Transformational Leadership in the Era of Change

A Monograph
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Abstract

TRANSFORMATIONAL LEADERSHIP IN THE ERA OF CHANGE by MAJ Thomas D. Huse, US Army, 50 pages.

The U.S. Army is currently in the midst of unprecedented transformation. Weapons, vehicles, technology, and most important, people, are the focus of the Army's future change. Understanding the relationship between people (soldiers) and change is a definite leadership challenge. By combining emerging technologies with people and change, future leadership challenges increase immeasurably. Transformational leadership is about leading an organization through change. In its purest form, it is the ability to guide and direct those within a given organization, focusing on one clear, directed vision through the application of the components of transformational leadership. As the U. S. Army continues to change and progress through the twenty-first century, we will without doubt need transformational leaders to spearhead this change, leaders that can effectively guide and direct their subordinates through this transformation, and to serve as "agents of change." The purpose of this monograph is to determine the applicability of transformational leadership within the U. S. Army through an analysis and comparison of transformational leadership styles and techniques based upon selected evaluation criteria. Moreover, the base question to be answered is should transformational leadership be adopted at all leadership levels within the Army, or at specific levels only?

The case studies are an analysis and historic significance of transformational leadership, centering on two renowned transformational leaders of our Army, General George C. Marshall, and General William E. DePuy. Both of these leaders possessed exceptional transformational leadership ability through periods of true change and transformation within the U. S. Army. Furthermore, the case studies apply the principles of transformational leadership to these leaders' abilities, decision-making, and overall leadership proficiency through periods U. S. Army transformation. Finally, this chapter illustrates how the skills and attributes of these selected leaders compare using the stated evaluation criteria.

The conclusions focus on the premise that transformational leaders are effective and are needed within the U. S. Army. Moreover, the transformational leadership style should be the primary leadership style taught and reinforced to leaders at all levels of the U. S. Army. The recommendations suggest possible solutions for implementing transformational leadership though the effective application of counseling, mentorship, training and education, attitude, and a personal leadership development plan.

TABLE OF CONTENTS

TABLE OF CONTENTS iii
LIST OF FIGURES iv
LIST OF TABLES iv
CHAPTER I: INTRODUCTION AND BACKGROUND 1
Purpose 4
Methodology and Structure 4
Evaluation Criteria 5
CHAPTER II: TRANSFORMATIONAL LEADERSHIP DEFINED 8
Full Range Leadership 8
Transformational Leadership 10
Transactional Leadership 14
The Multifactor Leadership Questionnaire 17
Summary 19
CHAPTER III: THE HISTORICAL CONCEPT OF TRANSFORMATIONAL LEADERSHIP 21
Case Study One: General George C. Marshall 22
Background 22
Education 23
Military Career 25
Summary 28
Case Study Two: General William E. DePuy 28
Background 29
Education 29
Military Career 30
Summary 37
CHAPTER IV: CONCLUSION AND RECOMMENDATIONS 39
Conclusion 39
Transformational Leaders are Effective 41
Transformational Leaders are Needed 41
Recommendations 42
Counseling and Feedback 42
Mentorship and Coaching 43
Training and Education 44
The MLQ and Personal Development Plan 44
Attitude 45
Summary 45
CHAPTER V: BIBLIOGRAPHY 47

LIST OF FIGURES

Figure 2-1: The Full Range Leadership Model 9
Figure 2-2: Follower Reactions to Transformational Behaviors 13
Figure 2-3: The Full Range of Leadership Styles 20
Figure 4-1: Full Range Leadership Components 40

LIST OF TABLES

Table 2-1: Descriptions of Participative Versus Directive Leadership and the Components of the Full Range of Leadership 16

CHAPTER I: INTRODUCTION AND BACKGROUND

We are about leadership; it is our stock in trade, and it is what makes us different. We take soldiers who enter the force and grow them into leaders for the next generation of soldiers. We will continue to develop those leaders through study in the institutional schoolhouse, through field experiences gained in operational assignments, and through personal study and professional readings. Our soldiers provide back to America a corps of leaders who have an unmatched work ethic, who have a strong sense of values, who treat others with dignity and respect, who are accustomed to hard work, who are courageous, who thrive on responsibility, who know how to build and motivate teams, and who are positive role models for all around them. We provide this opportunity to American youth so that we can keep our Nation strong and competitive and enable it to fulfill its leadership role in the community of nations. We invest today in the Nation's leadership for tomorrow.[1]

General Eric K. Shinseki
Chief Of Staff Of The Army
23 June 1999

Throughout the course of history, the U. S. military has modified and adapted its equipment, organizations, and its servicemen to meet the needs of the Nation. This modification and adaptation, or "Transformation" has occurred many times throughout our past, and was guided, directed, and supervised by leaders possessing the necessary vision and ideals to see it through. How did these leaders understand the very nature of the transformation they were about to undertake? How did these leaders provide direction and purpose during periods of change?

The U.S. Army is currently in the midst of unprecedented transformation. Weapons, vehicles, technology, and most important, people, are the focus of the Army's future change. Understanding the relationship between people (soldiers) and change is a definite leadership challenge. By combining emerging technologies with people and change, future leadership challenges increase immeasurably. How do Army leaders at all levels, enhance leadership through a rapidly changing environment? Understanding the conceptual framework of Transformational Leadership (TL) and its principles can contribute to this leadership dilemma.

[1] *The Army Vision: Soldiers on Point for the Nation Persuasive in Peace, Invincible in War,* available on line at https://www.us.army.mil/csa/vision.html; Internet; accessed on 17 Apr 03.

The author's experience while a student at the U. S. Army's Command and General Staff Officer's Course (CGSOC) provided a unique opportunity to participate in the transformational leadership course and study. This course provided the author with the initial insight and foundation for further exploring the concept of transformational leadership and its application for successful leadership within our Army. To the author's surprise, it was discovered that many of the author's successful former superiors possessed (although unknowing at the time) many of the basic components of transformational leadership. As the author has discovered through personal experiences and transactions with these former superiors, knowing *when* to apply the specific components of transformational leadership to a given situation remains the overarching key to success in true transformational leaders.

Transformational leadership is about leading an organization through change. In its purest form, it is the ability to guide and direct those within a given organization, focusing on one clear, directed vision through the application of the components of transformational leadership. As our Army continues to change and progress through the twenty-first century, we will without doubt need transformational leaders to spearhead this change, leaders that can effectively guide and direct their subordinates through this transformation, and to serve as "agents of change."

Transformational leadership is fully integrated within our Army; however, the full aspect of this style of leadership is only generically understood and applied throughout various units and organizations. Field Manual 22-100 briefly mentions transformational leadership and states:

> *As the name suggests, the transformational style "transforms" subordinates by challenging them to rise above their immediate needs and self-interests. The transformational style is developmental: it emphasizes individual growth (both professional and personal) and organizational enhancement. Key features of the transformational style include empowering and mentally stimulating subordinates: you consider and motivate them first as individuals and then as a group. To use the transformational style, you must have the courage to communicate your intent and then step back and let your subordinates work. You must also be aware that immediate benefits are often delayed until the mission is accomplished.*[2]

[2] Field Manual 22-100, *Army Leadership* (Washington D.C.: Government Printing Office, August 1999), 3-17.

FM 22-100 further identifies transactional leadership as:

> *In contrast, some leaders employ only the transactional leadership style. This style includes such techniques as:*
>
> *- Motivating subordinates to work by offering rewards or threatening punishment.*
>
> *- Prescribing task assignments in writing.*
>
> *- Outlining all the conditions of task completion, the applicable rules and regulations, the benefits of success, and the consequences—to include possible disciplinary actions—of failure.*
>
> *- 'Management-by-exception,' where leaders focus on their subordinates' failures, showing up only when something goes wrong.*
>
> *- The leader who relies exclusively on the transactional style, rather than combining it with the transformational style, evokes only short-term commitment from his subordinates and discourages risk-taking and innovation.*[3]

A key aspect of this style of leadership is that it is primarily a contract of understanding between the leader and the led. This contract is the principal means of fostering a clear understanding of change. Considering the current changes undertaken by our Army's senior leadership regarding Army Transformation, transformational leadership is more important than ever.

A new way of thinking about leadership has begun to capture attention of many leadership theorists, and is needed to effectively lead during periods of change. One of the major objectives of the U. S. Army's School of Advanced Military Studies (SAMS) program is to produce these "agents of change." This monograph illustrates the relevance of transformational leadership and how operational leaders must continue to serve as change agents in order for our Army to successfully progress and transform.

[3] Ibid.

Purpose

The purpose of this monograph is to determine the applicability of transformational leadership within the U. S. Army through an analysis and comparison of transformational leadership styles and techniques based upon selected evaluation criterion. Moreover, the base question to be answered is should transformational leadership be adopted at all leadership levels within the Army?

Methodology and Structure

In order to validate whether the concept of transformational leadership is applicable within the U. S. Army, and in order to articulate the basic concept, framework, and ideals of transformational leadership this monograph will logically flow in the following manner:

The first chapter identifies the flow and framework of the monograph, and identifies the selected criteria used in evaluating the effectiveness of transformational leadership.

The second chapter of this monograph defines transformational leadership and its components. Transformational leadership is framed in terms of the Full-Range Leadership Model, and focuses on the four major components of transformational leadership: idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration. Additionally, the use and relevance of the Multifactor Leadership Questionnaire is discussed, in conjunction with the Leadership Development Plan (LDP).

The third chapter analyzes the historic significance of transformational leadership, focusing on two selected leaders of our Army through periods of transformation, analyzing their influences, experiences, and performance during periods of change, and applying the principles of transformational leadership to their abilities and decision-making.

The fourth chapter assesses the abilities of the two key transformational leaders from the U. S. Army's past, focusing on the decision-making, adaptation, and the requirement for rapid change within an organization as a result of doctrinal, leadership, and equipment advances.

In order to answer the monograph question (Should transformational leadership be adopted at all leadership levels within the Army?), this paper demonstrates a need for transformational leadership by analyzing two prominent transformational leaders, both leading the U. S. Army through periods of change. Additionally, the importance of transformational leadership is stressed, especially during this unprecedented period of transformation within the U. S. Army. Finally, the abilities of our leadership to adapt, embraces change, and continue to transform our Army will result in our ability to remain full-spectrum dominant in this ever-changing world.

Evaluation Criteria

In order to better understand the relevance of transformational leadership within the U. S. Army, the following five criteria (including quantifying definitions) are used to establish a basis and framework for evaluation and understanding. These criteria will be used in evaluating the performance of designated "transformational leaders" from the U. S. Army's past, focusing on specific periods of transformation or change in doctrine, equipment, and policy. Moreover, the established criteria will validate a need for the transformational leadership style at all leadership levels within the U. S. Army. Although this criteria is general in nature, it provides focus and narrows the scope of understanding transformational leadership.

1. ***Idealized Influence (Vision):*** Foundation for future progression and development. Understood and adhered to by all within the given organization. This criterion will demonstrate the applicability of idealized influence, and its importance to the transformational leadership process by analyzing the following:

    - Confidence in the vision.
    - Sense of purpose and trust.
    - Shared vision within a given organization.

2. ***Inspirational Motivation:*** Optimistic, and most importantly, attainable view of the future.

- Clarification of the future within the organization. This criterion will demonstrate the applicability of inspirational motivation and its importance to the transformational leadership process by analyzing the following:

- Elevation expectations.

- Envisioning a desirable, attainable future.

3. ***Intellectual Stimulation:*** Consistently envisioning new ways and methods of thinking, and encouraging imaginative thoughts and concepts. This criterion will demonstrate the applicability of intellectual stimulation and its importance to the transformational leadership process by analyzing the following:

- Past examples applied to current problems.

- Consistently re-examining critical assumptions to problems.

4. ***Individualized Consideration:*** Encouraging and stimulating individual thinking and ideas by placing value on individual needs and significance. This criterion will demonstrate the applicability of individualized consideration and its importance to the transformational leadership process by analyzing the following:

- Encourages a strategy for continuous improvement in methods and procedures.

- Learning opportunities.

5. ***Effective Transformational Leadership Through Periods of Change:***

- Should the U. S. Army adopt transformational leadership as its primary doctrinal method of leadership through the effective application of an adaptive, flexible leadership style that incorporates change as positive?

- Given the nature of change in the future of the U. S. Army, should transformational leadership be the primary leadership method used by leaders at all levels, or only at specific levels of command/leadership (Impact of transformational leadership at the organizational and direct level of leadership)?

- In periods of Army Transformation, was the overall change affected by transformational leadership styles? If not, what elements of transformational leadership were missing and why?

The criteria used in evaluating this monograph are all sub-components of transformational leadership. As the case studies will illustrate, true transformational leaders exhibit not one or two characteristics, but possess all of the attributes of transformational leadership.

CHAPTER II: TRANSFORMATIONAL LEADERSHIP DEFINED

We are about leadership; it is our stock in trade, and it is what makes us different. We take soldiers who enter the force and grow them into leaders for the next generation of soldiers. We will continue to develop those leaders through study in the institutional schoolhouse, through field experiences gained in operational assignments, and through personal study and professional readings. Our soldiers provide back to America a corps of leaders who have an unmatched work ethic, who have a strong sense of values, who treat others with dignity and respect, who are accustomed to hard work, who are courageous, who thrive on responsibility, who know how to build and motivate teams, and who are positive role models for all around them. We provide this opportunity to American youth so that we can keep our Nation strong and competitive and enable it to fulfill its leadership role in the community of nations. We invest today in the Nation's leadership for tomorrow.[4]

General Eric K. Shinseki
Chief Of Staff Of The Army
23 June 1999

Understanding leadership and its integral role in organizational success has been observed, studied, and documented many times throughout the course of history. Both successful and not so successful organizations (military and non-military) have been studied in hopes of finding the right mix of qualities desired in a true transformational leader. Although many leaders have guided their organizations through change, very few have been overwhelmingly successful in true transformation. In order to understand the true nature of Transformational Leadership, we must first define it, understand the TL framework, and relate its components to organizational successes.

Full Range Leadership

One of the foremost authors on the subject of transformational leadership is Dr. Bruce Avolio. Dr. Avolio conveys the true essence of transformational leadership by discussing the interrelationship of transformational leadership within transactional leadership. In order to

[4] *The Army Vision: Soldiers on Point for the Nation Persuasive in Peace, Invincible in War,* available on line at https://www.us.army.mil/csa/vision.html; Internet; accessed on 17 Apr 03.

understand transformational leadership and its components, we must begin with the "Full Range" view of leadership.

Dr. Avolio identifies three major components of Full Range Leadership: Transformational Leadership, Transactional Leadership, and Non-Transactional (Laissez-faire) Leadership.[5] All three of these components, when combined, produce adaptive leadership that can adjust or modify with each situation. To better illustrate Full Range Leadership and its components, Dr. Avolio, in conjunction with the Center for Leadership Studies at Binghamton University (New York), uses The Full Range Leadership Model (Figure 2-1). This model depicts Full Range Leadership and its major styles as it relates to active and passive leadership styles, as well as effective to ineffective leadership.

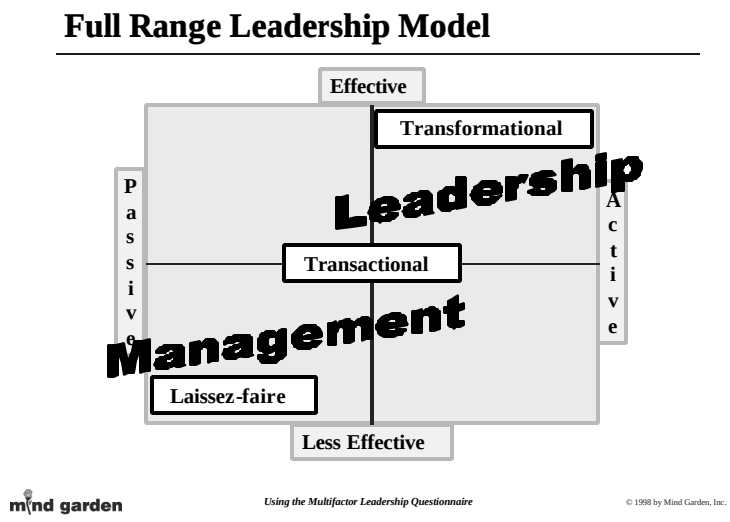

Figure 2-1: The Full Range Leadership Model[6]

[5] Bruce Avolio, *Full Leadership Development: Building the Vital Forces in Organizations* (Thousand Oaks, CA: Sage Publications, 1999), 33.

[6] Bruce Avolio and Bernard Bass, *Full Leadership Development: Building the Vital Forces in Organizations* (Thousand Oaks, CA: Sage Publications, 1994), 5.

Transformational Leadership

Avolio defines transformational leadership as the process whereby leaders develop followers into leaders. Transformational leaders stimulate change, as opposed to suppressing it when it arises.[7] Bernard M. Bass, another specialist on Full Range Leadership, and in particular, transformational leadership, further defines transformational leadership as "new paradigms of leadership style that is a particularly effective leadership style of the military".[8] Bass further states that transformational leadership is an expansion of transactional leadership.[9] Bass's work is most interesting in that he conveys specific relationships to the military and the U. S. Army in particular. He further cites the importance of the Army Research Institute for the Behavioral and Social Sciences (ARI). Peter G. Northouse, another leading author on leadership styles, also states "transformational leadership is a process that changes and transforms individuals, and is primarily concerned with values, ethics, standards, and long-term goals. It further involves assessing followers' motives, satisfying their needs, and treating them as full human beings. It is a process that subsumes charismatic and visionary leadership."[10]

An additional author on the subject of transformational leadership is James MacGregor Burns. Mr. Burns, winner of the Pulitzer Prize and the National Book Award and senior fellow at the Jepson School of Leadership Studies at the University of Richmond, makes a fundamental difference between what he describes as "transactional" and "transforming" leadership. Burns defines transforming leadership as complex and potent. The transforming leader recognizes and exploits an existing need or demand of a potential follower. But, beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result, according to Burns, is that transforming leadership is a

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[7] B. Avolio, 34.

[8] Bernard Bass, *Transformational Leadership: Industrial, Military, and Educational Impact* (Mahwah, NJ: Lawrence Erlbaum Associates, 1998), 3.

[9] B. Bass, 4.

[10] Paul Northouse, *Leadership: Theory and Practice* (Thousand Oaks, CA: Sage Publications, 2001), 131.

relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents.[11] Furthermore, Burns also suggests that the transforming leader is one who, though initially driven by the search for individual acknowledgment and recognition, ultimately advances communal purpose by being attuned to the objectives of his or her followers. Burns suggests that Mao and Gandhi are classical transformational leaders; they met their people's initial wants and needs but instead of riding them to power, remained sensitive to their higher purposes and aspirations.

One of the most important aspects of a U. S. Army leader's growth and development and is coaching and mentorship. This is usually done in the form of daily interaction with a respected and admired senior, or through the use of formal or informal counseling. Thomas G. Crane, in his book, *The Heart of Coaching: Using Transformational Coaching to Create a High-Performance Culture*, describes another embedded fundamental component of transformational leadership, he terms "transformational coaching." Coaching and mentorship is key in successful transformational leadership, and Crane further explains that transformational coaching is "the art of assisting people enhance their effectiveness, in a way they feel helped."[12]

As mentioned earlier, in order for transformational leadership to be effective, all four of its sub-elements must be present. Both Dr. Avolio and Bass discuss the four components in great detail. The four components are:

Idealized Influence: Characteristics of a leader who possesses Idealized Influence range from serving as effective role models, leaders who are willing to take risks and are constant rather than arbitrary.[13] Northouse terms idealized influence as charisma, that is to say "it describes leaders who act as strong role models for followers."[14] He further explains that leaders who

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[11] James Burns, *Leadership* (New York, NY: Harper and Row, 1978), 4.

[12] Thomas Crane, *The Heart of Coaching: Using Transformational Coaching to Create a High Performance Culture* (San Diego, CA: FTA Press, 2001), 31.

[13] B. Bass, 5.

[14] P. Northouse, 137.

possess idealized influence "usually have very high standards of moral and ethical conduct and can be counted on to do the right thing."[15] Dr. Avolio continues to expand idealized influence by including that leaders create "sense of joint mission."[16] All definitions of idealized influence demonstrate the need for having confidence in a shared vision, and ensuring subordinates are continually provided a sense of direction, purpose, and trust. Leaders display conviction; emphasize trust; take stands on difficult issues; present their most important values; and emphasize the importance of purpose, commitment, and the ethical consequences of decision. Such leaders are admired as role models; they generate pride, loyalty, confidence, and alignment around a shared purpose.[17]

Inspirational Motivation: Leaders who exhibit IM usually behave in ways that motivate and inspire those around them by providing meaning and challenge to their followers' work.[18] Moreover, leaders that possess inspirational motivation tend to paint an optimistic future, molding expectations that created self-fulfilling prophesies, and thinking ahead.[19] The underlying themes of leaders who possess inspirational motivation are keeping the stated vision on course through continuous interaction and by providing the necessary direction when deemed appropriate.

Intellectual Stimulation: The basic premise behind intellectual stimulation is to stimulate subordinates' efforts to be innovative and creative by questioning and modifying assumptions, reframing problems, and approaching old situations in new ways.[20] This "thinking outside the box" technique provides the organization a fresh approach to situations, but if not governed properly, leads to wasted time and resources. Leaders question old assumptions, traditions, and

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[15] Ibid., 137.
[16] B. Avolio, 58.
[17] *"Transformational Leadership Equals Organizational Success"* available on line at http://www.mindgarden.com/Documents/MLQ Brochure.doc; Internet; accessed on 13 Mar 03.
[18] B. Bass, 5.
[19] B. Avolio, 58.
[20] B. Bass, 5.

beliefs; stimulate in others new perspectives and ways of doing things; and encourage the expression of ideas and reasons.[21]

Individualized Consideration: Transformational leaders exhibiting this component often pay special attention to each individual subordinate's needs for achievement and growth by serving not only as a leader, but also as a coach and mentor.[22] Another, perhaps most important attribute of individualized consideration is that the true transformational leader identifies the capabilities and limitations of subordinates, and often assigns tasks on the basis of the assessment.[23] Leaders deal with their subordinates as individuals. They further consider their individual needs, abilities and aspirations; and often listen attentively. A leader possessing the full range of individualized consideration also furthers their subordinates' development, advises, and coaches often.[24]

Transformational leadership exists and functions properly when all four components are identified and maximized by the leader. Figure 2-2 depicts the four components of transformational leadership and their interaction with desired subordinate behaviors.

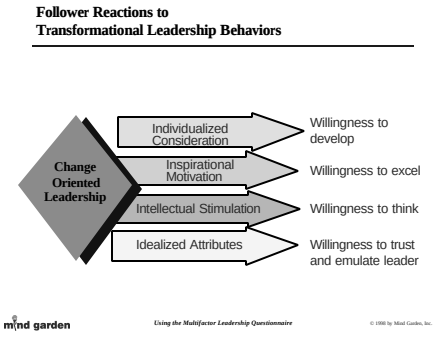

Figure 2-2: Follower Reactions to Transformational Behaviors[25]

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[21] *"Transformational Leadership Equals Organizational Success"* available on line at http://www.mindgarden.com/Documents/MLQ Brochure.doc; Internet; accessed on 13 Mar 03.

[22] B. Bass, 6.

[23] B. Avolio, 58.

[24] *"Transformational Leadership Equals Organizational Success"* available on line at http://www.mindgarden.com/Documents/MLQ Brochure.doc; Internet; accessed on 13 Mar 03.

[25] *"Follower Reactions to Transformational Leadership Reactions"* available on line at http://www.mindgarden.com/; Internet; accessed 14 Apr 03.

Transactional Leadership

Burns describes transactional leadership as what type of relationship exists between the leader and the follower. The relations of most leaders and followers are transactional. Leaders approach followers with an eye to exchanging one thing for another. The exchanges could be economic or political or psychological in nature: a swap of goods or of one good for money; a trading of votes between candidate and citizen or between legislators; hospitality to another person in exchange for willingness to listen to one's troubles.[26] Such transactions comprise the bulk of the relationships among leaders and followers, especially in groups, legislatures, and parties.[27]

Transactional Leadership, according to Dr. Avolio, "addresses the self-interests of those being influenced by the team. Transactional leaders offer inducements to move in the direction desired by the leaders, which often is a direction that would also satisfy the self-interests of the followers."[28] Transactional leadership, like Transformational Leadership, consists of a basic framework of sub-components. Transactional leadership, as Dr. Avolio further conveys, "occurs when the leader rewards or disciplines the follower, depending on the adequacy of the follower's behavior or performance"[29] The sub-elements of Transactional Leadership are Contingent Reward and Management-by-Exception (both active and passive).

Contingent Reward: This component of Transactional Leadership focuses on the reward system. The leader assigns or secures agreements on what needs to be done and promises rewards or actually rewards others in exchange for completing the given task.[30] Northouse expounds of this premise by stating that CR is "an exchange process between leaders and followers in which effort by followers is exchanged for specified rewards."[31] Leaders engage in a

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[26] J. Burns, 19.
[27] Ibid., 4.
[28] B. Avolio, 35.
[29] Ibid., 49.
[30] Ibid.
[31] P. Northouse, 140.

constructive path-goal transaction of reward for performance. They clarify expectations, exchange promises and resources, arrange mutually satisfactory agreements, negotiate for resources, exchange assistance for effort, and provide commendations for successful follower performance.[32]

Management-by-Exception (MBE): This element of the Full Range Leadership Model tends to be least effective than both the CR and transformational leadership methods in terms of an effective method of getting subordinates to accomplish a given task. MBE is comprised of two sub-elements: MBE-Active (MBE-A), and MBE-Passive (MBE-P). MBE-A is when the leader focuses on problems or deficiencies.[33] In essence, the leader looks for problems and acts on them. MBE-P is just the opposite, that is the leader waits for the mistake or shortcoming to occur, and only after it has been identified, acts by providing corrective action.[34]

Non-Transactional (Laissez-faire) Leadership (LF): The final component of Transactional Leadership is LF. This component is by far, the most inactive form of leadership, and the most ineffective. As the name implies, this component is about non-transaction, or a "hands-off" approach.[35] The leader who possesses this quality usually acts independently the majority of the time, and interaction with subordinates is minimal. No vision, guidance, or direction is provided. LF Leadership is a non-leadership component. Some examples of LZ leadership are: Leaders often avoid accepting their responsibilities; are absent when needed, fail to follow up requests for assistance; and resist expressing their views on important issues.[36]

Transformational leadership has not been without its critics. Bass, in his work, *A New Paradigm of Leadership: An Inquiry Into Transformational Leadership,* cites that critics have

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[32] *"Transformational Leadership Equals Organizational Success"* available on line at http://www.mindgarden.com/Documents/MLQ Brochure.doc; Internet; accessed on 13 Mar 03.

[33] B. Bass, 7.

[34] Ibid.

[35] P. Northouse, 141.

[36] *"Transformational Leadership Equals Organizational Success"* available on line at http://www.mindgarden.com/Documents/MLQ Brochure.doc; Internet; accessed on 13 Mar 03.

perceived transformational leadership to be elitist in nature and antidemocratic.[37] Although flexible in nature, truly transformational leaders adapt to their environment, and often challenge their subordinates. When effective, the transformational leader can migrate from a more directive style of leadership to a participative style when the situation warrants. Table 2-1 identifies the descriptions of participative versus directive leadership.

	Participative	***Directive***
Laissez-Faire	"Whatever you think is the correct choice is OK with me."	"If my followers need answers to questions, let them find the answers themselves."
Management-by Exception	"Let's develop the rules together that we will use to identify mistakes."	"These are the rules and this is how you have violated them."
Contingent Reward	"Let's agree on what has to be done and how you will be rewarded if you achieve these objectives."	"If you achieve the objectives I've set, I will recognize your accomplishment with the following reward…"
Individualized Consideration	"What can we do as a group to give each other the necessary support to develop our capabilities?"	"I will provide the support you will need in your efforts to develop yourself in the job."
Intellectual Stimulation	"Can we try to look at our assumptions as a group without being critical of each other's ideas until all assumptions have been listed?"	"You must reexamine the assumption that a cold fusion engine is a physical impossibility. Revisit this problem and question your assumption."
Inspirational Motivation	"Let's work together to merge our aspirations and goals for the good of our group."	"You need to say to yourself that every day you are getting better. You must look at your progression and continue to build upon it over time."
Idealized Influence	"We can be a winning team because of our faith in each other. I need your support to achieve our mission."	Alea iacta est" (i. e., "I've made the decision to cross the Rubicon, so there's no going back") "You must trust me and my direction to achieve what we have set out to do."

Table 2-1: Descriptions of Participative Versus Directive Leadership and the Components of the Full Range of Leadership[38]

[37] Bernard Bass, *A New Paradigm of Leadership: An Inquiry Into Transformational Leadership* (Alexandria, VA: U. S. Army Research Institute for the Behavioral and Social Sciences, 1996), 11.

[38] Bruce Avolio and Bernard Bass, *The Full Range of Leadership Development: Basic and Advanced Manuals* (Binghamton, NY: Bass, Avolio, and Associates), 24.

The Multifactor Leadership Questionnaire

In understanding the basics of transactional and transformational Leadership, the basic premise is the continued interaction between the leader and the led. The assumption remains that leadership is a process of mutual influence and transactions. Followers and leaders continue to interact and influence each other's behavior. A person earns leadership status through such behaviors as trustworthiness, competence and innovativeness. In 1978 James McGregor Bums first introduced the term transformational leadership. Since then much work has been based on facets of Bums' ideas. The transformational leadership concepts build on the ideas of the transactional approach. Bums maintained that transformational leadership is an interaction between leaders and followers, which raises the actors to higher levels of motivation and morality. Self-interests are transcended for the greater good.[39]

One of the underlying tools used in assessing and evaluating transactional, transformational, and non-transactional leadership is the Multifactor Leadership Questionnaire (MLQ) (often referred to as "360-Degree Leadership Feedback."). The use of the 360-Degree Leadership Feedback has greatly increased throughout the civilian community. The basic idea behind its use is that leaders within a given organization receive feedback on their job performance from their superiors, peers and subordinates alike. In the civilian community, this process of receiving feedback from multiple sources is seen to be fairer than top-down feedback from a single source and a number of studies have shown that 360-Degree Leadership Feedback accompanied by ongoing training or coaching does enable subordinates to improve their performance significantly.[40]

The MLQ is designed to give comprehensive 360-degree confidential feedback on leaders'

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[39] Harriet Moyer, *"What's New In Leadership"* available on line at http://www.uwex.edu/ces/cced/publicat/lgc1196.html; Internet; accessed 12 Jan 03.

[40] *"The MultiFactor Leadership Questionnaire"* available on line at http://www.transformasia.com.au/article-003.html; Internet; accessed on 12 Jan 03.

leadership styles that is then followed up with individualized coaching by an Accredited MLQ Management Coach over a period of several months. During this time, the manager and coach work jointly on items chosen by the manager/leader from areas of leadership concern identified in the MLQ Leadership Report.[41]

The MLQ is based on the Full Range Leadership Model developed by Bass and Avolio. It is a short and comprehensive survey of 45 items that measures a full range of leadership styles. The leader/manager and up to 24 raters complete the questionnaire. (Greater numbers of raters can be included if desired.) Completing the questionnaire usually takes about 15 to 20 minutes and is now usually done on a soft copy. The soft copy is emailed back to the MLQ Management Coach who then compiles the feedback and arranges for the data to be processed Given that all the raters return their forms promptly, the whole process can be handled in under two weeks.[42]

When used appropriately within the context of its framework, the MLQ focus not only evaluating the four major components of transformational leadership, but also evaluates transactional leadership traits and characteristics, as well as non-transactional attributes.

Properly used, the MLQ is a superb evaluation and feedback tool that possesses excellent validity and reliability. Moreover, it has been used extensively worldwide. It has been shown to be strongly predictive of leader performance across a broad range of both military and civilian organizations.[43] The overall goal of the MLQ is to produce a valuable, quality self-evaluation that can be used to assist leaders at all levels in improving their leadership abilities through the application of a Leadership Development Plan (LDP).

The LDP is a personal plan designed from the results of the MLQ that focuses on improving those areas deemed below standard. The LDP is uniquely tailored to meet the needs of the individual leader, and is continually updated based upon feedback from superiors, peers, and

[41] Ibid.
[42] Ibid.
[43] Ibid.

subordinates. Having participated in the MLQ process, I can personally state that understanding TL and applying its philosophy and principles within the LDP significantly increase leadership awareness and ability, as well as an increase in the overall climate of the organization. The proper application of the LDP ensures a leader understands personal shortfalls in ability, and focuses efforts accordingly.

Summary

The Full Range Leadership Model in essence provides the transformational leader a wide range of styles and methods to apply when dealing with subordinates. Although transformational leadership is a sub-component of the Model, it is – by all accounts – the most important element. To illustrate this further, Tichy and Devanna, in their book *The Transformational Leader*, highlight numerous corporate leaders and their ability to handle change within their organizations. Specifically, they focus on "recognizing the need for revitalization" as the first act encountered by transformational leaders.[44] Without the proper identification for the need for change, transformational leadership becomes a useless tool.

The use of the MLQ as an evaluation tool can provide the necessary feedback to a leader based upon input from superiors, peers, and subordinates. Moreover, it measures the outcomes of leadership through the analysis of the following:

Extra Effort: Getting others to do more than they expected to do, try harder and desire to succeed.

Satisfaction: Working with others in a satisfying way.

Effectiveness: Meeting job-related needs and leading an effective group.[45]

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[44] Mary Anne Devanna, and Noel Tichy, *The Transformational Leader* (New York, NY: John Wiley and Sons, 1990), 5.

[45] *"Transformational Leadership Equals Organizational Success"* available on line at http://www.mindgarden.com/Documents/MLQ Brochure.doc; Internet; accessed on 13 Mar 03.

The MLQ can then be used to develop a personal LDP that focuses on those identified weaknesses of a given leader. The LDP is a leadership tool that provides focus, direction, and purpose. The proper application of the LDP can lead to increased leadership ability, as well as an overall improvement in the given organization. Figure 2-3 illustrates the complete "Full Range" Leadership Model, to include all components of transformational and transactional leadership.

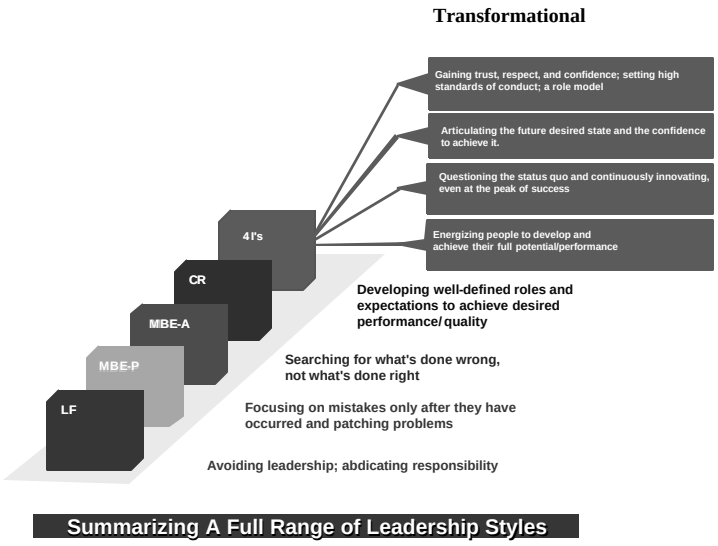

Figure 2-3: The Full Range of Leadership Styles[46]

Understanding the concept of transformational leadership and how it applies to a given organization, and how the U. S. Army can benefit from the theory of transformational leadership is the fundamental argument behind this monograph. Understanding how transformational leadership (although not identified as transformational leadership until recently) has progressed throughout our Army history is key in understanding why transformational leadership is important for officers at all levels. The next chapter examines selected transformational leaders from within the U. S. Army, and identifies, based on the established evaluation criteria, those characteristics that are not only displayed, but are consistent and transcends leadership ability.

CHAPTER III: THE HISTORICAL CONCEPT OF TRANSFORMATIONAL LEADERSHIP

Just as the diamond requires three properties for its formation—carbon, heat, and pressure—successful leaders require the interaction of three properties—character, knowledge, and application. Like carbon to the diamond, character is the basic quality of the leader. But as carbon alone does not create a diamond, neither can character alone create a leader. The diamond needs heat. Man needs knowledge, study, and preparation. The third property, pressure—acting in conjunction with carbon and heat—forms the diamond. Similarly, one's character, attended by knowledge, blooms through application to produce a leader.[47]

General Edward C. Meyer
Former Army Chief of Staff

Throughout the course of military history, there have been numerous leaders within the U. S. Army that were considered exceptional in the areas of creativity, inspiration, and envisioning change. Grant, Patton, Eisenhower, and Powell are but a few of the truly successful U. S. Army leaders from within the U. S. Army. Many of these leaders possess transformational leadership qualities – often beginning with idealized influence, or the vision that is shared and embraced by all. These "visionaries" embodied aspects of transformational leadership, and maintained a course of truly transformational change despite numerous obstacles, setbacks, bureaucratic "red tape," and second-guessing from seniors, peers, and subordinates.

This chapter's focus is the analysis and the historic significance of transformational leadership, centering on two renowned transformational leaders of our Army, General George C. Marshall, and General William E. DePuy. Both of these leaders possessed exceptional transformational leadership ability through periods of true change and transformation within the U. S. Army. Furthermore, this chapter applies the principles of transformational leadership to these leaders' abilities, decision-making, and overall leadership proficiency through periods U. S.

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[46] B. Avolio, 53.

[47] General E. Meyer quoted in Field Manual 22-100, *Army Leadership*, (Washington D.C.: Government Printing Office, August 1999), 1-2.

Army transformation. Finally, this chapter illustrates how the skills and attributes of these selected leaders compare using the stated evaluation criteria.

As the background and analysis of each of the above mentioned transformational leaders are conducted, an assessment and comparison shall be made using the evaluation criteria established previously in Chapter 1. The focal point remains the established five criteria of (1) Idealized Influence, (2) Inspirational Motivation, (3) Intellectual Stimulation, (4) Idealized Influence, and (5) Effective transformational leadership through periods of change.

Case Study One: General George C. Marshall

George Catlett Marshall (1880-1959) exemplifies the true character and nature of transformational leadership. While serving as the U. S. Army's Chief of Staff (1939-1945), the strategic vision he adopted was a mental image of an American Army fully manned, trained, and equipped in sufficient size during peacetime to deter aggression against the United States and its more important interests. Further, if deterrence failed, this Army was to conduct decisive, successful combat operations almost immediately to win the war while continuing to expand, as necessary, through an efficient mobilization program.[48] His true mental model was preparation for combat.

Background

George Marshall was born in Uniontown, Pennsylvania on 31 December 1880, to successful, middle-class parents, Laura Bradford Marshall and George Catlett Marshall, Sr.. The Marshalls had four children in all (one son died at the age of six months), of which George was the youngest. The young George was greatly influenced by the rural traditional southern type lifestyle rather than the industrial foundation of the northern states (George's father fought for the

[48] John T. Nelsen II, *General George C. Marshall: Strategic Leadership and the Challenges of Reconstituting the Army, 1939-1941* (Carlisle Barracks, PA: Strategic Studies Institute, U. S. Army War College), 10.

Union during the Civil War, but the majority of the Marshall family resided in Virginia). In his book, *George C. Marshall: Soldier-Statesman of the American Century,* Mark A. Stoler cites that:

> *On the surface, Marshall's early years were both traditional and rural, and in his later reminiscences about his childhood, the industrial revolution is barely mentioned. Instead, one is given an idyllic image of nineteenth century small-town America, an image that could have been taken out of a Mark Twain novel. Neither electricity nor automobiles existed in this image.*[49]

As a young boy, George was nurtured by his mother. As his older siblings were away at school, George became increasingly closer to his mother, and her firm but fair method of raising children. Although a loving, caring mother, Laura Marshall often safeguarded young George from his father's scorn, often hiding his failures when she could.[50]

Education

Initially considered a slow learner, George did exhibit a keen intellect. The label of 'slow learner' was not due to low intelligence, but to a pure lack of preparation and a seemingly negative attitude towards studying. This negative impact was fostered by the early tutoring of his great aunt, in conjunction with a local "nonchallenging school run by a local spinster."[51] To further illustrate young George's early educational disappointments, Cray further states:

> *Ill prepared for Uniontown's public school, George floundered – mathematics, grammar, and spelling gave him particular problems – and sat terrified he would be called on for recitation. To stand up in front of the class would be to risk making a mistake in public, to be laughed at.*[52]

Based upon his earlier blunders in the academic arena, George turned else ware for companionship, and most importantly, approval. This is where, as indicated by biographer Mark Stoler, George begins to develop some of the unique transformational leadership traits and

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[49] Mark Stoler, *George C. Marshall: Soldier-Statesman of the American Century*(Boston, MA: Twayne Publishers), 3.

[50] Ed Cray, *General of the Army George C. Marshall: Soldier and Statesman* (New York, NY: First Cooper Square Press, 2000), 19.

[51] M. Stoler, 6.

[52] E. Cray, 20.

characteristics. Because of his apparent lack of acceptance by both his father and peers, George turned to a young local pastor at his church, he too a new, young member of the local community that had initial trouble gaining acceptance - most notably, George's drive to succeed, or internal motivation for success (fear of failure), and confidence coupled with a sense of purpose.[53] These characteristics, when harnessed and focused, can form the basis for the transformational leadership components of idealized influence and inspirational motivation. Initially driven by the fear of failure, this can manifest into a success drive that excites followers, gains their utmost respect and admiration, and can possibly direct followers to achieve extraordinary levels of accomplishment. Moreover, Marshall begins to form drive, determination, and the persistence attributed to those leaders possessing idealized influence.

Being a young boy in the era of Civil War veterans appealed to the adolescent Marshall. Many of the boys in the late nineteenth century dreamed of becoming soldiers based upon the numerous amounts of war stories and tales told by the veterans. Although the concept of a frontier army was in vogue, Marshall still wanted to pursue a military career, despite the initial objections by his father (Civil War veteran). The elder Marshall knew the harsh realities of army life, and also felt that George could not obtain a commission based on his weak academic performance, as well as his political affiliation (his father was a Democrat, while the local congressmen and senators were Republican).[54] Obtaining a commission through a nomination to the United States Military Academy at West Point was all but lost.

Based on the situation at that time, George decided that he would attend the Virginia Military Institute (VMI), the same institution attended by his older brother. While attending VMI, George, still shy, reserved, and fearing failure, excelled at the military disciplines. (tactics, military drill). Although continuing his mediocre performance in academics, George was able to

[53] M. Stoler, 6.
[54] Ibid., 7.

maintain adequate grades, and ultimately enjoyed his final year at VMI (graduating as First Captain, and finishing fifteenth out of thirty-three).[55]

George's decision to pursue a career in the military wasn't supported by his family. The final resolution came upon the return of local veterans of the Philippine War in 1899, while he was still attending VMI. Coincidentally, his first assignment was as an infantry (he preferred the field artillery over the infantry) officer in the Philippines in 1902.[56]

Although remaining somewhat conservative in nature, Marshall gained the initial confidence in his abilities, particularly his leadership ability. As Cray notes:

> *He enjoyed command, and the more command he exercised, the more confident he grew. He was succeeding on his own.*[57]

Again, with the increased level of confidence in his personal abilities, especially within the military disciplines, as well as over leadership aptitude, the maturing Marshall continued to develop the inspirational motivation and idealized influence attributes of transformational leadership, building on his earlier drive for success. Although primarily internal in nature, this motivation will serve Marshall well in his future career.

Military Career

Although much has been written about General George C. Marshall, few works address, in great detail, his transformational leadership abilities. Up to this period, newly commissioned Marshall has exhibited traces of internal inspirational motivation, as well as components of idealized influence, centering on confidence through a series of successes (graduating from VMI, initial leadership ability). But what about the remaining evaluation criteria? It is within the context of Marshall's military career we begin to see the truly transformational attributes flourish.

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[55] E. Cray, 27.
[56] Ibid., 30.
[57] Ibid., 27.

Marshall's successes as an army officer would persist. He began an illustrious career that included service in the Philippines, serving as an aide to General Pershing during World War I, directing instruction at the Infantry School at Fort Benning, a tour at Fort Leavenworth, serving as the Army's Deputy Chief of Staff, and continuing to serve as Army Chief of Staff.

After his initial assignment in the Philippines, Marshall progressed steadily through the officer corps, becoming General of the Army in December 1944. During World War I, he served as Operations Chief for the First Division, gaining a great deal of experience in guiding, leading, and directing. He then progressed to Operations Chief, First Army during the Meuse-Argonne offensive in 1918. At the conclusion of World War I, he served as aide to General John J. Pershing (1919-24) and then continued as the Assistant Commandant at the Infantry School, Fort Benning, Georgia (1927-33). While at Fort Benning, Marshall played an inspirational role in influencing current and future doctrine. It is at this point in his career that the attribute of intellectual stimulation – stimulating others in new thought and encouraging new ways or approaches to old issues or problems.

While at Fort Benning, Marshall instituted a series of initiatives that were considered, at the time, radical in nature. As the Assistant Commandant, he was given 'carte blanche' concerning both the curriculum and teaching methods. He seemed to approach this assignment with vigor and enthusiasm. As he developed the curriculum, Marshall recalled from his previous experiences, and incorporated these 'lessons learned' into the program. Stoler explains this transformation in the way of thinking:

> *Along with this restoration came a revolution at Fort Benning. Marshall thoroughly restructured the curriculum and the teaching methods so as to emphasize what he had learned first at Fort Leavenworth, then with the National Guard, and finally in World War I: the need for simplicity in plans and orders, the ability to innovate and deal with the unexpected, and training in warfare of movement. These were the key lessons of war as he saw them, and he believed them especially suitable for the American character and citizen soldier army.*[58]

[58] M. Stoler, 55.

Marshall continued to focus on creativeness in thinking. He completely revamped the instructional methods at the Infantry School, banning written lectures, providing inadequate maps for tactical exercises, and fostered originality in problem solving.[59] What is clear is that Marshall had a vision of what he wanted to accomplish – prepare the future officer corps for the unexpected. This is a clear demonstration of all of the components of transformational leadership, with an emphasis on idealized influence. Marshall revolutionized the curriculum in order to produce an effective officer corps of the future by providing them an environment that fosters a new way of thinking, exhibiting confidence in his vision for the need for change, and ensuring a demonstrated level of trust exists within this new paradigm.

Another part of Marshall's military career that shows evidence of transformational leadership was his service as U. S. Army Chief of Staff. During this period, he understood the need for dramatic change within the U. S. Army. He based the required changes on his experiences. As John T. Nelsen III explains:

> *The aspect of his vision [for change] grew out of his experience in World War I. He had been stunned by America's unpreparedness for that war. A full year was required after Congress had declared war before even a crudely trained army could be deployed. Because of the lack of quality peacetime training, casualties were needlessly excessive. Moreover, American war production never had time to gear up. As a result, the American Expeditionary Force (AEF) fought largely with French or British made guns, ammunition, airplanes, supplies, and equipment.*[60]

Being prepared for war was Marshall's utmost priority. Lessons were learned, and he didn't want to repeat failure. In the context of transformational leadership, his visionary skills (based from experience) guided the future of the U. S. Army during World War II. Additionally, Marshall incorporated the 'feedback loop' into his strategic vision. He clearly understood the direction he wanted to chart for the U. S. Army, and he further used frequent unit visits to ensure not only that his vision was understood, but also that feedback could be provided instantaneously.

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[59] Ibid., 56.
[60] J. Nelsen II, 11.

Summary

Was General George C. Marshall a transformational leader, or just a product of his time? As demonstrated by his keen ability to provide successful purpose, direction, and the necessary motivation to guide and direct change, both during peacetime and war, one conclusion could be drawn that it was a combination of both abilities and situation. Without question, Marshall exhibited all of the attributes of transformational leadership, and his environment in fact enhanced them. His strategic vision guided and directed change successfully. As a result of Marshall's application of inspirational motivation, idealized influence, intellectual stimulation, and individualized consideration, he truly rates as a transformational leader and role model for leaders at all levels to emulate.

One key question is what if General Marshall didn't exhibit the qualities of transformational leadership? One key aspect of his transformational style of leadership was his ability to envision the direction of the army. Marshall effectively incorporated lessons learned throughout his career and used these lessons to guide drastic army changes. Without his effective drive, determination, and vision, our Army might have remained unprepared, undermanned, and ineffective to defend the United States.

Case Study Two: General William E. DePuy

Often described as intellectual, practical, and persuasive, General William E. DePuy (1919-1992) had a long and distinguished career that illustrates many of the components of transformational leadership. As we examine General DePuy's life and distinguished military career, many of the components of transformational leadership are identified, and greatly contribute to his overall success in transforming the U. S. Army's doctrinal base. The 1976 version of FM 100-5, *Operations*, was the result of General DePuy's superb vision and, direction, during a period of transformation, both in ways of thinking and in equipment.

Background

Born in Jamestown, North Dakota, October 1, 1919, William DePuy was the only child of parents of French-Huguenot and Scotch-Irish decent. DePuy's father, a World War I veteran, was a rural country banker in the small town of Jamestown. At an early age, DePuy grew close to his paternal grandfather, who was an avid golfer, hunter, and Victorian romantic.[61] It is unclear as to the amount of influence DePuy's father, or grandfather, had on his early development.

What is clear, however, is that DePuy came from an era where depression and hardship were the norm. Growing up in the rural area of North Dakota adds to the hardship, living through the agricultural depression, then the Great Depression of 1929.[62]

Education

By his own admission, DePuy was never particularly fond of the academic environment, nor did he excel at it. He states, in an oral interview conducted by Lieutenant Colonel Romie L. Brownlee and Lieutenant Colonel William J. Mullen, III:

> *I was never particularly fond of school – the academic part. I have no way of comparing the quality of schools up there [North Dakota] to the quality of schools elsewhere, but suspect that many were probably pretty good. The literacy rate in the Upper Plains States is perennially the highest in the nation.*[63]

In 1935, he and his family moved to Brookings, South Dakota, where his father took up a new position in the local bank. DePuy draws heavily on his experiences from his Reserve Officer's Training Corps (ROTC) days while attending South Dakota State College. The youthful DePuy then joined the National Guard. Joining the National Guard back in those days was the norm, and everyone needed the money.[64] The first two years of ROTC at South Dakota State College were mandatory, but DePuy, enjoying the military curriculum and lifestyle, decided

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[61] Romie L. Brownlee and William J. Mullen III, *Changing an Army: An Oral History of General William E. DePuy, USA Retired* (Carlisle Barracks, PA: United States Military History Institute, 1987), 1.
[62] Ibid.
[63] Ibid.
[64] Ibid., 2.

to remain in the program and enroll in the remaining two years. The draft was in full swing in 1940, so DePuy's decision to remain in ROTC and earn a commission as a Second Lieutenant as opposed to entering the National Guard as a Private was an easy one.[65]

As mentioned earlier DePuy, by his own admission, was not a superb student. Although he initially wanted to follow in his father's footsteps and become a banker, he wasn't very gifted in math. Taking engineering and economics courses, DePuy earned a Bachelor's of Science Degree in Economics in 1941.[66] General DePuy's early educational years apparently didn't have a drastic impact on his later military career. Although a self-admitted poor student, he recalls fond memories of his ROTC days at South Dakota State.

Military Career

DePuy truly enjoyed ROTC. He recalls three influential people that impacted his time in ROTC. He recalls:

> *We had some very interesting chaps there [South Dakota State College ROTC Department] from the Regular Army. One was Major EdPilburn… He later became the assistant division commander of the 10th Armored Division. We also had a man named Ray Harris who was quite portly but kind of ferocious and inspiring. He used to crawl around on the floor of the auditorium teaching us how to crawl. He would turn very red in the face because he really was beyond that. But, the man who inspired everybody was a colonel named James P. Murphy. Murphy was a fatherly kind of fellow with a very entertaining and wide ranging vocabulary with all sorts of little figures of speech that made him amusing to all of us simple chaps out there on the reservation. We loved him, and he inspired us all toward the Army. There's no question that he was a great recruiter and wanted us all to be in the Army.*[67]

What's interesting is that at this point in his life, DePuy vividly recalls the impact made on him by his ROTC instructors. Often, ROTC instructors or cadre from the United States Military Academy (USMA) at West Point are the first contact many prospective officers have with the U. S. Army, or officer corps for that matter. DePuy further recalls how they "inspired" him and many others to join the Army. This form of inspirational motivation is critical in the early

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[65] Ibid.

[66] Paul H. Herbert, *Deciding What Has to Be Done: General William E. DePuy and the 1976 Edition of FM 100-5, Operations* (Washington D. C.: U. S. Government Printing Office, 1988), 11.

development of leaders. Inspirational motivation represents the energy, the initiative, the perseverance, and the ability to picture the future that so often differentiates the exceptional from the ordinary leader. Although DePuy doesn't exhibit this quality at this point, he is exposed to it, and will definitely use this trait later in his career.

In 1941, William E. DePuy accepted a commission as an Infantry officer. Everyone graduating from South Dakota State received a commission in the Infantry back then, no matter what the educational concentration or degree earned. Upon commissioning, DePuy reported to Fort Leonard Wood, Missouri for his initial assignment with the 20th Infantry Regiment. Initially serving as a platoon leader, DePuy went on to take part in the Louisiana Maneuvers in the fall of 1941. In 1941, the U. S. Army used the Louisiana Maneuvers to achieve a peacetime assessment of maneuver warfighting abilities. The lessons gathered during these massive maneuvers led directly to changes in the Army's organization for combat and maneuver doctrine.[68] The Louisiana Maneuvers did impact DePuy. His interaction with veterans of World War I, in conjunction with the training and the art of "soldiering. DePuy recalls of his Louisiana Maneuvers experience:

> *I reported to the 20th Infantry on June 25th, 1941. That fall we went on the Louisiana Maneuvers. I was a rifle platoon leader. Incidentally, we walked all the way to Louisiana and back – five hundred miles down, and five hundred miles back. We prided ourselves on never losing a man. There were some good things about that Army. Tactically, it was not proficient, but in many soldierly things, it was good. And, I'd say that I learned more about just plain soldiering from six months in the 20th Infantry that I learned in all the rest of my service.*[69]

The impact of the Louisiana Maneuvers on General DePuy followed him throughout his military career. This was, without question, the formulation for the basis of his transformational style of leadership. During the maneuvers, he was exposed to the key elements of change. His

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[67] R. Brownlee and W. Mullen III, 3.

[68] "*Lessons Learned in a Force Projection Army*" (CALL Newsletter 93-02), available online at http://call.army.mil/products/newsltrs/93-2/932intr.htm; Internet; accessed 17 Apr 03.

[69] R. Brownlee and W. Mullen III, 5.

exposure to World War I veterans enabled him to form a sound base for his leadership style and begin to develop as a junior leader.

Another major event that impacted DePuy was his training, deployment and ultimate landing on the Normandy coast in June of 1944 with the 90th Division. Prior to actual deployment to Europe, he noted that many of the officers serving within the 90th Division were tactically inept and should have been "eliminated before that got a lot of people killed."[70] He was very concerned that the leaders he was about to enter battle with were incapable of leading effectively. Due to the performance of its officer corps, the 90th Division took horrific losses during the initial weeks of the liberation of Europe. The discipline and training foundation that DePuy gained during the Louisiana Maneuvers was shattered with the performance of the 90th Division.

Understanding the transformational leadership concepts, in particular, idealized influence assisted DePuy in his assessment of the 90th Division's officer corps. Understanding the needs and desires of subordinates – to include what training is required, understanding their capabilities and limitations, has a drastic impact on the overall performance of a unit. Moreover, the competence of a leader, especially during hardships of combat, must be at its highest level.

DePuy gained a tremendous amount of experience in the art of leadership during his World War II service. Battle-hardened and tactically proficient, he ended the war as a 25-year old battalion commander.[71] Although both personally and professionally challenged throughout the war, his biggest memories are of the 90th Division and how it completely "changed" due to the quality of leadership later in the war.[72] He attributes the Division's later successes directly to its senior leaders. He states:

> *My experiences [in World War II] were just a part of the larger experience of the 90th Division. It is hard to overstate how ineffective that division was at the beginning, and how very effective it was at the end and how that enormous change related directly to the quality of its leaders. The natural leaders for company and battalion command were there all the time, as they are in any division, but the emergence and selection for key jobs did not occur*

[70] Ibid., 16.
[71] P. Herbert, 1.
[72] R. Brownlee and W. Mullen III, 90.

until [future division commanders] McLain and Van Fleet came along. The whole process remains something of a mystery but perhaps the best way to describe it is in terms of opposite – the situation, which existed at the beginning. Under the first three division commanders – one in the States and two in England and Normandy - there was no apparent effort to evaluate and eliminate poor leaders. It must have been either that the top commanders didn't know a poor leader when they saw one, didn't understand enough about war to provide a basis for evaluation, or were indifferent. In any event, we went to war with a batch of incompetents in charge. That incompetence trickled down and caused the tactical failures I have described and incredible casualties. All this was indelibly stamped on my mind and attitude ever after both good and bad.[73]

DePuy's World War II lessons learned didn't stop at leadership. He observed, learned, and implemented many German tactical techniques during the war. He was most impressed with the German ability to organize defensive operations, suppressive fire techniques, and their use of camouflage to effectively conceal their positions. Moreover, DePuy developed a clear understanding of the potential for highly mobile armored forces to conduct high-tempo operations.[74] This understanding of the German tactical and operational art will serve DePuy well later in his career in his vision for the development of the 1976 version of FM 100-5, *Operations*.

During Vietnam, General DePuy's continued development as a transformational leader and visionary continued. He initially served as the J3 Operations Officer Military Assistance Command, Vietnam (MACV) (1964-1966), and then as commander of the 1st Infantry Division (1966-1967). While serving as the J3, DePuy participated in a major shift in the Vietnam War. During this period, the primary emphasis of the war shifted from counterinsurgency support to direct American combat involvement.[75] As the commander of the 1st Infantry Division, he perfected an earlier term of "overwatch" he learned while serving with Brigadier General Hamilton H. Howze (assistant division commander of the 10th Armored Division). While in Germany as the commander of 2nd Battalion, 8th Infantry, DePuy observed Howze and the overwatch concept - tanks assaulted only under the 'overwatching' direct fire of other tanks,

[73] Ibid.
[74] P. Herbert, 15-16.
[75] R. Brownlee and W. Mullen III, 137.

which were "to establish 'mastery-by-fire' of the area of assault."[76] DePuy intended to apply this concept to the 1st Infantry Division and airmobile operations.

His ability to maximize the use of speed (tempo), agility, and combined arms effects, while commanding the 1st Infantry Division all had a positive effect on his Vietnam experience.[77] Moreover, he felt that commanders in the field were losing their tactical edge by ineffective use of terrain, and a continued reliance on overwhelming superiority in firepower.[78]

Again, we see the relevance to all of the components of transformational leadership within General DePuy's leadership style as he progresses towards the major doctrinal shift of 1976. Intellectual stimulation serves DePuy well at this point in his career. He is beginning to see the need for major change in the way the U. S. Army fights. As the definition of intellectual stimulation states, DePuy is approaching perceived problems by questioning their applicability and assumptions. He is building on previous experiences from both World War II and Vietnam. Additionally, DePuy continues to demonstrate the transformational leadership trait of idealized influence by continuing to form his vision a major doctrinal shift. He is beginning to see an Army that is capable of speed (shock), combined arms, and the ability to attack an enemy at its vulnerable points.

The early post-Vietnam years brought about significant change for both General DePuy and the U. S. Army. During 1967-1973, he served in Washington D. C. initially as Special Assistant for Counterinsurgency to the Secretary of Defense from 1967-1969, and as Assistant Vice Chief of Staff in 1969-1973.

While serving as the Army's Assistant Vice Chief of Staff, then Lieutenant General DePuy participated in a major reorganization within the U. S. Army. DePuy, in conjunction with General Bruce Palmer Jr., the Army's Vice Chief of Staff, headed a team of planners that focused on the reorganization of the Continental Army Command (CONARC). The CONARC

[76] P. Herbert, 17.
[77] Ibid., 20.

organization at that time was perceived to be too large, and a much-needed streamline was needed. Its area of responsibility included overseeing the combat readiness of all Army units, including active, National Guard, and Army Reserve forces, in addition to supervising the operation of all Army training bases and schools, to include ROTC.[79]

As a result of the major shift in organization, the U. S. Army's CONARC was sub-divided into the two present commands of Forces Command (FORSCOM), and Training and Doctrine Command (TRADOC). FORSCOM served as the headquarters responsible for all Army units (active, National Guard, and Army Reserve), while TRADOC functioned as the headquarters for all training activities within the U. S. Army.

While serving as the commander of the newly designated TRADOC, General DePuy's immediate task was to begin operation of this new command effectively and efficiently. His orders from the Army Chief of Staff General Creighton W. Abrams, and Secretary of the Army Howard H. Callaway were somewhat complicated – The Secretary of the Army wanted more of a focus on personnel aspects of the U. S. Army than preparing for combat, focusing on recruiting, retention rates, quality of personnel, management and training practices, soldier lifestyle, and the public image of the Army. In contrast, General Abrams wanted DePuy to focus on increasing the Army's strength from thirteen to sixteen divisions.[80] In keeping with his style of leadership, General DePuy keep his focus, and shared his vision for TRADOC. He maintained his overall perspective and outlook on TRADOC's role and mission.

General DePuy now focused on TRADOC, and its function within the U. S. Army. He first focused on the current training philosophy of the Army. Drawing from his experiences from World War II, DePuy realized that the U. S. Army was still planning and training based on World War II style warfare. In particular, DePuy recalled his own experiences while serving in the 90th Division in Europe, and began revamping the Army's training programs and policies. In order to

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[78] Ibid.
[79] Ibid., 21.

sustain a smaller, all volunteer force, DePuy instituted numerous initiatives that were focused on professional training and ensured officers were capable of serving in jobs and positions immediately after completion of selected training.[81]

In addition to overhauling the Army's overall training methodology, General DePuy also envisioned the need for closer collaboration regarding combat development and training. Through his initiative, General DePuy successfully integrated combat development functions within TRADOC, thus ensuring there was a clearly identifiable link between doctrine, training, and equipment.[82]

While General DePuy's contributions to a transforming army were numerous, it wasn't until he clearly saw the need for a major doctrinal shift that his greatest contribution occurred. In October of 1973, the Egyptians, in conjunction with Syrians, attacked Israel. This war experienced some of the heaviest losses of armored vehicles and artillery in recent times. After the war, the Army Chief of Staff, General Creighton W. Abrams directed TRADOC and General DePuy to capture the lessons learned from the conflict.

General DePuy, drawing from his own conclusions of the Arab-Israeli War of 1973, concluded that future warfare would be radically different. He was further overwhelmed at shear numbers of losses of tanks, artillery, vehicles, and aircraft.[83] It was this harsh reality that drove General DePuy to conclude that United States forces must clearly be able to protect themselves on the modern battlefield from precision-guided munitions and an increase in the accuracy of weapons systems. Rapid defeat of these forces was a must according to DePuy.

The Arab –Israeli War also helped General DePuy understand future warfare clearly. Mobility, in conjunction with adequate armor protection was needed for infantry forces in order to maintain pace with the highly mobile armored formations. Moreover, he noted the emphasis

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[80] Ibid., 25.
[81] Ibid., 27.
[82] Ibid., 29.
[83] Ibid., 31.

the Soviets placed on nuclear, biological, and chemical (NBC) training and equipment as observed in captured Arab combat vehicles.[84]

The Arab-Israeli War gave General DePuy the unique opportunity to focus on the doctrinal concepts and ideas of the future, and now incorporated a linkage between a new doctrine, revamped training programs, and equipment development. The stage was set for a major transformation in the way the U. S. Army approaches the concept of warfare.

In the fall of 1974, General DePuy directed the rewrite of FM 100-5, *Operations*. The production of this doctrinal base would prove to be his biggest overall contribution to a transforming army. His vision, concepts, and ideas gained from a long and distinguished career would prove to be instrumental in its development. Although very bureaucratic in nature, the colossal task of rewriting, and more importantly, transforming the way an army fights, was successfully synchronized and coordinated by General DePuy. Although very bureaucratic in nature, the rewrite and transformation of the way an army thinks and fights was a colossal task.

General DePuy's guidance throughout the transformation process was in accordance with his experiences, wisdom, and direction. Throughout the process, friction and disagreements threatened the concept. Differing schools of thought created a division among major players. It was only due to General DePuy's ability to maintain direction and focus, that his *Active Defense* vision became fruition.

Summary

General William E. DePuy illustrates the very nature of transformational leadership. Through his experiences as s young infantry officer in the 90th Infantry Division during World War II, on through the commander of TRADOC, the very foundations of positive change flourish throughout his distinguished career. Possessing the ability to transform a vision into clearly identifiable goals and objectives is an art clearly displayed by DePuy.

[84] Ibid, 33.

He consistently sought out adaptive leaders that could embrace change, and vowed to improve the training and educational system for officers and soldiers alike. He further transformed TRADOC into a functioning headquarters that synchronized doctrine, training, and combat equipment development into a complex functioning system.

Although General DePuy demonstrated transformational leadership throughout his career, what if he, and any given point, lost his drive, determination, and vision for a transformed army? Our doctrinal basis for active defense, as well as the progression of the FM 100-5 series (now FM 3-0) of manuals may not have come into existence. Our current application and evolution of 'full spectrum dominance' may not have been developed. Our Army needs transformational leadership at all levels. Without it, successful change will never occur.

CHAPTER IV: CONCLUSION AND RECOMMENDATIONS

The Army will be a professionally rewarding and personally enriching environment within which people take pride in being part of the Nation's most highly esteemed institution. Our physical, moral, and mental competence will give us the strength, the confidence, and the will to fight and win anywhere, anytime. We will be trained and ready to do anything the American People ask us to do, and we will do it better, faster, and more affordably. In the process, we will provide the inspired leadership which celebrates our soldiers and nurtures their families, trains for decisive victories, and demonstrates responsible stewardship for the national treasure entrusted to us - our men and women in uniform, and the resources to make them successful.[85]

General Eric K. Shinseki
Chief Of Staff Of The Army
The Army Vision, October 1999

The above quote from the Army's current Chief of Staff, General Eric K. Shinseki and his Army Vision Statement. This vision has provided the current U. S. Army with the necessary tools for transformation in terms of doctrine, personnel, and equipment. Is our Army in the midst of transformation, or are we simply evolving?

The focus of this chapter is to conclude the applicability of transformational leadership and its relevance to leaders within the Army. Additionally, this chapter offers recommendations and proposals concerning the implementation of the transformational leadership style within the U. S. Army, and how this style of leadership can produce competent, effective leaders that possess the ability to lead in an uncertain, asymmetric environment.

Conclusion

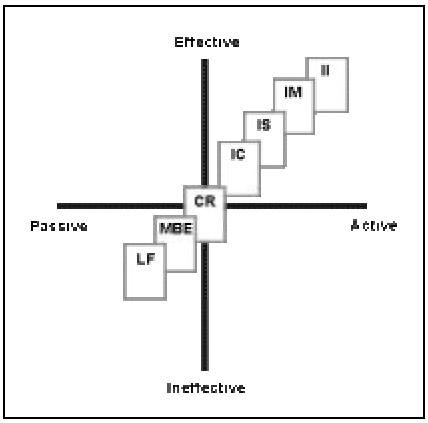
Transformational leadership is alive and functioning within the U. S. Army. Unfortunately, many who attempt to apply its principles misunderstand it. As a formal entity, transformational leadership is only briefly mentioned in FM 22-100, Army Leadership, and in order for it to thrive and flourish, must be adopted as the primary leadership technique used within the Army. At a

[85] *The Army Vision: Soldiers on Point for the Nation Persuasive in Peace, Invincible in War*, available on line at https://www.us.army.mil/csa/vision.html; Internet; accessed on 17 Apr 03.

minimum, our Army must train leaders to understand and apply the components of transformational leadership.

This monograph outlined the framework of transformational leadership in terms of its four major components (evaluation criteria): (1) Idealized Influence, (2) Inspirational Motivation, (3) Intellectual Stimulation, and (4) Individualized Consideration. Together, these components, when understood and used effectively, can produce a leader who not only embraces change, but also ensures the direction of an organization is in accordance with the published vision.

In order to comprehend the true aspect of transformational leadership, one must have a complete understanding of the Full Range of Leadership. This Full Range Leadership Model encompasses both transactional leadership and transformational leadership. The ability to know when to apply transactional or transformational leadership components is crucial in obtaining the desired result from subordinates. Figure 4-1 recaps the components of both transactional and transformational leadership as it applies to effective and ineffective leadership, as well as an active or passive leadership style.



Abbreviation	Leadership Component
LF	Laissez-faire
MBE	Management-by-Exception
CR	Contingent Reward
IC	Individualized Consideration
IS	Intellectual Stimulation
IM	Inspirational Motivation
II	Idealized Influence

Figure 4-1: Full Range Leadership Components[86]

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[86] John E. Barbuto, Jr., and Lance L. Brown, *"Full Range Leadership"* available on line at http://www.ianr.unl.edu/pubs/consumered/g1406.html; Internet; accessed on 14 Mar 03.

Transformational Leaders are Effective

Examination shows that in fact transformational leaders are effective. In analyzing the case studies of General Marshall and General DePuy, and incorporating the selected evaluation criteria, both showed evidence of true transformational abilities, and incorporated these traits and characteristics into their decision-making and both produced successful change.

General Marshall, leading the U. S. Army through the key transformational post World War II era, without question, exhibited all of the attributes of transformational leadership, and his environment in fact enhanced them. His strategic vision guided and directed change successfully. As a result of Marshall's application of inspirational motivation, idealized influence, intellectual stimulation, and individualized consideration, he truly rates as a transformational leader and role model for leaders at all levels to emulate.

General DePuy, in his keen strategic vision and guidance, consistently sought out adaptive leaders that could embrace change, and vowed to improve the training and educational system for officers and soldiers alike. He further transformed TRADOC into a functioning headquarters that synchronized doctrine, training, and combat equipment development into a complex functioning system.

Transformational Leaders are Needed

As we continue to transform the U. S. Army, leaders are needed that are adaptive, can provide a clear vision, and can direct a multitude of organizations through chaos. Although the U. S. Army began the transformation process prior to the terrorist attacks of September11, 2001, the "post 9-11" leadership within the Army has become truly transformational. The current asymmetric operating environment fosters transformational leaders, and facilitate freethinkers who exude the ability to change the old paradigm of 'status quo" leadership.

From our junior noncommissioned officers (NCO), to our senior officers, Transformational leadership can be a powerful and influential instrument. Ensuring that this style of leadership is

understood and implemented, as well as developed within the U. S. Army continues to be a challenge. The Army has demonstrated a need for agents of change – at all levels. Without transformational leadership at all levels, our Army cannot change and evolve effectively.

Recommendations

One of the primary purposes of this monograph is to demonstrate a need for understanding and applying transformational leadership. This need forms the basis for a fundamental shift in the way our Army leaders accomplish the art and science of leadership. So how do we, as an Army, implement transformational leadership principles and instill the necessary traits and characteristics in our leaders? The effective application of counseling, mentorship, training and education, attitude, and a personal leadership development plan are offered as possible methods for instilling the transformational leadership qualities in Army leaders.

Counseling and Feedback

In order for an individual to fully understand their own capabilities, limitations, and shortfalls, effective counseling and feedback must be a regimented part of the leadership process. All too often, leaders at all levels fail to receive the necessary counseling associated with job performance on a regular basis.

The Army's basic developmental counseling form provides the leader a useful tool from which to base not only past performance, but should be used as a developmental contract between the leader and subordinate. When used effectively, this can set the stage for continuous feedback and assessment of ability. The transformational characteristics are incorporated within the counseling and feedback loop, and both senior and subordinate agree upon the developmental actions to be taken.

At the junior officer level, the Army has adopted the Junior Officer Developmental Support Form (JODSF) that incorporates a developmental action plan into counseling. This has proven to

be an effective counseling and leadership tool, when used properly. However, all too often, this becomes a "paper drill," filled out just prior to an inspection or evaluation.

Although there are appropriate forms and prescribed methods for counseling, this should not prohibit a senior leader from providing immediate feedback on performance. As feedback is received, the subordinate should incorporate it into future developmental plans, and use it to gauge or measure progression.

Mentorship and Coaching

The Army's FM 22-100, *Army Leadership* states:

> *One of the most important duties of all direct, organizational, and strategic leaders is to develop subordinates. Mentoring, which links the operating and improving leader actions, plays a major part in developing competent and confident future leaders. Counseling is an interpersonal skill essential to effective mentoring.*[87]

Mentorship is a lost art in today's Army. The most important duty of a leader is the welfare of his men, and mentorship is a large part of that premise. Many of today's junior officers seek mentorship. Often, senior officers fail to provide the necessary mentorship and coaching their junior officers desire. Transformational leaders consistently provide mentorship, coaching and impersonal, informal advice and guidance to their subordinates. One key component to successful mentorship is trust. The relationship between the mentor and subordinate must be professional, forthright, and most importantly, sincere.

Although mentorship is considered a valuable leadership development tool, coaching is also another lost art. Coaching subordinates in a non-threatening, non-hostile environment can greatly contribute to personal development and lead to reinforcing trust and integrity between senior and subordinate.

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[87] Field Manual 22-100, *Army Leadership* (Washington D.C.: Government Printing Office, August 1999), 4-6.

Training and Education

The basic understanding of transformational leadership and how it works must begin with training and education. As mentioned earlier in this monograph, the first exposure to transformational leadership I received was while attending CGSC. That was almost too late in terms of leadership development. Exposure to transformational leadership must occur earlier in officer development, as well as NCO development. Early in officer development, such as ROTC, USMA, or officer candidate school (OCS), must incorporate transformational leadership as its primary leadership template. Early introduction to the components of transformational leadership allow junior leaders to continually develop and fine-tune their leadership style. The U. S. Army has taken the initial steps in area with the implementation of the Basic Officer Leadership Course (BOLC). This course, designed to focus on the root basics of leadership, is attended by all commissioned officers, regardless of branch. Although still in the test phase, this course can provide the supplemental leadership training necessary to produce transformational leaders.

Even though early exposure to transformational leadership contributes to its applicability, reinforcement of transformational leadership traits and characteristics must be accomplished throughout one's career. This can happen through either formalized professional development (career course, staff college), or at the informal, personal level (mentoring, coaching). In order to ensure maximum understanding, both methods should be incorporated into one's leadership development.

The MLQ and Personal Development Plan

One of the major aspects of transformational leadership is the MLQ. Designed to provide feedback on leadership ability from superiors, peers, and subordinates, this 360-degree feedback mechanism has not been adopted by the U. S. Army. A good indicator of transformational leadership abilities, the MLQ can serve as a tool in which leaders can construct a personal development plan geared to increasing transformational leadership traits and characteristics.

Although the MLQ is a useful personal development tool, using it as a primary means for formal evaluation should not be considered.

The Personal or Leadership Development Plan (LDP) can be a useful tool in determining a plan of action in developing those transformational leadership traits and characteristics in need of further refinement. This plan focuses on identified goals and improvements an individual strives to enhance or accomplish entirely. Often driven by the MLQ, the LDP, in simplest terms, is an extension and synchronization of counseling, mentoring, coaching, and personal goals and objectives.

Attitude

Depending on the situation, many leaders attitudes fluctuate based on the environment. Maintaining a positive mental attitude is tough in some situations, but a necessity for transformational leaders. Positive attitude is contagious – it spreads and flourishes. Preserving the welfare of an organization through positive attitude and outlook is essential in both ensuring visionary buy in and fostering an optimistic climate and culture.

Summary

Although transformational leadership has been around in its official capacity since 1978, the full concept and understanding of how this leadership style is misunderstood. One cannot be a true transformational leader by possessing only a few of its components. The leader of vision and of inspiration possesses all four of the traits, and can adjust or modify his style of leadership as the situation dictates. "Pseudo"-transformational leaders can possess one or more of the defining characteristics, but fail to adapt and modify leadership behavior in a fluid, dynamic situation or operating environment.

The U. S. Army's current Chief of Staff, General Eric Shinseki has established clear obtainable goals and objectives for the army of the future. He has dedicated his service as Army

Chief to creating a future army that is prepared to fight and win at any place, anytime, and in any environment. In order to ensure our Army is capable of being full-spectrum dominant, leaders at all levels must be able to remain adaptive, flexible, and think in ways never before imagined. Without truly transformational leaders, our Army and our Nation cannot successfully transform. It is fitting to both begin and end this monograph with excerpts from General Shinseki's vision statement. The final paragraph from his Vision Statement:

> *In providing this strategic edge to the Nation, we are, have been, and will remain a values-based institution where loyalty, duty, respect, selfless service, honor, integrity, and personal courage are the cornerstone of all that we do today and all of our future successes. Our soldiers, who exemplify these values every day, are the best in the world; they voluntarily forego comfort and wealth, face hardship and sacrifice, confront danger and sometimes death in defense of the Nation. We owe them our unwavering support, our professional excellence, and our resolute pursuit of this Vision to ensure that they remain the world's finest land force for the next crisis, the next war, and an uncertain future.*[88]
>
> ***General Eric K. Shinseki***
> ***Chief Of Staff Of The Army***
> ***The Army Vision, October 1999***

[88] *The Army Vision: Soldiers on Point for the Nation Persuasive in Peace, Invincible in War*, available on line at https://www.us.army.mil/csa/vision.html; Internet; accessed on 17 Apr 03.

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