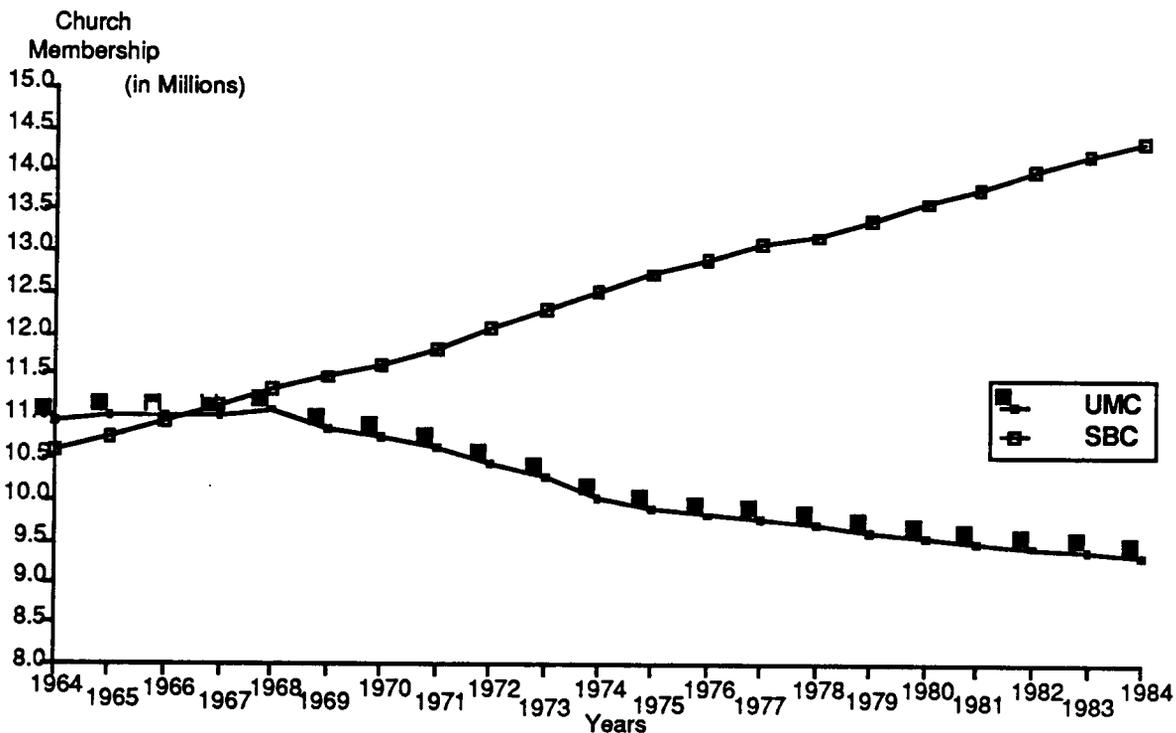
In terms of general demographic trends, the two denominations present strikingly different profiles. Taking church membership first, and excluding the UMC's overseas membership (539,986 in 1973 and 407,694 in 1981) as well as the membership of affiliated but autonomous churches, or those self-governing churches loosely related to the UMC (681,138 in 1973 and 959,496 in 1981), the membership of the UMC stood at 10,952,388 in 1964 and decreased to 9,301,836 in 1984, a decline of 18%. Since the General Conference of 1968 united the Methodist Church and the Evangelical United Brethren (membership of 746,099), the latter figure was added as a constant to the former's membership for the years 1964 through

1968 in order to make the total figure comparable to that of the SBC. This procedure introduces some error, but it is extremely marginal.

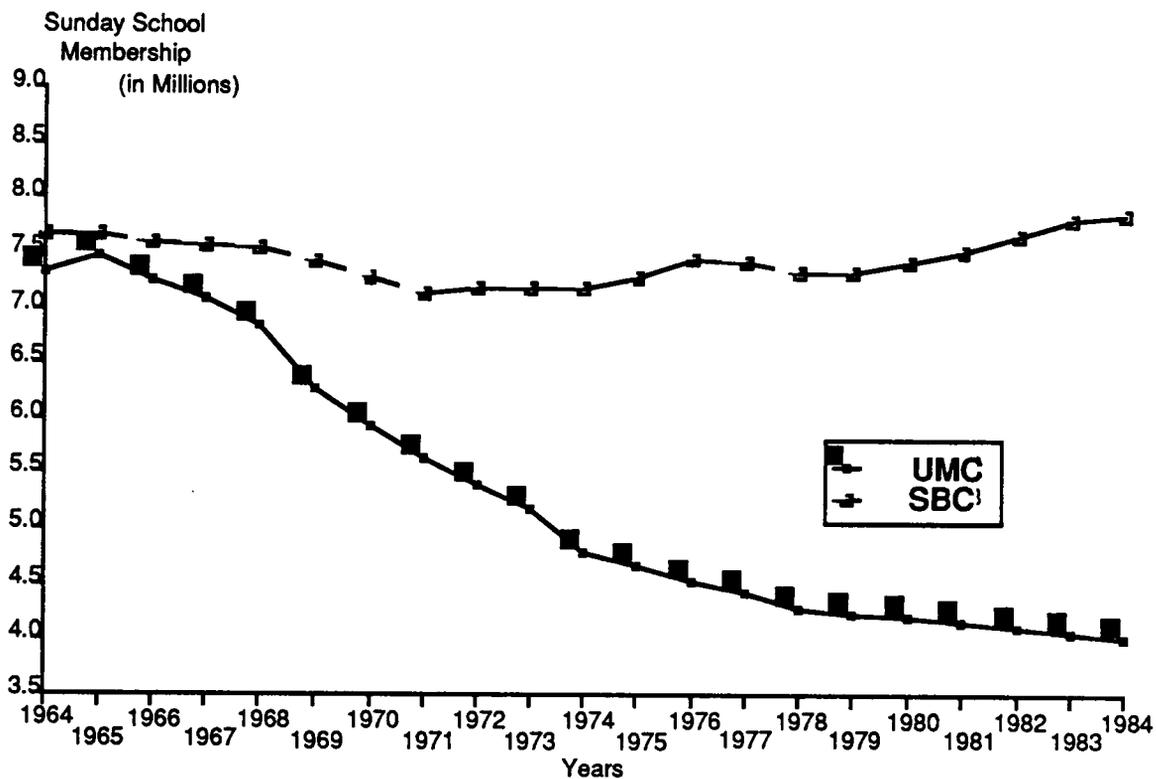
In contrast, the membership of the SBC was 10,601,514 in 1964 and jumped to 14,349,657 in 1984, an increase of 35%. These trends are depicted in figure 5. The same pattern is even more glaringly obvious in Sunday School membership. In 1964, with the EUB figure added as a constant for the years 1964 through 1968, the UMC's membership was 7,344,935 in 1964 and stood at 4,020,661 in 1984, an 83% decline. But the SBC's Sunday School membership was 7,671,165 in 1964 and had climbed to 7,857,337 in 1984, an increase of 2%. These trends are depicted in figure 6.

Other data reflect the same general movement as membership figures. For example, while the UMC claimed 40,644 organized churches in 1969, it had 37,988 in 1984, a drop of 7%. Yet, from 1974 to 1984, its number of pastoral appointments increased from 24,581 to 25,727. It is possible that the contrasting trends represent attempts on the part of UMC officials to consolidate small churches through merger in order to reduce its subsidies paid to pastors through its equitable salary fund, by which larger churches partially support churches with fewer resources. It may be noted that the problem of denominational support for underpaid clergy is not as acute in the SBC, since it lacks the stringent educational requirements of the former and includes a large proportion of bi-vocational clergy. In contrast to the UMC figure, the number of churches in the SBC jumped from 34,734 in 1974 to 36,740 in 1984, an increase of 6%.

The downward shift in the UMC is additionally reflected in a weakening of its recruitment processes. Thus, confessions of faith as a mode



**Figure 5**  
**A Comparison of the Membership Trends of the**  
**United Methodist Church and the Southern**  
**Baptist Convention**



**Figure 6**  
**A Comparison of the Sunday School Membership Trends of the United Methodist Church and the Southern Baptist Convention**

of entry dropped from 202,610 in 1969 to 199,646 in 1984, or 1.5%. Preparatory membership, consisting of baptized children awaiting confirmation into full membership, dropped from 1,824,238 in 1969 to 1,359,239 in 1984, or 34%. These figures suggest a diminution in aggressive recruitment and a declining birth rate among United Methodists. In contrast, baptisms in the SBC, which eschews infant baptism and accents adult decision as entrance into the church, increased from 368,225 in 1969 to 372,028 in 1984, or 1%, indicating a sustained policy of active inclusion, or, at least, a continued attractiveness to potential publics.

The data also suggest an economic squeeze in the UMC; in fact, one could easily hypothesize that increasing financial demands on the churches is a factor in its decline. On the one hand, as has been seen, both church and Sunday School membership are declining and recruitment of new members is slipping. However, the number of clergy is increasing (34,561 in 1970 and 38,521 in 1984, or a 12% increase); and ministerial support, i.e., salaries, including those for bishops and district superintendents, and pension contributions from local churches, is increasing (\$189,878,728 in 1969 and \$703,689,5290 in 1984, or a 271% rise). Even when those figures are standardized in terms of the 1967 dollar value (1.00), an increase emerges (\$170,890,552 in 1969 and \$225,180,646 in 1984). The same monetary direction is seen in total expenditures, which includes both local and denominational causes, when they are standardized: from \$624,033,752 in 1969 to \$707,617,983 in 1984. In contrast, the standardized figures for total giving in the SBC were \$758,436,651 in 1969 and \$1,099,875,918 in 1984, but in this case the membership base has grown to support the increase. As Deucker has pointed out (1983:36), the

rising level of education demanded of UMC clergy, with an accompanying emphasis on professionalism, has raised their financial expectations. But with a declining membership base, strain between the hierarchy and pastors on one side and laity on the other may be expected on the local level. The advent of consultation, i.e., greater lay control over the placement and activities of clergy, has also, in all probability, resulted in expectations of higher levels of performance on the part of pastors, another possible source of strain. Conversely, given the bi-vocational status of many Baptist pastors, the absence of the guaranteed appointment (as in the case of the UMC) and so the freer play of open-market dynamics, and the ratio of clergy to churches (1.6 in 1977, as compared to .9 in the UMC, Carroll and Wilson, 1980:36), such financially-induced tensions are less likely to occur among SBC churches.

#### Dominant Expectations of Clergy

The Readiness for Ministry study, which ran from 1973 to 1979 and involved data from clerical and lay respondents (equally balanced), is one of the most complete documentation of prevailing expectations for ministers available (Schuller, et al.:1980). Sixty-four clusters of items, when factor analyzed, produced eleven major themes which were ranked in terms of importance. What is relevant for this dissertation is that various patterns emerged for thirteen religious traditions, including the UMC and the SBC, and may be interpreted as dominant images of desirable qualities in the clergy.

Concerning the UMC, the Readiness for Ministry study produced four general judgments: the Church is centrist and embodies a high value placed on tolerance; it is similar to other mainline denominations in its definition of

appropriate social action; it stresses a learned clergy; and value differences between clergy and laity are insignificant. The internal diversity and non-distinctive theological stance are reflected in the most heavily weighted expectations for clergy. In the UMC data, highly valued clerical characteristics are interpersonal competence, including expertise in group dynamics and counseling; a professional orientation; personal and professional development on the part of clergy; facilitation of lay participation; ecumenical openness to other religious groups; a conservative attitude toward social and political issues, i.e., one that stresses education of the public; and collegiality with superiors and peers (Schuller, et al, 1980: 449-454). Regarding the last characteristic, Trotter states that United Methodists' "denominational localities are related to a sense of the unity of the church, not to a system of management that assumes a directive kind of relationships" (Schuller, et al., 1980: 453).

The above observations suggest that United Methodist clergy represent a centrist, non-distinctive position on the denominational spectrum. Yet, as Trotter intimates, the UMC's clergy "actually possess few explicit links to historically valued traits" (Schuller, et al, 1980: 456), a characterization which coheres with his prior description of Methodism "as the most American of churches" (in Schuller, et al.: 447). This suggestion raises the issues of the theological foundations of United Methodist clergy, their priority of "parish maintenance," and the vitality of original Methodist themes (in Schuller et al., 1980: 445).

The Southern Baptist data present a markedly different image of clergy. What is of interest is those areas in which Baptists differ from most other religious groups. The first desired characteristic is "open

acknowledgement of religious experience." This behavioral trait appears to function as a negation of a "secularized lifestyle," such as participation in the "night life," heavy smoking, and telling questionable jokes. The second is "encouragement and maintenance of a relevant biblical faith," which embody two related desiderata: an orthodox theology, e.g., divinity of Jesus and a high view of the Bible's authority; and the cultivation of spiritual renewal in the congregation by emphasizing forgiveness, love, freedom, sin, and need for conversion. A third desired characteristic is an "active concern for the unchurched," an area of greatest contrast with other groups except for evangelical ones. This emphasis on aggressive evangelism is also reflected in a devaluation of programs to improve social conditions (in Schuller, et al., 1980: 274-278). The Readiness for Ministry research suggests that SBC churches are in a favorable position and possess the energy to resonate with the shift in religious values in the United States, since, as Gallup has stated, "Recent studies demonstrate a powerful return to conservative tenets of religion. In the instance of Christianity, every survey points to the strong tide rising in favor of orthodoxy" (1980:33).

### The Structure of the UMC and Its Churches

As a general overview of the structure of the UMC, its constitutional documents will first be highlighted. First, the denomination's doctrinal standards are established by the Articles of Religion of the Methodist Church and the Confession of Faith of the Evangelical United Brethren (the two bodies united in 1968). The first of these consists of twenty-four statements reduced by John Wesley (the founder of Methodism in the eighteenth century in England) from the thirty-nine articles of the Church of England (a twenty-fifth article was added in 1939). Together, the two

documents provide a loose orientation for the UMC. Their place in the UMC's practice is expressed by the Discipline itself: "We accept the historic creeds and confessions as cherished landmarks of Christian self-consciousness and affirmation, even as we favor serious and informed theological experimentation" (69, Discipline, 1984). Since the UMC has sponsored "continued theological exploration" oriented around Wesley's guidelines of Scripture, tradition, experience, and reason (Tuell, 1985:23), this process has been accelerated by the Church's participation in the Consultation on Church Union with other mainline denominations. While theological pluralism is applauded by some and criticized by others (69, Discipline), it provides the institutional umbrella under which a wide variety of viewpoints flourish within the UMC, especially among the more educated and articulate.

The second major document is the Restrictive Rules. These are six statements which protect the UMC from alteration of the Articles and the Confession, the episcopacy, the itinerant system, the rights of clergy and members to "trial by a committee and or an appeal," and the established method of distribution of funds generated by the publishing houses (Section (III, Discipline)). The third major document is the Social Principles, which was adopted in 1972 and which articulates the UMC's orientation to various institutional sectors. In reality, the Principles is largely ignored on the local level, serving, in large part, as legitimation for programs and pronouncements developed by denominational bodies. The general irrelevance of the Principles is perhaps due largely to the disinterest of the clergy and to their awareness of its weak coherence with the values of the local constituency and who, therefore, avoid jeopardizing their vocational

positions. The above documents, as well as legislation covering the diverse facets of the denomination, are contained in the Discipline.

There are two types of structures in the UMC, one built around geographical administration and the other along functional lines. The first may be conceived as a series of concentric circles. The most general of these is the General Conference, "the supreme legislative body of United Methodism" (Tuell, 1985: 25) but subject to the Restrictive Rules. Consisting of 600 to 1,000 delegates, one half of whom are clerical and one half lay and elected by the annual conferences, it convenes every four years in different locations in the United States. Among its powers are the definition of church membership, clerical authority and amenability, duties of the other conferences (annual, district, and charge), and authority of the episcopacy; the examination and revision of official liturgy; provision of a judicial process; development of programs and their implementing agencies; promotion of Methodism beyond the United States; and the creation of commissions (Section II, Discipline). Because of the hierarchical nature of the UMC, the actions of the General Conference have legal implications for the clergy and the churches, although actual implementation is another matter, resting, as it does, on non-legal considerations. The General Conference gathering is also the time for the greatest visibility of the caucus structure in the UMC, with blacks and other ethnics, women, and other special interest groups (such as homosexuals, at least in the recent past) vying for favorable legislation.

The second geographical administrative level is the jurisdiction. In the United States there are five in number, and they convene every four years. The jurisdiction's primary function is the election of bishops by

delegates from the constitutive annual conferences. Otherwise, there is considerable variation in their activities, with some possessing only minimal structures and other developing elaborate programming agencies (Tuell, 1985: 31). United Methodist churches located outside the United States are organized into control conferences, and they perform functions equivalent to those of the jurisdiction (Tuell, 1985).

The annual conference, the third geographical level and the oldest organizational unit beyond the local church in Methodism, is said to be the "basic body in the Church" (Tuell, 1985: 32). In the United States there are seventy-four annual conferences and missionary conferences, the latter of which do not satisfy the conditions of annual conference status because of limited membership (The Structure of the United Methodist Church, 1983:4). While originally designed for itinerating preachers only, they now include a lay delegate from each pastoral charge (both single- and multi-church). Since the conference includes as members all ordained clergy, including those not serving churches, such as district superintendents, the retired, and those serving special appointments, the system is tilted in favor of the ordained. However, the imbalance is redressed somewhat by the inclusion of additional laity, such as presidents of the United Methodist Women and members-at-large. Among the chief responsibilities of the annual conference are the reception of reports from boards and agencies; setting of the conference budget; ordination of clergy (only clerical members vote on such matters); acceptance and development of programs and priorities (many of these come from the General Conference); "inquiry into the moral and official conduct of its ministerial members" (703, Discipline); election of delegates to the General and Jurisdictional Conference; and

setting of pastoral appointments for the subsequent year. In reality, budgets and programs are typically formulated prior to annual conference sessions and are routinely approved. The annual conference also serves legitimating and resocialization functions, since the annual meeting, through sermons, Bible studies, pageantry, and the appearance of highly successful persons from both inside and outside the conference, rebuilds depleted motivation in both clergy and laity and renews the communication network operating informally throughout the year. In addition, the implicit and explicit comparisons of clerical career trajectories provide a major mechanism of control over ministerial members.

An extremely important body which operates on the annual conference level is the cabinet, which emerged in its present form in 1940 (Duecker, 1983: 55). This unit, composed of the bishop and district superintendents, who are appointed by the former and who serve as highly visible "connectors" of churches with each other and with the denomination, is given the responsibility over the placement of pastors throughout the conference. While the final authority for assignment rests with the bishop, the General Conference of 1972 called for consultation with the pastor and the local church's Committee on Pastor-Parish Relations prior to and during the appointment. Although varying interpretations exist regarding the consultation process, the end result is to give the pastor and churches considerable influence over appointments. Presumably, the intention of consultation is to foster greater pastor-church compatibility. It has also resulted in enhanced power of the Pastor-Parish Relations Committee, which now engages in priority-setting for the church because of its role in pastoral selection and evaluation. Consultation makes the appointment

process time-consuming and demanding (Duecker, 1983: 55-56); the recent advent of the two-career family has also probably made it more difficult. An additional responsibility of the cabinet, in conjunction with the annual conference's Board of Ordained Ministry, is the development of tools of clerical evaluation and the establishment of an annual training program for Pastor-Parish Relations Committee members. Even so, the researcher's impression is that the most telling criteria for pastoral appointments up the career ladder (larger and more lucrative churches and appointments to boards) are consistent length of tenure (the denomination is moving to an emphasis on longer pastorates), ability to generate funds, and participation in the church beyond the local level.

The fourth geographical administrative unit is the district conference. But since the districts vary widely in the use of such a structure, the discussion will proceed to the fifth level, the charge conference, which is said to be "the connecting link between the local church and the general church" (247, Discipline). The connection is expressed in several ways in the charge conference: the presence of the district superintendent as moderator; action upon the apportionment (contributions to the denomination's causes and based on a standard formula of membership and the last year's expenditures) for the coming year; election of church officers; and action upon the pastor's salary (there is ongoing pressure to make churches self-supporting). Other "connectors" which may be mentioned at this point are the trusest clause, which guarantees the use of buildings for United Methodist worship (a powerful means of control of potentially deviant congregations) and the local church's internal structure, which replicates the interests of the boards and agencies.

Together with the General Conference, the episcopacy and the judiciary constitute the branches of governance within the UMC. Bishops are elected for life tenure and serve within their jurisdiction of election, except in rare and difficult instances of transfer. Episcopal areas consist of one or more annual conferences. As a body, the bishops make up the Council of Bishops, which meets at least once a year to "plan for the general oversight and promotion of the temporal and spiritual interests of the entire Church and for carrying into effect the rules, regulations, and responsibilities prescribed and enjoined by the General Conference and in accord with the provisions set forth in this Plan of Union" of 1968 (50, Discipline). Apart from this broad area of leadership, other episcopal duties are to develop strategies, to foster ecumenical relations, to promote evangelism, to form districts, to appoint clergy annually, and to ordain the clergy on the various levels. It may be noted that bishops are amenable to a jurisdictional Committee on the Episcopacy composed of clergy and laity from the annual conferences (53, VI, Discipline). In cases of gross incompetence and flagrant misuse of position, a bishop may be dismissed from office, a step called "involuntary retirement" (509, 3, Discipline). The Judicial Council, currently composed of nine members (three laity and two clergy other than bishops), may be briefly treated. In addition to its general task of determining the constitutionality of General Conference measures, it "shall guarantee to our ministers a right to trial by a committee and on appeal and to our members a right to trial before the church, or by a committee, and an appeal" (61, Discipline).

Following Tuell (1985: 129), the agencies of the UMC can be classified under three categories: administrative, support services, and

program. Almost all of them cut across the geographical levels, being replicated at each stage of the conference structure. Along with the Council of Bishops, the General Council on Ministries and the Council on Finance and Administration constitute administrative structures. The General Council on Ministries, created in 1972 and consisting of approximately 120 persons apportioned by annual conference, sex, and clerical-lay status, conduct the Church's program between general conferences, coordinate the work of boards and agencies, and engage in research and planning. This structure and its general orientation to programming is replicated on the annual conference, district, charge, and, in some cases, jurisdictional levels. The Council on Finance and Administration, composed of forty-two members, prepares a quadrennial budget for the UMC with inputs from the boards. The budget is then acted on by the General Conference. This structure is replicated on the annual conference level, although here the budgetary process is conducted annually.

The support service agencies are the Board of Publication, United Methodist Communications, the Commission on Archives and History, and the Board of Pensions. The first two provide for publication, the collection and dissemination of information, and the preservation of documents and artifacts of relevance to Methodists. The fourth provides a support base for retired clergy through automatic accumulation of funds via local church apportionments and through voluntary contributions.

The program agencies may be briefly described: Board of Church and Society, which attempts to articulate the Church's stance on emergent social issues and to influence national decision-makers in government; Board of Discipleship, which serves as an educational resource structure for the local

church and which operates through three divisions; Board of Global Ministries, organized into six divisions and two work units, all of which focus on missions and generation of funds for outreach; and Board of Higher Education and Ministry, which oversees the UMC's clerical recruitment process and its institutions of higher education. In order to foster decentralization, the program agencies, along with those in the other categories, are placed in various locations in the United States, such as Evanston, New York, Washington, Dayton, and Nashville. Members of the boards are selected in a similar manner: using a quota system, the General and Jurisdictional Conference delegates from the annual conferences submit a list of nominees to the Jurisdictional Conference, from which board members are chosen (Tuell, 1985: 136). Although no empirical evidence can be offered, it is reasonable to hypothesize that board prominence, and therefore, funding, shifts with changes in the environment. For example, the Board of Church and Society was highly visible in the turbulent decade of the 1960s. The boards are often the center of controversy, with the bureaucracy tending to see itself performing a vanguard role vis-a-vis the local constituency (Mickey and Wilson, 1977:83-85). In return, board personnel are frequently reminded that their outputs are not representative of the Church and are subject to counter pressures (cf. the Good News movement and the debate over Sunday School curricula reflecting the beliefs and values of local church members, Good News, Winter, 1974). In addition, it may be pointed out that membership on all the boards, as well as election as a delegate to the national and regional conferences, are highly valued positions for clergy, serving as symbols of occupational progression

and affording access to major denominational decision-makers and, therefore, to power.

The termination point for the above discussion of structure is the local church. However, given the preceding consideration, the delineation of the local church is relatively easy. What is to be highlighted is the replication of higher level board interests in the local church. To this extent the programmatic orientations are provided by staff persons quite remote from the local scene. Downward communication typically consists of notification of programs; appeals for money to support denominational causes, with which local church identification is sought; requests to implement programs or emphases formulated at a higher structural level; and encouragement to participate in events developed for the district or conference levels. However, each church officer, in reality, exercises discretion in ignoring, modifying, or implementing pre-packaged programs. In another sense, the church positions represent advocacy of the general orientations represented by the boards. The result of this hierarchical replication is the tendency to transfer goal-setting to higher level bodies. Relative to SBC churches, what stands out is the restriction of official decision-making in the local church to the Administrative Board, composed of work area chairpersons and age level coordinators and at-large members. Only in the case of the church conference, which is authorized by the district superintendent, can the whole church vote on matters. The Administrative Board chairperson, the lay leader, and the chairperson of the Pastor-Parish Relations Committee are structurally the most visible and powerful members of the local church.

With regard to the pastor, the most significant event in recent years is the development of a formal accountability structure. In 1960 the

responsibilities of the Committee on Pastoral Relations (later, the Pastor-Parish Relations Committee) were (1) to convey information regarding the "conditions within the congregation as they affect relations between pastor and people," (2) to transmit definitions of the pastoral function to the Laity, and (3) to confer with the pastor, the bishop, and the district superintendent regarding placement. The 1969 Discipline enlarged the group to 5-9 persons and added the task of supporting the continuing education of the pastor. The responsibilities were unchanged through 1972. Throughout this period, there appears to be a stability of clerical authority to define rights and duties and a relatively stable lay conception of the pastoral role.

In 1976 a major change occurred in the responsibilities of the committee, now renamed the Pastor-Parish Relations Committee, as a mechanism of control of clergy. What is to be highlighted are the following two task specifications: (1) to counsel on pastoral priorities of the "time and skill in relation to the goals and objectives set for the congregation's mission and the demands upon the minister" and (2) "to evaluate annually the effectiveness of the minister and staff" (260.2, Discipline). These requirements have been retained in the 1984 Discipline. They imply official recognition of the problematic nature of clerical role definitions as entertained by clergy and laity, specify a rationalization of clergy accountability, and entail enhanced authority of the laity. The 1976 legislation also enlarged the powers of the annual conference, acting through the Board of Ordained Ministry, in the area of control of clergy. The new responsibility was "to provide a means of evaluation and to study matters pertaining to the character and effectiveness of ministry in the Annual Conference" (731, Discipline). 1980 legislation added the duty of conducting

"an annual training program for Pastor-Parish Relations Committee members to enable them to evaluate the gifts, graces, family needs, and readiness for ministry of the pastor" (427, Discipline). The impact of greater lay and conference control over clergy is most clearly seen in the 1980 legislation which declared that annual evaluation (along with availability and participation in continuing education) are "a fundamental part of...accountability and a primary basis of the guaranteed appointment" (423.1, Discipline).

### The Structure of the SBC and Its Constituent Churches

The collectivity of churches known as the SBC operates under "three Baptist dualities" (Riley, 1986:12-15). According to the first, "dual representation," decision-making occurs by two groups of individuals: "messengers" elected from local churches to the association and state and national conventions, and staff members representing the boards which advocate their particular areas of interest. Messengers to the conventions are elected according to a sliding scale based on financial contributions and size of the churches (Annual, 1986:6). The second, "dual leadership," means that organizational actors are either elected or employed. Constitutionally, authority to act on all levels beyond the local church flows from messengers to volunteer trustees of the agencies to employed staff. In reality, however, one would expect considerable influence exerted by the latter, and, in fact, such has been acknowledged (Riley, 1986: 12). The third duality is that between a "governing polity" and a "functional polity." Under the first, the basic principle is that of the autonomy of local churches. This distinctive is obvious in the use of the term "messenger." In essence, the election of a messenger by a church does not entail delegation of authority to represent

that church. It is at this point that Southern Baptists disavow the principle of hierarchy and seek to guarantee the autonomy of the local church as expressed in congregational decision-making. Thus, "associations do not make up the state conventions, nor state conventions the Southern Baptist Convention" (Riley, 1986: 13). The "functional polity" is synonymous with interdependence of units. This principle may be seen in the flow of money and the use of personnel. For example, state workers, who are paid out of contributions of local churches, may visit associational meetings as advocates of programs developed on their level or as resources persons for the implementation of locally generated programs. The state convention also channels money back to the local level for program implementation. However, as Riley states, "when a disagreement or question of authority arises, the governing polity always prevails" (Riley, 1986: 13).

The SBC may be defined as a "general organization" of Baptist churches which subscribe to a core set of theological tenets, practice a congregational form of worship, and provide financial contributions for denominational programs (Annual, 1986: 6). Its purpose, as stated in 1814, the year of its founding, is one of

carrying into effect the benevolent intentions of our constituents, by organizing a plan for electing, combining, and directing the energies of the whole denomination in one sacred effort, for the propagation of the gospel (quoted in Duncan, 1985:46).

A major original impetus in its creation was to develop a more tightly-knit structure, in contrast to the "society" made of organization among northern Baptists, according to which each agency had its own accountability structure and mechanisms of fund-raising. The result was a centralization of planning, mission-articulation, and resource acquisition.

The SBC is organized in such a way as to devise and implement programs across a wide spectrum of concerns. At present, it embraces four boards (Foreign Missions, Home Missions, Sunday School, and Annuity), the Southern Baptist Foundation, and seven commissions (Brotherhood, Education, Radio and Television, American Seminary, Christian Life, Historical, and Stewardship), a Public Affairs Committee, and six theological schools. Between annual sessions, its activities are supervised by an executive committee (sixty-five members in 1986) and the Inter-Agency Council, which coordinates the work of staff personnel.

The second level at which Southern Baptists operate is the state. The state convention is an annual meeting of messengers elected from churches according to a formula of representation (Riley, 1986: 47). It hears reports and allocates funds for Baptist causes (hospitals, children's homes, etc.). The tasks of coordination and program implementation between sessions fall to the General Board, composed of members from the associations and of members-at-large. The General Board members are then placed on seven advisory committees and councils, which are, in turn, divided into departments. An interesting department, given the "governing polity," is that on Pastor/Church Relations, which "enhances the understanding and concept of ministry and adequate compensation for ministers; encourages support of the Cooperative Program and associational missions" (Riley, 1986: 59). While it provides structures for emotional and career supports for clergy, it also functions in the area of screening and placement, i.e., as an agency of control.

Of more immediate relevance to Southern Baptist churches is the association. While it is the oldest of Baptist organizations beyond the local

church, the first being formed in 1707 (Sullivan, How Baptists Work Together, 1979), there is dissensus as to its nature. Given the "governing polity," it is said to be composed of messengers who, however, do not officially represent the churches. On the other hand, it is argued by some that churches compose the association, i.e., that while "messengers make up its annual meeting...churches make up the on-going, living association" (Riley, 1986: 39). At this point, it is appropriate to define the "trustee principle" (Sullivan, How Baptists Work Together, 1979), although the concept operates at every level. Essentially, ultimate authority resides in the local church. This principle contrasts with hierarchical authority in the UMC, which has led to considerable tensions between national board members and staff and the local membership, conflicting priorities, and the charge of bureaucratic elitism (Mickey and Wilson, 1977). In sum, the "trustee principle," which means that messengers are responsible for reflecting the views of their sending churches, tends to foster denominational accountability and unity.

The functions said to be served by the association are circulation of information among churches, protection of churches from "questionable" pastors, maintenance of cooperation, coordination of activities, fellowship, and promotion of denominational programs (Riley, 1986: 40-41). A central figure in the association is the director of missions; as a paid staff person oriented to the local situation, he/she coordinates the work of the association. In the last twenty-five years, the role has evolved from a promotional one to strategic planning for, and facilitation of, local church programs (personal conversation, 1987). To elaborate on the internal structure of the association, the Pilot Mountain organization, from which

data were drawn for the present study, may be used as an example. Membership is guarded by a system which involves a "watch-care" period of one year for any church submitting application, after which a credentials committee files for action a recommendation concerning admission to the association. In order to retain good standing in the association, churches must cohere in belief, polity, and practice with the purposes of the larger group. In the event that a church fails in integration or fails to submit a Uniform Association Letter (a set of reports) and/or declines to send messengers for three consecutive years, the relationship may be terminated. The associational officers are the moderator, vice-moderator, clerk, assistant clerk, treasurer, and assistant treasurer, the first two of whom may not serve consecutive years. Between annual meetings the executive board exercises direction for the association. An important body is the ordination committee, which examines prospective clergy and submits recommendations to the sponsoring church.

As has already been noted, autonomy of local churches is a basic principle for Southern Baptists. Each church, theoretically, at least, can devise its own internal structure. In reality, however, there is much uniformity which flows not only from the exigencies of common organizational problems but also from the impact of institutionalized patterns and the pressure of denominational programs. Taking the journal of the Randolph Association as an example, Baptist churches typically include a Sunday School, training unions for various age levels, choirs for different age groups, mission organizations (Mission Friends, Acteens, Women's Missionary Union, etc.), and Brotherhood. As a further example of internal structure, a middle-sized church in the Randolph Association lists

the following officers in its constitution; pastor, deacons (a group of approximately fifteen members elected by the membership and "charged with the spiritual advancement and interest of the church and the watchcare of its members and the distribution of the Lord's Supper"), clerk, treasurer, financial secretary, and "persons needed to staff the organization." Standing committees include ushers, auditing, community welfare, counters, budget, music, flowers, maintenance, purchasing, nominations, baptismal, Lord's Supper, and church council.

A variety of mission projects are supported by the churches of the Randolph Association. These include associational missions, including the director's salary, office costs, and staff support; state missions; home missions; foreign missions; children's homes; hospitals; homes for the aged; the Bible Society; and the Temperance League. The two centerpieces of Baptist giving for causes beyond the local church are foreign missions and the Cooperative Program. The latter, developed in 1925 to replace solicitation of funds by the various agencies and to eliminate the high costs of publicity, is a "system for promoting a unified appeal in behalf of the total work of the denomination and for receiving and distributing funds given to the various ministries, agencies, and institutions of the state and national conventions" (Riley, 1986: 40-41). The system calls for the development of national and state budgets, after which each church determines its own contribution (Sullivan, 1979). The gifts from local churches are sent to the state convention, which, in turn, contributes a share to the SBC according to its own budgetary allocation (Sullivan, 1979). Contributions to the Cooperative Program were \$427,324,815, or 12%, of total giving (\$3,638,340,885) in 1986 (Annual, 1986:127).

While the UMC as a hierarchical structure provides official prescriptions for clerical activities in churches (414, 439, Discipline), has responsibility for their placement, and is implicated directly in control, a different situation exists in Baptist churches. The pattern by which Baptist pastors locate an employing church and negotiate their position in the church is fairly standard, however. In the Randolph Association, the director of missions, upon hearing of a vacancy in an associational church, offers his services in pastoral selection; and he and the church may request the resources of the state Department of Pastor/Church Relations. The director's assistance takes the form of training the pastoral search committee and conducting a church survey on desired pastoral skills and activities. On the basis of the profile thus created, the director submits to the church a list of names of potential pastors. He then assists the committee in consideration of the abilities and backgrounds of those named on the list. Once the list is narrowed down to three candidates and prioritized, each candidate is interviewed, visits the church, and preaches a sermon. Unless both potential pastor and church are satisfied with the projected relationship, the church moves on to consider the next person named on the list. A special committee is responsible for the pastoral search, but the whole congregation decides on the employment of a pastor. In addition to this rather standard procedure, information also circulates among churches on available and desirable pastors and among pastors on available and desirable churches. In fact, a church may ignore the resources of the director of missions altogether and conduct its search in its own way.

Once the new pastor has been selected and is at his/her new location, (although the researcher used the slashed pronouns, he has never heard of a

female pastor among the Southern Baptists) his/her success depends upon meeting member expectations and skills of negotiation, problem-solving, and conflict resolution. For example, in the event of conflict, he/she is expected to engage the aggrieved parties and to enlist the support of the deacons. However, if conflict emerges with the deacons, his/her tenure is short-lived (personal conversation). At the present, the average tenure of pastors is 27 months, in contrast to about 33 years in the UMC; but his figure, up from 18 months in 1982, is heavily weighted by pastors with low levels of education (Personal conversation). On the other hand, the recent advent of the parsonage allowance, which frees clergy to purchase their own homes, tends to foster clerical commitment to a long-term relationship in spite of difficulties with the church (Personal conversation). In short, the Baptist clergy look very much like entrepreneurs in an open-market situation in the religious industry and depend greatly upon impression management and the full commitment of their personal resources; this situation stands in contrast to the dynamics that tend to be generated in circumstances in which employment is guaranteed, as in the UMC.

### Conclusion

In spite of similarities, such as theological beliefs, churches of the UMC and the SBC possess fundamental differences of structure, demographic trends, priorities, and clerical placement. These differences come to clear expression in the position of clergy in the churches. The existence of accountability to hierarchical superiors and the growth of a professional self-image imply not only structural support from bodies beyond the local church but also distance from the local constituency. On the other hand, the growing power of the Pastor-Parish Relations Committee in

evaluation and consultation imply dependence upon the responses of members. These cross pressures are the fertile ground for severe role conflict. The situation of Baptist clergy is more unambiguous. In this case, the source of influence over the laity clearly resides in the clergy's impression management and provision of personal resources. Because of the absence of a guaranteed appointment, the stakes are also higher.

## APPENDIX B:

### QUESTIONNAIRE GUIDE

- I. Leadership Items
  1. Charisma
    - LOYAL (Inspiration)-Q-1,A
    - EXCITE (Confidence in Followers)-Q-1,C
    - CANDO (Mission Articulation)-Q-1,E
    - MODEL (Inspiration)-Q-1,I
    - CONSIDER (Mission Articulation)-Q-3,J
    - DECIDE (Empowerment)-Q-1,L
    - COMMIT (Inspiration)-Q-1,M
    - POVIEW (Empowerment)-1-1,O
    - PURPOSE (Mission Articulation)-Q-1,P
    - EXPRESS (Empowerment)-Q-1,S
    - IMPACT (Confidence in Followers)-Q-1,T
  2. Intellectual Stimulation
    - SHARES-Q-1,H
    - NWAYS-Q-1,V
  3. Individualized Consideration
    - TREAT-Q-1,R
    - NEGLECT-Q-1,W
  4. Contingent Reward
    - GIVES-Q-1,F
    - GWORK-Q-1,K
    - WWANT-Q-1,N
  5. Management-by-exception
    - GUIDE-Q-1,Q
    - OWAYS-Q-1,U
    - TRY-Q-1,X
  6. Traditional Leadership
    - PREACH to EFFECTV-Q-6, Q-7
  7. Pastor's Compatibility with Church
    - FITS-Q-1,B
  8. Pastor's Humility
    - MISTAKES-Q-1,C
  9. Pastor's Conventional Piety
    - SPIRIT-Q-1,6
- II. Predetermined Variables
  1. Socio-Economic Status of Members
    - CHSAL (Average Salary of Members)-Q-5,F

CHED (Average Education of Members)-Q-5,G  
TYPE (Occupation)-Q-5,H

2. Crisis  
AREA-Q-3,A  
DISTRESS-Q-3,D
3. Structure of the Church  
PERMISS (Degree of Hierarchy)-Q-3,I  
PERCENT (Extent of Decision-Making)-Q-3,J  
RULES (Rule Dependence)-Q-3,L  
QUESTION (Rule Dependence)-Q-3,N  
OVER (Degree of Hierarchy)-Q-3,O  
BUDGET (Extent of Decision-Making)-Q-5,J  
OFFICERS (Extent of Decision-Making)-Q-5,K  
SOME GP (Extent of Group Participation)-Q-5,L

### III. Outcomes Items

1. Extra Effort  
ACHCM to ACHSC-Q-2,A  
INCCM to INCSC-Q-2,B  
HARDCH to HARDSC-Q-3,P  
WORSHIP to FINAN-Q-4
2. Organizational Climate  
COHSEN (Agreement)-Q-3,B  
NPROG (Change-orientation)-Q-3,K  
ACCEPT (Agreement)-Q-3,K  
SLOW (Conflict Resolution)-Q-3,M
3. Expectation of Success  
INCMEMB-Q-3,E  
NEXT-Q-3,G
4. Identification with the Church  
HAPPY-Q-3,F  
LIGHT-Q-3,H
5. Satisfaction with the Pastor  
REMAIN-Q-5,I  
SATIS-Q-8,H

### IV. Church-related Items

SIZE (Size of Membership)-Q-5,A  
EXIST (Age of Church)-Q-5,B  
DEMOM (Denomination)-Q-5,C  
PLACE (Location of the Church)-Q-5,D  
ETHNIC (Ethnic Composition of Church)-Q-5,E

### V. Pastor-related Items

AGE (Age of Pastor)-Q-8,A

SERVED (Tenure of Pastor)-Q-8,B  
PREVIOUS (Previous Pastors)-Q-8,C  
SEXP (Sex of Pastor)-Q-8,D  
EDP (Education of Pastor)-Q-8,E  
ATTRACTV (Physical Appearance of Pastor)-Q-8,F  
SUCCESS (Perceived Chance of Pastor's Success outside  
Church)-Q-8,G

VI. Respondent Items

MEMBER (Length of Church Membership)-Q-9,A  
POSITION (Involvement)-Q-9,B  
TENURE (Longevity in Position)-Q-9,C  
SEXR (Sex)-Q-9,D  
RELATION (Relationship with Pastor)-Q-9,E  
FOLLOWED (General Attitude toward Pastor)-Q-9,F  
LEAVE (Attachment to Church)-Q-9,G  
CONSVATV (Belief System)  
WRONG (General Expectations with Regard to  
Churches)- Q-9,I  
DEBATE (Ideological Rigidity-Flexibility)-Q-9,J

APPENDIX C:

THE QUESTIONNAIRE

Q-1 Here are a series of statements about the leadership of pastors. Would you rate each of them according to how frequently your pastor displays the behavior described. Please indicate whether you think the behavior is (5) always (5), (4) often, (3) sometimes, (2) seldom, or (1) never displayed.

To what extent does your pastor display these behaviors?  
(Circle your answer) Never -- Always

Our pastor:

- A. Inspires total loyalty to himself/herself ..... 1 2 3 4 5
- B. Is unlike most of our members in most ways, that is, he/she does not fit in .. 1 2 3 4 5
- C. Makes us feel that we can be an exciting, growing church without him/her if we have to ..... 1 2 3 4 5
- D. Is reluctant to admit his/her mistakes ..... 1 2 3 4 5
- E. Excites our members with his/her vision of what we can accomplish as a church if we work together ..... 1 2 3 4 5
- F. Gives us what we want in exchange for our support of him/her ..... 1 2 3 4 5
- G. Does not exemplify Christ's spirit of love as much as we think he/she should ..... 1 2 3 4 5
- H. Shares ideas which have forced us to rethink some of our ideas that we never questioned before ..... 1 2 3 4 5
- I. Is not a model we can encourage our children to follow ..... 1 2 3 4 5
- J. Has a special gift of seeing what is really important for us to consider ... 1 2 3 4 5

- K. Talks a lot about special commendations and recognition for good work ..... 1 2 3 4 5
- L. Is reluctant to help church members decide what they want in the church ... 1 2 3 4 5
- M. Leads our members to become committed to their church responsibilities ..... 1 2 3 4 5
- N. Shows us how to get what we decide we want ..... 1 2 3 4 5
- O. Discourage members from understanding each others' points of view when we disagree with each other ..... 1 2 3 4 5
- P. Gives the church a sense of overall purpose to accomplish in our community ..... 1 2 3 4 5
- Q. Limits his/her guidance to what we have to know to do our work in the church ..... 1 2 3 4 5
- R. Is slow to treat each member according to his/her special needs and situation ..... 1 2 3 4 5
- S. Encourages us to express our feelings and ideas whenever we disagree with him/her ..... 1 2 3 4 5
- T. Makes us feel that we can make a great impact on our community ..... 1 2 3 4 5
- U. As long as the old ways work he/she is satisfied with what we do in the church ..... 1 2 3 4 5
- V. Provides very few new ways of looking at Christian faith and church issues .. 1 2 3 4 5
- W. Ignores members who seem to be neglected ..... 1 2 3 4 5
- X. As long as things are going well, he/she does not try to change anything ..... 1 2 3 4 5

Q-2 The previous questions were about your pastor's leadership with regard to the congregation. Now we would like to address your pastor's leadership toward several groups in your church. Please rate each statement according to how frequently your pastor displays the behavior described. Indicate whether you think the behavior is (5) always, (4) often, (3) sometimes, (2) seldom, or (1) never displayed.

To what extent does your pastor display these behaviors?  
 (Circle your answer) Never -- Always

A. Leads the following groups to outstanding achievements:

- 1. Typical church members ..... 1 2 3 4 5
- 2. Lay leaders ..... 1 2 3 4 5
- 3. Youth groups ..... 1 2 3 4 5
- 4. Men's groups ..... 1 2 3 4 5
- 5. Women's groups ..... 1 2 3 4 5
- 6. Senior citizens ..... 1 2 3 4 5

B. Has led the following groups to increase their level of activity.

- 1. Typical church members ..... 1 2 3 4 5
- 2. Lay leaders ..... 1 2 3 4 5
- 3. Youth groups ..... 1 2 3 4 5
- 4. Men's groups ..... 1 2 3 4 5
- 5. Women's groups ..... 1 2 3 4 5
- 6. Senior citizens ..... 1 2 3 4 5

Q-3 Now, in this portion of the questionnaire are statements pertaining to your church. You might find yourself strongly agreeing with some, disagreeing just as strongly with others, and perhaps, indifferent to others. The best answer to each statement is your personal opinion. Please indicate whether you (5) strongly agree, (4) agree, (3) undecided, (2) disagree, or (1) strongly disagree.

To what extent do you agree or disagree with this statement? (Circle your answer) Strongly disagree -- Strongly agree

- A. The immediate area in which our church is located is changing rapidly for the worse ..... 1 2 3 4 5
- B. There is consensus in our church about the programs and activities for the next year ..... 1 2 3 4 5
- C. The members of our church are reluctant to try new programs if this means discarding long-established ones ..... 1 2 3 4 5
- D. Over the past two years changes occurring in our church have caused our members great distress ..... 1 2 3 4 5
- E. Not many of our members believe that our church will increase its membership ..... 1 2 3 4 5
- F. Our members are happy to invite strangers to visit and join our church ..... 1 2 3 4 5
- G. Our members believe that our membership will increase by 25% in the next 4 years ..... 1 2 3 4 5
- H. Our members see our church in a negative light when they hear about churches of similar size that are doing well ..... 1 2 3 4 5
- I. Every program or activity in our church requires permission from the Deacon Board or the Adminstrative Board/Council ..... 1 2 3 4 5

- J. A smaller percentage of our members votes on officers and the budget than did three years ago ..... 1 2 3 4 5
- K. Our members gladly accept what is asked of them ..... 1 2 3 4 5
- L. There are more rules and regulations in our church than our members think there should be ..... 1 2 3 4 5
- M. The pastor and lay leaders are slow to respond to questions and concerns about the church budget ..... 1 2 3 4 5
- N. Decisions made by the Administrative Board/Council or Deacon Board are followed without question ..... 1 2 3 4 5
- O. Every officer and teacher in our church has another officer over him/her to whom he/she regularly reports ..... 1 2 3 4 5
- P. The following groups are working harder now than they did a year ago
1. Typical church member ..... 1 2 3 4 5
2. Lay leaders ..... 1 2 3 4 5
3. Youth group ..... 1 2 3 4 5
4. Men's groups ..... 1 2 3 4 5
5. Women's groups ..... 1 2 3 4 5
6. Senior citizens ..... 1 2 3 4 5

Q-4 We are interested in your perception of how your church has changed over the last 5 years. Please indicate whether you think the church has (5) increased greatly, (4) increased slightly, (3) remained the same, (2) decreased slightly, or (1) decreased greatly in the following areas over the past five years.

To what extent have these areas increased or decreased?  
 (Circle your answer) Decreased greatly -- Increased greatly

- A. Your average worship attendance ..... 1 2 3 4 5
- B. Your average Sunday School attendance ..... 1 2 3 4 5
- C. Your church membership ..... 1 2 3 4 5
- D. The number of groups and programs in your church other than Sunday School and worship ..... 1 2 3 4 5
- E. Financial contributions of the members of your church ..... 1 2 3 4 5

Q-5 As you know, every church is somewhat unique and different. We would like to know a little about the general characteristics of your church.

- A. The membership of your congregation is: \_\_\_\_\_
- B. Your congregation has been in existence for: \_\_\_\_\_ YEARS
- C. Your church is: (Circle number of your answer)
  - 1. BAPTIST
  - 2. UNITED METHODIST
- D. The area in which your church is located is: (Circle number)
  - 1. RURAL
  - 2. SMALL TOWN
  - 3. SUBURB OF A LARGE CITY
  - 4. LARGE CITY

E. Your church is predominantly: (Circle number)

1. WHITE
2. BLACK
3. ORIENTAL
4. HISPANIC
5. OTHER....(specify) \_\_\_\_\_

F. The salary level which best represents the average individual income of the working memvers of your church is: (Circle number)

1. 5,000-9,999
2. 10,000-14,999
3. 15,000-19,999
4. 20,000-24,999
5. 25,000-29,999
6. 30,000-34,999
7. OVER 35,000

G. Which best represents the average educational attainment of your church members? (Circle number)

1. HIGH SCHOOL OR LESS
2. 1-3 YEARS OF COLLEGE
3. 4 YEARS OF COLLEGE
4. MORE THAN 4 YEARS OF COLLEGE

H. Which occupational type best represents your congregation? (Circle number)

1. FARMING
2. FACTORY WORK
3. BUSINESS
4. SERVICE
5. OTHER...(specify) \_\_\_\_\_

I. Your church would like for your pastor to remain in his/her position as pastor for: (Circle number)

1. ONE YEAR
2. TWO YEARS
3. THREE YEARS
4. FOUR YEARS
5. FIVE YEARS
6. SIX YEARS
7. SEVEN YEARS
8. EIGHT YEARS OR MORE

Which percentage best answers the following questions?  
 (Circle your answer) 1-25%, 26-50%, 51-75%, 76-100%

- J. What percentage of your church's membership votes on your church's budget for each year (or make decisions on major expenditures)? ..... 1 2 3 4
- K. What percentage of your church's membership votes on new officers for your church? ..... 1 2 3 4
- L. What is the total percentage of your church's membership active in some church group other than worship and Sunday School? Examples would be children's groups, men's and women's groups, study groups, etc ..... 1 2 3 4

Q-6 Please indicate what your fellow members think about the way your pastor performs in the following areas. Is his/her performance (5) above all expectations, (4) above average, (3) average, (2) below average, or (1) far below average in the following areas?

To what extent does your pastor perform in the following areas? Below average - Above all expectation

- A. Preaching ..... 1 2 3 4 5
- B. Visitation ..... 1 2 3 4 5
- C. Administration ..... 1 2 3 4 5
- D. Teaching ..... 1 2 3 4 5
- E. Counseling ..... 1 2 3 4 5
- F. Participation in community affairs ..... 1 2 3 4 5
- G. Personal conversation ..... 1 2 3 4 5

Q-7 Taken as a whole, how effective is your pastor in meeting the needs of your church in the above areas? (Circle Answer)

1. VERY INEFFECTIVE
2. SOMEWHAT INEFFECTIVE
3. NEITHER
4. FAIRLY EFFECTIVE
5. VERY EFFECTIVE

Q-8 Now we would like for you to answer a few questions about the background of your pastor:

- A. The age of your pastor is: \_\_\_\_\_ YEARS
- B. Your pastor has been serving your church for \_\_\_\_\_ YEARS
- C. The period of service of your previous three pastors, taken as a group, was: \_\_\_\_\_ YEARS
- D. What is the sex of your pastor? (Circle number of your answer)

1. MALE
2. FEMALE

E. Which is the highest level of education your pastor has completed? (Circle number)

1. HIGH SCHOOL ONLY
2. 1-3 YEARS OF COLLEGE
3. 4 YEARS OF COLLEGE
4. 3 YEARS OF SEMINARY
5. MORE THAN 3 YEARS OF SEMINARY

F. How attractive is your pastor physically? (Circle number)

1. VERY ATTRACTIVE
2. SOMEWHAT ATTRACTIVE
3. AVERAGE
4. SOMEWHAT UNATTRACTIVE
5. VERY UNATTRACTIVE

G. Even if your pastor were not in the ministry, he/she would still be a very successful person. (Circle number)

1. STRONGLY DISAGREE
2. DISAGREE
3. UNDECIDED
4. AGREE
5. STRONGLY AGREE

H. In all, how satisfied is your church with your pastor?

1. VERY DISSATISFIED
2. SOMEWHAT DISSATISFIED
3. NEITHER
4. FAIRLY SATISFIED
5. VERY SATISFIED

Q-9 Finally, we would like you to answer some questions about yourself. Please fill in the blank or circle one answer for each question.

A. You have been a member of this church for: \_\_\_\_\_ YEARS

B. How many positions do you hold in your church? \_\_\_\_\_

C. How long have you held the position as chairperson of the board of this church? (including previous tenure)  
\_\_\_\_\_ YEARS

D. Your sex. (Circle number)

1. MALE
2. FEMALE

E. The following best describes your relationship with your pastor. (Circle number)

1. VERY DISTANT
2. DISTANT
3. CASUAL
4. INTIMATE
5. VERY INTIMATE

F. I think pastors should always be followed because they have been called by God into their work. (Circle number)

1. STRONGLY DISAGREE
2. DISAGREE

3. UNDECIDED
4. AGREE
5. STRONGLY AGREE

G. Except in the event I move to another area, I would never leave my present church. (Circle number)

1. STRONGLY DISAGREE
2. DISAGREE
3. UNDECIDED
4. AGREE
5. STRONGLY AGREE

H. On matters relating to Christian faith, I consider my self to be very conservative. (Circle number)

1. STRONGLY DISAGREE
2. DISAGREE
3. UNDECIDED
4. AGREE
5. STRONGLY AGREE

I. Unless a church is increasing its membership and its influence on the community, there is something wrong with that church. (Circle number)

1. STRONGLY DISAGREE
2. DISAGREE
3. UNDECIDED
4. AGREE
5. STRONGLY AGREE

J. There are some matters relating to Christian faith that I would never debate. (Circle number)

1. STRONGLY DISAGREE
2. DISAGREE
3. UNDECIDED
4. AGREE
5. STRONGLY AGREE

Q-10 If there are any additional comments or thoughts that you have concerning the role of your pastor that we have not touched on, please feel free to use the space provided below to express them.

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