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A QUALITATIVE STUDY OF GENERAL (RETIRED) GORDON R. SULLIVAN

FORMER ARMY CHIEF OF STAFF

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in partial fulfillment of the requirements for the

degree of

Doctor of Philosophy

By

LINDA BORIE DUGAN

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A QUALITATIVE STUDY OF GENERAL (RETIRED) GORDON R. SULLIVAN  
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A DISSERTATION APPROVED FOR THE GRADUATE COLLEGE

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Max Dupree (1989) answered the question, “What is leadership?” by suggesting that the first responsibility of a leader is to define reality. The last is to say, “Thank you.” My appreciation runs deep and broad to family, colleagues, and a group of exemplary leaders.

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Department of the Army, 1983, FM 22-100

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## **ABSTRACT**

It may sound melodramatic, but leadership without commitment from others is like a tree falling in the forest without anyone hearing the sound. Leadership requires people and actions more than words. Leadership and team performance are so interconnected, you simply cannot have one without the other. Exemplary leaders are able to unlock the door to unused potential and transform potential into reality. Leadership is far from an exact science, nevertheless, there seems to be common threads that run between exemplary leaders and effective organizations or teams.

The purpose of this study is to examine the leadership skills during a time of organizational change of General (Retired) Gordon R. Sullivan, former Army Chief of Staff, utilizing the conceptual framework of transformational leadership by Bennis and Nanus (1997). The research study focused on one specific question: What effect did General (Retired) Gordon R. Sullivan's leadership have on people under his command? Specifically, how did his leadership impinge upon other people to develop their leadership skills and make change within the organization? The research study was conducted with General (Retired) Sullivan and five of his subordinates that were under his command during the time of transformation of the United States Army (1991-1995). The data gathered in this study utilized the qualitative cross-case analysis research design. Individual case studies were constructed that drew upon the data gathered from each participant. The case studies provided an opportunity to gain an in-depth appreciation of the perception, thoughts and opinions of each participant.

Data analysis continued using a cross-case analysis that compared the experiences of the participants. Narrative descriptions were developed from data collected through elite

interviews, questionnaires, archival information, articles, books, researcher notes, audit trail, and document analysis. The results identified recurring patterns or themes. The transformational model as proposed by Bennis & Nanus (1997) served as the conceptual framework for this study. Findings are presented using each of the four competencies that these researchers identified as transformational and that contributed to the organizational change process in the United States Army. The overall findings of this study demonstrated that General (Retired) Gordon R. Sullivan facilitated changes within the United States Army utilizing the aspects of transformational leadership identified by Bennis and Nanus (1997) as competencies of vision, communication, trust, and self-development. The data also identified several strategies for implementation of change as recommended by subordinates that worked under Sullivan's command as well as recommendations for being an effective leader. Recommendations for further research and practices are also proposed.

## **INTRODUCTION TO STUDY**

People are captivated by the idea of leadership, and they seek more information on how to become effective leaders. Corporations want individuals who have leadership ability because they believe these individuals provide special assets to their organizations. There are a wide variety of different theoretical approaches to explain the complexities of the leadership process. Some researchers conceptualize leadership as a trait, or as a behavior, while others view leadership from a political perspective, or from a humanistic viewpoint.

It is clear that successful organizations have successful leaders. The question for those selecting the leader of an organization and for the selected leaders themselves is: What makes a successful leader? Is it motivation? Is it rewards? The organization prospers if workers perform their assigned role. For completing the assignment, workers receive monetary benefits and occasional recognition. The role for the leader is to organize the assignments, monitor the progress and dispense the rewards. However, in this scenario the followers have little motivation to go beyond the requirements of their assignment. The rewards quickly become expected outcomes of the work, not motivational factors. The organization can become stagnant or obsolete since perfecting the assigned task, not continuous improvement, is highlighted.

Researchers have identified effective leaders as ones who showed concern for the individual, who motivated workers through delegation, involvement and a personal concern for their well-being. Effective leaders provided the necessary structure in the workplace while personalizing their relationship with followers. With these leaders, however, the emphasis was still on the individual as opposed to group goal attainment.



The research on effective leaders has shifted again. Leaders who can promote a clear vision for the organization, who can develop this vision and the tasks necessary to accomplish the vision with the followers and who can continue to address the personal concerns of the worker are viewed as effective. In this form of leadership, building relationships, sharing decision making, communicating effectively and influencing people are key components. The emphasis is the advancement of the group toward the vision. This form of leadership has been labeled transformational leadership.

The research concerning transformational leadership has identified a number of behaviors evidenced by effective leaders. From this research, Gary Yukl (1994) developed Integrating Taxonomy of Managerial Behavior. Identifying fourteen leader behaviors in four broad categories, Yukl provided a framework for the continued examination of leadership. The need for continued research is evident. According to Yukl (1994), in future research it is essential to pay attention to the overall pattern of leadership behavior rather than becoming too preoccupied with any particular component of it. While providing a framework of specific behaviors and broader categories, Yukl expresses the need to examine the interaction of these leader behaviors in transforming situations.

Burns (1978) introduced the concept of transformational leadership, describing it as not a set of specific behaviors but rather a process by which leaders and followers raise one another to higher levels of morality and motivation. Pearman (1998) asserted that transformation was the process of having members of the organization develop new ways of thinking about their work or efforts, expanding individual capacities and responsibilities, and transforming work into a more meaningful activity; which was

reflected in a different understanding of a person's experience and roles. According to Daft (1998), transformational leaders engaged employees in the big picture that provided common ground, vision, and larger meaning. Thus, people could refine their understanding by looking at the patterns of recognizing and acting on information apparent for all individuals.

Burns (1978) asserted that central to transformational leadership was the capacity to inspire and work with others to gain commitment to excellence and high levels of achievement. Concurring with Burns, Bennis and Nanus (1997) identified four fundamental strategies utilized by transforming leaders. The strategies leaders focused on were as follows: attention through vision, meaning through communication, trust through positioning, and the deployment of self through positive self-regard.

Bennis and Nanus concluded that the attributes that set these leaders apart from others were their abilities to develop a compelling vision, give the vision meaning for all organizational members, position their organizations to pursue the vision, and put in place an internal organizational context that greatly facilitates the process of organizational learning. They concluded that effective leaders seem able to create visions that give workers the feeling of being at the active centers of social order.

Effective leadership can move organizations from current to future states and create visions of potential opportunities for organizations. Sound leadership encourages commitment to change within employees and instills strategies and cultures in organizations. This research project examines the behaviors of a military leader and his impact on soldiers while in command during a time of organizational transformation. The study involves a military leader and his subordinates in an effort to document the use

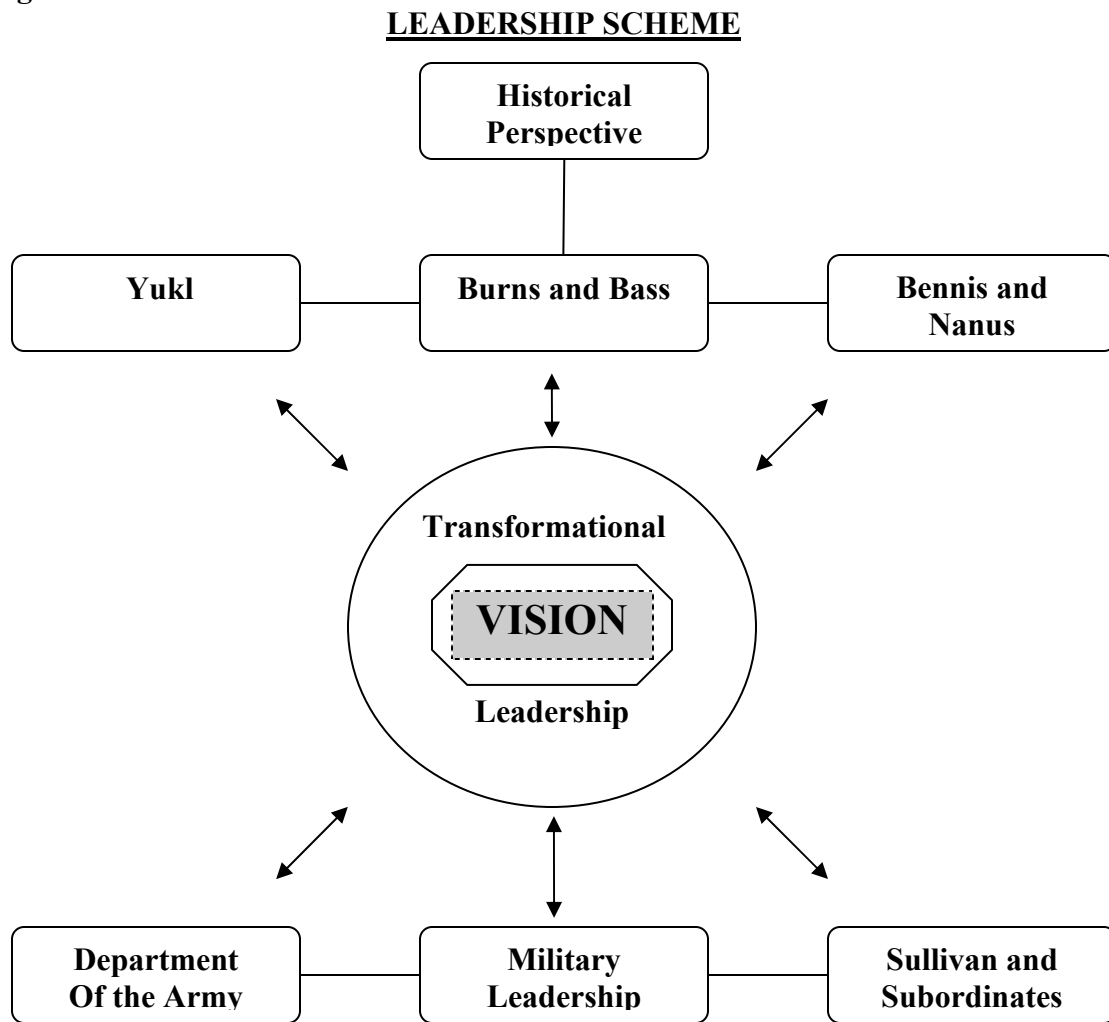
and effect of leader behaviors. This study, based on sound qualitative research techniques, will document the behaviors of the leader to further the understanding of transformational leadership (*see Figure 1*).

#### *Description of Figure 1*

Numerous theories have been put forth about the many aspects of leadership. The researcher proposed an integrating framework that takes various leadership ideas and transforms them into a model that quickly can be studied, understood, and implemented. The model in *Figure 1* depicts how the researcher looked at and analyzed the data during the study. At the top of the leadership scheme, it displays historical perspective. It was necessary to provide information on the history of leadership prior to delving into the study. In this leadership scheme model, six boxes appear with names of various researchers, organizations, or participants who developed, experimented, or identified various behaviors of leaders impacting the understanding of transformational leadership. Yukl (1994) focused on fourteen leader behaviors in four broad categories and emphasized looking at the overall pattern of leadership behavior rather than focusing on a specific component. Burns and Bass (1978) introduced the concept of transformational leadership describing it as a process by which leaders and followers raise one another to higher levels of morality and motivation. Bennis and Nanus(1997) interviewed ninety leaders to see if they could see some type of pattern from their leadership styles and four themes or strategies were developed. These four strategies or themes were (1) attention through vision, (2) meaning through communication, (3) trust through positioning, and (4) the deployment of self through positive regard (the Wallenda factor). The Department of Army was the organization that the participants in the study belonged to

during the time of transformation. It was necessary to include this in the model so the reader could better understand the size, resources, and environment of the study. Military leadership was discussed at length to provide an extensive background of conducting leadership within the United States Army. It was important to address the complexity of the organization while defining the importance of leadership in the functioning of the military forces. Sullivan and his subordinates were the participants in this study, which provided descriptive details and answers to the researcher's question under study. The center of the model displays the commonalities or central thread of this study. Transformational leadership and vision were centrally woven throughout experiments, definitions, applications, and theories during this research process. Each of the components in the model interchangeably focus on articulating a clear vision; the central lens that pulls the organization into the future.

Figure 1



Dugan, 2005

## **CHAPTER 1**

### **PURPOSE OF STUDY**

Much of human interaction consists of attempts to influence the behavior of other people. Leadership is a subject that has long excited interest among scholars and researchers for many years. Much confusion in the study of leadership is generated by the multiplicity of definitions. The term “leadership” means different things to different people. Researchers usually define leadership according to their individual perspective and the aspect of the phenomenon of most interest to them. Most leadership theories and studies take a very narrow perspective and examine only one aspect of the process. In the past, researchers identified effective leaders as ones who showed concern for the individual, who motivated workers through delegation, involvement and a personal concern for their well-being. There has been a shift in research focusing more on catalyzing a clear and shared vision of the organization and securing a commitment and vigorous pursuit of that vision. The purpose of this study is to examine the leadership skills during a time of organizational change of General (Ret.) Gordon R. Sullivan, former Army Chief of Staff, utilizing the conceptual framework of transformational leadership by Bennis and Nanus (1997).

According to General (Ret.) Sullivan’s predecessor, General (Ret.) Carl Vuono, “Sullivan was not selected by just one person to be Vuono’s successor. Sullivan was selected by the civilian leadership in the Pentagon, in this case, both the Secretary of Defense and the Secretary of the Army.” “The Army was blessed with an array of outstanding four and three star Generals from which the Secretaries could select Vuono’s successor” stated Vuono. General (Ret.) Gordon R. Sullivan’s tenure as Chief of Staff

of the United States Army began on June 21, 1991, two years after the fall of the Berlin Wall and the end of the Cold War. He was the thirty-second Chief of Staff of the United States Army and served in this position for four years ending June 20, 1995. He was directly responsible to the Secretary of the Army for the efficiency of the Army and its readiness for military operations. Sullivan realized that the Army needed to change substantially to cope effectively with the new post Cold War realities. He took command of a very successful Army and had to make many decisions how to achieve this task. In his first few months, Sullivan began to define the objectives or goals that he believed were necessary that had to be achieved. He was given many challenges as he began reshaping, redesigning, revising, downsizing, and initiating change. According to Vuono (2006), "Sullivan had the professional experience, the ability to craft and implement a vision for the Army, the sweeping perspective necessary to see beyond the confines of the Pentagon to the emerging national security environment, and the leadership to galvanize the Army staff and the operational units into a cohesive whole."

Sullivan was charged with maintaining excellence, keeping the Army trained and ready while adapting to the many challenges of strategic realities and political priorities. According to General (Ret.) Vuono (2006), "the Army confronted two additional and simultaneous challenges: the need to maintain worldwide readiness against nations or organizations that might seek to take advantage of our focus on Southwest Asia, and the Army's requirement to continue its transformation in the aftermath of the collapse of the Soviet Empire." These challenges constituted what Vuono believed were called "the three vectors." It was clear that the next Chief of Staff would not be facing "business as usual" according to Vuono. "He needed to be a leader of great vision, yet one with

focused pragmatism. He had to be able to communicate the Army's strategic purposes in a post-Cold War and post-Desert Storm environment to civilian leaders in the administration, to the Congress and to the American people. He needed to be able to understand the art of the possible, yet push the envelope in developing new capabilities in response to an array of threats and challenges that we could only see dimly," stated Vuono. Vuono also felt that this leader had to be a soldier of towering patriotism and blessed with the ability to bring together both people and organizations with wildly divergent agendas and forge a cohesive whole. "He needed to be seasoned in both field command and the arcane world inside the beltway," commented Vuono.

According to Vuono, "he had to be trusted and respected by stakeholders inside the Army, within the administration and in Congress. He needed to have a finely honed ability to explain complex issues in simple, direct language. He needed to be a thinker and doer- a man of imagination, initiative, involvement, and integrity." The goal throughout the transformation process was to become an adaptive, creative, and innovative institution that focused its longer-range efforts on leader development, Army Warfighting Experiments, and digitization of the battlefield. Sullivan was charged with taking the transformed Army of the Cold War and Desert Storm and creating America's Total Army, ready to meet the challenges of the 21<sup>st</sup> century. The massive transformation process entailed taking out huge chunks of force structure, closing bases, and realigning equipment between the Army's active and reserve components while maintaining a high state of readiness to fight and win the nation's wars. "He had the personality for the job and the ability to identify the crucial issues amongst the avalanche of input that comes to the desk of the Chief of Staff", stated Vuono. Vuono felt that Sullivan was "calm in



crises, upbeat in his outlook, and a leader who inspired his subordinates to lead with courage and integrity.” “The Army and nation were fortunate to have such a leader at such a pivotal time in our history,” stated Vuono. Sullivan’s leadership and decisions had a large impact on people, decisions, conditions, and the success of the United States Army.

### **Research Question**

1. What effect did General (Ret.) Gordon R. Sullivan’s leadership have on people under his command? Specifically, how did his leadership impinge upon other people to develop their leadership skills and make change within the organization?

### **STATEMENT OF THE PROBLEM**

Current research in leadership is overflowing with articles and books describing the virtues of transformational leadership. In an article entitled “Soldiering On” by Reingold (2004), General Eric Shinseki believed that leadership wasn’t about equipment so much as it was about people. According to Homrig (2004), Burns coined the term ‘transformational leadership’ and induced followers to act for certain goals that represent the values, motivations, aspirations and expectations of both leaders and followers. Transformational leadership in the military should fuse the leader’s vision so strongly in the follower, that both are motivated by high moral and ethical principles. This process raises them above self-interest to perform their exacting duties, even to the ultimate sacrifice, for the good of the nation. Bass (1997) has four interrelated components that he views as essential for leaders to move followers into the transformational style: idealized influence, inspirational motivation, intellectual stimulation, and individual consideration.

According to Homrig (2004), the transformational leader strives to achieve a true consensus in aligning individual and organizational interests. Fundamentally, the authentic transformational leader must forge a path of congruence of values and interests among stakeholders, while avoiding power abuse or manipulation. Hitler may be viewed as a case study of transformational leadership ‘gone wrong’ because he was powerful, but aimed ultimately for power and not for the betterment of his people. Transformational leaders concentrate on terminal values such as integrity and fairness and see the responsibility for their organization’s development and impact on society.

In transformational leadership, leaders engage with followers, but from higher levels of morality. In light of an ambiguous environment, there is a requirement for leaders and followers to tackle tough issues together. When leaders and followers are on the same path, all their energy is focused to achieve maximum results with less oversight, because the leaders have articulated the target goals so everyone understands the direction to move toward.

Specific leader behaviors, including planning, organizing and clarifying are viewed as important aspects of transformational leadership. As reported by Kirby, Paradise and King (1992), the author’s study supported Sashins (1988) findings that “visionary leaders express their visions through effective communication” (p.309). The researchers also found that the initiation of structure, as the activities were referred to in the Ohio studies, remain essential aspects of leadership. Kirby, et al (1992) concluded that specific leader behaviors, rather than personality or charisma, led to greater performance. Stogdill (1974) found that leader behaviors were not fixed but adapted to changes in the situation.

Some leaders were extremely effective in furthering task achievement while others were able to strengthen group cohesiveness. The most valued leaders were able to do both.

Yammarino and Bass (1990) supported the notion that effective leaders move from initiating structure to transformational leadership. They found that transformational leadership and outcomes were highly, positively related. While transactional (initiating structure) leadership was not as highly correlated, the researchers found the structure to be a good foundation for transformational leader behaviors. Researchers are not satisfied that transformational leadership has been effectively or completely examined. Lincoln (1989) stated, “we need case studies to demonstrate what transformational leadership looks like when it is enacted” (p.177). These case studies will provide insight into the personalities and characteristics of transformative individuals. Immegart (1988) concurred by stating, “the need is not only to investigate and collect data about actual leadership situations but also to systematically accumulate a large number of incidents portraying actual examples of leader behavior and leadership situations” (p.270). If the goal is to understand and illuminate behavior, only the use of the data from real settings will move the study of leadership beyond the presumptuousness of attempting to ascertain what leaders do from reputation approaches.

Morrow (1994) wrote an essay for Time magazine summarizing how the information age had led to destabilization in society in regard to leadership. Morrow (1994) noted that in the past the leader “was the one who knew things and therefore understood what followers did not: knowledge was power, and following was an act of faith” (p.77). Although Americans still respond to forceful leadership in times of crisis, Morrow (1994) observed the imperative for leadership in today’s America as a mature democracy in

relative peacetime and yet problems remain. Morrow (1994) listed crime, poverty, drugs, education, abortion and affirmative action as domestic issues calling for leadership. Morrow also emphasized the importance of enforcing a vision (though visions remain indispensable) leading people to understand the problems they face together and the costs and effort necessary to solve them. Morrow also discussed the changes in behavior and attitudes, sometimes the sacrifices, and above all the need to think and adapt. He suggests, “the key to leadership now is to get Americans to act in concert and take responsibility for the courses that they have set for themselves” (p.77). According to Morrow, the state of leadership theory is where vision, empowerment, communication, consideration and responsibility play important roles.

This research study investigates the leadership behaviors of a military leader. It provides data from actual leadership situations to enhance the current understanding of transformational leadership. It provides a case study of what transformational leadership looks like in one specific military setting through a detailed description of the leadership behaviors. Gary Yukl (1994), in the third edition of *Leadership in Organizations*, agreed that a continued examination of leadership behaviors is needed. He asserted that leadership studies have concentrated on two general areas of leadership, task and relationships. Instead, Yukl proposed an Integrating Taxonomy of Managerial Behavior, which identified fourteen leader behaviors in four broad categories. He noted that descriptive studies point to the overall pattern of leadership behaviors as being more important than any particular component. According to Yukl (1994), research should examine how effective leaders use patterns of specific behaviors to accomplish their agendas. Research should also examine the interaction of these specific behaviors.

This research study will delve into various leadership models and theories providing a foundation of how leadership has been historically investigated. Various models will be thoroughly examined and displayed as educational tools in my research process. Bennis and Nanus (1997) focused on four major themes or competencies that leaders embodied: (1) attention through vision (2) meaning through communication (3) trust through positioning (4) the deployment of self. These four major themes encourage the need for further examination concerning transformational leadership practices. The purpose of this study is to examine leadership in a military setting utilizing the transformational model as proposed by Bennis and Nanus (1997). This study will attempt to answer the following question:

What effect did General (Ret.) Gordon R. Sullivan's leadership have on people under his command? Specifically, how did his leadership impinge upon other people to develop their leadership skills and make change within the organization?

### **SIGNIFICANCE**

The significance of qualitative research is the ability to provide real life data and an analysis of the data, which informs the field of study. The descriptive nature of qualitative research provides a detailed picture of the theory of action. It allows for the data from one particular site to be compared with data from other sites in order to illustrate, confirm or refine existing theory. Miles and Huberman (1994) noted that qualitative data can preserve chronological flow and assist the researcher to see precisely which events led to which consequences while providing fruitful explanations (p.1). According to Marshall and Rossman (1995), if the significance of case studies in research is in an area where the theory is well developed, then the study may be a significant test

or expansion of the theory. The researcher may use concepts developed by previous researchers and formulate questions similar to those used in previous research. Data collection, however, may be in a different setting, with a different group, and certainly at a different time. Thus, the results of the research will constitute an extension of theory that will expand the generalizations or more finely tune theoretical propositions. The contribution of such research is the expansion of previous theory.

According to Stake (1995), in qualitative case studies, researchers seek greater understanding of the case. Qualitative researchers have pressed for understanding the complex interrelationships among all that exists. This qualitative research study will be undertaken to expand the knowledge of transformational leadership and leader behaviors while examining the particular concepts advanced by Bennis and Nanus (1997). This study will provide data from one particular site about one military leader. Lincoln, (1989), Immegart (1988), Yukl (1994) and others have stated the need for such data. Expanding the research data will assist in the refinement of the theory and will identify areas in need of further examination by future researchers.

This research study has significance for leaders. Previous research has identified a number of behaviors evidenced by effective leaders. This study provides data concerning the use of these specific behaviors. Through an in-depth examination, the research illuminates patterns of behavior, which may influence the success of the organization. With a greater understanding of these patterns, leaders may be able to select or refine behaviors, which will be more effective as the members work toward accomplishing group goals. As Morrow (1994) suggested, society needs skilled leaders who can

encourage participation and commitment from followers in an effort to solve today's problems.

## DEFINITION OF TERMS

**Army Regulation-** Army publications that establish policies and responsibilities and prescribe the administrative procedures necessary to implement policies. They do not contain historical information; they are permanent publications and remain in effect until changed, replaced, or rescinded. See FM 25-101 (Department of the Army, 1990)

**Case study-** expected to capture the complexity of a single case; it is the study of the particularity and complexity of a single case, coming to understand its activity within important circumstances (Stake, 1995)

**Change-** consists not of an event, but a process of series of events occurring over a period (Klein, 1992)

**Character:** Character is made up of two interacting parts: values and attributes, in which leaders transmit through their personalities. The Army is led by leaders of character who are good role models, consistently set the example, and accomplish the mission while improving their units. Personality is a complex set of characteristics that distinguishes an individual or a nation or group; especially: the totality of an individual's behavioral and emotional characteristics See FM 22-100 (Department of the Army, 1999)

**Command-** the authority that a commander in the Military Service lawfully exercises over subordinates by virtue of rank or assignment. Command includes the authority and responsibility for effectively using available resources and for planning the employment of, organizing, directing, coordinating, and controlling military forces for the accomplishment of assigned missions. It also includes responsibility for health, welfare, morale, and discipline of assigned personnel. 2. An order given by a commander: that is, the will of the commander expressed for the purpose of bringing about a particular action. 3. A unit or units, an organization, or an area under the command of one individual. 4. To dominate by a field of weapon fire or by observation from a superior position. (See also battle command and commander.) See FMs 22-100, 22-103, 100-5, and 101-5. See FM 101-5-1 (Department of the Army, 1997)

**Commander-** One who is in command because of rank, position, or other circumstances. (See also battle command and command. See FM 101-5-1 (Department of the Army, 1997)

**Commanding Officer-** An officer in command; especially: an officer in the armed forces in command of an organization or installation (Webster, 2005)

**Goal-** the final purpose or aim; the end to which the design tends, or which a person aims to reach or attain (Jost, 1993)

**Influence-** the act or power of producing an effect without apparent exertion of force or direct exercise of command, the power or capacity of causing an effect in indirect or



intangible ways. Such as the organization's or higher-headquarters' influence on a unit (WWWebster, 2005)

**Integrating taxonomy**- to code the content of behavior descriptions based on a combination of approaches, including factor analysis, judgmental classification, and theoretical deduction; contains fourteen middle-range behavior categories called managerial practices and a much larger number of specific component behaviors (Yukl, 1994)

**Leadership**- a process whereby an individual influences a group of individuals to achieve a common goal (Northouse, 2004); The Army formally defines leadership in Field manual 22-100, page 1-4, Leadership is influencing people by providing purpose, direction, and motivation while operating to accomplish the mission and improving the organization. See FM 22-100 (Department of the Army, 1999)

**Military**- of or relating to soldiers, arms, or war (Jost, 1993)

**Military Leadership**- process by which a soldier influences others to accomplish the mission (Department of the Army, 1983)

**Mission**- the primary task assigned to an individual, unit, or force. It usually contains the elements of who, what, when, where, and the reasons therefore, but seldom specifies how. See FM 25-101 (Department of the Army, 1990)

**Operation**- a military action or the carrying out of a strategic, tactical, service, training, or administrative military mission; the process of carrying on combat, including movement, supply, attack, defense, and maneuvers needed to gain the objectives of any battle or campaign. See FM 101-5-1 (Department of the Army, 1990)

**Organization**- a functional structure, such as higher-headquarters of a military unit that supervises and directs the operations of a unit (WWWebster, 2005)

**Policy**- the Army devises a definite course or method of action selected from among alternatives and in light of given conditions to guide and determine present and future decision. This is a high-level overall plan embracing the general goals and acceptable procedures especially of a governmental body. (WWWebster, 2005)

**Qualitative research**-the ability to provide real life data and an analysis of the data, which informs the field of study (Miles & Huberman, 1994)

**Soldier**- one engaged in military service and especially in the army, an enlisted man or woman who is a skilled warrior. (WWWebster, 2005)

**Subordinate**- someone subject to the authority or control of another (Jost, 1993)

**Task**- a clearly defined and measurable activity accomplished by soldiers and units. Tasks are specific activities, which contribute to the accomplishment of encompassing missions or other requirements. See FM 25-101 (Department of the Army, 1990)

**Transformational leadership**- process whereby an individual engages with others and creates a connection that raises the level of motivation and morality in both the leader and the follower (Northouse, 2004)

**Vision**-an image of an attractive, realistic, and believable future; usually simple, understandable, beneficial, and clear (Northouse, 2004)

## **Chapter II**

### **REVIEW OF LITERATURE**

The literature in the areas of leadership can seem overwhelming and complex. Over the last several decades, our society has embraced the notion of inclusion and equal opportunity. Changes have occurred as accommodations and inclusion of minorities, women, and disabilities became standard employment practices. As these changes occurred, workers requested more input into the structure of the workplace. Concern for well being of the employees was also highlighted. Leadership studies began to document the effectiveness of these approaches. Effective leaders established a productive structure for the workplace while displaying a genuine interest in the lives of the workers. Research continued to expand on the effectiveness of these two-tiered approaches.

Society has continued to shift. The notion of inclusion and site-based management has led to direct parental and student input into the decision-making process in schools. Workers have gained seats on the board of directors of many companies, or even purchased the company themselves. Now, what is best for the company overall is also good for the workers individually, what is best for the military overall is good for the individual soldiers. The research on leadership has embraced this trend. Labeled transformational leadership, effective leaders now work with followers to develop an overall vision for the organization. The contribution of the individuals in the organization is viewed from the context of this vision and how it helps everyone to achieve the overall goal. Full participation of the group in setting the structure, developing procedures and implementing the strategies is viewed as effective.

The review of literature will examine leadership theory and document this trend. It will review the two-tiered approaches, which led to the development of the transformational leadership theory. The review will describe Burns' (1978) and Bass' (1985) theory of transformational leadership. It will describe how the theory and an examination of other leadership studies led to Yukl's development of the Integrating Taxonomy of Managerial Behavior. This study utilizes the aspects of transformational leadership identified by Benis and Nanus (1997) as competencies of vision, communication, trust, and self-development. The review of literature will conclude with a call for case studies that examine transformational leadership in action and that document the use of specific leader behaviors and their effect on others.

### **Leadership**

Researchers have wrestled with the complexities of defining leadership. Some theorists have concentrated on leadership traits and behaviors, while other researchers examined situational variables and preferred outcomes. Effective leadership is required in all spheres of endeavor such as industry, politics, or the military. It is absolutely essential in the military context. Without strong leadership, the concerted effort, which must characterize an army, is unlikely to be realized, and its individual members will not achieve the unity of purpose essential to success in military operations. Strong leadership is associated with high levels of cohesion and the development of unity of purpose, critical to the success of any military operation.

Leadership includes not merely the authority, but the ability to lead others. According to Bennis and Nanus (1997), "leadership seems to be the marshaling of skills possessed by a majority but used by a minority; it's something that can be learned by

anyone, taught to everyone, and denied to no one” (p.25). Mere occupancy of an office or position from which leadership behavior is expected does not automatically make the occupant a true leader. Before the development of transformational leadership models, leadership theories focused principally on interpersonal transactions between managers and subordinates. Transformational theorists attempted to assimilate facets of leadership theories, but emphasize leadership vision and motivation to inspire employees to achieve high performance levels. It is important to understand that there is an abundance of leadership theories that expand beyond the literature that I have stated and concentration that I have chosen. A synopsis is provided of the causal relationships among leadership theories that cultivated the advancement of transformational leadership theories.

Embracing and implementing change can be a major difference between a good organization and great organizations. According to Kaltenbach (2004), “managing change encompasses all of the necessary ingredients that help organizations rise above the rest and stay at the top” (p.50). Managing change includes vision, organizational culture, leadership, communication, evaluation, and more change. Small or large, deliberate or reactive, organizations must be prepared to manage change or it will manage the organization. Kalthenbach (2004) stated, “vision applies to a specific change or the overall direction of an organization and serves three purposes: simplifies decisions, motivates people and aligns individuals” (p.50). When change occurs, vision can quell anxiety and fear by providing purpose and direction. It is critical to have strong leadership in order to implement change within an organization.

People, in general, have a tendency to avoid change because it takes them out of their comfort zone and requires them to act differently. There must be ‘buy-in’ and support at

all levels of leadership in order for any change initiative to occur. Communication continues to be the key ‘umbrella’ over any change process. Every organization has a purpose and it is the desire to achieve this purpose efficiently and effectively that creates the need for leadership. Leaders are only as powerful as the ideas they can communicate. According to Bennis and Nanus (1997), “a vision cannot be established in an organization by edict, or by the exercise of power or coercion; it is more an act of persuasion, of creating an enthusiastic and dedicated commitment to vision because it is right for the times, right for the organization, and right for the people who are working in it” (p.100).

Leaders have a significant role in creating the state of mind that is the society. Leaders articulate goals that lift people out of preoccupations, carry them above the conflicts that tear a society apart, and unite them in the pursuit of objectives worthy of their best efforts. Leaders commit themselves to a common enterprise and are resilient enough to absorb conflicts, brave enough, now and then, to be transformed by its accompanying energies, and capable of sustaining a vision that encompasses the whole organization. Leaders can shape and elevate the motives and goals of their followers. Leaders can, through deploying their talents, choose purposes and visions that are based on key values of the workforce and create the social architecture that supports them. According to Gilmore (1989), “taking leadership during periods of rapid transformation creates particular challenges: the mission is often in flux with increasingly complex stakeholders seeking fulfillment of his or her own interests, rapidly changing teams, and conceptions of leadership from management creates new difficulties in linking vision to execution” (p. 1).

Leadership in the new millennium is not about position, although it encompasses this element, but rather a process towards openness and trust of participation. Patterson (1993) defines leadership as the process of influencing others to achieve mutually agreed upon purposes for the organization, so that leaders and followers are interchangeably depending on what the innovation is and when it takes place. Leadership is a reciprocal and transformational process between those who choose to lead and those who choose to follow. Transformational leadership occurs when people are able to raise others to higher levels of motivation and morality based upon the leader's actions. According to Kouzes and Posner (1995), transformational leaders mentor followers to take responsibility for their own development and that of others. Moving an organization forward is always a struggle between the old and the new. Patterson sets forth the core values of leadership and change in an organization describing the old and the new forms. Openness calls for the people in the organization to participate with the leader, not simply to listen to the leader.

### **Characteristics of Leadership**

Contrary to popular belief, leadership is not reserved for only a few charismatic men and women. It is not an innate characteristic. People expect leaders to be enthusiastic, energetic, and forward looking. Furthermore, leaders must be passionate. Constituents do not follow positions they follow people engaged passionately in a process. Leaders exhibit certain distinct practices when they are doing their best work. Leadership qualities and behaviors vary little from industry to industry, or profession to profession. Patterson (1993), in speaking of the characteristics of leadership in the future, asserts that future leaders must be willing to live in a paradox of contradictions and create a

synergetic environment of inclusive thinking. The leader must always lead the group to confront the point of tension having the ability to maintain stability in an unstable time. The leader must live with the tension of controlling the environment, while permitting the freedom to experiment. The leader must acquire a balancing act by encouraging risk taking with attention always focused on the core values, including the mission of the organization. Additionally, the leader encourages diversity of opinions within a team and a consensus-building environment. Finally, the leader assumes the responsibility of leading others and does so with confidence.

Bolman and Deal (1992) believed a leader must possess a combination of the following characteristics. Leaders must have the ability to communicate the vision through symbols; a strong commitment or passion to move the organization forward; and the ability to inspire colleagues, and build trusting relationships with them. Bolman and Deal (1992) list the characteristics of leaders who fit into four frames of behavior: structure (architect), human resource (catalyst), political (advocate), and symbolic (prophet). The style can either be effective or ineffective, depending upon the chosen behavior in certain situations. In an effective leadership situation, the leader is a social architect whose leadership style is analysis and design. While in an ineffective leadership situation, the leader is a petty tyrant whose leadership style is details. Structural leaders focus on structure, environment, strategy, implementation, experimentation, and adaptation. In an effective leadership situation, the leader is a catalyst and servant whose leadership style is support, advocate, and empowerment. In an ineffective leadership situation, the leader is a pushover, whose leadership style is abdication and fraud. Human resource leaders believe in people and communication that believe they are



visible and accessible. They empower, increase participation, support, share information, and move decision-making down into the organization. In an effective leadership situation, the leader is an advocate, whose leadership style is coalition and building. While in an ineffective leadership situation, the leader is a hustler, whose leadership style is manipulation. Political leaders clarify what they want and what they can get. They assess the distribution of power and interest, build linkages to other stakeholders, use persuasion first, then negotiation and coercion only if necessary.

In an effective leadership situation, the leader is a prophet, whose leadership style is inspiration. While in an ineffective leadership situation, the leader is a fanatic or fool, whose leadership style is smoke and mirrors. Symbolic leaders view organizations as a stage or theater to play certain roles and give impressions. These leaders use symbols to capture attention and try to frame experience by providing plausible interpretations of experiences. These leaders discover and communicate vision. These four categories provide a framework for understanding change. In considering organizational change, they believe we need to use these four frames of reference. They conclude by calling for leadership that is multi-framed. This model suggests that leaders can be put into one of these four categories and there are times when one approach is appropriate and times when it would not be. The ability to see new possibilities and to create new opportunities will enable leaders to discover choice even when their options seem severely constrained and to find hope amid fear and despair. Choice is at the heart of freedom, and freedom is essential to achieving the goals of commitment and flexibility. Success requires artistry, skill, and the ability to see organizations as organic forms in which needs, roles, power, and symbols must be combined to provide directions and shape behavior.

### *Emotional Wisdom and Leadership*

Leadership also involves what Bennis (1989) refers to as “emotional wisdom” maturity. Bennis does not use the word maturity, because he feels “it sounds too much like the point where one outgrows childish behavior” (p.65). Yet, the leaders he observed still have many of the positive characteristics of the child: enthusiasm for people, spontaneity, imagination, and an unlimited capacity to learn new behavior. Emotional wisdom, Bennis says, reflects itself in the way people relate to others. In this regard, leaders use the following five key skills:

1. The ability to accept people as they are, not as you would like them to be
2. The ability to trust others, even if the risk seems great
3. The capacity to approach relationships and problems in terms of the present rather than the past
4. The ability to treat those who are close to you with the same courteous attention that you extend to strangers and casual acquaintances
5. The ability to do without constant approval and recognition from others. It should not really matter how many people like leaders. The important thing is the quality of work that results from collaborating with them (p. 66-67).

The leader’s influence on the culture of an organization is more about the values he or she holds than it is about one’s charisma. Maturity reflects a leader’s personal values and beliefs and provides the foundation for leadership. The majority of people admire and willingly follow leaders who are honest, forward looking, inspiring and competent.

### *Covey, Kouzes, and Posner's View on Leadership*

According to Covey (1989), integrity and honesty create the foundation of trust, which is essential to cooperation and long-term interpersonal growth. Integrity includes but goes beyond honesty and openness. Honesty is telling the truth; integrity is a matter of walking one's talk. It is a matter of keeping promises and fulfilling expectations. If people don't believe in the messenger, they will not believe in the message. The establishment of credibility in the eyes of constituents is the key to fostering loyalty, commitment, energy, and productivity. Kouzes and Posner (1995) asserted leaders "model the way" through personal example and dedication.

Credibility of action is the single most significant determinant of whether a leader will have followers over time. Consistency between work and action is how others judge honesty. In addition, leaders who foster collaboration are much more likely to be seen as personally credible than those who promote competition. When leaders defend those who are absent, they retain the trust of those present. Furthermore, the most effective leaders are involved and in touch with those being led. Kouzes and Posner (1995) contended, "titles are granted, but it is your behavior that wins you respect" (p.12).

In addition to credibility, leaders must also possess communication skills, as well as competency. Competence is different from intelligence. There are many people who get nothing done but often work a great deal harder than others. It is possible to be very busy without being effective. Covey (1989) stated, "efficient management without effective leadership is like straightening deck chairs on the Titanic" (p.102). While leaders strive to serve and take care of others, they also take care of themselves. Self-development of the effective leader is central to the development of organizations.

Leaders maintain a special level of proficiency. They make a commitment to their own life-long learning. They maintain a discipline to continually clarify their personal vision and focus their energy on developing competence and knowledge. Unfortunately, few organizations encourage the growth of their own people. In addition to learning within structured settings, leaders learn from their own environment and activities. They learn from their failures as well as their successes. Moreover, leaders approach challenges as learning opportunities. Instead of ignoring mistakes or attempting to hide them, they view problems as opportunities for growth.

#### *Summary*

According to Bennis and Nanus (1985), the leader is the one who commits people to action, who converts followers into leaders, and who may convert leaders into agents of change. Leadership is the factor that ultimately determines which organizations succeed or fail. Leaders must create for their institutions clear-cut and measurable goals based on advice from all elements of the community. They must be able to proceed toward those goals without crippling interference by bureaucratic machinery that drains their strength, energy, and initiative. Additionally, they must be able to take risks, to embrace error, to use their creativity to the hilt and encourage those who work with them to use theirs. Bennis (1989) concludes that there is a difference between leadership and management, and leaders and managers. Leading is influencing, guiding in direction, course, action, opinion while managing means to bring out, accomplish or have charge or take responsibility.

## **Military Leadership**

The United States Army is one of the most complex organizations in the world and central to the Army's success are strong leadership and exceptional leadership development. Leadership has always been of great importance to the functioning of military forces. Military leadership has been an intriguing as well as beguiling subject for military men and scholars alike. Military leadership focuses on the successful completion of Army missions (Department of the Army, 1999). The direction the military takes towards leadership tends to lean towards the organizational, group, or team leadership perspectives. Military leadership is a process by which a soldier influences others to accomplish the mission (Department of Army, p.44). A soldier carries out this process by applying his leadership attributes (beliefs, values, ethics, character, skills, and knowledge). Honorable character and selfless service to your country, unit, and soldiers is the emphasis of military leadership. Military leaders must be able to act decisively and effectively in challenging situations.

The military establishment is extremely diverse. According to Buck and Korb (1981), the military organization in its every aspect, offers opportunities for leadership, for teaching, and for management. Its population is fairly heterogeneous and is growing more so throughout its ranks due to more women and minority members. It has units with widely differing functions, ranging from support units to front-line fighting units and includes a wide range of professions and skills. The conditions under which the military operates can vary largely, from peace, to limited war, to full-scale war. It has a huge set of hierarchical levels, from the lowest level small group leader to the Commander-in-Chief. Therefore, it almost goes without saying that different leadership

behaviors, styles, and characteristics are required in these multiplicity of situations. The United States Army does not train leaders in a hierarchical manner, but rather, emphasizes dispersed leadership as the key to the success of the Army leadership model. The military doctrine divides leadership into direct, organizational, and strategic (Department of the Army, 1999). Military leadership falls situationally under four areas: individual, group or team, organizational, and environmental (Department of the Army, 1999; O’hair, 1996). Within each area, leadership functions operate differently. In general, junior leaders exercise their influence directly, while senior leaders must employ both direct and indirect influencing methods.

*“Be, Know, and Do”*

There are four major factors of leadership: the follower, the leader, communication, and the situation. These factors are a significant impact on what actions the leader takes and when he takes them. The first major factor of leadership is the follower. The initial starting point for knowing soldiers is a clear understanding of human nature (needs, emotions, motivation). Different soldiers require different styles and approach of leadership. A leader must understand the “Be, Know, and Do” attributes of each soldier. In a soldier’s eyes leadership is everything one does that affects mission accomplishment and its well-being. According to the Department of Army (1983), to be a respected leader, focus on what you are (your beliefs and character), what you know (human nature, tactics, your job), and what you do (provide direction, implement, motivate). The three words, *be*, *know*, and *do* are the key attributes of the framework for leadership in the United States Army. A schematic representation of the leadership framework can be found in *Figure 2* as defined by the United States Army (1983) on page 49 of FM 22-100.

Figure 2

<b>LEADERSHIP FRAMEWORK</b>		
<i><b>AS A LEADER YOU MUST</b></i>	<i><b>EXAMPLES</b></i>	
<b>BE</b>	<ol style="list-style-type: none"> <li>1. Be committed to the Professional Army Ethic</li> <li>2. Possess Professional Character Traits</li> </ol>	<ul style="list-style-type: none"> <li>• Loyalty to the nation's ideals, loyalty to unit, selfless service, personal responsibility</li> <li>• Courage, competence, candor, commitment, integrity</li> </ul>
<b>KNOW</b>	<ol style="list-style-type: none"> <li>3. Know the four factors of Leadership and how they affect each other</li> <li>4. Know yourself</li> <li>5. Know human nature</li> <li>6. Know your job</li> <li>7. Know your unit</li> </ol>	<ul style="list-style-type: none"> <li>• Follower, leader, communication, situation</li> <li>• Strengths and weaknesses of your character, knowledge, and skills</li> <li>• Human needs and emotions</li> <li>• How people respond to stress</li> <li>• Strengths and weaknesses of the character, knowledge, and skills of your people</li> <li>• Technical and tactical proficiency</li> <li>• How to develop necessary individual and team skills</li> <li>• How to develop cohesion</li> <li>• How to develop discipline</li> </ul>
<b>DO</b>	<ol style="list-style-type: none"> <li>8. Provide direction</li> <li>9. Implement</li> <li>10. Motivate</li> </ol>	<ul style="list-style-type: none"> <li>• Goal setting, problem solving, decision making, planning</li> <li>• Communicating, coordinating, supervising, evaluating</li> <li>• Applying principles of motivation such as developing morale and esprit in your unit; teaching, coaching, and counseling</li> </ul>

*FM 22-100 Department of the Army (1983) p. 49*

In the military, the leader is also a follower. Leadership is a full time duty that is influenced by command directives. The commander has to know when to command and when to lead. Military leaders command and influence soldiers to accomplish missions while following directives from higher ranking officers. A leader also needs trust, respect, and confidence of other key people besides the followers. Leaders may not always agree with the mission however, directives must be followed and carried through. The Army core values are loyalty, duty, respect, selfless service, honor, integrity, and personal courage, and apply to all situations (Department of the Army, 1999). The leader's beliefs, values, and ethics are the foundation of the competence of a military leader. Beliefs are assumptions or convictions that a leader holds as true regarding some thing, concept, or person. Values are ideas about the worth or importance of things, concepts, and people. They come from the leader's beliefs, which influence behavior because importance is placed on alternatives depending on one's system of values. Values influence a leader's priorities; the leader will put values first or what will be defended the most, and what the leader will least want to give up.

As a leader, one may be confronted by situations where your value of candor comes in conflict with the value of pleasing your superiors. According to Yukl (1986), values influence an individual's preferences, perceptions, and choices, affecting behavior. In military situations, the members of a unit will choose certain behaviors based upon personal and organizational values, if it is not otherwise directed by orders or regulations. In some situations, the leader's values on truth and self-interest may collide. What the leader values the most will guide his actions.



### *Importance of Beliefs, Ethics, and Values*

According to the United States Army manual FM 100-1, there are four values that comprise the professional Army ethic: (1) loyalty to the nation's and the Army's ideals, (2) loyalty to the unit, (3) personal responsibility, and (4) selfless service. Other values include competence, courage, commitment, and honesty. The military leader's beliefs, ethics, and values are influential in how they think and learn, how plans are implemented, and how people are treated. Military ethics are guidelines that help leader's guide their soldiers in a professional manner. Military leaders are responsible for teaching the professional beliefs, values, and ethics. These are the foundation of a leader's character. Character is the sum total of one's personality traits. Character is a combination of traits that cause a leader to do what he believes is right regardless of pressures (Department of Army, p.51). There must be willing assistance of certain peers, key support personnel, and seniors. The leader must understand the *be*, *know*, and *do* attributes of these key people and behave in a way that motivates them to want to assist you. Trust, confidence, and respect must be developed with each person to help motivate people to assist a leader.

The second major factor of military leadership is the leader. The leader must have an honest understanding of one's own self, their abilities, what they know, and what they are able to do. This is required in order for the leader to control and discipline one's self and to lead their soldiers effectively. The third major factor of military leadership is communication. Communication is the exchange or flow of information and ideas from one person to another. The process of communication involves a sender transmitting an idea to a receiver. Effective communication occurs only if the receiver understands the

exact information or idea that the sender intended to transmit (Department of the Army, p.187).

The military leader sets the example which communicates to the soldiers that the leader shares in their hardships and that the leader will not ask them to do anything that they are not willing to do. The leader teaches, persuades, counsels, coaches, and punishes through verbal and nonverbal communication. The fourth major factor of leadership is the situation. There are no rules or special formulas advising military leaders what to do in situations. Every situation is different. Leadership actions that were successful in one situation with one group of soldiers, seniors, or other key people may not work in another type of situation.

Many resources and forces combined help determine what type of leadership action is necessary. Identifying and influencing certain forces may create a situation more favorable to mission or task accomplishment. The situational factor also includes timing of actions. It may be necessary to confront the subordinate but if the confrontation occurs too early or too late it can be disastrous. The leadership situation includes all the forces affecting mission accomplishment and the well being of the subordinates. In military combat, this could include forces, enemy, terrain, troops and time. There is not a special list of forces. The situation includes all the forces that affect the ability and motivation of the unit to accomplish its mission. The leader must be able to identify and think through the important forces in a situation. Some factors are more important in one situation than in others.

### *The Traditional Principles of Military Leadership*

The traditional principles of military leadership have been the cornerstone or the leadership doctrine. They are the guidelines to train and develop subordinates in the military arena. According to the United States Army (1983), it is important to understand the eleven principles of military leadership: (1) know yourself and seek improvement (2) be technically and tactically proficient (3) seek responsibility and take responsibility for your actions (4) make sound and timely decisions (5) set the example (6) know your soldiers and look out for their well-being (7) keep your soldiers informed (8) develop a sense of responsibility in your subordinates (9) ensure that the task is understood, supervised, and accomplished (10) train your soldiers as a team and (11) employ your unit in accordance with its capabilities (p. 44).

Seeking self-improvement as a leader means continually strengthening your attributes. Technical and tactical is essential to military leadership. As a military leader, there must be proficiency with a weapon, vehicle, and equipment within the unit. Responsibility is a critical professional value to have along with accountability. Problem solving and timely decision making are both critical in peace and war situations as a military leader. There is also the need for the leader to set an example for the soldiers to follow. Knowing the human nature of one's soldiers is an important aspect that military leaders must understand. It is critical for the leader to sincerely care for the well being of their soldiers and the necessity for clear communication. A military leader must keep their soldiers well informed and abreast of situations.

### *Responsibility and Leadership Action Skills*

The leader must develop a sense of responsibility in subordinates that will cause them to carry out their professional responsibilities. There must be assurance that the task is clearly understood, supervised, and accomplished. The military has strict definitions of its training tasks, by setting a task, condition, and standards to most actions within the organization (Department of the Army, 1990). As a leader trains soldiers, the importance of teamwork is stressed throughout the task. The leader needs to develop sound discipline and cohesion while utilizing leadership and training. According to Trott and Windsor (1999), the military leader administers policies, to maintain the status quo within the context of good order and discipline by the position and responsibility each member is assigned. Leaders formally establish policy to set expectations for soldiers', performance standards, and acceptable behaviors within the military ecosystem.

Military leaders must have three types of leadership action skills: provide direction, implement, and motivate. Leadership that provides direction includes setting goals, decision-making, problem solving, and planning. Leadership that implements includes coordinating, supervision, communicating, and evaluating. These skills are necessary to achieve goals. Military leaders are responsible for carrying out and implementing change within an organization. Leadership that motivates includes applying principles of motivation such as aligning unit and individual goals and rewarding behavior that leads to the achievement of unit standards and goals which may include teaching and counseling. These are the skills necessary to influence human nature and to motivate people to carry out missions and programs. The factors of military leadership (the follower, the leader, communication, and the situation) and the *be*, *know* and *do*

leadership attributes provide a philosophy or concept of professional leadership which helps address the challenges that every leader faces. The principles are guideposts for leaders as they encounter a mission, take care of their soldiers, or enter the battlefield.

### **Trait Theories**

Throughout the twentieth century, the initial studies on leadership focused on the physical characteristics of leaders. According to trait theory, certain people are born with certain traits that made them great leaders. Northouse (2004) notes, traits such as physical characteristics, intelligence, personality, social background, and task related characteristics were qualities that differentiated leaders from other persons. Trait theorists believed that people who are effective leaders have particular traits that can be transferred from one situation to another. Numerous studies have been conducted to identify the personal attributes of leaders and correlated them with leader success. Trait researchers have not been successful in isolating a specific profile of effective leadership traits. Interests in the trait approach to leadership began to decline in the early 1940's as researchers recognized its shortcomings such as the failure to clarify relative significance of different traits and the confounding situational variables.

### **Motivation, Hygiene Factors**

Herzberg (1957) proposed a management theory based on the concept of hygiene factors versus motivation factors. Hygiene factors were described as conditions, which were essential to insure the possibility of worker productivity. These factors included safe working conditions, an appropriate wage, a feeling of security and an understanding of the task. These conditions were important to the initial ability of the workers to produce. However, according to Herzberg (1957), simply meeting these expectations did

not insure the maximum effort or commitment from the workers. In order to motivate workers to produce beyond the minimum, the leader needed to supply motivation factors. These factors included recognition, rewards, and delegation of authority and a sense of belonging to the organization. Leaders needed to realize that salary raises and changes in working conditions would have a limited short-term effect on overall productivity. The motivation factors provided the incentive for workers to give extra effort.

### **Social Exchange Theory**

The Social Exchange Theory of leadership was advanced by Hollander (1958), Jacobs (1970,) and others. The advocates of this theory proposed that the interaction in an organization revolves on the exchange of benefits for task completion. These benefits may be psychological such as recognition, awards, promotions or added responsibilities. They may also include material benefits including money and other financial benefits. The leader derives authority and an attraction from the followers when this exchange of benefits continues over time. The leader uses the exchange to further the completion of tasks. The authors also noted that the leader's authority and follower respect for the leader are not solely the result of this exchange. Instead, according to Hollander (1958) and Jacobs(1970), the leader gains the appreciation of the followers when the leader displays expertise, develops appropriate innovations and when the leader has the necessary skills of planning, organizing and representing the group to others.

### **Behavioral Theories**

Behavioral style theorists changed its focus from leadership traits to leader behaviors or their leadership style. Behavioral theorists believed that leaders were made, not born. Researchers tried to correlate leadership behaviors, roles, and practices, with measures of

leadership effectiveness. During the 1950's and 1960's, research performed at Ohio State University and the University of Michigan established a new model for successive behavioral style research. Researchers from Ohio State developed questionnaires for subordinates to indicate the behaviors of their leaders. The questionnaires were issued to both civilian and military people. Analysis of responses indicated that two categories co-existed. These two factors were 'initiating structure' and 'consideration'.

Chief among the findings were the ideas that 1) leadership involves taking an active role in the development and maintenance of role structure and goal direction by clearly defining the leader's own role and letting followers know what is expected (initiating structure) and 2) leadership involves personal consideration for the group members with regard to their comfort, well-being, status and contributions (personal consideration). Initiating structure behaviors were described as organizing, planning, clarifying, developing procedures and evaluating performance. Consideration behaviors were defined as behaviors expressing concern, listening with interest to the views of followers, sharing of decision-making authority and a desire to provide motivation and rewards.

Stogdill's findings indicated that initiating structure leader behaviors were related to group productivity, cohesiveness and follower satisfaction while personal consideration behaviors were consistently related to group cohesiveness. Stogdill(1974) noted that these factors are significant because the "survival of a group is dependent upon a type of leadership able to keep members and subgroups working together toward a common purpose, maintain productivity at a level sufficient to sustain the group or justify its existence, and satisfy member expectations regarding leader and group" (p.410). Stogdill (1974) concluded that the most effective leaders were one's who could use both types of

behaviors by adapting to the specific situation and modifying their own behavior accordingly. At the same time Ohio State was working on this study, University of Michigan presented analogous research. Robbins (1994) noted both the Ohio State and Michigan studies could not successfully distinguish reliable relationships between leadership behaviors and group performance.

In 1964, Robert Blake and Jane Mouton developed the managerial grid that enhanced the field of leadership. These two researchers evaluated two dimensions of leadership behavior and incorporated patterns of thinking and attitudes. Researchers emphasized the view that high scores on interdependence and teamwork dimensions was the ideal leadership style for any situation. Behavioral and trait researchers were unsuccessful at generating empirical data to distinguish effective leadership styles that operated in any situation which initiated situational variables into their studies.

### **Situational Theories**

The epitome of situational leadership approaches rests in the effectiveness of the specific behaviors that are most suitable for the situation. Researchers attempted to match situational needs to the capability level of the leader. In 1967, Fred Fiedler introduced the Contingency theory. He attempted to compare leadership style with situational demands. This theory developed with the use of the Least Preferred Coworker (LPC) trait questionnaire. Fielder stated that leaders who displayed low LPC scores valued task completion over maintenance of relationships while leaders with high LPC scores put more value on working relationship. According to the theory, the effectiveness of the leader was contingent on the combination of three situational



variables with high LPC leaders more effective in certain situation, low LPC leaders more effective in others.

Fiedler (1967) alleged that the leader's task should be coherent with the leader's control over situations and that a leader can predict outcome with a high degree of confidence if he or she had a high degree of control over the situation. If the leader had lower control, the outcome would be uncertain. Fiedler (1967) anticipated that a task-oriented leader would be most successful in situations of either high or low control, while relationship-oriented leaders would be most successful in situations of moderate control. The three variables were 1) leader/member relations, 2) task structure and 3) the position power of the leader. The contingency theory asserted that a situation that requires a high degree of task structure would be more advantageous for a low LPC leader than one that requires a high degree of leader/member relations. Fiedler (1967) noted that leader/member relations are generally more important than task structure, which is generally more important than position power. Leadership styles would be most successful when applied in the right situation. Changing the situation of the subordinates is easier than changing the leadership style.

In 1971, Robert House suggested that leaders change their behaviors according to the situation. The idea of the path-goal theory is that leadership styles are to harmonize the characteristics of the followers and the difficulty of their tasks. House (1971) categorized leadership behavioral styles into four categories: supportive, directive, achievement-oriented, and participative. According to the path-goal theory, effective leadership can be obtained by fulfilling goals by removing barriers on the path, assisting subordinates to progress along the paths, and clarifying the path through which subordinates can attain

both work and personal goals. Schriesheim and Glinow (1977) noted that although the path-goal theory has been criticized in the areas of conceptualization and methodology it predicts that achievement-oriented leadership is most effective in settings where subordinates are required to perform ambiguous tasks. There is not evidence of predictability or long- term effects and researchers have ignored important components of the theory that are critical in evaluating motivational processes.

According to Hersey and Blanchard (1996), situational leadership is an effort to display the appropriate relationship between the leader's behavior and a specific aspect of the situation-the readiness level demonstrated by the followers. In this model, the leader must remain receptive to the follower's level of readiness. The level of readiness may change as new tasks are assigned or arise. Hersey and Blanchard (1996) emphasize that situational leadership is about meeting follower's needs. Leadership styles may overlap in some circumstances. A leader may be participative in some situations and autocratic in another. An effective leader will adjust his or her style to the situation, to the kind of followers, to their own personal traits, and to their attitude toward people. The situational leadership theory has been tested in numerous populations and still lacks empirical support. It has been criticized for its self- assessment methodology and inconsistent results.

The theories described thus far included a task component and a relationship component. The task component referred to leader behaviors, which clarify the role of the individual work and the performance expectations for the job. The relationship component involved the personal attachment that leaders forged with workers to enhance

the workers motivation and, in turn, their productivity. What these theories also have in common is an approach that is individualist between the leader and worker.

The transformational leadership theory is an outgrowth of these two- tiered approaches. It replaced the emphasis on the individual with an overall organizational approach. It incorporates many of the task components under the heading of transactional leadership while encouraging workers through the concept of group goal accomplishment. The following is an examination of transformational leadership as an outgrowth of the previously described leadership theories.

### **Emotional Intelligence**

According to Goleman, Boyatzis, and McKee (2002), leaders have always played a primordial emotional role. The leader acts as the group's emotional guide and has the maximal power to sway everyone's emotions. Goleman (2002) defines emotional intelligence as "the capacity for recognizing our own feelings and those of others, for motivating ourselves, and for managing emotions well in ourselves and in our relationships." Emotional intelligence describes abilities distinct from, but complimentary to, academic intelligence or the purely cognitive capacities measured by IQ. Leader's can push people's emotions toward the range of enthusiasm, which can cause performance to soar. Leaders can also push people towards rancor or anxiety causing them to be thrown off course. Followers tend to look towards the leader for emotional support or empathy.

In 1990, Daniel Goleman developed the first model of emotional intelligence. According to Goleman, "people take their emotional cues from the top" (p.8). In a sense, the leader sets the emotional standard within the organization. A leader ignites the

group's emotional temperature through emotions. According to Goleman (2002), "the greater the leader's skills at transmitting emotions, the more forcefully the emotions will spread" (p.11). A leader cannot manage his emotions well if he is not aware of them. There are four domains of emotional intelligence: (1) self-awareness, (2) self-management, (3) social awareness, and (4) relationship management. If a leader's emotions are out of control, it is difficult to manage relationships.

Self-awareness is critical to have as a leader. Without understanding your own emotions, it is difficult to understand others. It is important to understand one's strengths and weaknesses and have a sound sense of one's self-worth. Social awareness, particularly empathy, can help a leader stay attuned to how others feel in the moment. Being socially aware can help leaders say and do what is appropriate which can help a leader guide the group. It is important to recognize and meet the follower or clients needs.

According to Goleman (2002), "empathy, which includes listening and taking other people's perspectives, allows leaders to tune into the emotional channels between people" (p.31). Self-management, or managing emotions, is another important component of emotional intelligence. It is possible to regulate or manage one's own and others' emotions so as to promote one's own and others' personal and social goals. It is necessary to keep disruptive emotions and impulses under control. A leader must display honesty and integrity and be flexible to changing situations. Self-management also includes the ability to see the positive side in events and taking the initiative to act and seize opportunities.

The last domain that Goleman describes is relationship management. Relationship management emphasizes collaboration and team building. There is a focus on cultivating and maintaining a web of relationships, resolving disagreements, and developing others abilities through feedback and guidance. Inspirational leadership, guiding and motivating others with a compelling vision, and influence are components of relationship management. Leaders manage, initiate, and lead others into a new direction through cooperation. Managing relationships simply boils down to handling other people's emotions. When managing relationships, a leader finds the most visible tools of leadership- persuasion, conflict management, and collaboration. Relationship skills are extremely pivotal and necessary to establish close and smooth relationships. Goleman (2002) felt that these four domains were the basic ingredients for effective leadership.

### **Transformational and Transactional Leadership Theories**

Transformational Leadership theory was advanced by Burns (1978) and Bass (1985). This theory described the leader as helping to develop and maintain a sense of group commitment and group accomplishment over individual self-interest. It incorporated many of the components from previous theories while advancing this notion of group commitment. The researcher described two types of leadership; transactional and transformational. In transactional leadership, the leader is concerned with establishing the procedures, and the structure of the organization. Similar to initiating structure and task components of previous theories, transactional leadership involves planning, implementing and evaluating. The focus remains individual in nature.

According to Burns (1978) and Bass (1985), the workers are concerned with following procedures and with accomplishing their own tasks in an effort to receive personal

benefit. According to Yukl (2002), Burns popularized the idea that transformational leadership and transactional leadership were two distinct constructs. According to Burns (2003), “transformational leadership focuses on the ways that leaders emerge from being ordinary transactional deal makers to becoming dynamic agents of major social change who empower their followers” (epilogue). Matey (1991) notes, “transformational leaders act as moral agents and engage in a mutual understanding of employees, attempting to convert them into leaders; and, the transactional leader differs in that he or she is only concerned with production, engaging in minimal employee interactions” (p.601). As societies change, new types of missions emerge and new organizations form.

Romain (2004) states, “the Army must anticipate leadership requirements and develop the attributes its future leaders will need rather than relying on old leadership theories; just as advances in technology lead to changes in equipment, organization, and doctrine, changes in social and political conditions require changes in the way leaders influence subordinates” (p.72). Leadership is a deciding factor on the battlefield and takes many forms. No one leadership style, action, or trait is universally effective for all situations. Romain (2004) emphasizes the importance of transformational leadership as a necessity if Army leaders are to be successful.

According to Tucker and Russell (2004), “transformational leaders seek to change the existing structure and influence people to buy into a new vision and new opportunities” (p.103). Transformational leadership is based on long-term development instead of a quick dose of training. Transformational leadership helps leaders instill greater commitment in the military and current mission. Transformational leadership involves interaction and results in commitment. Although transactional leadership often results in

behavioral change (such as compliance), it is less likely to produce attitudinal change. For subordinates to change their values, they need to perceive that a leader believes in those values and sincerely cares about their welfare.

Transformational leadership is more concerned with overall organizational goals and goal attainment. It seeks to replace personal self-interest with concern for the group and the organization. Leaders of transformational change must envision, enable, and enculturate a new organizational paradigm to the members of the organization, According to Northouse (2004), transformational leadership refers to the process whereby a person engages with others and establishes a connection that increases the level of motivation and morality in both the leader and the follower. This type of leader attends to followers needs and tries to enthuse the followers to pursue extraordinary efforts that transcend one's self interest for the good of the organization.

According to Burns (1978) and Bass (1985), it involves the necessary transactional leadership while providing the consideration, relationship aspect for the workers. According to Gabert (2003), the transformational leader refers broadly to a process in which leaders and followers raise one another to higher levels of morality.

Transformational leadership is a new paradigm of leadership that has been developed through the years by several researchers. According to Jolson, Dubinsky, Yammarino, and Comer (1993), "transformational leaders are likely to probe deeply to identify and arouse their followers; current and long term needs, including those that are dormant or of a higher order" (p.99). In contrast, transactional leaders concentrate on the exchanges between the leaders and their followers.

Burns (1978) popularized the idea that transformational leadership and transactional leadership were two distinct constructs. Leaders and followers elevate each other to higher levels of motivation and morality through the process of transformational leadership. Transactional leadership involves the motivation of followers by appealing to self-interest. Burns (1978) tried to link the roles of leadership and followership in that power was indivisible from follower's needs. Burns (1978) believed that transactional and transformational leadership belonged to the same continuum, but Bass (1985) disputed that transformational leadership complements transactional leadership. Bass (1985) expanded the Burns definition of transactional leadership to include contingent reward behavior, clarity of task requirements, and contingent rewards to motivate. According to Bass, Avolio and Yammarino (1990), the elements of punishment and corrective action were added later.

Avolio, Waldman, and Yammarino (2001) suggest transactional leaders define and communicate the work that must be done by followers, how it will be done, and the rewards followers will receive for successfully completing the stated objectives. There are four factors that conceptualize transformational leadership: individualized consideration, intellectual stimulation, inspirational motivation, and idealized influence. Northouse (2004) notes, on the right side of the transactional-transformational continuum, a non-leadership factor is represented. This factor is described as a hands-off approach and is referred to as "laissez-faire". There is no exchange between leader and followers or any effort to help them develop. According to Northouse (2004), past research has indicated that women and men perceive their leadership styles differently. Men depict themselves as transactional leaders viewing job performance as a series of



transactions with subordinates and are more likely to use power derived from organizational position and formal authority.

On the other hand, Northouse (2004) notes women consider themselves to be transformational leaders. Women tend to allocate their power to personal characteristics and encourage subordinates to transform their own self-interests into the interests of the group and tend to encourage participation, share power, and enhance the other person's self-worth. Interactions with subordinates are positive and considered interactive in the working relationship. Bennis and Nanus (1997) defined transformational leadership as:

Collective, there is a symbiotic relationship between leaders and followers, and what makes it collective is the subtle interplay between followers' needs and wants and the leader's capacity to understand, one way or another, these collective aspirations. Leadership is "causative," meaning that leadership can invent and create institutions that can empower employees to satisfy their needs. Leadership is morally purposeful and elevating, which means, if nothing else, that leaders, through deploying their talents, choose purposes and visions based on essential values of the workforce and create the social architecture that supports them. Finally, leadership can move followers to higher degrees of consciousness, such as liberty, freedom, justice and self-actualization (p.203).

Some researchers use the terms transformational leadership and charismatic leadership interchangeably while others define them separately. Charisma was first used to describe a special talent that select individuals possess that gives them the capacity to do extraordinary things. Charisma can be a principle of a leader's behavior, an ascription from a subordinate's perception, or a combination of both. One of the major criticisms of charismatic leadership is that subordinates uphold a dependent relationship with the leader. Yukl (1994) argued that charismatic leadership instills loyalty in subordinates, as opposed to increasing commitment of those subordinates to organizational ideas. Situations where charismatic leadership is the style, ideal behavior would only last as long as the leader is in place to give external reinforcement. Transformational leaders, in

contrast, tend to work through internal motivation of subordinates toward preferred behaviors, so that ideal performance is not dependent on the presence of the leader.

Bass (1997) commented that charismatic leaders often emerge when the organization is under stress. The charismatic leader is seen as the rescuer who will satisfy their emotional needs. Leithwood (1992) defines transformational leadership as a leadership that facilitates the redefinition of a people's mission and vision; a restoration of their commitment, and the reorganization of their systems for goals achievement. The process of transformational leadership is best characterized as leaders developing leaders. A key concept of transformational leadership is an essential part of confirming a committed workforce concentrating on cooperation and innovation.

Transformational leadership provides the incentive for people to attempt improvements in their practices and realign their values and norms of their organization. Transformational leaders involve staff members in making collaborative decisions through observing, planning, and actively communicating. Transformational leader behavior often leads to improvements in team cohesion, athletic performance, and team/coach morale. Northouse (2004) notes, the most widely used measure of transformational leadership is the Multifactor Leadership Questionnaire (MLQ). The MLQ is composed of questions that measure follower's perceptions of a leader's behavior for each of the seven factors in transformational and transactional leadership model. It also has items that measure effectiveness, effort and satisfaction. It has gone through several revisions to help strengthen its validity.

Transactional leaders must clearly understand what goals upper-level managers expect. Both Burns (1978) and Bass (1985) viewed transactional leadership in terms of

exchanges for rewards and compliance. Researchers have indicated that empirical support for transactional leadership theories include path-goal theory and leadership member exchange theory (LMX). Transactional leaders concentrate on providing the necessary motivation, direction, and appreciation for the follower. The transactional leader can contribute to the relationship with the follower by giving feedback if the team is meeting its intended objectives. In transactional leadership, the follower's perception of the leader's reputation is critical. According to Bass and Avolio (1990), the effectiveness of transactional leadership is based on two factors: contingent reward and management by exception. Bass further subdivided the management by exception category into active and passive forms. Employees can be motivated by extrinsic and intrinsic rewards that are based on distribution criteria of the organization. Effective reward systems usually motivate, attract, satisfy, and retain subordinates that are assets to the organization.

According to Bass (1997), transactional leaders provide six essential elements: successful transactional leaders clarify expectations, affect the exchange of promise for support, assemble mutually satisfactory agreement, negotiate for resources, exchange assistance for effort, and provide commendations for successful follower performance. A leader who practices management by exception relies on adverse reinforcement. These leaders ask no more than what is essential to get the task completed. In using the active form of management by exception, leaders may actively monitor follower performance and take corrective actions if deviations from standards occur. Leaders that fail to intervene by waiting until problems occur subscribe to passive management by exception.

Bass recognized a third leadership theory category called laissez-faire. The laissez-faire leader avoids accepting tasks; lacks follow up to requests for assistance, and resists expressing views on important concerns. According to Hersey, Blanchard and Johnson (2001), some researchers conclude that laissez-faire leadership is always an inappropriate way to lead while other have postulated that it could be an effective style in situations that empower the followers and reduce the importance of leadership. Leaders face critical decisions and ethical dilemmas at all levels.

Good leaders will react by doing the right thing, rather than doing what is expedient. Grubbs (1999) states, “leaders transform organizations by having a clear, definite value system that is understood by each employee” (p.22). Transformational leaders identify organizational problems in the current system and have a clear vision of how the organizations should be. The result is an organization that links leaders and followers through organizational values. Grubbs (1999) notes, transformational leadership raises the standard of human conduct and make visions become reality.

A transformational leader of General Electric, Jack Welch, published a performance matrix in his 1991 annual report to determine which employees contributed to the organization’s vision and value system. This simple matrix was a tool to help determine which leaders should be kept and which should be given opportunities to explore challenges within other organizations. According to Grubbs (1999), Jack Welch utilized this transformation matrix to determine and evaluate the fate of his organization’s leaders. Grubbs (1999) also suggested four basic strategies that contributed to transformational leadership: “leaders must have a vision, leaders must communicate the

vision, leaders must build trust by remaining consistent and dependable, and transformational leaders must have a positive self-regard” (p.26).

According to Auteri (1994), there is a difference between professional leadership and transformational leadership. Auteri (1994) noted that professional leadership is based on the concept of purposeful pursuit of objectives, with simultaneous attention to the motivation and development of the individual. Transformational leadership continues along the same path but emphasizes the development of leadership qualities of the individuals in the organization. Auteri (1994) listed four guiding principles of transformational leadership. The first was consideration of the needs of the individual. The second was intellectual stimulation to allow and encourage critical and creative thinking. Third, Auteri (1994) described inspirational motivation, which conveys the sense of mission and mobilizes the collective energy to achieve important goals. Finally, Auteri (1994) included idealized influence, which stems from the leader’s ability to model and stimulate development.

These principles of transformational leadership have been described in an abundance of organizational settings. According to Tracey and Hinkin (1994), “transformational leadership is a process of influencing major changes in the attitudes and assumptions of organization members and building commitment for the organization’s mission or objectives” (p.18). Tracey and Hinkin (1994) echoed Auteri’s principles by noting that transformational leaders address concerns of the followers, increase employee discretion and responsibility, articulate a vision, and reinforce the vision through the leader’s words and actions. Waldman (1994) reiterated Auteri’s themes of developing a vision and modeling behaviors in his synthesis of transformational literature.

According to Waldman (1994), “transformational leaders demonstrate high degrees of confidence and moral conviction in the righteousness of his or her own values” (p.510). A transformational leader will espouse a clear and articulate vision and the leader serves as a role model for the value system. Transformational leadership can be viewed as the mechanism by which managers may shape individual’s self-efficacies and values to perform in such a way as to benefit teamwork to achieve group goals and the continuous improvement processes.

According to Snair (2004), “transformational leadership is all about inspiring people to do extraordinary things” (p.244). The effective leader pushes the need for change in the role of an enthusiastic convincing agent. The transformational leader becomes a catalyst for change within an organization. Without change, there is no progress. Snair (2004) notes that there are a few basic steps needed to get people to embrace change. First, to get people on board, you must establish a need. Second, the customers or employees need to sense that they are benefiting from the change. Third, when selling people on change, you must push past their passivity. Fourth, you must address your customer’s underlying expectation of reciprocation. Fifth, any good sales pitch includes a reference to scarcity. Finally, don’t ever confuse the team’s ability and willingness to jump on board. Change within an organization is similar to marketing and selling a product. Snair (2004) states, “good leadership is the result of good investment-investment of time, energy, attention, nurture, and goodwill” (p.247). According to Snair (2004), human beings possess two prominent traits: a) they are creatures of habit, and b) they intensely fear the unknown. People have a difficult time changing simply because they are comfortable in their routine or are afraid of trying new things.

According to Sullivan and Harper (1996), people sometimes expect their leaders to generate certainty, but that is not feasible or likely to happen. Leaders can, and must create a vision in context, which an organization can act to create its future. Vision is a sense of the future that provides an intellectual bridge from today to tomorrow forming a basis for looking ahead, not affirming the past or the status quo. Vision provides leaders a positive action for growth and transformation within an organization. Bennis and Nanus (1997) define vision as creating a focus with leaders having an agenda. Leaders are result oriented, and they create a vision that pulls and grabs their followers.

A vision allows others and leaders to inspire stakeholders to achieve goals. Leaders use vision and values to mobilize people, to facilitate change and growth, and to create future for his or her organization. According to Sullivan and Harper (1996), “vision provides a sense of being, sense of enduring purpose, provides a measurement of success, transcends day-to-day issues, and empowers both leaders and followers to act” (p.80). Without a vision, the organization drifts off of the right path and is stagnant.

An articulate vision provides a rational context that pulls the organization into the future. A vision must be empowering, providing both the leader and the led a tool they can translate into strategy and action and result in growth and change. Vision keeps an organization moving forward even against disparaging odds. A vision is the most powerful motivator in an organization, and is feasible, and attainable. When it is meaningful and embedded in values, hopes, and dreams, people will do anything to bring it to fruition. With a vision, proactive, and intentional strategies permit the organization to create opportunities that allow for innovation and change. According to Senge (2000), the designing function of leadership integrates five disciplines of defining vision, values,

and purpose; developing personal mastery; developing mental models; incorporating systems thinking; and involving teams. There is no particular order, however, clarifying the vision is usually important for most good leaders to do first. According to Pawar and Eastman (1997), transformational leaders create a dynamic organizational vision that often necessitates a metamorphosis in cultural values to reflect greater innovation (p.83). Transformational leadership also seeks a bonding between individual and collective interests allowing subordinates to work for transcendental goals.

Transforming leadership ultimately becomes moral in that it raises the level of human contact and ethical aspiration of both leader and the led, and thus it has a transforming effect on both. In the military, transformational leadership motivates professionals to inspire subordinates through tough budgets, difficult deployments, the rigors of combat, and ultimately victory. Transformational leadership does not stand alone in the leadership lexicon. In the military, transformational leadership should fuse the leader's vision so strongly in the follower, that both are motivated by high moral and ethical principles. This process raises them above self-interest to perform their duties for the good of the nation.

A true transformational leader who is seeking the greatest good for the greatest number is concerned about doing what is right and honest and wants to set examples to the followers. Transformational leaders have high moral and ethical values and express genuine interest in followers. There is a genuine trust that exists between leaders and led and there is a strong inspirational vision. Flowers (2004) states, "the ambiguity of contemporary crises and military events demands that the Army begin developing officers early in their careers who can predict second and third order effects; negotiate;



understand globalization; build consensus; analyze complex ambiguous situations; think innovatively and critically; and communicate effectively” (p.42).

With the increase in the number, variety, and complexity of military missions there is a greater demand on the Army than ever before, which creates ambiguity in the methodology for successful mission accomplishment. Through transformation, the Army has had to redefine its traditional paradigms of leader development associated with traditional echelons of execution. There is a greater need to develop tactical leaders into strategic leaders and to empower them to lead in such a challenging environment. The Army is an organization that needs competent, confident, adaptive thinkers to exercise battle command and communicate effectively. Flowers (2004) states, “leaders must be adaptive and boldly move forward; leading change is always difficult, but the Army’s success depends on moving forward” (p.46).

The goal of transformational leaders is to inspire followers to share the leader’s values and connect with the leader’s vision. This connection is manifested through the genuine concern the leaders have for their followers and the followers giving their trust in return. Leaders exhort followers to support the leader’s vision by sharing ideas, imagination, talents, and labor to reach agreement and attain virtuous goals for the good of the leaders, followers, and the organization. Kanungo (2001) states, “a transformational leader is concerned with developing a vision that informs and expresses the organization’s mission and lays the foundation for the organization’s strategies, policies, and procedures” (p.257). The transformational leader uses influence strategies and techniques to empower the followers, enhance their self-efficacy, and change their values, norms, and attitudes, consistent with the vision developed by the leader.

In the military, the merits of transformational leadership speak for themselves. In light of the ambiguous strategic environment, most large organizations require leaders and followers steeped in the same core values and energized to tackle the tough issues together. When transformational leaders are connected with their followers, great things happen. When leaders and led are on the same strategic page all their energy is focused to achieve maximum results with less oversight, because the leader has articulated the target goal so everyone understands the direction to move toward. When leader and led values are in sync, followers do not require supervision; they know what to do when the time comes, and isn't that the goal of leadership?

According to Sullivan and Harper (1996), leadership goes beyond creating the future and managing complexity. There is an emphasis on strategic leadership and the three dimensions of leadership: managing, creating the future, and team building. Sullivan and Harper (1996) noted, as important as values and vision are in transformational leadership, they must be joined by a strategy or a set of concepts for action before change can occur. In order for leaders to make changes, it is necessary to change the critical processes. Vision illuminates the organization's purpose and is the key to igniting action.

According to Sullivan and Harper (1996), the challenge of transformation is to bridge discontinuity while continuing to operate today. The intent of transformation is to move into the future and create a new standard. It is only by a process of transformation that organizations that are competitive today can change and be competitive tomorrow. The transformational leadership style contains ingredients needed to facilitate change in today's increasingly uncertain and turbulent environment. In sum, transformational leadership is a shared process; as such, it seems to be the way of the future because of the

ever-increasing importance claimed by the ceded teamwork. As the leader attempts to change the organization, he or she must have the support of the followers. Change does not occur within a vacuum, but rather within organizations comprised of people, leaders, and constituents.

### **Integrating Taxonomy of Managerial Behavior**

Many leadership theories and research studies have concentrated on two general areas of leader behavior. The first area involved structuring the task. Herzberg (1957) discussed hygiene factors, Stogdill (1974) initiating structure, House (1971) instrumental behaviors, Hersey and Blanchard (1977) task behaviors, Fiedler (1964) task structure and Bass (1985) transactional leadership. These are all related to clarifying the task, seeing the procedures, defining roles, developing expectations and setting the individual payoffs associated with task completion. While some of the researchers see these factors as being situational or contingent on other variables, all of the researchers see these activities as essential to the development and maintenance of the organization.

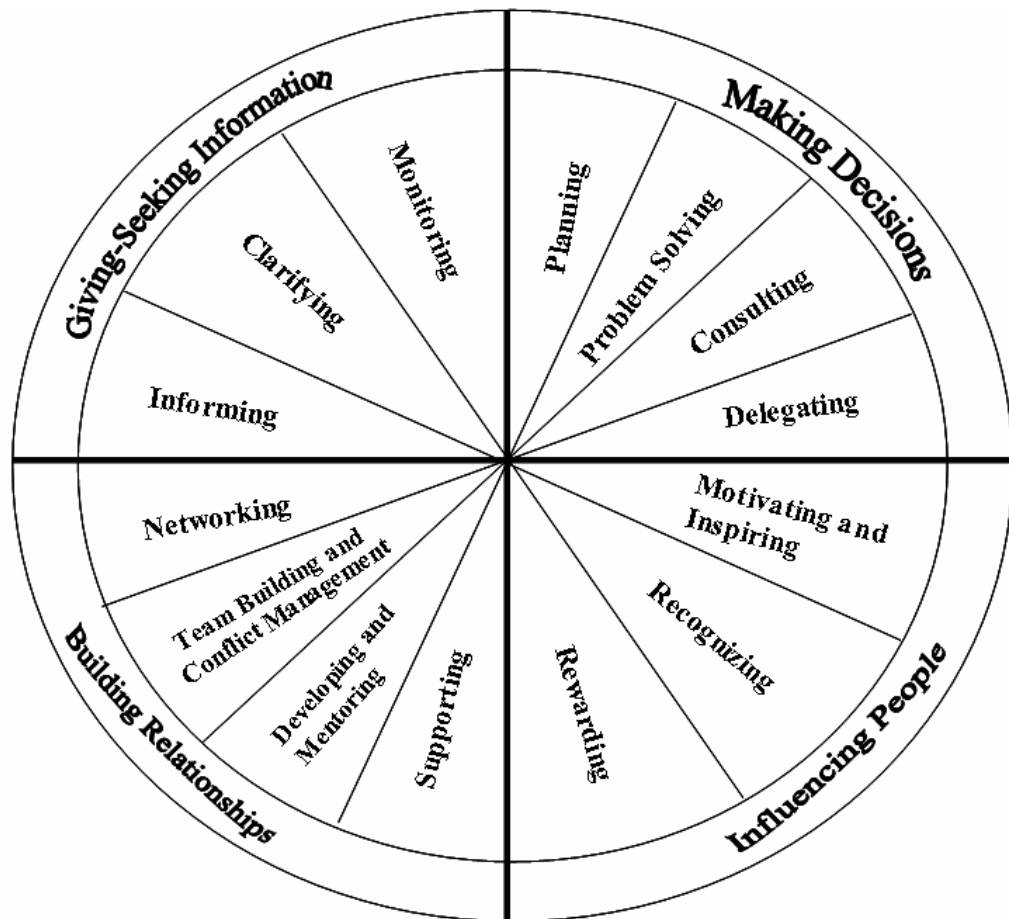
Behaviors associated with leader-follower relations were also present in these theories. Burns (1978) described transformational leadership, Fiedler (1964) leader/member relations, Hersey and Blanchard (1977) relationship behaviors, House (1971) supportive behaviors, Stogdill (1974) consideration behaviors, Hollander (1958) psychological benefits and Herzberg (1957) motivation factors. These are all addressing the higher order needs of self-actualization, the sense of belonging and the feeling of accomplishment. The leader was able to go beyond the everyday structure and provide motivation and encouragement to receive the added benefits associated with the extra

efforts of the followers. Followers' perceptions and relations with the leader were directly influenced by these motivational factors.

Yukl (1994) identified these similar areas as task behaviors and relationship behaviors. He noted that both types of behavior are necessary to be an effective leader. However, Yukl stressed that there may be an interaction effect such that one type of behavior is more effective when the other type is exhibited. According to Yukl (1994), in practice any behavior incident has implications both for the task and for relationships. Effective managers act in ways that accomplish multiple objectives and solve related problems. Thus, we would expect an effective manager to select behaviors that accomplish task and relationship concerns simultaneously whenever possible.

Yukl sought to develop an integrating taxonomy of leader behaviors, which incorporated the interactive nature of the behaviors. The taxonomy would include specific behaviors identified from previous research on effective leaders and provide some general categories linking the taxonomy to the notions of task and relationship behaviors. The resulting taxonomy identified fourteen specific behaviors, which Yukl (1994) called "managerial practices" (p.69). According to Yukl (1994), these managerial practices are related to four general types of activities identified as: giving-seeking information, making decisions, building relationship, and influencing people. A schematic representation (*Figure 3*) and definitions (*Table 1*) were provided by Yukl (1994).

Figure 3



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**Table 1.**

**Definitions of the Managerial Practices (Yukl, 1994, P.69)**

**Planning and Organizing:** determining long-term objectives and strategies, allocating Resources according to priorities, determining how to use personnel and resources to accomplish a task efficiently, and determining how to improve coordination, productivity, and the effectiveness of the organizational unit.

**Problem Solving:** identifying work-related problems, analyzing problems in a timely but systematic manner to identify causes and find solutions, and acting decisively to implement solutions to resolve important problems or crises.

**Clarifying Roles and Objectives:** assigning tasks, providing direction in how to do the work, and communicating a clear understanding of job responsibilities, task objectives, deadlines, and performance expectations.

**Informing:** disseminating relevant information about decisions, plans, and activities to people that need it to do their work, providing written materials and documents, and answering requests for technical information.

**Monitoring:** gathering information about work activities and external conditions affecting the work, checking on the progress and quality of the work, evaluating the performance of the individuals and the organizational unit, analyzing trends, and forecasting external events.

**Motivating and Inspiring:** Using influence techniques that appeal to emotion or logic to generate enthusiasm for the work, commitment to task objectives, and compliance with requests for cooperation, assistance, support, or resources, setting an example of appropriate behavior.

**Consulting:** checking with people before making changes that affect them, encouraging suggestions for improvement, inviting participation in decision making, incorporating the ideas and suggestions of other in decisions.

**Delegating:** allowing subordinates to have substantial responsibility and discretion in carrying out work activities, handling problems, and making important decisions.

**Supporting:** acting friendly and considerate, being patient and helpful, showing sympathy and support when someone is upset or anxious, listening to complaints and problems, looking out for someone's interests.

**Developing and Mentoring:** providing coaching and helpful career advice, and doing things to facilitate a person's skill acquisition, professional development, and career advancement.

**Managing Conflict and Team Building:** facilitating the constructive resolution of conflict, and encouraging cooperation, teamwork, and identification with the work unit.

**Networking:** socializing informally, developing contacts with people who are a source of information and support, maintaining contacts through periodic interaction, including visits, telephone calls, correspondence, and attendance at meetings and social events.

**Recognizing:** providing praise and recognition for effective performance, significant achievements, and special contributions; expressing appreciation for someone's contributions and special efforts.

**Rewarding:** providing or recommending tangible reward such as a pay increase or promotion for effective performance, significant achievements, and demonstrated competence.

### **The Four Strategies of a Transformational Leader**

Bennis and Nanus (1997) interviewed ninety leaders from all walks of life to see if he could spot some type of pattern in their leadership styles. This study found commonality in four areas of competency-- four types of human handling skills. The men and women that were studied all were leading change and directing new initiatives; there were no incrementalists. These were people creating ideas, new policies, and new methodologies. They were leaders changing the metabolism of their organizations. The four themes or strategies that developed were: (1) attention through vision (2) meaning through communication (3) trust through positioning (4) the deployment of self through positive regard and the *Wallenda* factor (Figure 5).

All ninety leaders interviewed had an agenda, an unparalleled concern without outcome. The first strategy, attention through vision, addresses management of attention through vision as creating focus. Vision grabs the leader and management of attention enables others to get on the bandwagon. Bennis and Nanus discovered that there was an intense filament in the ninety leaders and in any person impassioned with an idea. According to Bennis and Nanus (1997) this intensity is the battery for their attention, which is the first step to implementing or orchestrating a vision external to one's own actions. Leaders are result-oriented individuals who transmit an unbridled clarity about what they want from their colleagues, associates or players. Their fixation with an undeviating attention to outcomes brings about a confidence on the part of their employees. This confidence instills in them a belief that they are capable of performing the necessary work. The leaders were challengers and not coddlers. Leadership is a transaction between leaders and followers. This transaction creates unity and that unified

focus is the management of attention through vision. A vision articulates a view of a realistic, credible, attractive future for the organization, a condition that is better in some important ways than what exists. The leader is able to bridge the past with the future. A shared vision of the future also suggests measures of effectiveness for the organization and for all its parts. An organization seeks to maximize their rewards from its position in the external environment and on the other hand individuals in the organization seek to maximize their reward from their participation in the organization. Leaders are only as powerful as the ideas they communicate. A vision within an organization must be accepted and committed to. This is done through effective communication. The leader must also consistently act on the vision and personify it. Visions must be incorporated into the organizations culture and reinforced through strategy and decision-making. According to Bennis and Nanus (1997) the vision should be projected in time and space beyond the boundaries of ordinary planning activities in the organization, but it should not be so far distant as to be beyond the ability of the incumbents in the organization to realize. The boundaries that are selected will also depend heavily on values. Ones own values will determine which alternatives to consider and to be evaluated. By synthesizing an appropriate vision, the leader is influential in the future itself.

Success requires the capacity to relate compelling image of a desired state of affairs; the kind of image of the future or of a product experience that induces enthusiasm and commitment in others. Strategy two, meaning through communication, addresses the necessity for effective communication. This does not necessarily require a flair for oratory, but rather the ability to present meaning, to take the abstract and convey what it means experientially. Effective communication is essential when rallying for supporters.



Leaders need to be effective communicators or else they will be misunderstood and ineffective. Communication creates meaning for people. Getting the message across unequivocally and with clarity is key at every level. Bennis and Nanus (1997) address the distinctive role of leadership as a quest for “know-why” ahead of “know-how.” Effective communication helps individuals understand the purpose, process, and impact their work has on the organization.

A leader must be a social architect. According to Bennis and Nanus (1997), social architecture is intangible, but it governs the way people act, the values and norms that are subtly transmitted to groups and individuals, and the construct of binding and bonding within an organization. Social architecture provides context or meaning to its members or stakeholders. It generates a commitment to the organizational values and philosophy; that is the vision that the employees feel they are working towards. The leader must create a new and compelling vision capable of bringing the workforce to a new place. The organization must be mobilized to accept and support the new vision for it to be successful. The vision must be articulated clearly and the organization must be aligned with the vision to drive the system.

Trust through positioning is the third strategy that seems to be the emotional glue that maintains organizational integrity. The accumulation of trust is a measure of the legitimacy of leadership. Followers trust leaders who are predictable, whose positions are known and who keep at it; leaders who are trusted make themselves known and their positions clear. Trust is the key ingredient to how organizations work. It implies accountability, predictability, and reliability. According to Bennis and Nanus (1997) positioning is the set of actions necessary to implement the vision of the leader. If vision

is the idea, then position is the niche the leader's establishes. Leaders acquire and wear their visions like clothes, enrolling themselves in the belief of their ideas as attainable, and their behavior exemplifies the ideals of action.

Bennis and Nanus emphasize two important reasons for stressing management of trust through positioning: organizational integrity and staying the course (constancy). All leadership requires constancy; it is not necessarily the direction, or the angle you take, that counts, but sticking reasonably to the direction you choose. One of the significant benefits of constancy is revealed as organizations take risks to innovate, challenge, and change. Leadership of trust creates the foundation for steadiness, forward movement and courageous patience. Organizational integrity is when the organization has a clear sense of what it is and what it is to do. For an organization to have integrity it must have identity. Each year, personnel change, resources change, and leadership may change, but the institution or organization will remain (see Figure 4).

Leaders are reliable and tirelessly persistent The study by Bennis and Nanus (1997) involving ninety leaders revealed that a key factor was the creative deployment of self. The leaders roughly spend ninety percent of their time with others and virtually the same percentage of their time concerned with the messiness of people problems. Leaders are perpetual learners. Some leaders learn from books and some learn from others. A key factor in successful leadership is the creative deployment of self: management of self, the nurturing of personal strengths and skills, and the compensations and adjustment for one's weaknesses.

Positive self-regard consists of three major components: knowledge of one's strengths, the capacity to nurture those strengths, and the ability to discern the fit between one's

strengths and weaknesses and the organization's needs. Positive self-regard is related to emotional wisdom, or to use a more popular phrase, *emotional intelligence*. The result of positive self-regard is the inducing of positive other-regard on other employees.

According to Bennis and Nanus (1997), the business of making another person feel good in the course of his daily work is essential to leadership. Positive self-regard seems to exert its force by creating in others a sense of confidence, security, and high expectations. Leaders have discovered not just how to learn but how to learn in an organizational context. They are able to concentrate on what matters most to the organization and to use the organization as a learning environment.

Effective leaders put all of their energies into the task; they don't think about failure. Mistakes, glitches, or false starts are simply a part of the vocabulary and experience of a leader. They simply become part of life's lessons and serve to propel one more effectively toward success. The development of self through the *Wallenda* factor is the capacity to embrace positive goals, to pour one's energies into the task, not into looking behind and dredging up excuses for past mistakes. Karl Wallenda was a tight rope aerialist who put his life at stake every night, just as leaders put their energies into the task. There is no thought of failure.

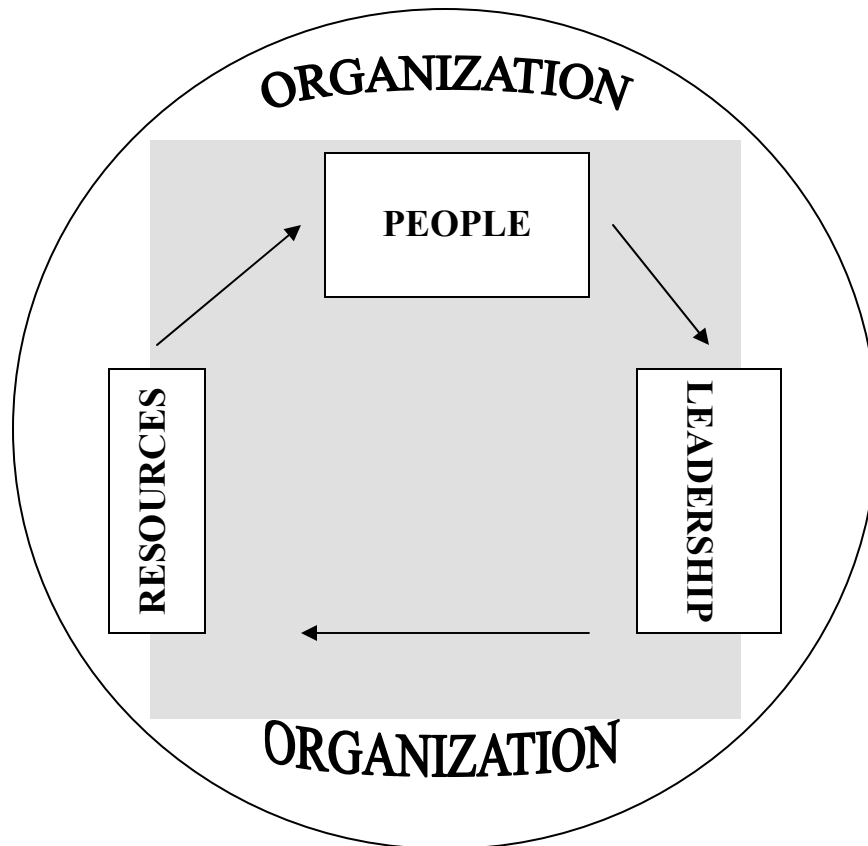
In 1978, Karl Wallenda fell to his death while performing the San Juan walk. His wife discussed how Karl was more concerned with not falling as opposed to walking the rope. The *Wallenda* factor is about learning, which is another word for trying. The tension of the *Wallenda* factor is that of failure versus learning. Leaders use the energy springing from false steps to reach higher goals; a false step for an organization is an opportunity to learn how to create the vision and not the end of the world. All learning

involves some failure to which we continue to learn. Both positive self-regard and the *Wallenda* factor have to do basically with the outcomes. Positive self-regard, the basic question is “how competent am I? Do I have the right stuff?” and the *Wallenda* factor is primarily concerned with one’s perception of the outcome of the event.

For successful leadership to occur there has to be a fusion between positive self-regard and optimism about a desired outcome. In organizational leadership, the leaders style must pull rather than push people. Pulling energizes people to have vision. Leaders must empower others to translate intention into reality and sustain it. There needs to be a reciprocal relationship between power and empowerment enabling power to be a unit of exchange. According to Bennis and Nanus (1997), “leading is a responsibility, and the effectiveness of this responsibility is reflected in the attitudes of the led” (p. 75).

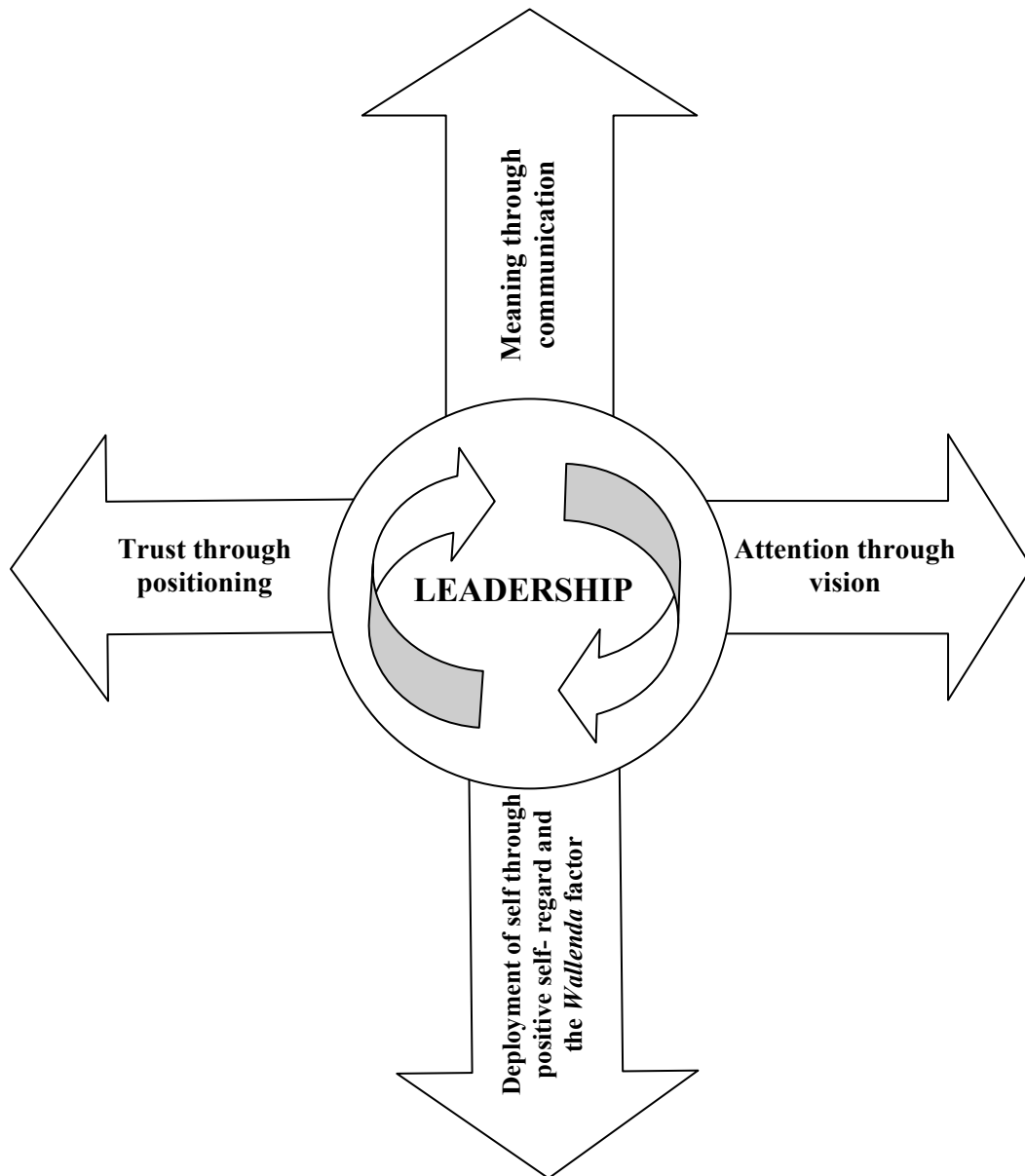
Figure 4

**MODEL OF CHANGE**



Model Designed by Dugan, 2005

Figure 5



THE FOUR STRATEGIES by Bennis and Nanus, 1997

Model Designed by Dugan, 2005

## **FURTHER RESEARCH**

Lincoln (1989) and Immegart (1988) have called for case studies of leaders to provide accurate descriptions of transformational leadership in a large number of settings.

Historically, scholars such as Yukl, Burns, Bass, Bennis, and Nanus helped build the pathway for continuous research in the area of transformational leadership. Yukl felt that there was sufficient convergence among the behaviors in the research and various taxonomies to suggest the possibility of an integrating taxonomy that would reduce the conceptual confusion in the literature and facilitate future research and theory development. Burns and Bass described the transformational leadership theory as incorporating many of the components from previous theories while advancing the notion of group commitment.

For this study, the transformational framework as proposed by Bennis and Nanus (1997) provided the theoretical foundation. Therefore, the purpose of this study is to examine the leadership skills of General (Ret.) Gordon R. Sullivan, former Army Chief of Staff, during a time of organizational change in the Army and utilizing the conceptual framework of transformational leadership by Burns, Bennis, and Nanus (1997). The specific question addressed in this research: What effect did General (Ret.) Gordon R. Sullivan's leadership have on people under his command? Specifically, how did his leadership impinge upon other people to develop their leadership skills and make change within the organization?

Case study research has some inherent limitations. These limitations relate directly to the implications for future research. Case studies examine the interactions of participants at one particular setting or site during one particular time period. The conclusions drawn

by the researcher offer a perspective about that site that may or may not be apparent at other sites. In discussing the ability to generalize from case studies, Merriam (1988) states that researchers select “a case study approach because one wishes to understand the particular depth, not because one wants to know what is generally true of the many” (p.173). Isaac and Michael (1981) note, that “case studies are limited in their representativeness. They do not allow valid generalizations to the population from which their units came.” Isaac and Michael continue by stating that the advantage of case studies is that “they bring to light the important variables, processes, and interactions that deserve more extensive attention. They pioneer new ground and often are the source of fruitful hypotheses for further study” (p.48).

A second limitation in case study research is validity. Qualitative research results can be influenced by researcher bias and prejudice. This is combated by the triangulation data, by checking interpretations with the participants, by examining the site over a period of time and by an accurate and thorough reporting of the findings. In qualitative inquiry the interviewer is the research instrument. Patton(1990) emphasizes that the worth of an interview depends to a great extent on the qualities of the interviewer. It is the responsibility of the researcher to determine what arguments, criteria, what questions will be asked and answered which could create bias or ambiguity in a study. Future researchers can examine the methodology, the detailed descriptions and the stated limitations to design and conduct their own studies.

The reliability of the research study limits the ability of the researcher to draw conclusions and offer implications for research. Lincoln and Guba (1985) suggest that reliability in qualitative research should not be viewed as the ability of outsiders to



duplicate the study and achieve the same results. Rather it should be viewed as the ability of outsiders to examine the data collected and see that the results make sense. A research report that presents a sound study design and a detailed description of the findings achieves this purpose. In this interpretation, the request by Lincoln (1989), Immegart (1988), Yukl (1994) and others for case studies to provide accurate descriptions of transformational leadership in action is justified as a means to advance the theory. This study provides one detailed description of a military leader. More research is needed. Another limitation in this study is the focus on one particular military leader. Future studies could examine leaders not only in this specific area but other areas such as the business community or other institutions.

### **CHAPTER III**

#### **DESIGN AND METHODOLOGY**

The theory of transformational leadership has been presented by Burns (1978) and Bass (1985). It has been elaborated through studies in the business community including research by Auteri (1994), Tracey and Hinkin (1994), Waldman (1994), Yukl and Tracey (1992), Kirby, Paradise and King (1992), and Yukl and Falbe (1991). Transformational leadership has also been examined in the military setting by Sullivan and Harper (1996), Flowers (2004), Romaine (2004), Snair (2004) and Homrig (2004). The review of literature indicates that more information is needed. Lincoln (1989), Immegart (1988) and Yukl (1994) have all called for case studies, which document transformational leadership in action.

This case study is designed, using sound qualitative research methods, to examine a leader's behaviors using the conceptual framework as proposed by Bennis and Nanus (1997). A case study is an in-depth investigation of an individual, group, or institution. According to Creswell (1994), the case study method allows an investigation of conditions that exist, practices that prevail, beliefs and attitudes that are held, processes that are on-going and trends that are developing.

This study is a qualitative case study of a military leader and his subordinates. Isaac and Michael (1981) stated that the purpose of a case study is to research the "background, current status, and environmental interactions of a given social unit" (p.48). In exploring the case study method, the intent of collecting the data is to draw meaningful generalizations to increase knowledge and make suggestions for further research. Qualitative case studies focus on naturally occurring, ordinary events in natural settings,

so that we have a strong handle on what real life is like. The emphasis is on a specific case, a focused and bounded phenomenon embedded in its context.

According to Miles and Huberman (1984), words that are organized into a descriptive profile or story have a concrete, meaningful flavor providing greater understanding to a leader and a researcher than pairs of numbers. These studies emphasize the important variables, processes, and interactions that deserve more extensive attention. They pioneer new ground and often are the source of fruitful hypothesis for further study. Qualitative data has a richness and holism with strong potential for revealing complexity. It provides thick, vivid descriptions nested in real context that are truthful and powerful to the reader.

Qualitative data are useful when one needs to supplement, validate, explain, or illuminate data gathered from the same setting. Bogdan and Biklen (1992) noted that the goal of qualitative research is to “better understand human behavior and experience” (p.49). They described observational case studies as appropriate for examining a specific group of people and a specific aspect of an organization. The case study method can provide a process where the subjects’ behavior can be studied with great depth and intensity. This process can lead to the discovery of certain behaviors that are prevalent in all individuals and certain generalizations and provide a specific focus. The descriptions can answer the what, how, and why questions. It is interesting to note that the direct interaction of the interview is the source of both the main advantages and disadvantages of the case study research technique.

The interview process permits greater insight and depth than other methods of collecting research data. A concern with this type of research approach is that it allows subjectivity and possible bias. There needs to be a recognition and understanding of this

subjectivity. A strong concern by researchers is the bias that can influence one's thinking. Staying close to the data and justifying your generalizations and interpretations sufficiently can overcome bias. Depth, clarity, and flexibility are important components appropriate for this case study. Researchers like Borg and Gall (1983) emphasize the advantage of the adaptability of performing a case study where the researcher can follow leads and obtain more data while gaining a greater understanding. The case study design satisfied the purpose of this study, to investigate the interactions of a leader and followers within a specific military setting.

### **The Site**

Once the research question and the case study design are defined in relation to the literature, the selection of the site becomes crucial. Merriam (1988) discussed purposive or criterion-based sampling and noted that this type of sampling is based on the assumption that one wants to discover, understand, and gain insight. Therefore, it is critical that the researcher selects a sample from which one can learn the most. According to Merriam (1988), this type of sampling requires that the researcher establish a criteria, bases, or standard necessary for units to be included in the investigation; one then finds a sample that matchers these criteria (p.48). Miles and Huberman (1994) also discussed purposive sampling and the need to “set boundaries, define aspects of your case(s) that you can study within the limits of your time and means, that connect directly to your research questions, and that probably will include examples of what you want to study” (p.27).

The immediate task then is to establish some criteria for site selection that would likely include examples of transformational leadership. The criteria established by this

researcher included: 1) a military organization that underwent a massive transformation 2) a transformational leader who has been nominated for his leadership abilities in association with the military. The researcher extensively examined the United States Army, which experienced a major transformation through governmental military documents, articles, and books within the United States Army. The United States Army is one of the world's most complex organizations, with nearly 1.5 million employees and an annual budget of \$63 million. In depth research through searching government documents suggested by General (Retired) Gordon Sullivan, former Chief of Staff of the United States Army, collected works of Sullivan, articles, personal and professional letters borrowed from Colonel (Ret.) Harper, speeches, questions completed by Sullivan's predecessor (General Ret. Carl Vuono), and books assisted in the process of identifying documents and information helpful to the research process.

### **Participants**

After selecting a military site, the researcher was granted permission and participation of General (Ret.) Gordon R. Sullivan, a military leader who was responsible for the transformation of the United States Army. To help identify participants for this study, the researcher gathered information on individuals who worked under General (Ret.) Sullivan's command during 1991-1995 through books, journal articles, phone calls, emails, and recommendations. The small sample of participant's increases the possibility of bias in this study. Specific books that were instrumental in guiding the researcher's selection process include: (1) *Gordon R. Sullivan's Collected Works 1991-1995* (2) *Hope is Not a Method* and (3) *Louisiana Maneuvers*. Through correspondence with General (Ret.) Gordon Sullivan, the researcher also obtained a list of individuals that worked for

the United States Army under General (Ret.) Sullivan that were responsible for changes and decisions that occurred at the time of transformation. Five of the retired military subordinates under General (Ret.) Gordon R. Sullivan, were contacted and asked to describe General (Ret.) Gordon R. Sullivan and were asked how he displayed vision, empowerment, effective communication, and consideration of followers during the organization's transformation. These representatives were provided information regarding the qualities of a transformational leader as identified in the literature (Appendix A) and asked to make their comments within this context. Comments were given via email, telephone, personal conversations, and mail correspondence. The researcher was also able to obtain additional information from Sullivan's predecessor (General Ret. Carl Vuono) through a document containing eight questions. No other stipulations were attached to the requests.

### **Entrée**

The next step in the selection process was to obtain permission to conduct the study at the selected site. In the military setting, this involves obtaining permission from the military personnel and his/her superior if active duty. If military member is retired, permission may not be required. In this case, all members were retired from the United States Army and permission was granted through each individual. All information was written and had prior approval from the University of Oklahoma Institutional Review board before any contact was initiated. Since all participants were retired, all participants were contacted directly and appropriate consent forms were signed.

### **Informed Consent and Ethics**

After establishing the initial contact, the researcher obtained informed consent forms from the participants (Appendices C, D). As part of this process, Bogdan and Biklen (1992) suggest addressing five key questions: What is the researcher actually going to do? Will the researcher be disruptive? Why has the researcher selected this site? What will be the findings? How will participants benefit from this study? The participants were informed that the researcher will interview the military member and some staff members, observe this person during the workday, and ask for written documents as appropriate. The researcher was as unobtrusive as possible with the military member having discussion over what could be observed and what documents would be provided.

All participants were informed that the findings would become a part of the researcher's study report. In return, these findings will be shared with the participants. In sharing these results, the military member would gain insight into his own leadership and the interactions with staff. The researcher also asked the military member for permission to attend meetings or sessions where they may speak on the topic of research. Finally, ethical issues were addressed in the informed consent document and orally with the military member. These issues include anonymity, confidentiality, freedom from harm and the right to refuse to participate or to cancel participation.

After selecting subordinates for personal interviews, this same procedure for informed consent was followed prior to each interview. Five participants signed an informed consent form, agreed to audio-taping, and granted permission to use their name and direct quotes in this study. One additional participant, General (Ret.) Carl Vuono was contacted

via mail and asked to participate in this research study. Audio-tape was not used for his participation but permission was granted to utilize his information and quotes.

### **Data Collection Procedures**

The researcher collected specific types of data for this study. The data collection includes: interview data, participant observation data, letters, and archival data.

According to Marshall and Rossman (1995), “these are the core, staples of diet for qualitative research” (p.78). These authors emphasized the strengths of using several techniques in the data collection process. Using triangulation helps address the issue of reliability. Marshall and Rossman (1995) noted, “limitations in one method can be compensated for by the strengths of a complimentary one” (p99). According to Zeller (1991), “qualitative studies do not only report data, they report scenes; that is, accounts of researchers’ engagements over time with informants in their surroundings” (Chapter 10, Section D).

The challenge of qualitative research is to combine theoretical elegance and credibility appropriately with the many ways social events can be described and to find intersections between prepositional thinking of most conventional studies and more figurative thinking. Bogdan and Biklen (1992) stated that researchers view reliability as the “fit between what they record and what actually occurs in the setting under study” (p.48). The triangulation of data collection will occur when interview, observation and archival data are used to help ensure that the data provides an accurate representation of the site. Validity will also be gaged through this triangulation. The ability of the researcher to present the epic view is enhanced through the interviews, observations, and archival data, which illuminates the participants’ views and contains the informants’ words and actions.



## **Interviews**

The process of data collection began with an initial questionnaire sent to each participant. This questionnaire provided background information on each subject. The second part of the process was conducted by interviewing each of the military members. According to Stake (1995), “the interview is the main road to reality” (p.64). The purpose of the interview is not to get yes or no answers but a description of an episode, a linkage, or an explanation. Interviews help the researcher identify emergent themes that assist in answering the research question(s). Marshall and Rossman (1995) noted that in-depth interviewing allows the researcher to explore a few general topics to uncover the participant’s insights and meanings. According to Marshall and Rossman (1995), “the interview is a useful way to get large amounts of data quickly” (p.80). When the interview is combined with observations, interviews allow the researcher the opportunity to understand the meaning people hold for their everyday activities.

A key feature for interview data is ability to gather data in the subject’s own words so that the researcher can develop insights on how the subject’s interpret some piece of the world. This important feature allows the researcher to identify times and events which are likely to provide significant insights. The interview allows the researcher to identify the goals and behaviors of the leader and the potentially significant events for observing leader-follower interactions in relation to the behaviors. This would be accomplished through the questionnaire and interview. The researcher prepared an interview guide (Appendix F & G) to elicit responses concerning the specific behaviors identified by Bennis and Nanus (1997).

The initial questionnaire was mailed to each participant prior to the interview. The questionnaire focused on background information about the military member and the organization. The researcher asked the military member to describe the organization's program, goals and vision. A discussion of the general leadership, structure of the organization and the components of building a leadership team was also conducted. An explanation of the members of the organization's leadership team and their responsibilities was also discussed in detail.

The interviews were conducted in a mutually agreed upon place and time. Four of the interviews were conducted in Arlington, Virginia, one in Bowling Green, Kentucky, and one in Raleigh, North Carolina. The interviews were tape recorded by the researcher with permission from each of the participants. The interviewees had permission to stop the interview process at any time. The tapes were labeled and numbered with names of the interviewer, interviewee, date, place, and number of tapes in the interview.

The interview process provides the military member an opportunity to comment about each of the leader behaviors. It also allows the researcher the opportunity to identify potential areas for observations and potential patterns of behavior. The military member's interviews were taped and transcribed by the researcher. Although the transcription process was rather tedious, the benefits of clarifying and noting various quotes and points on the tape outweighed the exhaustion. Researcher field notes were prepared documenting responses and researcher observations of the interview. One participant was not interviewed in person but asked to answer information regarding Sullivan. General (Ret.) Carl Vuono was contacted via mail and asked to participate in this study by answering questions on paper.

### *Subordinate Interviews*

Interviews of subordinates were also conducted. According to Merriam (1988), “interviews are especially effective when a researcher cannot observe behavior, feelings, or how people interpret the world around them” (p.72). Interviews are also important when the researcher is interested in past events that are impossible to replicate. Subordinate interviews are used to help clarify the understanding of the goals and behavior patterns of the leader. The subordinate interviews provide a different perspective on the interaction of the leader and followers. Five subordinates were selected for these interviews. Each subordinate, from various parts of the United States, was interviewed one time for a minimum of sixty minutes using the same interview guide as previously described (Appendix G). The subordinate interviews were also audio-taped and transcribed. Researcher field notes were prepared documenting responses and researcher observations of the interview. If there are any differences noted, the researcher had the option of conducting shorter interviews with additional subordinates to clarify these areas.

### *The Transcription Process*

After the individual interviews, the researcher carefully transcribed each tape. A copy of the transcription was mailed to five participants for careful review. The interviewees had an opportunity to review, correct, or amend their statements to ensure the integrity of their responses and the accuracy of the researcher’s transcription. The researcher used Stephen Everett’s (1992, p.16) suggestions in terms of post-interview responsibilities. Everett suggests: (1) while the information is still fresh the researcher should listen to the interview tapes shortly after the session, (2) during the tape review the researcher can

expand upon interview notes, clarify garbles or unclear sections on the tapes, make a word list of terms requiring identification, and (3) prepare an interview summary that records the topics discussed.

The transcription process was a slow, time-consuming process for the researcher. Many days and hours were set aside to carefully listen, type and review each tape. Doing one's transcription offers the advantage of closer supervision of the transcription process and readily permits the transcriber to ask questions about unclear words or phrases. Using the same person for all of the transcriptions provides continuity, a benefit for the researcher. The researcher followed the protocol as recommended by Everett (1992, p.17-18) and Heppner (2004, p. 166) to ensure consistency and clarity in the transcriptions.

- Transcribers should provide a verbatim transcript; omit filler expressions “um” or “ah”
- False starts usually represent a change in thinking and should appear in the transcript separated from the rest of the text by two dashes (- -)
- Record such expressions as “uhhuh” or “umhum” as “yes” in response to a specific question. Expressions of disagreement should follow the same rule
- If the false starts appear to be insignificant, they can be deleted during the editing phase
- When the interviewee reads these statements, he may recall the original train of thought and perhaps clarify or expand upon these recorded remarks

- Unusual or regional speech patterns and characteristics (that is, accents/dialects and use of phrases like “you know,” etc.) should be transcribed, whenever possible. These phrases may reveal much at the interviewee’s personal character.
  - The interviewee should have an opportunity to delete these expressions during his review of the transcript, or the interviewer and/ or editor may omit them during the editing phase after imparting some of the flavor by including a few examples
  - Bracket details explaining why the interview was interrupted or why the tape recorder was turned off (for example, [Interview turned off because of a phone call]). Indicate the end of a side in capital letters, (for example, END OF SIDE ONE, TAPE ONE; BEGIN SIDE TWO; TAPE ONE).
  - Transcribers should use standard symbols within the transcript to convey specific messages to readers. Place a question mark before and after a word or phrase to indicate any uncertainty about imprecise language or terms (for example, ?destroyed?)
- Portions of a tape may be garbled or simply inaudible. Identify these sections in the transcript. If one word is inaudible, the transcriber should indicate the gap with “\_\_\_” and multiple words by inserting “\_\_\_+.” If a significant passage is inaudible, the transcriber should estimate the elapsed time using the indicator “\_\_\_...(\_\_\_seconds.).
- Each interviewee had the opportunity to clarify, correct inadvertent errors of fact, and to improve grammar and syntax so that they can ensure accuracy of their viewpoints and perceptions. Everett (1992) discouraged any deletions from the text. Once corrected transcripts were returned to the researcher, the statements in the transcript were considered to be on the record. A clean transcript should be printed once a second review for spelling errors or editorial oversights is conducted. All transcriptions were

placed in appropriate archives until completion of the research. Upon completion of the research, all original tapes were mailed directly to each participant as requested.

### **Observations/ Field Notes/ Audit Trail**

Observations work the researcher toward a greater understanding. Along with the transcriptions, the researcher kept an interview log relating to the researcher's intentions, reactions to the interviews, and important points. Field notes were done by the researcher enabling accurate documentation of commonalities, questions, and quotes before, during, and after the interview process. During the observation, the qualitative case study researcher keeps a good record of events to provide a relatively incontestable description for further analysis and ultimate reporting. The researcher allows the occasion to tell its story, the situation, the problem, resolution or irresolution of the problem.

The qualitative case study approach means finding moments to reveal the unique complexity of the case. In terms of confirming data, Merriam (1988) noted, "methodological triangulation combines dissimilar methods such as interviews, observations, and physical evidence to study the same unit" (p.69). She also reported that observation is a major means of collecting data in case study research.

Observations give the researcher firsthand account of the situation under study and, when combined with interviewing and document analysis, allows for a holistic interpretation of the phenomenon being investigated. It is a favorable technique of choice when behavior can be observed firsthand.

According to Merriam (1988), "selecting respondents on the basis of what they can contribute to the researcher's understanding of the phenomenon under study means

engaging in purposive or theoretical sampling” (p.76). One way that the researcher can identify such people is to conduct on-site observation of the program, activity, or phenomenon under study. The researcher was able to observe the participants during the interview process only. The researcher was able to make several notes from each interview clearly from observations. These observations notes were utilized in the documentation of the data analysis.

Another method for ensuring reliability was through an audit trail. Just as an auditor authenticates the accounts of business, independent judges can authenticate the findings by following the trail of the researcher. Part of an audit trail included a research journal describing experiences, the data collected from each participant, and the narrative reports in subsequent chapters of this research study. Also, important to this process reliability was the development of the relationship that the researcher established with each of the participants.

### **Archival Data**

Archival data was requested and received from some of the military members prior to, during and following the initial interviews. Several of the participants provided books, bibliographies, articles, monographs, or information pertaining to my research subject. General (Ret.) Carl Vuono, Sullivan’s predecessor, provided in-depth background information for this study. According to Bogdan and Biklen (1992), researchers can get access to the official perspective, as well as to the ways various personnel communicate through examination of these documents. The researcher looked at the organizational vision statement, goals, newsletters, policy statements, and any information appropriate to this case study.

## **Data Analysis**

Analysis is a matter of giving meaning to first impressions as well as to final compilations. The researcher actually takes his or her impressions and observations apart. Qualitative study capitalizes on ordinary ways of making sense. Heppner and Heppner (2004) state, “qualitative researcher’s value rich descriptions of the phenomena under analysis and attempt to represent individual’s lived experience through writing and interpretations” (p.138). In this qualitative study, all research data will be recorded, transcribed, coded, and analyzed.

This process was ongoing as the study progressed. Along with the researcher keeping a reflective journal, Marshall and Rossman (1995) proposed a five step analytic procedure to be implemented at the conclusion of fieldwork. The data are organized; categories, themes and patterns are generated, emergent hypothesis are tested against the data; alternative explanations are explored; the report is written. This procedure was used for this study. It allowed for data reduction and interpretations of the meaning of the words and actions of the participants.

The interviews were recorded and transcribed. The participants’ responses were compared and contrasted and common themes were color-coded identifying similar quotations. The researcher also identified instances where the participant responses for a particular behavior reference another behavior. The researcher also carefully examined the transcripts to mark any disagreements. Observation and archival data were examined for corroborating or conflicting indicators. General (Ret.) Carl Vuono’s participation was vital in providing background information, leadership, and personal comments on the selection of General (Ret.) Sullivan.



Areas where conflicting data are found were examined in subsequent interviews with other staff members. Their responses were recorded and included on the overall data. After the researchers perceptions were formed, additional discussions were done via mail with the military member or subordinates to clarify, elaborate, and verify the perceived patterns of behavior. From the initial review of data, the subsequent interviews with subordinates and any final discussions with the military member, the researcher was able to test the data, develop patterns, and provide the written answers to the research question.

### **Introduction of the Participants**

In this study, all participants agreed to disclose their names, statements, and quotes for the purpose of this research process. These extraordinary men have exemplified qualities of leadership throughout their careers and were a vital part of this educational endeavor. Data were gathered on each participant through a questionnaire, interview, current resume, email, books, articles, and archival information.

#### *Griffith*

Griffith, a native of North Georgia, was commissioned as a second lieutenant in the United States Army in 1960 after graduating from the University of Georgia with a Bachelor of Science. Prior to attending the University, he studied at West Georgia College for two years. He earned a Master's Degree in Public Administration from Shippensburg State University in Pennsylvania. His military education includes: the Armor Officer's Advanced Course, the Command and General Staff College, and the Army War College. Griffith retired as a four star general from the United States Army in November 1997 after nearly thirty-seven years of active duty service. His last duty

position was as Vice Chief of Staff of the Army, the second highest military position within the Department of the Army. Prior to that, as a Lieutenant General, he served as the Army's Inspector General for four years. Griffith was the first Inspector General in the Army's history to be selected to wear four stars.

His military experience spans command positions from company to division level and service on staffs up to the Department of the Army. He led platoons at Fort Hood, Texas and in Korea. His most significant command experiences include: 1<sup>st</sup> Battalion, 32<sup>nd</sup> Armor in Germany, the 1<sup>st</sup> Brigade, 2<sup>nd</sup> Infantry Division in Korea, and the 1<sup>st</sup> Armored Division in Germany and in Persian Gulf Operations Desert Shield and Desert Storm. Besides his Persian Gulf combat experience, Griffith also served as infantry unit advisor with the Army of the Republic of Vietnam (1964-65) and as Executive Officer of the 2<sup>nd</sup> Battalion, 8<sup>th</sup> Infantry, 4<sup>th</sup> Infantry Division, in Vietnam (1969-70). Griffith served in several key Pentagon staff positions over the course of his career. During various tours, he served as Executive Officer to the Deputy Chief of Staff of the Army for Operations and Plans, as Chief of the War Plans Division and as Deputy Director of Operations. He also served as the Chief of Staff, and later as the Assistant Division commander of the 1<sup>st</sup> Cavalry Division at Fort Hood, Texas. In 1989, he was promoted to Major General and was assigned to command the 1<sup>st</sup> Armored Division, the Division he would lead into battle during the first Gulf War.

His personal resume includes numerous awards and decorations: the Defense Distinguished Service Medal, the Army Distinguished Service Medal (with two Oak Leaf Clusters), the Bronze Star Medal (with "V" device and five Oak Leaf Clusters), the Purple Heart, the Combat Infantry Badge, the Joint Chief of Staff Identification Badge,

and the Army Staff Identification Badge. Griffith has also received a number of foreign awards and decorations for his performance and service. Presently, Griffith serves as the Executive Vice President of MPRI (an L-3 Communications company) and as Executive Vice President of the L-3 Communications Government Services Group. Both MPRI and the Group Headquarters are located in Alexandria, Virginia. He also serves on the Board of Directors of the Allied Defense Group and on the Board of Visitors of the Virginia Military Institute (VMI). Griffith served under General Sullivan's command for four years and held the rank of Lieutenant General while in the position of Inspector General.

### *Tilelli*

Tilelli retired as a four star General in 2000 after thirty-seven years of service. He was raised in Holmdel, New Jersey and received his degree in Economics in 1963 from Pennsylvania Military College, now referred to as Widener University. He has been assigned around the world, worked with many leaders from many nations, and has a rare understanding of the changing environment affecting our nation. He has held diverse and increasingly vital positions, culminating his responsibilities and management of missions. He attended the Armored Officer Basic and Advance Course and Airborne school. He was awarded a Master's degree in Administration from Lehigh University in 1972 and graduated from the United States War College in 1983. Tilelli is the recipient of an honorary doctorate in Business Management from Widener University in May 1996, and an honorary doctorate of law from the University of Maryland.

During Tilelli's last active duty assignment as Commander-in-Chief of the United Nations Command, Republic of Korea/United States Combined Forces Command/United States Forces Korea, he commanded the largest standing joint and coalition force in the

world comprising of over 650,000 soldiers, sailors, airmen, and marines who led to the theater's campaign strategy and revitalized Korea's automated command and control and equipment modernization. During his tour in Korea, General Minister's of Defense and Foreign Affairs and United Nations leadership regarding national security, regional policy and planning. Upon his retirement from the United States Army as Commander-in-Chief of the United Nations Command, Republic of Korea/United States Combined Forces/United States Forces Korea, Tilelli was appointed as President and Chief Executive Officer of the USO (United Service Organizations) Worldwide Operations.

He had the responsibility for the operation of over one hundred and twenty two USO operations around the world in support of our servicemen and women and their families, raising the donor fund to allow continued support by the American people of over twenty million dollars a year; building a one hundred million dollar endowment and managing and leading six hundred employees and 12,000 volunteers. He did all this in close coordination with the senior leadership of the Department of Defense.

Tilelli also participated in and led many senior panels related to defense issues since his retirement. Tilelli's military career includes serving as the Vice Chief of Staff of the Army and the Army's Deputy Chief of Operations during which he led the Army's vision to the Army of the 21<sup>st</sup> Century and implemented reforms in acquisition and procurement. His career included many command assignments including Commander of the United States Armed Forces Command where he improved readiness of all United States Army Forces (active and reserve) and was responsible for the Army's homeland security function. In 1995-96, as Commander of the United States Army Forces Command, he was responsible for providing security for the XXVI Summer Olympics, held in Atlanta,

Georgia. As the Commander, Seventh Army Training Command and Combat Maneuver Training Center, he revolutionized training in Europe. As Commander of the 1<sup>st</sup> Cavalry Division, Fort Hood, Texas, he trained, deployed and fought in the Division in Operation Desert Shield and Desert Storm.

Tilelli's staff assignments include three tours at the Pentagon: Office of the Deputy Chief of Staff for Research, Development and Acquisition; the Assistant Deputy Chief of Staff of the Army; and later promoted to Lieutenant General as the Deputy Chief of Staff for Operations and Plans, Department of the Army. His responsibilities in all assignments spanned geopolitics, programming and budgeting, congressional affairs, organizational design, development of training methodologies and, of course, leadership and management of large organizations with multiple functions and missions. Tilelli's military career includes two tours to Vietnam and four tours in Germany. His combat tours include assignments as a Company Commander and District Senior Advisor in Vietnam and Commanding General of 1<sup>st</sup> Cavalry Division during Desert Shield and Desert Storm. In Germany, he served as Troop Commander and S-1 in the 2<sup>nd</sup> Squadron, 2<sup>nd</sup> Armored Cavalry Regiment, Chief of Staff, 1<sup>st</sup> Armored Division in Ansbach, Regimental Commander, 2<sup>nd</sup> Armored Cavalry Regiment in Nuremberg, and Chief of Staff, VII (U.S.) Corps in Stuttgart.

Tilelli's personal resume consists of a long list of awards and decorations: the Defense Distinguished Service Medal, the Army's Distinguished Service Medal (with three Oak Leaf Clusters), the Navy's Distinguished Service Medal, Legion of Merit, Bronze Star Medal with "V" Device, bronze Star Medal (with Oak Leaf Cluster), Meritorious Service Medal (with three Oak Leaf Clusters), Air Medal, Army Commendation Medal (with two

Oak Leaf Clusters), Combat Infantryman's Badge, Parachutist Badge, Office of the Secretary of Defense Identification Badge, Joint Chiefs of Staff Identification Badge, and Army Staff Identification Badge.

Tilelli is currently employed with Cypress International Inc. in Alexandria, Virginia as Chairman and Chief Executive Officer. He worked over eight years under General Sullivan's command and gained a reputation for managing dollar budgets, developing mid and long range strategies, worked with industries so he could innovate and apply advance technologies to both the battlefield and peacetime of the armed forces. While under Sullivan's command, Tilelli held the ranks of Major General, Lieutenant General, and General.

#### *Nelson*

Nelson was born in Oakland, Nebraska and is a professional historian with particular expertise in large-scale change in military capabilities. A veteran of thirty-two years active service, he was the Chief of Military History from 1989-1994 and retired as a four star general. In that position he managed all U.S. Army historical input into the fifty-year commemoration of World War II and conducted the White House briefings on campaigns in Europe and the Pacific. He taught history and strategy at the United States Military Academy, the United States Army Staff College, and the United States Army War College. As a practicing historian, Nelson has been instrumental in developing techniques for interpreting military battlefields. While on active duty he led military groups to many European battlefields, and since retiring he has led U.S. Army, U.S. Air Force, foreign military, and global corporate leaders over the Normandy battlefields.

In addition to his frequent articles, he has lectured throughout the United States, Europe, and Australia. His books include a study of Leon Trotsky and co authored battlefield guides to Gettysburg, Antietam, and Chancellorsville. Before completing six years as the president of the Army Historical Foundation he edited and published a full-scale history, the Army. During his military career he served in Vietnam, Korea, Belgium, and Germany as well as at various posts in the United States. Some of his assignments include: Field Artillery Officer for Basic Course, Forward Observer and later Executive Officer of Battery A 5<sup>th</sup> battalion, 4<sup>th</sup> Artillery, 5<sup>th</sup> Division (Mechanized), Assistant Subsector Advisor for United States Military Assistance Command Vietnam, Field Artillery Officer for Advanced Course, Commander of Battery C Fourth Officer Candidate Brigade United States Missile School, University of Michigan student, Assistant Professor for Department of History United States Military Academy West Point, Armed Forces Staff College student, Command S-3 (Operations Officer) Operations Headquarters 4<sup>th</sup> United States Army Missile Command Korea, Author and Instructor for Strategy Studies Committee (later authored) Applied Military History Committee (later Chief) Joint Operations Branch (later Command and General Staff College), Plans Officer for Defense Plans Division United States Mission to North Atlantic Treaty Organization Belgium, Commander 2<sup>nd</sup> Battalion 377<sup>th</sup> Field Artillery VII Corps Germany, Director of Strategic Mobility/Logistics United States Army War College, United States Army War College student, Director of Theory of War Studies United States Army War College, Director of Military History Institute, and the Chief of Center for Military History United States Army War College.

Nelson's military awards include the Distinguished Service Medal, the Legion of Merit, Bronze Star, Five Meritorious Service Medals, Joint Commendation Medal, Two Commendation Medals, Combat Infantryman's Badge, Elihu Root Chair of Military Strategy at the Army War College; Harold K. Johnson Chair of Military History at the Military History Institute. He was commissioned in the Field Artillery from the United States Military Academy at West Point and attended the Army Staff College and the Army War College. He received his MA in history from the University of Michigan in 1970 and returned to earn a PH.D in 1978. He serves on the Department of Interior's Gettysburg National Park Advisory Commission.

Nelson worked under General Sullivan's command for five years as Brigadier General for Chief of Military History. His major responsibilities for Sullivan included managing the Army's History and Museum programs, developing historians and curators, collecting and interpreting the Army's history, conducting staff rides, and advising senior leaders on historical dimensions of Army projects and prospects.

### *Harper*

Harper was born in New Jersey and is the President of Harper Consulting in Bowling Green, Kentucky. He is a consultant in Strategic Leadership and is a managing partner of the award winning Leadership Development Inc. (LDI) in Waltham, Massachusetts. From 1969 to 1995, Harper was a United States Army officer. He has over twenty-six years of experience as an Infantry Officer. He also served in Washington as a member of the executive team implementing the Army's post Cold War transformation. He holds four different academic degrees: Bachelor of Science Distinguished at the Virginia Military Institute, Morehead MBA Fellow at the University of North Carolina at Chapel



Hill, Master of Military Arts and Sciences Honors at the United States Army Command and General Staff College, and a Masters (MA) Distinguished of Strategic Planning at the United States Naval War College. He currently works with organizations to develop individual and corporate strategic leadership. He has a strong interest in organizational learning and leading across organizational boundaries.

Harper worked under Sullivan's command for four years as Assistant to the Chief of Staff and Director of CVSA Staff Group holding the rank of a Colonel. His role as personal advisor to the Army's Chief and mentor for the Army's in-house think tank made him a key player in the Army's evolution with unique links to academic and business taught leaders outside the Army. He was a principal architect of the Army's Force XXI initiative to drive battlefield agility and effectiveness by using digital technology to enable combat teams to organize and act decisively around information. During his experience in the United States Army, Harper was awarded several awards, medals, and honors for his participation and performance. Some of these include: Legion of Merit, Meritorious Service Medal, Bronze Star Medal, Army Commendation Medal, Army Achievement Medal, Combat Infantryman's Badge, Ranger Tab, Parachutist Award and others.

Harper left active duty as a Colonel and was awarded the Distinguished Service Medal, the Army's highest non-combat award. Since 1995, Harper has been a participant in the Strategic Leadership Programme (SLP) at Oxford. The SLP, initiated by the Thatcher government, brings people from all over the world together for a wide-ranging dialogue on strategic leadership in a process of discovery, reflection, and application. Harper has been recognized for his outstanding leadership in the Boston University CEO

Leadership Forum and the Columbia University Learning Organizational Faculty. He continues to lead seminars for various organizations and was cited for business impact by the prestigious American Society for Training and Development.

Harper and Sullivan in collaboration wrote a book entitled “Hope is Not a Method, What Business Leaders Can Learn From America’s Army”. The Army faced many challenges: the environment was rapidly changing, emerging technologies posed new opportunities and difficulties. Technical skills and teamwork abilities needed constant upgrading, and financial pressures forced massive downsizing and cost cutting. This book describes the remaking of America’s Army by focusing on strategic leadership, creating a vision and a strategic architecture to implement that vision, building a team, campaigning, overthrowing success, growing a learning organization and investing in people through leadership training. According to Harper and Sullivan, their experience led them to reshape their thoughts about leadership, strategic leadership, that is, directing and controlling rational or deliberate change. The Army leaders discovered that “we must not only change, we must change the way we change.”

### *Maggart*

Maggart was born in Raleigh, North Carolina and is the Senior Vice President/Chief of Staff of Research Triangle International. He has thirty-seven years of leadership experience in both small groups and large organizations. He is skilled in critical thinking, thinking “out of the box”, and developing thinking models. His background includes many experiences in developing and protecting intellectual property, leading and managing world-class scientists, and positioning technology for licensing or for commercially viable products and organizations. He holds a Bachelor’s degree from

Kansas State University in Political Science and a Masters degree from University of Utah in Human Resource Management.

Maggart attended several military leadership schools during his military and civilian life. Some of these schools include: Center for Creative Leadership, Army War College, United States Army Command and General Staff College, Infantry Officers Advanced Course, and Armor Officers Basic Course. He presently is responsible for the coordination and integration of critical activities associated with Research Triangle International's strategic plan consistent with that of the President. He devoted over thirty years to serving his country in a variety of positions and places. His Army career includes: assignment to the 1<sup>st</sup> Battalion, 32<sup>nd</sup> Armor division in Friedberg, Germany as the S3 (Operations Officer) Air, S4 (Logistics Officer) Property Book Officer, Support Platoon Leader, Company Commander and S3 (Operations Officer); attended the Military Assistance Advisors Course for preparation to Vietnam, Assigned to Quang Duc Province, Republic of Vietnam as the Regional Force/Popular Force Training Center Advisor, Served as Senior Advisor for Duc Lap District and the province S3 advisor; attended the Infantry Officers Advanced Course and completed the Airborne course; Assistant Professor of Military Science at the University of Utah and taught the first class of female ROTC cadets; attended CGSC (Command and General Staff College) course; assigned as an Author/Instructor in the Tactics department, CGSC, teaching battalion and brigade level active defense courses; assigned to the Tactical Doctrine Office at Headquarters TRADOC (United States Army Training and Doctrine Command); assigned to the 1<sup>st</sup> Brigade, 3<sup>rd</sup> Armored Division and served as the S3 (Operations Officer) and Executive Officer for Gordon R. Sullivan; assigned to Headquarters, 3<sup>rd</sup>

Armored Division as the G5 (Civil Military Operations) working for Gordon R. Sullivan; assigned as Commanding Officer, 2<sup>nd</sup> Battalion, 69<sup>th</sup> Armor; attended the Army War College; assigned as the Inspector General V Corps; Chief of Staff Infantry Division; Commander 1<sup>st</sup> Brigade, 1<sup>st</sup> Infantry Division; assigned as the Executive Officer to the Commanding General; Assigned as the Deputy Chief of Staff for Doctrine at TRADOC; assigned as the Assistant Commandant/Deputy Commanding General; and was assigned as the Commanding General before retiring in 1996. He was awarded numerous medals and awards for his outstanding leadership. Some of these include: Bronze Star Medal, Commendation Medal, and others.

#### *Vuono*

Vuono was born in Monongahela, Pennsylvania and served as the thirty-first Chief of Staff of the United States Army from 1987-1991. He began his career after graduating from the United States Military Academy, in West Point, New York. After graduating with the class of 1957, he served three tours in Vietnam and rose through the ranks quickly. He was a soldier credited with helping revitalize the United States Army after the War in Vietnam. He currently is the president and chief executive officer of the security-consulting firm, MPRI. Military Professional Resources Incorporated (MPRI) was founded by Vuono and seven other retired generals and has trained militaries throughout the world under contract to the Pentagon. He holds three academic degrees: Bachelor of Science from the United States Military Academy and an Honorary Doctor and Master of Science degree from Shippensburg University. His schooling also includes the Field Artillery School, the United States Marine Corps Command and Staff College, and the United States Army War College. He has served in a variety of command and

staff positions, including duty in joint and allied assignments. General (Ret.) Vuono has had multiple assignments of increasing responsibility on the Army staff in Washington, D.C., over the span of his military career, including as the Deputy Chief of Staff for Operations and Plans. During his tenure as the thirty-first Chief of Staff, the cold war ended and he led the Army as it participated in Operation Just Cause, Operations Desert Shield, and Desert Storm. During his military career, he received many military awards and honors including the Army Distinguished Service Medal (with two oak leaf clusters), the Distinguished Service Medal, the Navy Distinguished Service Medal, the Air Force Distinguished Service Medal, the Legion of Merit, and the Bronze Star (with valor device and six oak leaf clusters). In 2003, he was awarded the Distinguished Graduate Award by the West Point Association of Graduates.

### *Sullivan*

Sullivan was born in Boston, Massachusetts and is the President and Chief Operating Officer of the Association of the United States Army, headquartered in Arlington, Virginia. He was commissioned a second lieutenant of Armor and awarded a Bachelor of Arts degree in history from Norwich University in 1959 and holds a Master of Arts degree in political science from the University of New Hampshire. His professional military education includes the U.S. Army Armor School Basic and Advanced Courses, the Command and General Staff College, and the Army War College. Sullivan retired from the Army in July 1995 after more than thirty-six years of active service. He culminated his service in uniform as the 32<sup>nd</sup> Chief of Staff-the senior general officer in the Army-and a member of the Joint Chiefs of Staff. Sullivan served as Army Chief of Staff from June 1991 to June 1995. During his tenure as Chief of Staff, Sullivan presided

over fundamental transformations in the Army following the liberation of Kuwait. He oversaw new peacekeeping missions across the globe, and led the Army into the information age. As the Chief of Staff of the Army, he created the vision and led the team that transitioned the army from its Cold War posture. As a senior officer in the Army, he was directly responsible to the Secretary of the Army for the efficiency of the Army and its preparedness for military operations.

During his Army career, Sullivan also served as vice Chief of Staff, Deputy Chief of Staff for Operations and Plans, Commanding General, 1<sup>st</sup> Infantry Division (Mechanized), Fort Riley, Kansas, Deputy Commandant U.S. Army Command Fort Leavenworth, Kansas and General Staff College, and Assistant Commandant U.S. Army Armor School in Fort Knox, Kentucky. His overseas assignments included four tours in Europe, two in Vietnam and one in Korea. A highly decorated soldier, Sullivan's military honors include the Distinguished Service Medal, Legion of Merit, Bronze Star Medal, Purple Heart, Meritorious Service Medal (with Oak Leaf Cluster), Joint Service Commendation Medal, Army Commendation Medal (with Oak Leaf Cluster), Defense Superior Service Medal, Army Achievement Medal and Combat Infantryman's Badge. He is an avid reader and amateur historian. He is the co-author, with Michael V. Harper, of *Hope is Not a Method* (random House, 1996), which chronicles the enormous challenges encountered in transforming the post-Cold War Army through the lens of proven leadership principles and a commitment to shared values. He serves on the boards of several major corporations, including Newell-Rubbermaid and Shell Oil. He is also a director of the Institute of Defense Analyses and the Chairman Emeritus of the Marshall Legacy Institute.

### **Reflections from the Researcher's Field Notes**

The interview process required communication, organizational skills, time, and money. Scheduling of the three interviews in Arlington, Virginia was arranged through each of subject's secretaries. The other three interviews in Arlington, Virginia, Bowling Green, Kentucky, and Raleigh, North Carolina were arranged directly with the subjects. All subjects were retired from the United States Army but currently in other leadership positions within organizations. The most difficult task of arranging the interviews was the cost of flights, gas for travel, and hotel fees. All subjects made the interviews possible with their personal, professional, and academic schedules to assist with the completion of this research study. Informed written consent forms and the initial background questionnaire were mailed to each participant with a cover letter describing the process and requirements. The researcher followed up with each participant through the assistance of secretaries, email, or telephone.

During the interviews, the researcher introduced her self and used responses such as active listening, minimal encouragement and emotional support. The researcher made sure that the participants had adequate space to convey the way they conceptualized their experiences without the researcher's view being imposed on them. All of the questions on the interview protocol were asked during each interview however the interviewer left the questions open ended and varied the order of the questions in accordance to the flow of the interview. Participants were able to answer the questions in an unstructured format allowing for freedom and flexibility.

At the end of each interview, the researcher asked each participant if they would like to add any additional comment or had any feedback. Each participant added additional

information making the process very rewarding and beneficial. After each interview, the researcher asked each participant if he wanted to review the transcript and offered the original audiotape upon completion. Five out of the six participants wanted to see the transcript and obtain the original tapes. All six participants agreed to use their own names during this entire research process. The interviews were scheduled to take one to two hours. Four out of the six interviews lasted approximately an hour and thirty minutes and were conducted in their current place of business.

The interviews ranged from a minimum of one hour to four hours and were conducted in the interviewee's current place of business, hotel, or home. Each interview that was scheduled started on time and was extremely beneficial in this study. The length of the interview was determined by each participant's responses. Some participants provided the researcher articles, books, letters, and information that pertained to the research topic. The researcher met General (Ret.) Sullivan's predecessor (General Ret. Carl Vuono) while waiting for one of the participant's interview.

Due to time constraints, the researcher was not able to interview General (Ret.) Vuono; however, a letter containing questions was mailed directly to his office immediately upon return. The researcher received permission and responses from General (Ret.) Vuono that were utilized in this study. Various outside reading resources were also given to help the researcher clarify questions or fill in gaps.

### **Transcription and Research Process Notes**

Performing a qualitative research study requires many hours of time and patience. Qualitative researchers turn the world into a series of representations by including interviews, field notes, conversations, recordings, and memos to self. Upon completion



of each interview, the researcher transcribed each of the interviews. This was an extremely difficult, time-consuming, and educational process for the researcher. Some transcriptions took eight to nine hours and some took several days. According to Heppner (2004), once the interview is completed, it should be transcribed verbatim with identifying information omitted and unnecessary non-language utterances (“um, uh”) and fillers (“you know”) deleted. Copies of the typed transcripts were mailed to five of the six participants allowing each to review for additions, corrections, or clarifications. This step is called “member check”, which enhances the credibility of the data.

The researcher explained to the participants that actual coding of their information would be developed upon the return of the transcripts. Each tape was labeled and numbered for accurate identification. While the researcher awaited the review of the transcriptions, she continued to review the researcher notes, articles, books, and archival information. The researcher began looking at various notes and started analyzing and mapping information developing preliminary categories of data based on the research questions as stated in Appendix G, the interview log, audit trail, background questionnaire, and the transformational model developed by Bennis and Nanus (1997).

During a data analysis procedure, there are usually four specific steps: 1) identification of domains, 2) core ideas 3) audit of core ideas and 4) cross analysis. Each transcript was individually read and coded for domains or primary topic areas (*See Figure 6*). The original domains were assumed by the questions asked in the interview. As displayed in *Figure 6*, the participant, consistency of answer, researcher’s question, and specific strategy is identified. Once the domains for individual transcripts had been discussed and agreed upon, core ideas within each domain were then identified and recorded. The sets

of domains were recorded in a graphic form diagram allowing the researcher easier accessibility of seeing the core ideas and relationships represented. After each of the transcripts was analyzed using this individual and group technique, a master list of domains was developed and all of the ideas from the transcripts were listed and categorized within specific domains. The audit was followed by cross-analysis during which domains and core ideas were compared across the individual transcripts to determine a set of categories. During this process, the researcher looked at the domains and core ideas with an emphasis on discovery looking for new ideas to emerge from the data. Upon receipt of the each transcription, any comments or corrections were made as deemed necessary.

### **Biographical and Demographic Information from Questionnaire**

A lengthy description of each participant was given to help paint a picture of the participant's for the reader. Each participant agreed to use his original name and information during this study. The initial questionnaire data that were collected for each participant provided preliminary information for each interview. In addition, each participant provided the researcher a copy of his resume and/or biographical summary to use in the research study.

Figure 6

### DOMAIN DATA COLLECTION

<u>PARTICIPANT</u>	<u>LEVEL OF CONSISTENCY</u>	<u>RESEARCHER'S QUESTION/CORE IDEA</u>	<u>BENNIS &amp; NANUS (1997) STRATEGY</u>
Nelson	1,3	"Vision was the first thing that we worked on during the transformation of the US Army; it is one of the most important components"	Strategy 1
Griffith	1,3	"Vision is critical; you must think before articulating and it needs to be clear and understandable at all levels"	Strategy 1
Tilelli	1,3	"Vision must be achievable and understandable; it is getting from good to better"	Strategy 1
Maggart	1,3	"Vision is the single most important aspect of any organization; if you have no vision, you have no idea where you are going"	Strategy 1
Harper	1,3	"If you don't know where you are going, any road will get you there"	Strategy 1
Sullivan	1,3	"Vision is critical; you must know where you are going, what you are doing, why you are doing it or have some touchstone of what is going on"	Strategy 1

- 1-Consistent with other participant's answer  
2-Not consistent with other participant's answer  
3-Consistent with General (Ret.) Sullivan's response

**Strategy 1:** Attention Through Vision

**Strategy 2:** Meaning Through Communication

**Strategy 3:** Trust Through Positioning

**Strategy 4:** The Deployment of Self

## **CHAPTER IV**

### **RESULTS AND DISCUSSION**

This chapter contains information found through the data analysis process. Common themes that emerged across the data are explained and summaries that tie each overarching theme are provided at the conclusion of each section. Several themes emerged throughout this chapter relating to the four strategies of transformational leadership noted by Bennis and Nanus (1997). One common theme among the subordinates was that of having a vision for the organization. The vision created a framework for teamwork within the United States Army. The vision included everyone's input from all levels and through the process of empowerment and delegation. Buy-in was key and critical in developing a clear and compelling vision, which provided purpose for all people. A clear and articulate vision was necessary to guide the organization. Another common theme that emerged from the data was the role of communication within the organization. Communication was driven up and down at all levels in order to shape the culture and values within the organization. Sullivan empowered people to make decisions and trusted in their ability to execute. Communication was key to establishing commitment to the values and philosophies and provided cohesiveness among the people. Sullivan was in touch with people at all levels and very supportive of his soldiers and subordinates. He had great interpersonal skills and was a pleasant person to be around. Sullivan also had the ability to make abstract ideas concrete through graphics and the Louisiana Maneuver idea.

Another common theme was trust, values, and belief in the vision and people. Sullivan emphasized the importance of trust and empowerment throughout his tenure.

Sullivan trusted his soldiers and staff to execute missions and make important decisions. The transformation of the United States Army occurred by learning to trust and value each other's contributions. The team process helped minimize deviations and approach problems. The last theme that emerged was that of self and organizational development through learning. Sullivan and his subordinates were able to see transformational leadership through embracing new knowledge, tools, and behaviors. Sullivan looked at performance on the battlefield, history, experimentation, and people when determining resources needed. Sullivan and his subordinates focused on learning at all levels and teamwork to accomplish goals and objectives.

### **Perceptions on Leadership**

The questions in this category addressed the issue of leadership practices in the implementation of change. Subordinates that worked under General (Ret.) Sullivan's command during 1991-1995 answered twelve questions regarding their opinions and experiences on the topic of leadership identified what type of leadership practices they focused on while implementing change. General (Ret.) Sullivan was also asked similar questions along with additional ones to provide information needed for completion of the study.

#### *What is leadership?*

Leadership is a topic that has long excited interest among many people. Many leaders direct corporate empires, direct victorious armies, and shape the course of many nations. Leadership has been studied in different ways, depending on the researcher's methodological preferences and definition of leadership. Leadership has been defined in terms of traits, behaviors, influence, interaction patterns, role relationships, and

occupation of an administrative position. Fundamental to the success of any change is the role of leadership within an organization. Each participant in this study defined leadership in their own unique way, which was a reflection of their style, personality, and life experiences. When asked how he defined leadership, Nelson responded by saying “leadership is the ability to define a situation and a problem to determine courses of action and to issue necessary orders to get people to execute these orders and cheer them and correct them as they execute.”

According to Tilelli, “there is a school definition of leadership that says it is the art of leading people in order to achieve a common goal; but, in the military, leadership is, in my view, getting people (both men and women) who serve to do things that are extraordinary and not considered normal business description. Leadership takes many forms however, as you look at the roles of military leaders, it is far different from civilian leaders.” Griffith feels that leadership is a complex question. His definition of leadership is “the ability to lead people to accomplish goals and objectives and of course it applies to big time in the military profession, which is where I have spent most of my life, but it also applies to business as well which is where I have spent the last eight years. Leadership, in simple terms, is to get people to move together to accomplish goals and objectives.”

Maggart feels that “leadership boils down to inspiring others to do activities beyond what the individual believes they are capable of doing. This is critical in war fighting when one is asked to do something that could be life threatening. It is also important in civilian businesses to allow others to achieve beyond what they may think is possible or stated another way, to be able to self-actualize as Maslow would say.” According to

Harper, “leadership is the capacity to motivate the heart in a way that influences things to happen that wouldn’t have happened otherwise.” According to General (Ret.) Vuono, “leadership is the art of influencing people and organizations by providing purpose, direction, and motivation while operating to accomplish the mission.”

Vuono felt that this definition applied across the spectrum of organizations, regardless of their composition and purpose. “In the Army, leadership takes on the additional dimension of combat, asking and requiring soldiers to push against natural survival instincts and go in harm’s way of battle. Leadership, particularly in hierarchical organizations such as the Army, has two major components: direct and indirect leadership,” stated Vuono. Vuono continued and defined direct leadership as “the easier of the two because it involves a personal interaction between the leader and the led. With direct leadership, the leader can wield the power of his personality and persuasion to influence his soldiers to do what he leader and the unit needs them to do.

In the Army, this is the realm of noncommissioned and junior officers: the fire team, section, squad, platoon leaders and company commanders. Indirect leadership is more challenging and grows increasingly more complex as a leader progresses into larger and more diverse responsibilities.” Vuono stated, “at the level of the Chief of Staff of the Army, the leader must deal with a sometimes daunting range of individuals, organizations and external stakeholders who may know little about the Army and operate from a radically different value set. Such stakeholders include the other Joint Chiefs of Staff, civilian leaders in the Army, the administration and the Congress, as well as the ever-present media.

Seldom does the Chief of Staff have the opportunity to directly lead soldiers; his direct leadership is often limited to the four and three star Generals that make up the Army's senior command and the Army staff." Vuono concluded by saying, "leadership, both direct and indirect, rests in four fundamental pillars that support the entire structure of the Army or of any organization. These pillars are competence, responsibility, commitment, and integrity." "Leadership is what leaders do," said Sullivan. Leaders can say lots of things but leadership is what people do. Sullivan feels that "leadership is convincing people that change is important and the leader must help its people achieve the goal while helping others comprehend this."

#### *Are leaders born?*

Many feel that leaders are born. A commonly held view is that people either "have what it takes" to be a leader or they don't. For some, leaders must be developed, trained, or taught. Nelson feels strongly that "leaders are not born, they are developed." Tilelli agrees with Nelson and states, "it is a function of experience, expertise, education, training, assignments, mentors, coaches, and counsel one gets along the way; leadership is a function of things you learn (whether good or bad) that you discard and remember. Leadership is a sum of a person or sum of many things that a person develops over a period of time; some people are innately better leaders than others."

Griffith concurs with Nelson and Tilelli regarding leaders not being born. He feels that "people are born with inherent traits that facilitate some people as being strong leaders earlier; however, in my opinion as you mature you become a much better leader. Leadership can be taught or learned." Maggart feels differently regarding the birth of leaders. He feels that "leaders are born."



According to Maggart, “leaders are born not made simply because leadership is about the heart and not the brain. One can learn leadership traits and how to apply leadership steps to a given situation but if one isn’t disposed toward care, concern, compassion, and selflessness traits it is difficult to be a good leader.” The reason that he feels leaders are born is “most leadership instruction involves long lists of traits and characteristics and things of that sort but the essence of leadership is in the heart and not in the brain and knowing which steps or which characteristics apply to specific situations.

It is really down to care and concern for others and that is really the essence of leadership; it also involves being honest and truthful and all of those thing and most of those you can’t teach; I mean, I can teach leaders what they ought to do but I can’t teach leaders to be honest.” “I think we are all born, but born differently,” stated Harper. Harper provided a unique example describing Tiger Woods, a professional golfer. “I couldn’t play like Tiger Woods if I spent the rest of my life working on it; no, I couldn’t play like Tiger Woods if I could be twenty years old and spending the rest of my life working on it. There is something he has got, some of it mental, some of it is undoubtedly physical, but the guy can play the game of golf almost better than anyone that has ever played it. He is certainly one of the greatest of all times. Now, what I do know is if I get up off my ass and go to the club and practice my short game, I can probably take fifteen strokes off of my game. It is practice and hard work and I think in the end that is what it comes down to.”

Learning makes leaders. Harper doesn’t feel that you can act like a leader; he feels strongly that one can learn skills and behaviors and develop your own styles. According to Vuono, “while each leader is an individual with distinct personalities and styles, very

few people are born as natural leaders. The overwhelming preponderance of effective leaders, particularly at the most senior levels, are not born into the job. Rather, they are developed over a lifetime of service and learning. As such, one of the imperatives of any organization is a meaningful, comprehensive leader development program; a program that is continuous, progressive, and sequential throughout a lifetime of service.” Vuono felt strongly that leaders had to continue to use his own time expanding his horizons to build competencies for the future. Vuono commented, “leaders must continue to develop during their operational assignments when they put their institutional learning into practice.”

According to Vuono, “in the self development pillar, the leader avails himself of the nearly inexhaustible wealth of information on his profession. The self development pillar must not be a random process; it must be governed by structure and discipline, taking full advantage of high technology, such as the Internet, and traditional dimensions of self-development, such as senior leader mentors.” “Leaders are not born, they are developed” stated Sullivan. The United States Army emphasizes that leaders can be developed and have various programs, schools, and processes helping to develop soldiers into great leaders.

*Can leadership skills and abilities be learned?*

Nelson quickly answered “yes, leadership skills and abilities can be learned by both theoretical and practical study.” Tilelli agreed, and said “absolutely, they are learned; when you think about it, we have a specific process of how we develop leaders.”

“Absolutely, leadership skills and abilities are learned” stated Griffith. Griffith also said, “you might have proclivity and you might have personality traits, but you really have to

love what good leadership is all about.” Maggart stated, “leadership skills and abilities can be learned and by learning those one can be a good leader.” According to Harper, leadership skills can be practiced and learned. He felt that “you can be an effective leader and not be a detail person but you can’t be an effective leader and ignore the importance of details.” According to Vuono, “leaders must be competent. Leaders must know their job or they cannot hope to lead others to do theirs. This sort of competence is not an inherited trait, nor does it emerge the day you assume your leadership roles. Such competence is the grinding product of experience, study, discipline, and plain hard work.” Sullivan agreed with each subordinate that leadership skills and abilities could definitely be learned.

*Do leaders possess exceptional personal attributes that make them different from other people?*

Nelson believes that “people hold attributes that in the long run are distinctive whether in the military, politics, in church, academia, or in business; but I don’t think it is an innate set of skills. I think it is things that are both improved and suppressed that make people effective leaders.” “There are certain traits of leaders that are non-negotiable,” claims Tilelli. Leaders do possess exceptional personal attributes that make them different from other people; specifically, Tilelli stated, “leaders must be caring, honest, have integrity, and a good leader must be competent.” According to Tilelli, there is an old saying, “none of us get where we are going because of how good we are, it is because of all the people that pushed us there.” Griffith’s perspective, “I think you build personal attributes but I don’t think that you were given or were born with those attributes; I think you develop these attributes and some come easier than others.” Griffith stated, “In my

opinion, leadership is based on learning, experience, observing, and having the opportunity to work or serve under other great leaders.” Maggart commented “leaders possess exceptional attributes that make them different from other people; and those for the most part are understanding in how to deal with people.”

Anyone can be a boss, anyone who is given a position of authority or power but only real leaders and great leaders are bound to really influence people or inspire people. The best leaders are those who cause others to do what needs to be done without the trappings of position or authority.” Harper has another perspective on this topic. He does not feel that leaders possess exceptional personal attributes that make them different from other people. If you are going to be an effective CEO or leader of an organization, you have got to understand how the business works.

You have to understand how politics work and you have to work hard. To Harper, this is context and not the skill. “I think sometimes in amazing ways, skills and so on seem to be the same and people tend to learn it; it is the intellectual skills that are trivialized.” Sullivan agrees that leaders possess exceptional personal attributes that make them different from others. He stated, “They have moral courage, they are bright, and are able to communicate personally and in writing. They are able to set an example and some people don’t want to do that. Leaders are willing to take risks and being a leader is risky business because people may ridicule me; well, you must be able to take risks.”

*Is leadership different from management?*

Maggart clearly noted, “Management is absolutely different from leadership. Management is about control, numbers, processes, metrics, and figures.

Nelson stated, “Yes, leadership is a different from management. In the military especially at the higher levels, we teach three domains: one being the management of complex operations and one being or having the ability to maintain teams and the third to shape the future; so it is the other two that separate the leader from the manager.” In agreement with Nelson, Tilelli feels that there is big difference between leadership and management. “You can manage money, you can manage equipment (you can’t lead it), you can manage your checkbook; management is a subset of leadership. Good managers don’t have to be good leaders but good leaders have to be good managers,” states Tilelli. Griffith has a different view on management versus leadership. “I think there are some slight differences.”

Maybe good leaders have to have good manager skills but a good manager does not necessarily have to have great leadership skills. Griffith thinks that great leaders accomplish things through their charisma, their ability to inspire, and the ability to motivate as long as they are smart enough to have good managers working for them because large organizations require excellent management. Griffith stated, “I have seen many effective leaders that relegated the management to others. I would hate to say where leadership ends and management takes over. I think that a lot of it probably has to do with how you motivate and inspire others.”

Leadership is about change and vision. Griffith noted, “leader’s are the ones who set the conditions for others to be successful while providing the impetus, gentle, or KITA (kick in the ass).” Harper felt that management was about “coping with complexity and leadership was coping with change. The difficulty of leadership coping with change is that it de-emphasizes the human dimension, which is the essence of change.” “You

manage processing and you lead change,” stated Sullivan. Sullivan felt strongly that management and leadership were definitely different. He made a clear distinction between management and leadership; he felt “managing was moving things around and leading was the change agent.”

*Is leadership context specific?*

Nelson did not feel that leadership was context specific. “To learn leadership, you need to learn leadership by going to the battlefields.” Tilelli commented “leadership takes a form in both the military and civilian world and its anytime you are put into a position that you have responsibilities, accountabilities and the mission; and the most important aspect of that are the people that you have that work for you that must get the job done.”

Griffith gave several vignettes on how leadership was not context specific. “I think that you have leadership in the church, on the athletic fields, in commercial organizations, and in government. I have seen faltering organizations where it had nothing to do with the management and everything to do with the leadership or the lack there of, so no leadership is not context specific.” Maggart had a different take on leadership being context specific. He felt that leadership is context specific and “the really good ones are able to understand the context and adapt themselves.” According to Vuono, “one of the most important characteristics of a leader is integrity. The overarching mandate that binds together all the other characteristics and sets the moral and ethical tone for the entire organization. Your ethical standards are your personal badge of honor that you must burnish and sustain through untarnished behavior and unsullied example.” Vuono

stated, “in everything you do, and in everything you are, you must be able to look confidently in the eyes of your subordinates and say, follow me and do as I do.”

According to Maggart, “adaptability was key in understanding ones self and those who could do this could adapt to whatever was required. Great leaders are adaptable. While they may have a propensity to be autocratic, democratic, bureaucratic or laissez-faire, but can adapt their style as demanded by the situation.” Harper noted that with leadership, context is the only thing. According to Harper, what we used to do was grasp and gather context. He felt that people who we thought as good leaders could relatively make good sense out of context. Sullivan agreed with Harper’s view on leadership being context specific. Sullivan stated, “military leaders would love to have the opportunity to be a leader in combat and there have been countless examples of people leading the Army and never leading in combat. Great leaders are simply great leaders.”

*What type of leader are you?*

It is hard to be objective about yourself. It is sometimes easier to hear what other people have to say about your leadership abilities rather than defining what type of leader you are yourself. Griffith described himself as a leader that is effective, confident, and not afraid of admitting mistakes. As a leader, he always encourages people to give one hundred percent. He chooses not to fight the problems that he knows he can’t win. He was a leader that emphasized ethics, confidence, and tough standards. Griffith stated “never walk by a mistake, never walk by something that is wrong, because if you ignore it then you are resetting your standards baseline.” He strongly believed in teamwork and stressed the importance of not getting ahead at the expense of one of your buddies.

Griffith also reiterated to soldiers “not to do anything on the battlefield that would tarnish your reputation.”

Many people have called Maggart a charismatic leader. Charismatic leaders arouse enthusiasm and commitment in followers by articulating a compelling vision and increasing follower confidence about achieving it. Maggart stated, “I have a propensity for charismatic leadership but can adapt. Pure charisma can lead an entire organization to disaster because the members of the organization are following an intangible concept where hard, detailed work, diligence, and expertise are needed to sustain the organization forward and drive it forward.” He feels “one gets better at leadership the more one studies it (as long as one practices and practices what is correct). Teaching is an essential part of learning more about leadership.” Maggart has also been a teacher and stressed the importance of leading from the platform.

Tilelli feels that he is a lucky leader who has always had good people working for him. It is difficult to be self-introspective and describe myself as a leader. He felt that he was a caring leader that got the job done and greatly benefited from hard working people that worked for him. Nelson felt that he was more of an introvert than an extrovert. As a leader, he tends to be the intuitive type and one that may be described as a participatory leader. According to Nelson, “a participatory leader is one that wants to clearly articulate and get people on board and monitor rather than direct.”

Harper described himself as a learning leader. He felt that he had learned many things, struggled at times, and had done a lot of things. He has made a large impact on other leaders in the past ten years, which makes him like a mentoring leader. Harper felt that he had a lot of responsibility in his life for others and was influenced by other leaders



choices. He described himself as a leader that was creative, risk diverse, people oriented, and intuitive. Sullivan feels that he is an intuitive leader who truly likes people. He enjoys being around people and feels that other people are able to see this through his actions. He feels that he is focused and knows what he wants. According to Sullivan, “I am not one to suffer fools lightly, and I know what’s good for the organization. I think I get the best out of people and understand that people can’t do everything and I am willing to put up with that.”

#### *Perceptions on Leadership Summary*

General (Ret.) Sullivan and his subordinates gave great input on the subject of leadership. There were many commonalities and differences noted throughout the process. Each participant’s leadership definition used similar words describing their perspective of leadership. Some of these words include: to motivate, to inspire, to lead, to convince, to define, and to determine. The participants felt strongly that leadership was about accomplishing goals, achieving objectives, and getting people to do extraordinary things. Vuono felt strongly that the leader’s energy and strength must be devoted entirely to the organization and mission. Vuono also noted, “you must be tireless and unrelenting in your quest to make your organizations productive, professional, and proactive.

A leader must be committed to the organization and to the subordinates who depend upon you to make the right decisions.” All participants were in agreement that leadership skills were learned through various processes, experiences, and theoretical or practical studies. The participants consistently agreed that leadership was different from management and specific distinctions were given to describe their reasons. Management was moving things around, coping with complexity, control and numbers, manage money

and equipment, and managing complex operations. There was a significant difference between leadership and management noted. Leadership was accomplishing great things, having change and vision, the ability to inspire or motivate, or being a change agent. There were some differences between the participant's views on leadership being context specific and leaders being born.

Some of the participants felt that leaders were born with specific leadership traits and some felt that leaders were made and not born. Sullivan felt strongly that leaders were developed. According to Vuono, "being a competent leader was not enough. To be a leader, you must fully embrace responsibility; responsibility for yourself, for your organization, and for every person entrusted in your care. It is here that the leader parts company with the technician and the manager. The leader alone willingly accepts responsibility for everything his organization does or fails to do." Learning seemed to be the essential component of a leader.

There were also some differences noted on leadership being context specific. Some felt strongly that leadership context was the only thing and adaptability was the key. It was important to several of the participants that learning leadership required going to the battlefield or being put in situations that required accountabilities, responsibilities, or missions. According to Vuono, "the leader today must be willing to make the hard choices, to handle extraordinary stress, to undertake the tasks that drain the very fiber of your being. It is the commitment that brings honor and humility to personal achievement. And it is the commitment that is the foundation for the degree of selfless service that the world of today demands."

Overall, the participants felt that leadership skills could be learned and this was consistent with the “development of self” strategy by Bennis and Nanus (1997). Learning was the fuel for the leader and necessary for transformation to occur.

### **Perspectives on Vision**

Vision conveys an image of what can be achieved, why it is worthwhile, and how it can be done. A successful vision makes the typical mission statement come alive, infusing excitement, and stimulating creativity to achieve it. According to Yukl (2002), the vision is seldom created in a single moment of revelation, but instead it takes shape during a lengthy process of exploration, discussion, and refinement of ideas. Yukl (2002) provides several guidelines when formulating a vision: 1) involve key stakeholders 2) identify strategic objectives with wide appeal 3) identify relevant elements in the old ideology 4) link the vision to core competencies 5) evaluate the credibility of the vision and 6) continually assess and refine the vision. Understanding the values, hopes, and aspirations of other people in the organization is essential to finding a vision that will engage people.

*What are your thoughts on the importance of vision in an organization?*

All participants felt that having a vision was one of the most important components within an organization. Nelson stated, “The vision was the first thing that we worked on during the transformation of the United States Army.” Tilelli emphasized that “vision helps you get from good to better.” Your vision must be achievable and transcends leader so when you walk out the door, the vision does not die. Griffith feels that a vision is absolutely critical in an organization. Griffith encourages leaders to look at three things when developing a vision: 1) think very hard about what the vision is before he or

she articulates it 2) the vision needs to be clear and understandable at all levels and 3) it needs to be consistent.

Maggart feels “the vision is the single most important aspect of any organization. If you don’t have a vision then you have no idea of where you are going and if you don’t know where you are going any road will take you there.” Successful organizations must have a vision and be supported by a cohesive team to enable them to work together through issues to move into the future. Maggart emphasized, “The key is a leader with vision and a cohesive team.”

According to Harper, there are two bumper stickers that really summarize this question well. The first one is “if you don’t know where you are going, any road will get you there.” The second one, I attribute to Einstein, “you can’t solve a problem from the same conscious which you created it.” Harper felt that there was genuine wisdom in both of these statements. If you take short-term steps without a sense of vision, you are wondering. Harper emphasized the importance of vision creating context. “Vision is critical within an organization,” stated Sullivan.

You must know where you going, what you are doing, why you are doing it, or have some touchstone of what is going on. Harper and Sullivan (1996) suggested the vision be communicated and understood in a way that empowers people to seek to achieve it. Vision challenges people of an organization because it can force people to change. Harper and Sullivan (1996) stress the importance of continually interpreting the vision once it has been articulated. The vision must be in an appropriate language where people at all levels can understand it. It is critical that the leader gives clarity to the vision. Without a vision, the pathway to success may be blurred.

*How did the United States Army create a shared vision?*

Nelson reiterated that in the Army, there was a lot of participation in getting the vision right. It was a real team effort to continue to articulate the vision again and again. Through General (Ret.) Sullivan's speeches, letters, articles, collected works, and meetings the vision created a framework to help develop continuity and understanding. Nelson felt it was definitely a "team effort." Tilelli discussed the development of a shared vision as containing a number of modalities: 1) the senior leader of the military talked to other senior leaders creating a waterfall effect where everyone talks to other senior and subordinate leaders to help create a clear understanding of the intent 2) there was an Army plan which articulates a longer term leadership vision 3) there is the glossy's and 4) there are organizations and resources that help you do this (for example, Association of the United States Army, Army/Air Force). Sullivan felt it was critical to strengthen the soldier on the battlefield through technology.

You must articulate to not only the service members but to industry and others like Congress. According to Tilelli, "it is important to understand what the blueprint is and make sure it is attainable." Maggart provided an example of how General (Ret.) Sullivan helped to create a shared vision. Sullivan would always say, "let's go out to a mountain top somewhere in the future and sit on it and look at the present." We set the poles or markers into the ground and we start working backwards. A vision is not worth anything if all people don't know about it or understand it. Sullivan utilized the Louisiana Maneuvers as part of linking great ideas to the budget and developed a comprehensive program. Maggart summed up his point with "Sullivan put a complete package together using a well-known methodology that had been previously successful as the vehicle to

simplify his concept and as a tool to transmit it to the rest of the Army, Congress, and other groups.” Griffith felt that Sullivan worked with a team embracing confidence and competence through realistic training in developing a shared vision. He discussed the importance of clarity from top down in order for everyone to buy in or share in the vision. According to Griffith, “the vision is the fiber of a great Army.”

Harper felt that the Army did not do a bad job creating a shared vision. Sullivan was constantly communicating with and across others. Sullivan developed the idea of the Louisiana Maneuvers to show the Army what it would be. Sullivan emphasized the importance of doctrine and writing when he created a shared vision within the United States Army. Talking about what it was that we were doing, what we were going to do, and getting people participating as we did experiments were all important components of instilling the shared vision.

It was the experiments that enabled people to actually see what their role could be in the idea. Harper and Sullivan (1996) list six things that a shared vision does within an organization: 1) provides a corporate sense of being 2) provides a sense of enduring purpose 3) transcends day to day issues 4) incorporates a measure of success 5) has legitimate meaning in both the present and the future and 6) empowers both leaders and followers to act (p.80). Vision provides an intellectual bridge from today to tomorrow and a sense for the future.

#### *What was the Role of Communication? Who Were the Stakeholders?*

It was vitally important to have communication within the United States Army when implementing the vision. According to Tilelli, the Army plan, speeches, and the “glossies” all played important parts of the communication process. Tilelli felt that the

stakeholders were the Army at large. Nelson agreed that communication was an essential part in the articulation of the vision. Communication was done through letters, articles, speeches, interviews, and testimony because one of the ways the Army makes sure people understood the vision was through testimony. Griffith felt that Sullivan “drove the message through commanders.” Bulletin boards, briefings, and a variety of programs were also conducted to help ensure understanding and clarity of all communications.

The stakeholders were the subordinates, leaders, commandants, commanders, and Congress. Division and Core commanders and school commandants were the big stakeholders because they were responsible for driving the information down the pathway. Maggart felt that communication played a key role in implementing a shared vision. Communication was done in many different ways to obtain buy in from the stakeholders. Power point, charts, photolithography, diagrams, symbols, names, briefings, speeches, presentations, and articles were just a few ways that Sullivan was able to effectively communicate to people. Maggart felt that the stakeholders included: soldiers, families, Congress, four star leaders, retired leaders, sergeants, and young officers. According to Yukl (2002) key stakeholders may include owners, executives, and members within the organization, customers, investors, joint venture partners and labor unions. It is a collective effort for leaders to find a common thread to weave their organization together. A successful vision is done through the contribution of a diverse group of people within the organization.

Communication and stakeholders are critical in the development of this task. Stakeholders help to refine the idea of a vision and make it a more widespread appeal. Maggart pointed out that “Sullivan was successful at transformational leadership in part

because of the way he packaged his concepts and linked the constituent parts to the budgetary process. This way of thinking began with a humble butcher paper chart when he was a brigade commander and culminated when he was the CSA with Louisiana Maneuvers. He used it as a vehicle when he was the Chief of Staff for 3<sup>rd</sup> Armored Division in the form of Spearhead Country and again as the Commanding General of 1<sup>st</sup> Infantry Division with Republican Flats. The idea was brilliant because just with the mention of a name like Louisiana Maneuvers, a complete mental picture of the intended end state pops into every brain familiar with the term.” Sullivan was very conscious of his audience and spoke to active duty soldiers, their families, reserve component soldiers, National Guard and DA civilians and their families, Congress, and other groups such as AUSA.

According to Harper, communication was difficult. There were meetings and discussions throughout the process. In some meetings, it is very hard to be reluctant to voice opinions and be concerned about politics and successions. To Harper, there were several stakeholders. The most difficult were the Major Generals because they control the resources and Lt. Generals control policy. You also had the Colonels. Harper described the Colonels into two groups: “the Colonels that were competing for promotions could be very political and the ones that weren’t could be very defensive for status quo.” Sullivan felt that communication within an organization was very important. He felt that it was a “people business where you must talk on the phone or in person. Sullivan spent a great amount of time on the telephone communicating and listening. Some people just issue or give a set of instructions and don’t talk about it. If you don’t



talk or communicate, things will not happen. There are too many things going on for one to just sit. According to Sullivan, “you must drive it and lead it.”

*Why was empowerment and delegation so important to the vision process and the impending change process?*

Empowerment means delegating authority for decision about how to do the work to individuals and teams. It is encouraging subordinates to suggest solutions to problems, reducing bureaucratic constraints on how work is done, providing adequate resources for subordinates to complete a task for which they are responsible, and asking people to determine for themselves the best way to implement strategies or attain objectives. Delegation is when the manager or leader gives an individual or group the authority and responsibility for making a decision.

According to Tilelli, “empowerment and delegation go hand and glove in my view for two reasons 1) they become the disciples, they meaning the other leaders and 2) the construct of the vision (vision, goals, and objectives). You can’t have a cookie cutter approach, you must have an approach where you essentially take that broad base upper level vision and translate it into something that you do at the lower levels. If you do not empower at the lower levels you will lose.” Maggart learned early on that other than the basic premise of leadership you want to affix the responsibility at the lowest level and give the commensurate authority at this lower level.

It was critical to make sure the message was getting transmitted from the highest to the lowest level. Maggart said “there needs to be a vested interest driving the responsibility and appropriate authority further down the information flows.” The key is to empower people to make decisions and let them lead. He felt that “the secret to long

term results in leadership comes from leaders who include their subordinate in the process. The most evident method of doing this is to fix responsibility for action as low in the organization as possible and provide the appropriate authority to those given the responsibility. Doing one or the other does not work. Both must be done together. If one has done this, then it is a simple matter to communicate ideas to the bottom of the organization.” Nelson discussed the importance of chain teaching in the military. Chain teaching is a technique used with everyone in the chain of command disseminating information up and down the information channel. The Army is a very large organization and chain teaching helped get information to people at all levels. This was essential in driving the message to all levels.

Nelson felt that chain teaching was the way to empower and delegate within the command channels as well as staff channels because it was the most effective way to communicate the vision, tasks, or plans. Griffith said that if you don’t have trust and confidence in your people and empower them, you just couldn’t do it. It is critical to empower and delegate within your organization because “God didn’t make enough hours in the day.” It is a team effort in making sure all parties understand what is going on within the organization.

With a large organization, you have to delegate tasks and responsibilities and drive it all the way up and down the ladder. Harper associated delegation with responsibility, execution, and implementation. He didn’t think that they got there in terms of delegation. Sullivan said that “you simply can not do it all yourself. Someone running an organization like the Army would be foolish not to empower others. You can’t keep your hand on everybody.”

*Does the vision continue to evolve? How does this affect the future of the United States Army?*

A successful vision is likely to evolve over time. The development of the vision is an interactive, circular process, not a simple linear progression from vision to strategy to action. Continuity in a vision is desirable but a leader must continue searching for ways to make the vision more credible or appealing. Griffith indicated that you are always adjusting to changing conditions. The vision becomes enriched more as it gains substance from the ongoing process. The Army is always in transition or making changes.

Griffith emphasized the importance of continuity and change. He said “I think all good leaders evaluate the situation by asking how are we? Where are we going? How will we adjust to the change and new conditions?” Nelson believed that the vision continues to evolve and is constantly getting reviewed especially when there are adjustments. Maggart suggested looking at the vision in terms of all of its constituent parts. He felt that the vision definitely continues to evolve within the Army.

Tilelli agrees in that the vision continues to evolve but is not locked into concrete. Harper reflected upon the notion of vision as an idea. He felt that if you thought of vision as a set of words it was more difficult to deal with what you were talking about. However, if you thought of it as an idea, then the easier it is to evolve. According to General (Ret.) Vuono, “a vision must have several key characteristics if it is to achieve its purpose. First, it must be achievable. Vision statements that are patently beyond the realm of reality have little credibility within the organization and will not provide meaningful guidance. Second, the vision must be ambitious. It should stretch to excite

subordinates and the entire organization to reach beyond their comfort zones and achieve their full potential. Third, it must be understandable, articulated clearly and concisely in language appropriate for the organization. Finally, it must be measurable in order for the organization to know how it stands in fulfilling the vision.” The Army is constantly changing. According to Sullivan, “with the constant changing, you have to be able to harness all of that and keep it going in the same direction. You have to reach out and find new tactics, procedures, and technologies.”

#### *Perspectives on Vision Summary*

One of the commonalities within the participants was their view on vision. There was a consistency with all participants that vision was required within the organization to help see the future. The vision had to be clear, consistent, and understandable in an organization. All participants felt that if you didn’t have a vision, you didn’t know what direction you were going. There was a strong commonality among the participants that vision was the lens for the future. Vision empowers and communicates to people what needs to be achieved. There were also strong consistencies with communicating messages up and down at all levels to have a successful organization.

Vision seemed to be the common thread among all participants that helped weave the organization together. According to General (Ret.) Vuono, “vision is fundamental to the health and success of any organization and is one of the leader’s most basic responsibilities.” It was important to have buy-in from people at all levels in order to have cohesiveness within the organization. According to the strategy “attention to vision” as defined by Bennis and Nanus (1997), the critical point is that a vision articulates a view of a realistic, credible, attractive future for the organization; a condition

that is better in some important ways than what now exists. Vision seems to continue to evolve within organizations and is constantly getting reviewed as adjustments are made. Vision was critical and viewed by each participant as a requirement of a having a successful organization.

### **Impact of Change**

*Once a vision, process, procedures were established how did you manage change?*

According to Sullivan and Coralles (1995), as we come to understand change, we accept it as both a condition and a process. As a condition, change is universal; it affects everything and as a process, it is the act of moving from one state to another. Griffith emphasized the importance of vision and getting the people to believe in the vision. “You have to have buy-in, then those actions, functions, and activities and functions of change are in motion or put into motion,” stated Griffith. He felt that a leader’s job really gets complex when the leader has to go out there and make sure all of those activities, functions, and elements of change are being conducted. Griffith said, “Sullivan was marvelous at doing this.” Tilelli recalled managing change through empowerment and delegation. He noted, “Through delegation and empowerment, you parse it out and skin it back, like peeling an onion back.” You have to have faith in your leaders to get the job done.

Harper noted, “One of the most important things that he ever did was to take personal responsibility for leading change.” We also structured big meetings around change issues as well as structuring the organization around the change issues. Maggart described it as a difficult process. Harper remembered having the meetings around the areas where change was happening. According to General (Ret.) Vuono,” change is part of the

natural life of every organization and the leader's responsibility to control and manage change is essential to the health of the organization and its people." While the challenges of change are as diverse as the changes themselves, Vuono believes there are several key to minimizing the naturally adverse impact of change and maximizing its benefits.

Vuono stated, "first, understand the nature of change. Nobody and no organization truly likes change, notwithstanding the manifest benefits that will emerge. Moreover, organizations have momentum and will naturally resist change. The leader must first and foremost understand this phenomenon and develop his plans accordingly."

Vuono continued by saying "second, establish a leader's vision; he description of the organization after change has occurred. This provides to the organization and its people an objective that they can understand." Then, according to Vuono, "have a plan.

Change, on whatever scale and magnitude, can be most effectively managed through a comprehensive plan that recognizes the psychological, institutional, and practical impact that change will have on the organization.

In the Army, there was a system that was developed and implemented called Force integration, which was our formal means for planning for change. While smaller scale changes may not require this degree of rigor in the planning process, leaders should always have a plan." Vuono stated, "always remember the importance of continuity. Continuity is the steel link that holds the organization together and ties back to the past. Continuity is most frequently manifest in organizational values, traditions, histories and basic lifestyles. Leaders must always strive to stamp change in the coin of continuity." Lastly, Vuono stated, "expect the unexpected. No matter how good the plan for change management may be, change will always generate unexpected consequences.

The leader must be prepared to adapt to such consequences, particularly in light of largely unpredictable changes in environment, and continue to move forward.” Sullivan had a board of directors made up of four-star generals that would periodically meet and talk about some of the exercises and experiments and learning that was taking place. Sullivan stated, “In the Army there is a very good management system. Management means sitting down and looking at what’s going on and deciding what we are and are not going to do.”

*How did General (Ret.) Sullivan deal with staff or subordinates who were resistant to change because they felt uncomfortable or fearful? Were people confrontational? If so, how was this dealt with?*

Resistance to change is a common phenomenon for individuals and organizations. Yukl (2002) lists several reasons why people are resistant to change: lack of trust, belief that change is unnecessary, belief that change is not feasible, economic threats, relative high cost, fear of personal failure, loss of status and power, threat to values and ideals, and resentment of interference. Resistance to change is not necessarily the result of ignorance or inflexibility; it is simply a natural reaction by people to protect their self-interests. Changes within organizations can take different forms. A leader must do many things to facilitate the successful implementation of change.

According to Maggart, General (Ret.) Sullivan was one of the best team builders that he ever saw. He felt that Sullivan could uphold dissent and naturally had people who put up roadblocks. “He worked at all costs to eliminate dissent and creating cohesion.” He was able to tie things together with the budget and bring people aboard.

Maggart felt that he gave people credit for being “pleasantly disagreeable.” Maggart noted that Sullivan would rather have someone disagree than to be disloyal. “No matter how persuasive a leader is, all programs have to survive the tyranny of budget,” stated Maggart. And as Sullivan used to say “You have to go through today to get to tomorrow” proclaimed Maggart.

Maggart felt strongly that “the daily demands of running the Army often runs counter to plans for the future.” “If there was push back, I never saw it,” commented Griffith. That is not to say that there wasn’t any push back, Griffith just never witnessed it. Sullivan was a great guy of enthusiasm; a guy of outgoing personalities, a natural cheerleader and a man that made you feel good about things. One of the things that Sullivan did to help eliminate resistance or fear of change was major team building exercises, noted Nelson.

According to Nelson, “there were some people that were just never going to be on board so we were always doing our best to keep them informed and doing the best we could.” There was an explicit effort to educate everyone on what was happening. Tilelli stated, “I can certainly think of folks who were reluctant only because of lack of understanding.” Tilelli describes the process of helping to reduce the resistance through four steps 1) discuss 2) convince 3) understand what the reluctance is and 4) try to mitigate the reluctance through a common understanding of what the vision was and how to get there. Tilelli felt that Sullivan was an outstanding communicator and communication was a way that he mitigated with anyone that was reluctant.

Tilelli also discussed resource constraints as one reason why there might have been some reluctance created. Sullivan was a tremendous at convincing people and he was the



Chief of Staff, which carried a lot of weight. The vision also seemed to be “vetted”. It was a clear, common vision that was shared by senior leaders and developed by others. According to Harper, he did not know of anyone that was directly confrontational with Sullivan. He felt, “they weren’t resistant so much as they were just powerful and independent.” “I had some people who were just not comfortable,” stated Sullivan.

Some of these people were so important to me and their lack of comfort was a signal that I might need to take a closer look at things. “There was a lot of tension with what we were doing and I thought that it was important to listen to other people because they had views,” commented Sullivan. After listening, Sullivan might modify or change his position or choose not to. Sullivan called this “creative tension.”

*Were there unexpected changes?*

Adapting or adjusting to changes can be both difficult and challenging for individuals and organizations. According to *Sullivan’s Collected Works* (1991-1995), “smart change builds on continuity.” “One of the biggest changes that the Army had to adjust to was the major reduction in force”, commented Griffith. There were many good people that were asked to leave the force. To many people, this change seemed harsh. Maggart felt that there were some minor things that Sullivan was working on. One of the things Sullivan used to do was preposition stuff.

One of the complaints in the Army was not getting places fast enough because it was too heavy and Sullivan was able to prove himself in practical terms that we could actually get people there faster. According to Nelson, “one of the biggest changes that occurred in the Army is that you never have a fixed contract with the government and so there would be a demand that would not be in the budget or the budget would be delivered in a

different form than the Army had hoped for so the biggest problem would be the inability to control the budget process.”

As we were downsizing and abandoning posts in Germany, there were really big costs. There were movement costs and unexpected glitches that had to be dealt with. Harper felt that in a sense there were many unexpected changes because we didn’t know what was going to happen next. “Money was always difficult,” stated Harper. Sullivan concurred with Harper regarding money. “Money was one of the biggest challenges,” stated Sullivan. “We didn’t really know what protective armor would do until about 1993. Things such as protective body armor and the use of ceramics (pretty sophisticated technology), armored humvees, and new technology were new developments requiring money and review. At any rate, these were definitely unexpected changes.”

*What is your perspective on the role of stewardship and/or ownership facilitation in the change process?*

“I think that stewardship is something that is a fundamental Army value as duty content and you work on this right from basic training and pre-commissioning training. Stewardship is a touchstone in the Army and what you have to do is remind people that the touchstone exists and what we are doing is linking the touchstone,” stated Nelson. Nelson also defined ownership where changes are concerned and could be detrimental because people tend to have a sense of ownership with the way things are now, a vested interest. At times, this can be negative.

On March 9, 1992, General (Ret) Sullivan announced his intention to alter radically the way the Army approached change. According to Yarrison (1999), Sullivan

announced his intention to alter radically the way the Army approached change. Sullivan described a new concept, which he named “the Louisiana Maneuvers” after the historic exercises that the United States Army used to test new organizations and doctrine on the eve of World War II. Sullivan’s Louisiana Maneuver idea was designed to give people a sense that the Army was finding a path for the future, the information age future as opposed to where we were going to station things and a way to fight. These new maneuvers were not another series of large unit field exercises as their predecessors had been.

The Louisiana Maneuvers were the expression of General (Ret) Sullivan’s vision of a systematic way to assess and improve the Army’s ability to carry out its mission. Sullivan envisioned the new Louisiana Maneuvers as using a variety of means including rapid feedback from experimentation and exercises and extensive use of computer-based simulations to shape the post Cold War Army. From this point on, the Louisiana Maneuvers guided institutional change within the United States Army.

Maggart feels that it is impossible for a commander to execute a plan that he or she didn’t write so the fingerprints of the owner have to be all over it. It was Sullivan’s dream, idea, or concept so he had ownership or it wouldn’t have worked otherwise. Stewardship was the success of the Army and the future and Sullivan was the steward of the Army and its future. “I think for the people that were actually implementing the program, they were both stewards and owners,” stated Maggart.

Griffith notes, “Stewardship is a critical element of leadership and management”. He also feels that it always has been a major component of the way we lead in the military because at least we always thought that we never had enough and stewardship is a major

component of that. Stewardship is what we are charged with under the American taxpayers. In our case, it is what our stockholders charge us with. Griffith feels that “stewardship is a very sober, serious responsibility and you have to treat it that way.” According to Harper, Sullivan used to say, “The historians get to decide.”

Today, the business analysts get to decide. Harper felt strongly that this was difficult because “it forces you into that mold to a very short-term optimization of behavior, your communications and everything. If you don’t allow yourself to do this, you may not have a job, so it is a very difficult tight rope to walk.” Sullivan stated, “The leader must buy-in which means in some cases you have to convince subordinate leaders that they have to buy in.” “This is a very interesting issue to understand in a very pluralistic society,” commented Sullivan. You must have buy-in, you can’t be the leader of the band unless you have buy-in.”

*How have monetary issues affected the change process and General (Ret.) Sullivan’s ability to manage this large organization?*

Money has always been an issue according to Harper. Harper stated “Gordon had to rebuild after the Gulf, downsize which was expensive, and try to keep the force operationally ready. There simply wasn’t a lot of money for these things.” Griffith agreed with Harper in that monetary issues were very serious. “They drove how quickly we could go through the change or the infusion of the information technologies. They drove a lot of what we had to do to accommodate the draw down of the Army because a lot of the overseas bases and expenditures. Long term we will save money but short term you have to spend money” stated Griffith. Maggart felt that there were many competing demands. He used the example of having a lot of rice bowls. Monetary issues were

essential in a lot of ways. Nelson stated, “there were monetary outlays given the budget year and many people saw some of the unexpected costs that would be purchased in Germany.”

There was a real feeling in the large part of the Army that it was real expensive and the other part was the people in the laboratories that couldn’t get people or the money contracts due to outside pressures. Shipping, equipment, and others created substantial monetary issues. According to Maggart, “everybody has a rice bowl, and you know that there are a lot of rice bowls and everybody that has a rice bowl can stonewall.” You have to have resources to do things and with all of the digital things that were being implemented it was enormously expensive. Sullivan agreed, and stated, “money was a huge issue.”

*How did you feel Sullivan monitored the change process in light of it being a slow, time consuming, and incremental process?*

Griffith felt that Sullivan did very well at monitoring the change process. Griffith stated that “he did well for two reasons: 1) he never lost focus and never let issues that can consume a person or take one away from the priorities and 2) he never let himself become distracted from priorities that he had established and there were some ankle biters that can draw you away from your programs.” Sullivan kept himself elevated so he was focused all the time. The other thing that he did was put marvelous people into positions. Griffith stated, “he placed people into places where they could not only embrace the process but drive the process into the Army. He trusted people and placed people into positions that shared the vision, had the leadership abilities to drive the

vision, put them in the places and then he maintained them a set process whereby he could follow what was going on.”

Maggart felt that Sullivan monitored the process all the time. “It was always a topic at the meetings or on the road” according to Maggart. He was always watching it all the time. Maggart stated “he had a good pulse on it.” Sullivan knew what he wanted and he knew how to get it. Sullivan was also good at marshalling support to make things happen and he understands change management very well. “I think he did a good job,” commented Nelson. He started his trust agents with the bulk of the reporting and the reporting was really good on the post Cold War part. Sullivan was one person that made things happen. Harper felt that a landscape was created and some of the things ran well and some did not. Many years in school allowed people opportunities to learn to think not to learn to stop. Through this slow process, we were able to participate in all kinds of trainings and help create new ideas. Sullivan stated, “There were all kinds of management techniques, experiments, and hypothesis that were used to measure effectiveness. We looked at performance on the battlefield to determine where the resources needed to be applied.”

*How did the organization measure if the change was successful?*

One of the most important and difficult leadership responsibilities is to guide and facilitate the process of making a major change in an organization. A leader can do many things to facilitate the successful implementation of change. Measuring change within an organization can be challenging at times because it is not always quantitative or numerically figured. Tilelli felt that success of the organization was measured over time. “You will probably not know if you have successful situational awareness until after you

are gone so you can measure the success of events, the activities, the upgrades, and the changes you made that are immediate” declared Tilelli. According to Nelson, “the material change which is the non transformational change, is pretty much an excel spreadsheet mechanically.” On the information side, reports are still coming in and it is ongoing.

For Griffith, measuring change was explained through a series of war fighting experiments that were done so one could quantify things. Griffith didn’t know if the word “quantify” was the correct term, but felt “you were able to see if it improved ones ability to see the battlefield better and ability to focus on combat power against the enemy better. It enabled soldiers to read the threat sooner and to act better.” Maggart felt strongly that “you measured change through implementation.” He emphasized the importance of implementation being systemic and firmly planted. Harper discussed the difficulty of measuring change with limited time of four years in term. He talked about the time that Maggart ran experiments in the desert and metrics and tapes were utilized as a process for measurement. Sullivan stated you measured success by performance. “Performance on the battlefield, performance in places like Rwanda or Haiti” stated Sullivan. Sullivan traveled over 880,000 miles while he was the Chief and went all over the world seeing troops. He saw troops in every situation. He talked to them to get a feel for what was and was not working.

*How would you describe the transformation of the United States Army process? What does this involve? What was your role in this process?*

Nelson felt that the transformation process had several distinct parts: “1) the part that I know most about is the informal process. It was a process none the less to get buy-

in from the senior leadership and to get change it was imperative you had to be an agent for transformational change 2) the next part was developing the mechanism for sorting alternatives which was the Louisiana Task Force and the products that came out of this task force, products being basically opportunities to do simulations or opportunities to do take off on self technology 3) the next process was the simulations of field exercises themselves.” Nelson would attend meetings and write notes and was considered an ancillary player. He was never in the implementation process, but was seen as a trusted agent, an extra pair of eyes, or a sounding board for Sullivan. As the Inspector General of the United States Army, Griffith was considered the eyes and ears for the Chief. Sullivan told Griffith that he wanted him to be the “VonStuben” which was Washington’s right hand man when he was President. He was the guy who pushed discipline, the training, the readiness, and all of the things that make for a better force.

Griffith had the full authority to be anywhere to monitor or check on things. He had several roles in this position. He had to make sure that priorities were being implemented in the field across the Army, made sure of appropriate resourcing, and made sure things were being properly implemented and not wasted. Tilelli described himself as a “humble servant.” He was Sullivan’s G-3 (Operations Officer) of DCSOPS (Deputy Chief of Staff of Operations) and then the Vice Chief of Staff. It was his job to buy into the vision, give absolute support and be an active player in execution of the vision whether it be monitoring Army digitization or working the Force 21 Brigade. Tilelli stated, “Once you have buy in you become part of the solution.” Maggart had several different roles in the process. He started as a Major S-3 (Operations Officer) for First Brigade Armor Division and then became Sullivan’s XO (Executive Officer). He held several other positions:



DCSOPS (Deputy Chief of Staff of Operations), Deputy Commandant, and G5 (Civil Military Operations). Maggart spent a lot of time with Sullivan or under his leadership and command.

Harper said that his role was a simple one. He remembers Sullivan saying “I’d like for you to put some people together to help me think about things.” Harper felt that there was a lot of wisdom in that sentence. “Leadership is not an individual sport it is a team sport” claimed Harper. Harper felt that during the transformation process, there was enormous progress. For Sullivan, transformation is a word that we used but what we were trying to do was to take the worlds best Army and make it the worlds best Army. Sullivan explained that “he was not trying to make it smaller, he was trying to make it better. Better able to do what the country wanted it to do in the 21<sup>st</sup> century and Sullivan couldn’t predict that.” Sullivan was not sure if this was transformation, this was the word in the question. Sullivan felt strongly that the digital world would enable us to do things that we were never able to do.

### *Impact of Change Summary*

The transformation of the United States Army occurred by learning to trust and value each other’s contributions. General (Ret.) Sullivan had to trust staff to execute programs and trust their judgments and decision-making. The Army was constantly changing and adjustments had to be made. Trust was affirmed through successful changes that were implemented within the organization. There were several commonalities and differences among the participant’s perceptions of change. Buy-in was a common thread among the participants views. In order to change, you had to have buy-in from all levels and belief in the vision. Monetary issues were consistently noted as being one of the biggest

challenges the organization faced during this time of transformation. Each participant commented on the effect money had on the budget and programs during organizational change. During the change process, the participants repeatedly stated how well Sullivan maintained focus, established priorities, and trusted people. Some differences were reported on how to measure change within an organization. Examples of these differences include: measuring through experimentation, measurement over time, measurement through implementation, talking personally to soldiers, and measurement through performance on the battlefield. There was not a specific quantitative way that things were measured to determine if organizational change was effective. As stated by the participants, trust, delegation, and empowerment were important in implementing change. Bennis and Nanus (1997) discuss trust as the emotional glue that binds followers and leaders together. This strategy parallels the views that the participants had on change. Trust cannot be mandated or purchased, it must be learned. In an organization, the recipe for success must contain the basic ingredient of trust.

### **Leadership Perspectives**

*As a leader today, how would you teach other leaders how to initiate change? Are there specific steps or procedures that must be followed?*

Leading change is one of the most important and difficult leadership responsibilities. There are many different books on this topic promoting various techniques or procedures. For Maggart, he felt that the following steps should be followed when initiating change: 1) one must have a vision 2) determine what needs to be changed 3) set a plan that must be communicated in a manner that is achievable and 4) check to make sure it is being executed (adjustments might have to be made). Maggart emphasized the importance of

communication between everyone. According to Day, Zaccarro and Halpin (2004), “leadership is the essential ingredient in developing trust necessary for building cohesion in an organization and the only source I know of for heart, grit, determination, endless hope, and tenacity.” For Tilelli, he felt that several different steps had to be followed to initiate change: “1) people must have time to think 2) they have to have time to read and understand history and how it has affected the Army over time 3) they have to develop their vision through the future of their organization whether it be the Army, the brigade, the battalion, or the division 4) they have to be willing to take risks and be unafraid 5) they have to be willing to trust people 6) they have to have a way of measuring (the achievability, if it has been achieved or not and they have to have the humility to say that if their vision is wrong they have to change it).”

Griffith stated, “don’t think you have to make change just for change sake.” It may be appropriate not to change the course in any dramatic way. According to Griffith, one must first evaluate if change is needed and what are the factors that cause me to change? Why should you make change? What conditions have caused us to make change? What are the appropriate changes? What are the appropriate changes to give us conditions we need in the future to be successful? Once you are convinced as a leader that change is needed, you have embedded a consensus of what you have to do, you must create a vision. The vision must be simple and permeated throughout the force. You must also build an understanding and explain why you are changing. Nelson felt strongly that in order to initiate change we must look at successful things that have happened in the past. You must have a new way of doing things, a new doctrine, and it must be clear with comparatives to what your new organization should look like. Nelson is a historian so

examining the past was naturally the best way to teaching change. Nelson said that he and Sullivan approached things with the bumper sticker “intellectual leads physical.” You need to know what is happening, what are the concerns, what are the resources, what are the trends?

Harper felt that change started with vision. He stated, “it starts with identifying disequilibrium in the current reality and that starts the vision. He felt that people don’t resist change so much as resist being changed.” “Sullivan was seeing a communication strategy; if you could create something that people could touch, then they would stop talking about the future and begin to let go and head for it” commented Harper.

According to Harper “one of the things that Sullivan always said was plan your fight and fight your plan.” Sullivan concluded by saying “do your assessment, have a vision of where you want to go, be able to come up with a campaign plan, be able to visualize it and explain your vision to your people, know who is on your team and whether you are going to influence them whether they are up, down, and sideways, and where do your values fit in? Think about change before you do it, determine what you want the people to do, determine if you can enable them to do what you want them to do, and determine what are your visionary goals.” Sullivan emphasized, “that leadership is not some mysterious art, it is enabling people to accomplish the tasks of the organization that you are leading.”

*What type of leader was General (Ret.) Gordon R. Sullivan?*

Nelson felt that Sullivan was inspirational. “He was always someone that could look at the bright side and articulate clearly how things would get better” claimed Nelson. He was a hands off guy who was very loyal up and down. Nelson and Sullivan had a

mentoring type of relationship that in many ways was constructive and useful to what was happening. Griffith felt that Sullivan was a fun leader. “He was fun to be with, very thoughtful, and had a great sense of humor,” commented Griffith. Griffith felt that he had very ominous and honourous responsibilities because of change. Sullivan could laugh with you, laugh at his self, and had a great sense of traditions for service. Griffith felt that Sullivan strongly valued traditions and used those better than any Chief. It was always moving and touching to hear Sullivan speak. He never lashed out at anyone. He was a guy that you wanted to work for. Griffith felt as though Sullivan were a brother to him. Griffith remembers being able to walk into Sullivan’s office at anytime day or night. Griffith said, “you loved working for this man, I loved him.”

Tilelli felt “Sullivan was a very caring and collaborative leader.” He is a visionary leader where you put yourself out there and look back and say “here is where I want to go and here is how I am going to get there.” He loved soldiers and was considered a “soldier’s leader.” Sullivan has made many contributions to the Army and I think he was a leader that didn’t care for politics. He was a trusted leader and was the “right man for the right time.” Maggart learned many things about leadership from guys like Sullivan. According to Maggart, “Sullivan really impacted me and was a powerful leader.” Sullivan always left his door open and was always amongst people. He always wanted to get out of his office and see what was going on. He is a man that loves music and was a man of his word. According to Maggart, if he told you something, you could count on it. One of his favorite words was disingenuous. In fact, Maggart learned this word from him. Maggart said, “There was nothing disingenuous about this guy, he told you the way it was.”

Harper felt that he was a very innovative, personal, political savvy type of guy. He was very human and hands on. He was always concerned about the interest of the people. Harper commented, "He had an amazing capacity to stimulate his thoughts and be alone in his thoughts." Sullivan found this question a difficult one to answer because it was about himself. He said, "I think I am intuitive, I like people, I like to be around people and I think they know that. I can be very focused and I think I know what I want. I think I know what I have accomplished in my ability to discern what I know is good for the organization. I am not one to suffer fools lightly and I think I get the best out of people and understand people can't do everything and I am willing to put up with that."

*What leadership skills did you obtain as a subordinate under General (Ret.) Sullivan's leadership?*

Nelson felt that a leadership skill that he learned was the "create the future" piece. "Sullivan was very good at getting behind the plan and flushing out of the plan the early feedback on the implementation of the true shape, the future part and the ability to adjust once you are underway" stated Nelson. Sullivan impacted me in several ways according to Griffith. One way was the way he dealt with senior civilian leaders. He was able to handle people with dignity and humor. His emphasis was "we were all here to serve the nation and taking care of soldiers and their families was a key part of serving soldiers." Griffith said "Sullivan continued to emphasize the Army is not about soldiers, it is soldiers" and this had a great impact on me. Maggart learned the important skill of teambuilding from Sullivan. "He was the best team builder that there ever was," stated Maggart. He always had high praise for people and not much time for chewing people out. Maggart could not remember one single time that he hollered or was ugly. He was

always building teams. Sullivan always took the time to find out what people did. He taught Maggart to go out and talk to people and find out what is going on and show interest and remember to integrate. Maggart stated, “I learned that you must learn the concept and drawing pictures. Drawing pictures helps people understand things. It enables people to see the intricate parts.” Today, Maggart continues to draw pictures, charts, and visual objects when teaching people about new things or ideas.

Harper felt that he learned a lot of things from Sullivan. He felt that he learned a lot about politics, not necessarily the mechanics of politics, but the importance of politics from Sullivan. Harper stated, “Gordon is the most authentic leader that I have ever worked with. I mean, what you see is what you get and I think what Gordon teaches us is the old business of if you never tell a lie, you never get caught in a lie.” You need to be who you are for better or for worse. Harper felt that “Gordon was always good at separating the weak from the other without a protocol. He knew exactly when to have the flags, when to have the photography, and the right things to say at the right times.” Harper concluded by saying, “Gordon allowed me to appreciate the other side of reality.” Sullivan felt, “in some way I think I helped keep hope alive and gave them a way for the future.”

*What suggestions or recommendations would you give other leaders regarding implementing change within their organization?*

Griffith recommended finding out if change is called for. He felt that this was the most crucial question and then recommended going through the steps such as 1) vision, 2) obtaining buy-in to the vision 3) resource the change process and 4) monitor to see what is going on. Griffith felt that sometimes there is no need to change. Nelson felt that

the strongest recommendation to give a leader when implementing change was “chain teaching.” According to Nelson, “chain teaching is the ownership piece where you throw your arms around it and you say this is where we need to be and this is what it means to us and this is what is happening.” Maggart recommends “making sure that people know the impact about the change and understand what they are suppose to do and why.” If people don’t understand what is suppose to happen or what they are suppose to do, they may stonewall you and it will be miserable. This was a lesson that Maggart learned time and time again.

Tilelli felt that people needed to first understand change and the impact of change within their organization. “They have to understand if it is attainable, have to get buy in from their subordinates (whole hearted support), and they have to take risk” stated Tilelli. Through these risks, they have to be willing to take the consequences, which is the biggest detriment to risk. Harper felt that change starts with vision and identifying what changes are needed.

Sullivan stated “I would do a gut check to see how the organization feels about their self, where it is on values, and how in touch with itself it?” Sullivan also commented, “make sure you understand the external environment, what are you being told about the organization from the outside? Have you done an assessment of your own physical assets? Do you have a vision? Can you articulate the vision in a way that is comprehensible? Do you have a plan?” Sullivan gave the following example for defining a campaign plan. He said, “a campaign plan will take you to this visionary point and you are prepared to go out to the distant horizon and five years turn around and look back at your organization in five years and say I am standing out here and I am looking



back at them and at a transcendental sense visualizing the new organization you are trying to build. I am standing out here looking and thinking and periodically bringing the organization to this point. Sullivan felt strongly “that you have to have strong touch with values, a lens in which you will view the journey, and the lens should have images of what you are trying to build. You have to have images and you need to be selling these images to your people (not in an advertising sense but you have to sell them). You have to be an interpreter along this journey and be the one sitting around the campfire at night saying here is what happened to us today, here is how it relates to what we are trying to do.” You must be consistent in your message, if not you will lose your people.

*On a Personal Note: Where do you see yourself in the next ten years?*

Griffith joking answered this question by saying in the next ten years he would probably be in the Arlington Cemetery. He followed with a more serious response of “I hope with my leadership, I am looking forward to retirement and probably should have retired already.” His hopes were to write a book on leadership but he would not write it about himself. He would write a book about great leaders that he has served under such as Gordon Sullivan. Harper loves his home that he built and looks forward to retiring in the next seven or eight years and staying there forever. Harper also felt like he would write another book. “I have seen many things in my lifetime” stated Harper. The day Harper left the Army, he was delighted to leave with twenty-six years of dedicated service. Harper hoped that he had made a difference or impact in many people’s lives.

For Nelson, he felt that he would be doing pretty much what he was doing now. Nelson said, “I might have to stop doing so much, but pretty much about thirty percent of my time is devoted to leadership and the battlefield evenly split between military and

corporate groups.” Tilelli said, “I see myself being a tremendous supporter of our soldiers, their families, and the Army. Secondly, I see myself as potentially continuing to work full time for a while but I don’t know how long, maybe five years. I also would like to enjoy my grandchildren which is most important in my life.” Maggart laughingly answered this question by stating “probably dead. I didn’t think I would make it until age fifty-five, but I have already done that.” Sullivan responded to this question with great laughter too. He said, “I am almost eighty years old and enjoying life. I may not be doing what I am doing right now but I will hopefully be contributing in some way.”

*Research Question: What impact do you feel General (Ret.) Sullivan had on you? Other soldiers? Specifically, How do you feel his leadership impinged upon other people to develop their leadership skills and make change within the organization?*

According to Nelson, Sullivan helped him personally with the development of leadership capabilities in general officers. Tilelli stated, “Sullivan had a tremendous leadership style.” He loved soldiers and he loved being with soldiers. His focus was the Army because he loved the Army. He had tremendous collaborative communication skills because he worked all the issues by going to the units and schoolhouses and colleges. He had an incredible impact on many people. For Griffith, Sullivan encouraged him to continue his efforts in the Army. Griffith remembers Sullivan saying, “There is more to offer the Army.” Sullivan was an inspiration to Griffith personally and professionally. Griffith stated “he took soldiers, non commissioned officers, officers, and their families through a period of trauma and made things better through commitment.” Sullivan worked with a vengeance so soldiers and families throughout the force were better served because of his leadership, compassion and empathy for people. He had a

great love and affection for soldiers and paid close attention to programs that would help or be beneficial for them. Griffith felt that he became a four star General because of the impact Sullivan had on him both personally and professionally. Sullivan impacted Maggart in a very similar way. Maggart recalls the first day that Sullivan walked into his office and he watched him write personal notes to everyone thanking them for various tasks. He would always take time out of his schedule to write a note or to let people know what was going on. Sullivan was not afraid to let people know if he didn't know something. According to Maggart, personally he learned some simple things from Sullivan. You can be successful by admitting, "I don't know" or saying "I'm sorry." You can even add another one "I made a mistake." Sullivan was not afraid to take risks, let people know he didn't know, and always went out of his way to talk to all people at all levels. Harper praised Sullivan's leadership and discussed at length the impact he made on him both personally and professionally. According to Harper, Sullivan was very human. "He was empowering, learning and trusting, strategic and caring, and very visionary." Sullivan had a difficult time answering what type of impact he felt he had on his subordinates and soldiers. He hoped he made a positive impact on people but would rather others make that judgment.

#### *Leadership Perspectives Summary*

Communication was a critical element in the organizational change process. The participants reported many commonalities regarding Sullivan's communication style and effectiveness. One commonality was Sullivan had great interpersonal skills. He was very supportive of his soldiers and staff, pleasant to be around, and genuinely caring. Secondly, Sullivan was great at remaining in touch with people at all levels. Sullivan

traveled many places and trusted his subordinates to do the same establishing rapport and buy-in from people at all levels. Another commonality was Sullivan's ability to make abstract ideas concrete, which comes out of the use of graphics and his Louisiana Maneuver idea. The last one would be clarity and chain teaching. Sullivan emphasized the importance of teaching through the various levels of leadership in order to consistently disseminate information throughout the ranks. Chain teaching empowered leaders to instruct and delegate at all levels. Sullivan had faith and excellent communication skills enabling him the ability to build great teams and leaders. Sullivan had the talent of mitigating with people that had any reluctance to change. Communication was a critical factor in developing collaboration and teamwork within the organization. According to Bennis and Nanus (1997), the strategy entitled "meaning through communication", indicates a leader must be the social architect who understands the organization and shapes the way it works. Communication gave meaning to people's work and embodied the norms and values of the organization. Through a variety of methods, Sullivan was able to effectively communicate by driving the message through people at all levels. The message was clearly transmitted and enabled people to make decisions.

### **Overall Summary**

The purpose of this chapter was to conduct a cross-case analysis of the responses to the six interviews of the participating military members to understand the impact General (Ret.) Sullivan had on his subordinates during a time of transformation. An interview guide consisting of twelve main questions was developed to determine what the subordinates, all of who worked under General (Ret.) Sullivan's supervision, perceived to

be a significant impact during the implementation of change within the United States Army. The questions addressed the issue of leadership practices in the implementation of change. Although the interview guide was predetermined, at times the researcher deviated from the exact questions due to the tone of the interviews. The questions on the interview guide were grouped into three broad categories to investigate the perspectives of the subordinates on the following categories. They include perceptions on leadership, perspectives on vision, leadership perspectives, and the impact of change. In the following chapter, the analysis of findings is presented.

## CHAPTER V

### CONCLUSION

The purpose of this study was to examine the leadership skills of General (Retired) Gordon R. Sullivan, former Army Chief of Staff, utilizing the conceptual framework of transformational leadership by Bennis and Nanus (1997) during a time of organizational change. From the emerging case studies, the researcher attempted to answer the following question: What effect did General (Retired) Gordon R. Sullivan's leadership have on people under his command? Specifically, how did his leadership impinge upon people to develop their leadership skills and manage change within the organization? As the analysis process unfolded, several themes emerged from the stories of the participants (*see Figure 7*).

According to General (Ret.) Carl Vuono, "Gordon Sullivan was calm, cerebral, articulate, vibrant, inspiring, and an architect and builder of the Army today." The OIF and OEF is his legacy to the nation. "Sullivan was the right leader at the right time to meet the many challenges", commented Vuono. General (Ret.) Sullivan became Chief of Staff at a particularly challenging time in our nation's history. "Coming out of twin triumphs in the Cold War and Desert Storm, he had to contend with murky national security environment and a political body that jubilantly expected enormous peace dividend and believed that the world had reached the end of history," stated Vuono. According to General (Ret.) Vuono, "Sullivan's tasks were to maintain the Army as the finest fighting force in our history, transform the Army into what the nation would require in the decades ahead, and reassure the Army that it would remain the centerpiece of American's global defenses."

Through this research study, General (Ret.) Sullivan exhibited many of the characteristics of transformational leadership as reported by Bennis and Nanus (1997). The idea is not to lock into one specific model but to understand how Sullivan's leadership style was composed of many of the strategies listed by Bennis and Nanus (1997). Sullivan dipped his feet into many types of leadership pools but waded heavily in transformational leadership. As many leaders do, Sullivan's leadership style sometimes overlapped other styles. For example, as situations occurred within the organization, Sullivan utilized specific behaviors that were suitable to deal with the situation. This type of leadership style is defined as situational leadership. He was able to control situations with a high degree of confidence while maintaining control.

Another example is how Sullivan dealt with obstacles or barriers within the path of the goal or mission. Sullivan touched upon path goal theory within his leadership style as he assisted subordinates in removing barriers on the pathway to attain both work and personal goals. Sullivan was also a participatory leader. He delegated many tasks and trusted subordinates to follow through but he also was not afraid of getting his hands dirty. For example, Sullivan traveled miles to talk to soldiers about various things. He felt strongly that a leader learned from the battlefield. He was not afraid to leave his office and see what was happening in the real situation.

Sullivan's leadership style swayed more towards transformational leadership for several reasons. He involved staff members in making collaborative decisions, he emphasized the importance of vision and buy-in within the organization, his communication skills were outstanding, and he believed strongly in learning or the deployment of self. Sullivan's leadership made a great impact on many people. Through

extensive research and the analysis process, several themes were consistent with leadership practices of transformational leadership. Through a leadership process that involved having a vision; communicating, sharing and creating buy-in of the vision; establishing an implementation plan; and being consistent and persistent in support of the vision, each of the military members discussed the transformational change process and embraced the new organizational patterns of behavior.

The military members in this study were unique in their ways of leading and in their ideas for implementing plans for executing change. While there were many commonalities in their approach to change, each subordinate placed varying emphasis on particular aspects of that process. In order to grasp a more in-depth understanding of General (Retired) Sullivan's role in implementing change, the transformational leadership framework proposed by Bennis and Nanus (1997) provided the conceptual foundation for this study. From their research of leadership in the private sector, Bennis and Nanus discovered the following four themes of transformational leadership competencies or strategies: 1) attention through vision 2) meaning through communication 3) trust through positioning and 4) the development of self. These strategies were used to frame the analysis for this study. "The four managements can be learned, developed and improved upon," according to Bennis and Nanus (1997). Sullivan's subordinates in this study also shared this view.

The overall findings in this study indicated that all of the subordinates demonstrated the four competencies of vision, communication, trust, and self-development. As displayed in *Figure 5*, The Four Strategies Model designed by Dugan, it is evident that leadership is the heartbeat or metabolism of the organization. An essential factor of



leadership is the capacity to influence and organize meaning for the members of the organization. The Four Strategies reported by Bennis and Nanus (1997) are all connected to leadership. Great leaders often inspire their followers to higher levels of achievement by showing them how their work contributes to worthwhile ends.

Leaders set the moral tone by choosing carefully the people with whom they surround themselves. General (Ret.) Sullivan surrounded himself with people he trusted. Sullivan delegated and empowered his subordinates to complete missions and accomplish goals. Trust, integrity and positioning are all common among leadership. Sullivan constantly communicated to his staff and subordinates through various methods. Sullivan believed in driving down a clear message at all levels. Chain teaching was an important tool utilized to help disseminate information through the ranks.

The leader is like a conductor of an orchestra making sure things flow together harmoniously. Leadership can invent and create institutions that can empower employees to satisfy their needs. General (Ret.) Sullivan emphasized the importance of vision within the organization. The organization was engaged in a specific target or common enterprise. Sullivan used the vision as a bridge to see the future. It was critical that the United States Army had a clear vision that was understood at all levels. Sullivan wanted the vision to be the lens for the organization and pathway to the future.

It is critical that in any communication, the leader clarifies the goal and minimizes distortions. The leader is the major instrument an organization has for articulating its dreams while pointing the way toward their goals. The leader is the trustee or social architect of the organization's future. Leaders are able to set direction during turbulent times. General (Ret.) Sullivan was able to utilize vision, trust, communication, and

positive self-regard by empowering people to accomplish specific tasks. Positive self-regard seems to exert its force by creating in others a sense of confidence, high expectations, while establishing standards for thinking about human possibilities.

The strategy entitled “deployment of self through the *Wallenda* factor,” is simply leaders putting all of their energy into their task without thinking about failure. General (Ret.) Sullivan took risks. He was not afraid to learn from mistakes. For Sullivan, making mistakes or failing was a beginning, or the springboard to hope. There was a strong belief in learning, trying new things, and teaching. Without leadership as the center heartbeat, it is hard to see how we can shape a desirable future for this nation. In *Figure 5 (page 71)*, leadership connects the Four Strategies together. The absence or ineffectiveness of leadership implies the absence of vision, which could result in lack of purpose or cohesion.

The nature of change resulted in deep philosophical reexamination and shifting or repositioning of various things within the organization. This study was significant at two levels. On one level, the findings from the research contributed to a limited body of knowledge of military leadership and the leadership practices required implementing change within the military setting. The research project provided insight into subordinates that worked under Sullivan’s leadership and addressed their concerns and issues confronting them while under his direction. On a larger level, this study outlines successful change processes utilized by General (Retired) Gordon R. Sullivan and the impact he had on his subordinates. Other leaders, in the military or civilian world, may learn from this study and utilize these processes to fit their organizational needs.

### **Analysis**

### *Attention to Vision*

To choose a direction, a leader must first have developed a mental image of a possible and desirable future state of the organization. This image, which we call a vision, may be as vague as a dream or as precise as a goal or mission statement. The critical point is that a vision articulates a view of a realistic, credible, attractive future for the organization, a condition that is better in some important ways than what now exists (Bennis & Nanus, 1997, P. 82)

A common theme among the subordinates was that of having a vision for the organization. The subordinates emphasized the necessity of having a vision as a lens for seeing the future. Each felt that vision was one of the most important components within an organization. A blurred or unclear vision prevents the organization from reaching their organizational goals. General (Retired) Sullivan and each subordinate felt that it was a team effort creating the vision, which developed the framework for creating the fiber of the Army. The subordinates felt strongly that Sullivan was able to engage people at all levels to create a shared vision within the United States Army.

The need for a compelling vision was a common theme among all participants. Each subordinate's vision encompassed his passion for creating a safe, orderly environment while providing a corporate sense of being. The vision had collaborative input and then through a process of empowerment shared in its implementation. In addition, a vision required continual monitoring and maintenance. Vision was a constant reminder of purpose for all people within the organization.

According to General (Ret.) Vuono, "vision is one of the bedrocks upon which effective organizations are built. Vision is the leader's most basic statement of what you want your organization to become, both in terms of performance and character."

According to Sullivan and Coroalles (1995), the Army leadership defined a strategic vision and empowered leaders throughout the Army to pursue it. The vision was: “for the Army to be a force, trained and ready to fight, serving the nation at home and abroad; a strategic force, capable of decisive victory (p.28).” Today, as the Army articulates a vision for the Army of the 21<sup>st</sup> century, rapid technological developments in information management and processing are ushering in what many believe is the beginning of the post-industrial age; the Information Age. Technological innovations, many of which were dramatically demonstrated in the Gulf War, are giving rise to what is being called a military technical revolution. According to Vuono, “vision, usually expressed in a succinct yet uplifting vision statement, defines the organization at the end of a discreet period, generally measured in three to five years. The vision thus becomes a statement of goals-goals that provide the framework in which the organization will operate.” Key to the success of the change was whether it became part of the culture; this was achieved through the communication process utilized by General (Retired) Sullivan and his subordinates.

### *Meaning Through Communication*

Above and beyond his envisioning capabilities, a leader must be a social architect who understands the organization and shapes the way it works. The social architecture (culture) of any organization is the silent variable that translates the “blooming, buzzing confusion” of organizational life into meaning. It determines who says what to whom, about what, and what kinds of actions then ensue. Social architecture is an intangible, but it governs the way people act, the values and the norms that are subtly transmitted to groups and individuals, and the construct of binding and bonding within a company. (Bennis & Nanus, 1997, p.102)

Another theme that emerged from the data was that of the role of communication in the transformation of the United States Army. The subordinates reiterated the importance

of communication within the organization at all levels in order to shape the culture and values within the organization. Communication determined how people interacted with each other. It embodied the values and norms of the organization and provided for a cohesive interpretation of events that unfolded each day. Communication gave meaning to their work and established commitment to the values and philosophies within the organization. Communication was vitally important within the United States Army when implementing the vision.

Communication was transmitted through articles, telephone, letters, speeches, interviews, charts, symbols, and testimony. General (Retired) Sullivan and the subordinates emphasized the importance of driving the message through people at all levels. If you don't communicate, things simply don't happen. Each person felt that the message had to be transmitted clearly to all levels in order to empower people. The key to communicating effectively was to empower people to make decisions and allow them to lead.

### *Trust Through Positioning*

Trust is the emotional glue that binds followers and leaders together. The accumulation of trust is a measure of the legitimacy of leadership. It cannot be mandated or purchased; it must be earned. Trust is the basic ingredient of all organizations, the lubrication that maintains the organization, and as... it is as mysterious and elusive a concept as leadership-and as important. (Bennis & Nanus, 1997, p. 142)

The transformation of the United States Army occurred by learning to trust and valuing each other's contributions towards the vision. It was important to have people believe in the vision. Each subordinate discussed the importance of buy-in from people in order for change to be put into motion. Delegation and empowerment were the other factors that were important when implementing change. Shared decision making seemed

to occur simultaneously as the vision evolved into a cohesive guide for solving day-to-day problems. General (Retired) Sullivan had to trust staff to execute programs, and trust their judgment in doing so, especially when the decision called for program modifications.

Sullivan and the subordinates emphasized the importance of the team process, which helped minimize deviations and approach problems from multiple perspectives and to ensure programmatic cohesion. Everyone was connected to the team at many levels. People had input into the decisions before implementation. Trust was affirmed through the successful change that had been implemented and was reflected in the innovative actions that unfolded. The Army was constantly changing. Sullivan reiterated to people that with constant changing, you have to be able to harness all of the changes and keep it going in the same direction. There was always the need to find new tactics, new procedures, and technologies. Through collaboration and collectivity, Sullivan and his subordinates tried different things to meet the needs for the United States Army. It was important for all members at all levels to see themselves as team members rather than some disconnected individual and that trust be earned and not mandated or bought.

The subordinates felt that Sullivan always had a genuine interest in people. In the end, it was about the relationship Sullivan had with people, the stakeholders, and others. Implementing change within the organization was affected by these relationships. Trust between Sullivan and his subordinates led towards mutually supported goals and were a necessary component in the successful implementation and institutionalization of change. Trust among the people at all levels would also be a requisite for organizational learning, another component of transformational leadership.

### *Development of Self*

Learning is the essential fuel for the leader, the source of high-octane energy that keeps up the momentum by continually sparking new understanding, new ideas, and new challenges. It is absolutely indispensable under today's conditions of rapid change and complexity. Very simply those who do not learn do not long survive as leaders. (Bennis & Nanus, 1997, p. 176)

A final theme to emerge from the data was that of self and organizational development through learning, a necessary factor for transformation to occur. Through a process of organizational learning, Sullivan and his subordinates were able to see transformation by collectively embracing new knowledge, tools, behaviors, and values. The acquisition of new skills was mandatory if they were going to survive as leaders. According to each subordinate, Sullivan looked at performance on the battlefield to determine where resources were needed. He looked at history, experimentation, and listened to people. Learning must truly be lifelong not merely episodic.

Organizational change typically meant navigating uncharted waters; risk taking or risk of failure was an integral part of the change process. Sullivan and the subordinates focused on learning at all levels to accomplish common goals. He was able to place people into places so they could embrace the change process. Teamwork and team learning played a large factor in how they solved problems requiring increased skills in learning, being able to generate knowledge through the analysis of issues.

The nature of the Army required a continual vigilance for learning about and solving unique challenges. Thus, team learning further facilitated a shared vision. As people came together to share a vision of a better organization, and staff became increasingly comfortable with changes that were implemented, the reality of what was happening began to unfold. Each team saw themselves as one entity working together rather than

separate individuals attempting to achieve a common goal. As new procedures were put into practice, each member engaged in some degree of experimentation with the new procedures.

Communication was monumental to the feedback process; it was something that each of the subordinates sought to perfect and was a continual process to maintain. In the Army, there seemed to be a good management system. Management allowed Sullivan and his subordinates the opportunity to sit down and assess what was going on and decide what they were going to do and not do. Sullivan was highly respected by the subordinates for his invested interests in soldiers and families. He would take personal responsibility for things, which demonstrated to people that he cared. He would manage change through empowerment and delegation. Sullivan had faith in other leaders to get the job done. Sullivan was known to conduct major team building exercises to help eliminate fear and educate people on what was going on. The subordinates felt strongly that Sullivan was a very effective communicator and had tremendous skills in mitigating with anyone that was reluctant to change. The vision seemed to be vetted within the organization and shared by all.

### **Overall Conclusion**

Several conclusions could be gathered from this study. Collectively, the subordinates shared several commonalities and individually were unique in their thoughts on leading change and the impact General (Retired) Sullivan had on them personally. All subordinates in the study were men, retired, and currently hold successful leadership positions within organizations other than the Army. Although no dissenting voices to Sullivan's work were located in this study, there may be bias in the small sample, which



may be a limitation to providing an objective view on leadership. The transformational framework as proposed by Bennis and Nanus (1997) provided the theoretical framework for this study, and gave focus and direction to the analysis process, with the overall objective of comprehending how Sullivan's leadership impacted his subordinates during a time of organizational change.

Adapting or adjusting to changes can be both challenging and difficult for individuals and organizations. One of the biggest changes in the Army was the major reduction in force or downsizing. Sullivan led the United States Army through this period of downsizing by 600,000 people. Sullivan's emphasis on "buy-in" became a necessary precondition to success. He was able to persuade other leaders of the need for major changes in how the Army operated. His success, in part, reflects an atmosphere of teamwork and willingness to listen to other ideas on how best to accomplish a task. General (Ret.) Sullivan's approach epitomized a leader's positive use of persuasion. According to General (Ret.) Vuono, Sullivan led the Army with honor, integrity, vision, and tenacity during an era of great challenge and change."

Sullivan built his credibility and relationship with soldiers at all levels by personal involvement through speeches, video taped messages, and personal visits. He identified shared values and concerns with the entire Army family using both intellectual reasoning and emotional appeals to connect with soldiers. Recognizing both the difficulty and the need for downsizing, he helped shape the expectation and belief that it would happen in a fair and equitable manner.

Before the implementation of change, there had to be an understanding or a need of buy-in, commitment for change, a plan of action, and then collective efforts of people at

all levels to bring about the new reality. There had to be 'buy-in' from people and eventually ownership for change to become embedded in the culture of the organization. This was the vision that everyone agreed upon, although everyone may not initially agree as to how the vision was to be realized. The key was to create buy-in through a compelling vision of a better future. Also of interest was that the change process was unique, personal and situational, evolving along the strengths and weaknesses of the leader.

Collaboration, empowerment, and teamwork in the decision process proved to be beneficial to the change process. This facilitated equity, equality, and the shared nature of effort to bring about a different perspective. Ongoing training was crucial for the learning of new skills. Financial resources were one of the biggest challenges and always the most difficult. There was always a continuum refining the approaches and techniques during the change process. Sullivan's relationship with people affected their ability to implement change. Sullivan never lost focus and never let issues consume him or take away from priorities.

Trust was key to building relationships and they had to model by engaging in the same activity as was expected from the staff. Sullivan had to be part of the team. Having open and honest communication facilitated a culture of caring and trust. Sullivan was there to assist soldiers and his staff by being supportive and encouraging. Relationships were further developed through risk taking and trusting people at all levels to be innovative in their delivery of instruction. Sullivan displayed characteristics of emotional intelligence throughout his leadership tenure. He was attuned to other people's feelings and knew

how to guide them to effectively perform their job. He was candid, authentic, and able to speak openly about his emotions or convictions about his vision.

Sullivan knew his abilities and was able to ask for help by conducting his own self-assessment. He demonstrated strong self-management by admitting if he made mistakes. He did not tolerate unethical behavior and was able to juggle multiple demands without losing focus. Sullivan set pragmatic but measurable goals while calculating risk and continually learning. He believed in training, learning, and teaching. Sullivan had a sense of efficacy and optimism seeing opportunity rather than threats or obstacles. He believed in creating better possibilities for the future. Sullivan was able to get along well with people of diverse backgrounds and different perspectives.

Sullivan understood the political forces in the United States Army. He was politically astute and able to detect crucial social networks and key power relationships. His ability to empathize with others helped him to sense emotional signals while providing emotional climate to keep people on the right track. Sullivan also had outstanding relationship management skills. He was able to inspire and move people with a compelling vision or shared mission for others to follow. Sullivan influenced, developed others, and catalyzed change. He was able to collaboratively work through obstacles or issues and find practical solutions to overcome barriers to change.

Sullivan and his subordinates understood the need for change. The Army discovered ways to maximize technology and give the Army the organizational advantage. Sullivan emphasized the importance of technology in the 21<sup>st</sup> century. The insertion of information age technology into the 21<sup>st</sup> century opened up a wide array of organizational possibilities. People had to engage in a self-evaluation process to determine the need for

change and bring into question their philosophical position on things. Military leaders continue to carry out and implement change throughout the United States Army.

Sullivan's greatest obligation was mission accomplishment.

The key to attaining vision was simply maintaining momentum while accommodating change. Through a process of self and organizational learning, people changed their beliefs, assumptions, and attitudes of what it meant to make change within the organization. There was a focus on educating or training first and managing second. The study revealed that each of the subordinates had developed strategies for implementing change that were influenced by Sullivan and utilized various transformational leadership practices to facilitate the process. Sullivan realized that the Army had to make many decisions and within the first few months he was able to define objectives or goals that he believed were necessary to achieve this task.

As change evolved over time, the subordinates gained a better knowledge of other people and what they could expect from them. Through continual vigilance and modeling, reaffirming the vision, communicating, trusting, developing self and others, they collectively can move people to a better place to help make their organization successful. As demonstrated in Figure 4, Dugan's Model of Change, there are three components within an organization that are constantly changing. These three components, people, leadership, and resources have a large impact on the organization's effectiveness.

People, or personnel change, can affect the organization's overall stability or continuity. Resources can change simply based on monetary issues, availability, or the operation at hand. Military leadership can often change annually, which can affect how

missions, objectives, or goals are accomplished. One leader's philosophy can differ from his or her predecessor, which could impact the way in which goals are obtained. This model depicts the researcher's view of change within the military organization. The model provides a visual portrait so the reader can analyze the three components that affect change within a military organization. Organizations are reshaping themselves to meet the necessary challenges to prevent stagnation and continue moving forward towards achieving their goals.

Figure 7

### **EXPLANATION OF THEMES**

<b><u>Theme</u></b>	<b><u>Definition of Theme</u></b>	<b><u>Examples of Themes</u></b>
Communication	Above and beyond his envisioning capabilities, a leader must be a social architect who understands the organization and shapes the way it works. The social architecture (culture) of any organization is the silent variable that translates the “blooming, buzzing confusion” of organizational life into meaning. It determines who says what to whom, about what, and what kinds of actions then ensue. Social architecture is an intangible, but it governs the way people act, the values and the norms that are subtly transmitted to groups and individuals, and the construct of binding and bonding within a company. (Bennis & Nanus, 1997, p.102)	Sullivan felt strongly that you had to communicate in order for things to happen. Sullivan emphasized the importance of “driving the message up and down at all levels. According to Griffith, “he could be anywhere at anytime in the world and report to Sullivan what was occurring in the field or at a specific post.” According to Nelson, “chain teaching was a way to empower, delegate and communicate the vision, tasks, or plans.”
Vision	To choose a direction, a leader must first have developed a mental image of a possible and desirable future state of the organization. This image, which we call a vision, may be as vague as a dream or as precise as a goal or mission statement. The critical point is that a vision articulates a view of a realistic, credible, attractive future for the organization, a condition that is better in some important ways than what now exists (Bennis & Nanus, 1997, P. 82)	Sullivan’s vision empowered people to work together to achieve a common goal. Technology was a critical component for soldiers in the 21 <sup>st</sup> century. According to Sullivan and Harper, “vision is an intellectual bridge from today to tomorrow and a sense for the future.” According to Harper, “vision is critical within an organization. You must know where you are going, what you are doing, why you are doing it, or have some touchstone of what is going on.”
Trust Through Positioning	Trust is the emotional glue that binds followers and leaders together. The accumulation of trust is a measure of the legitimacy of leadership. It cannot be mandated or purchased; it must be earned. Trust is the basic ingredient of all organizations, the lubrication that maintains the organization, and as...it is as mysterious and elusive a concept as leadership-and as important.(Bennis & Nanus, 1997, p. 142)	Sullivan encouraged his subordinates to participate in the decision making process. He went to the field and asked soldiers if things were effective or ineffective. According to Maggart, “the key is to empower people to make decisions and let them lead.” According to Griffith, “if you don’t have trust and confidence in your people and empower them, you just can’t do it.”
Self/Organizational Development Through Learning	Learning is the essential fuel for the leader, the source of high-octane energy that keeps up the momentum by continually sparking new understanding, new ideas, and new challenges. It is absolutely indispensable under today’s conditions of rapid change and complexity. Very simply those who do not learn do not long survive as leaders. (Bennis & Nanus, 1997, p. 176)	Sullivan talked to soldiers all over the world to get a sense of what was working and what wasn’t working. According to Sullivan, “we looked at performance on the battlefield to determine where resources needed to be applied.”

## **Implications and Recommendations**

The purpose of this study was to investigate the impact General (Retired) Sullivan had on his subordinates. Specifically, how his leadership impinged upon other people to develop their leadership skills and make change within the organization. The findings of this study are consistent with the literature regarding the process of change and best practices for implementation. The following are recommendations for implementation of change within an organization and the impact Sullivan had on each subordinate.

### ***Key Practice from Research***

Based on the results of this study, the following characteristics for implementing change within an organization are recommended:

1. Leaders must be able to lead their people through the change process; this is central to the success of change. They must model the process of change, show enthusiasm for the change initiative and hold themselves accountable to the same standards as those they expect from their team. They must understand the organizations culture and be a social architect for the new vision. They must encourage leadership and participation at all levels. They must also be aware of outside forces influencing their organization, and if needed be a buffer against those influences.
2. Leaders need to assess the change readiness of their staff or team. A collaborative environment should exist, indications that staff members are encouraged to make sound decisions and know that they are part of the process. The establishment of ownership and buy-in is necessary for change to occur. Having faith in your

leaders is critical in this process. Empowerment and delegation were important components in managing the change process.

3. Leaders must have a driving vision and passion for some desired future state of their organization. The vision should articulate a state of being that is better than what presently exists. The vision must be clear and understood by people at all levels. Through the process of empowerment, the people will come to share the vision and realize that the effort is making a difference and that they have contributed to a greater social good. Only in this manner can a vision take hold of an organization and harness the vigor and enthusiasm that is required for lasting change. The development of the vision is an interactive, circular process, not a linear progression from vision to strategy to action. The vision becomes enriched more as it gains substance from the ongoing process. If you don't know where you are going, any road will take you there.
4. Leaders must assume the responsibility for shaping the culture of their organization. This determines how people interact with one another, and with their team leads to a shared interpretation of daily events. It allows for the establishment of the vision, a meaningful work environment, and the commitment necessary to the change process. Communication, both formal and informal, is monumental to the culture shaping process. It is a critical component of establishing effectiveness within an organization. It is key in establishing buy in from team members. If you don't have communication, things simply won't happen.



5. To implement change, leaders must establish trusting relationships with all people at all levels. Teams are important to build these trusting relationships. Showing respect for all people by allowing them to take risks, especially within a team format leads to innovative programming. Once trust is established, people can work collaboratively with each other. Change sometimes involves taking risks. Just as meaningful change takes time, so too does the development of trust. Listening to others is an important skill that is necessary when developing trust. You can't be a leader of a band unless you have buy in.
6. Leaders must be aware of the process of change by monitoring the progress, paying close attention to potential resistance or barriers. Training or professional development must address the needs and provide feedback and follow up for those directly involved. Change is constantly occurring, as is the need for adjustment to new things. Furthermore, they must embrace learning both individually and collectively; there must be a continual push to provide training to keep change alive. With new technologies and equipment, people must be kept abreast of proper procedures and instructions.
7. Greater communication and sharing of information with people at all levels should exist to see how others are implementing change within environments that are similar. It is important to look at outside resources and other organizations to obtain new ideas.
8. Leaders must provide the necessary resources, i.e. money, people, supplies, etc to keep the innovation going. Expectations of change without the necessary resources are destined to fail. However, not all change requires the expenditure of

monetary resources. It is important to be aware of the resources available or evaluate if they are needed while implementing change within your organization.

### ***Key Practice and Research for Leadership***

Based on the results of this study, subordinates identified the following characteristics as the leadership skills they obtained while under the supervision of General (Retired)

Gordon Sullivan:

1. You can be successful by admitting, “I don’t know”, “I am sorry”, or “I made a mistake.”
2. A leader is not afraid of taking risks.
3. A leader is empowering, learning and trusting, strategic and caring, and visionary.
4. A leader should have collaborative communication skills.
5. A leader must have a vision.
6. A leader needs to have buy-in within his/her organization
7. Empowerment and delegation are both important components as a leader.
8. Communicating to people at all levels.
9. Personal thanks and vested interest in soldiers and their families.
10. Leaders set examples and have moral courage.
11. Leadership is different than management. Good managers don’t have to be good leaders, but good leaders have to be good managers. Management is about numbers, processes, and figures. Leadership is about change and vision.

12. You manage processing and you lead change. Managing is moving things around and leading is the change agent.
13. You learn leadership by going to the battlefields.
14. A good leader has confidence, ethics, and tough standards but is not afraid of admitting to mistakes.
15. A good leader believes in teamwork and not getting ahead at the expense of another person.
16. A leader does what is best for the organization and it's mission.
17. A leader must trust people and marshal support to make things happen.
18. Good leaders have a sense of humor.
19. Leaders generate enthusiasm and successful leaders give credit.
20. Leaders respect people and establish expectations.
21. Successful leaders take charge and know their team members.
22. Leadership begins with values.
23. Leadership is a team sport.
24. Leadership always comes back to people.

### **Recommendations for Further Research**

Data analyzed from this study provided a portrait of the organizational change process within a military setting. However, this study did not begin to cover the myriad of issues that remain to be addressed. Several suggestions for further research that would increase the understanding of change and the impact of Sullivan's leadership during the time of transformation within this unique setting are offered.

1. This research used qualitative methodology and as such was interpretive in nature, used a small sample of candidates (six), and was localized to a military organization. Perhaps a more comprehensive understanding can be gained using multiple research methodology, larger participant samples, and different geographic areas.
2. Only Caucasian men were used in this study. Perhaps, including women that worked under Sullivan's leadership or subordinates of different ethnicities would add a different angle to this study. Perhaps consideration of a different age range or military rank might change the results.
3. A study involving all stakeholders involved in the organizational change should be conducted. This study only looked at subordinates under Sullivan's leadership (five).
4. Subordinates in this study were retired from the United States Army. Perhaps, further research would allow for active duty personnel to be included in a future study.

This research study has significance for leaders in military and civilian organizations.

This study illuminates patterns of behavior, which may influence the success of an organization through the influential leadership of General (Retired) Gordon Sullivan. As society continues to shift and change, people must learn how to adjust to change.

Leadership includes not merely the authority, but the ability to lead others. Managing change includes vision, organizational culture, leadership, communication, evaluation, and more change. Leaders are only as powerful as the ideas that they communicate.

It was evident through this research study that Sullivan had a large impact on his subordinates during a time of change. Through distinct commonalities and skills learned under Sullivan's supervision, subordinates proclaimed many important things that impacted their lives as leaders. Today, Sullivan and all five subordinates in this study are successful leaders in organizations. All participants continue to utilize the past experiences as stepping-stones for their current leadership positions. Sullivan's leadership made a powerful impact on many people within and outside the United States Army.

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## Appendix A

April 24, 2006

Dear Military Member:

I am currently investigating transformational leadership as part of my doctoral research project through University of Oklahoma. As a proud military spouse, this research project has enabled me to better understand military leadership within the transformational process. You were highly recommended by General (Ret.) Gordon R. Sullivan as one of his leaders while he was the United States Army Chief of Staff. I request your assistance in identifying characteristics of General (Ret.) Gordon Sullivan during the time he was leading the transformation of the United States Army. I have included references from the literature, which describe a transformational leader to assist in this process. Your input is an important component of my research project. If you would be interested in receiving a copy of my research project, I would be more than willing to provide you with one once the project is completed.

In my study, I am investigating leader behaviors of General (Ret.) Sullivan. Since this study is qualitative in nature, I am using the interview format to collect the data for the study. During the interview, the participants will be invited to tell their stories and personally reflect upon their experiences and will be encouraged to discuss their thoughts, feelings, and intuitions about leadership while under the command of General (Ret.) Sullivan. The length of the interviews will be determined by the research participant's responses. There will also be a brief questionnaire that each participant will complete prior to the interview.

Ethical concerns are of utmost importance in this study. This study is designed to ensure anonymity of the research participants through coding unless participants grant permission to utilize identities. Following the interview process, transcription of the data collected on audiotape and filed notes will be completed and returned to the research participants for their verification. All transcriptions will be returned to me for in-depth interpretive analysis. This study is strictly voluntary by all participants.

Please complete the enclosed questionnaire and return with the completed informed consent form. I have provided a stamped self-addressed envelope for your convenience. Your assistance with this process is greatly appreciated. Please contact me with any questions or concerns. I am tentatively scheduled to interview General (Ret.) Sullivan on June 5<sup>th</sup> and would like to see if this date would be convenient for you and your schedule. I look forward to meeting you and learning more about your experiences while under the leadership of General (Ret.) Gordon R. Sullivan. Thank you for all of your assistance.

Sincerely,

Linda Borie Dugan  
(H) (912) 756-4463 (C) (912) 655-1766  
Email: [Lindabriandugan@aol.com](mailto:Lindabriandugan@aol.com)

### **What is Transformational Leadership?**

Transformational leadership theory has been advanced by Burns (1978) and Bass (1985). This theory sees the leader as helping to develop and maintain a sense of group commitment and group accomplishment over individual self-interest. Tracey and Hinkin (1994) examined a large hotel-management organization and related literature on leadership. They state that transformational leaders: 1) address concerns of the followers, 2) increase employee discretion and responsibility, 3) articulate a vision and reinforce vision through the leader's words and actions.

Auteri (1994) lists four guiding principles of transformational leadership: 1) consideration of the needs of the individual, 2) intellectual stimulation to allow and encourage critical and creative thinking, 3) inspirational motivation which conveys the sense of mission and mobilizes the collective energy to achieve important goals, 4) idealized influence which stems from the leader's ability to model and stimulate development.

Kanungo (2001) notes that a transformational leader is concerned with developing a vision that informs and expresses the organization's mission and lays the foundation for the organization's strategies, policies, and procedures. A transformational leader uses influence strategies and techniques to empower the followers, enhance their self-efficacy, and change their values, norms, and attitudes, consistent with the vision developed by the leader. According to Northouse (2004), transformational leadership refers to the process whereby a person engages with others and establishes a connection that increases the level of motivation and morality in both the leader and the follower.

## Appendix B

April 24, 2006

Dear General (Ret.) Gordon R. Sullivan:

Thank you for agreeing to participate in the study for my doctoral research project through the auspices of the University of Oklahoma. As I mentioned in my previous emails, I will be conducting a study of leader behaviors. As a recognized effective military leader, your insights should prove to be very valuable.

My data collection methodology will include observations, an interview with you and some of your subordinates while in command, as well as reviewing archival records you may be able to provide. I would welcome an opportunity to interview other personnel who have had ongoing interaction with you as the US Army Chief of Staff. I am currently contacting the following leaders per your personal recommendations: COL. Ret. Mike Harper, BG Ret. Harold W. Nelson, GEN Ret. John Tilelli, and GEN Ret. Ron Griffith. I assure you that the rights of the organization and the staff will be protected including the anonymity of all parties. Before initiating the formal data gathering process, I will need your written consent (see enclosed forms) to proceed. I have also enclosed a copy of the questions that I will ask during the interview. The interview process should take approximately one hour and thirty minutes or less. I realize that your schedule is very busy and I will do all that I can to accommodate your availability and convenience.

Thank you for permitting me to study leader behaviors. Hopefully, the results of this study will benefit you, other leaders, and especially (subordinates) who are directly influenced by the effectiveness of military leaders like yourself. I look forward to meeting and working with you. Please feel free to contact me if you have any additional questions or need any additional information.

Sincerely,

Linda Borie Dugan  
Lindabriandugan@aol.com  
(H) (912) 756-4463  
(C) (912) 655-1766



## Appendix C

# INFORMED CONSENT TO PARTICIPATE IN A RESEARCH STUDY

University of Oklahoma (Norman Campus)

**PROJECT TITLE:** A Qualitative Study of General (Ret.) Gordon R. Sullivan  
Former Army Chief of Staff

**PRINCIPAL  
INVESTIGATOR:** Linda Borie Dugan

**CONTACT INFORMATION:** 18 Williams Avenue  
Richmond Hill, Georgia 31324  
Phone: (912) 756-4463  
Email: [Lindabriandugan@aol.com](mailto:Lindabriandugan@aol.com)

You are being asked to volunteer for a research study. This study is being conducted under the auspices of the University of Oklahoma, Norman Campus. You were selected as a possible participant because you have been recognized as an effective military leader. Please read this form and ask any questions that you may have before agreeing to take part in this study.

### Purpose of the Research Study

The purpose of this study is to examine leadership skills exhibited by (Ret.) General Gordon R. Sullivan, former Army Chief of Staff utilizing the conceptual framework of transformational leadership by Burns, Bennis and Nanus during a time of organizational change. Specifically, how did his leadership impinge upon other people to develop their leadership skills and make change within the organization.

### Procedures

If you agree to participate in this study, you will be asked to do the following things: Your participation in this study will require approximately two hours or less. An audio recorded taped interview will be conducted by the principle investigator. She will transcribe and utilize information for future research. You will also be asked to complete a brief questionnaire prior to the interview, which will provide personal data to the investigator. After the audiotapes are transcribed, you will have an opportunity to review the transcriptions and make any corrections.

### Risks and Benefits of Being in the Study

The study has the following risks: The study should not involve any attendant risk or discomfort to the participants. The principal investigator will take the highest measures to protect confidentiality. Participants have the right to withdraw from this project at any time if they feel any discomfort. Included with this form is the IRB telephone number and the Chair of my committee, Dr. Priscilla Griffith's information for immediate contact.

This study is for the sole purpose of completing requirements for dissertation. Your participation will enable the principal investigator, Linda Borie Dugan, in her study of effective leader behaviors.

### **Voluntary Nature of the Study**

Participation in this study is voluntary. Your decision whether or not to participate will not result in penalty or loss of benefits to which you are otherwise entitled. If you decide to participate, you are free to not answer any question or withdraw at any time.

### **Confidentiality**

The records of this study will be kept private. In published reports, there will be no information included that will make it possible to identify the research participant with the exception of (Ret.) General Gordon R. Sullivan who has given prior permission. However, it is important to note that only four subordinates will be interviewed and identities might be determined by inference. Tape-recorded transcriptions will be maintained by the principal investigator. In regards to the actual tape:

- ☐ I request to receive the original tape recording at the end of the study.
- ☐ I do not wish to receive the original tape recording at the end of the study

In addition, once the dissertation has been written, the principal investigator will destroy all transcripts and audio-recorded tapes in the event that the principal participant does not want to receive the original tape recording. The principal investigator and her faculty sponsor will have access to the records.

Participants' names will not be linked with their responses unless the participant specifically agrees to be identified. Please select one of the following options.

- ☐ I prefer to leave my identity unacknowledged when documenting findings; please do not release my name when citing the findings.
- ☐ I consent to the use of my name when recording findings and that I may be quoted directly.

### **Audio Taping Of Study Activities:**

To assist with accurate recording of participant responses, interviews may be recorded on an audio recording device/video recording device. Participants have the right to refuse to allow such taping without penalty. Please select one of the following options.

- ☐ I consent to the use of audio recording.
- ☐ I do not consent to the use of audio recording.

### **Contacts and Questions:**

The researcher(s) conducting this study can be contacted at (912) 756-4463. The researcher can also be reached by email: [Lindabriandugan@aol.com](mailto:Lindabriandugan@aol.com). If you need to contact the researcher's dissertation committee chair, she can be reached by email at [pgriffith@ou.edu](mailto:pgriffith@ou.edu) or (405) 325-1508. You are encouraged to contact the researcher(s) if you have any questions.

If you have any questions about your rights as a research participant, you may contact the University of Oklahoma – Norman Campus Institutional Review Board (OU-NC IRB) at 405.325.8110 or [irb@ou.edu](mailto:irb@ou.edu).

***You will be given a copy of this information to keep for your records. If you are not given a copy of this consent form, please request one.***

### **STATEMENT OF CONSENT**

I have read the above information. I have asked questions and have received satisfactory answers. I consent to participate in the study.

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Signature

---

Date

## Appendix D

# TAPE RECORDED INTERVIEW CONSENT SCRIPT

University of Oklahoma Norman Campus

April 24, 2006

Dear Military Member:

I am a graduate student in the Organizational Leadership program at the University of Oklahoma. I invite you to participate in an interview as part of a research study being conducted under the auspices of the University of Oklahoma-Norman Campus and entitled A qualitative study of General (Ret.) Gordon R. Sullivan Former Army Chief of Staff. The purpose of this study is to examine leadership skills exhibited by (Ret.) General Sullivan and how they impinge upon others to develop their leadership skills and make change within an organization.

Your participation will involve completing a questionnaire and an interview. The interview will be audiotape recorded. It should only take approximately an hour and thirty minutes or less of your time. Your involvement in the study is voluntary, and you may choose not to participate or to stop at any time. The results of the research study may be published, but your name will not be used unless you grant permission. It is important to note that only four subordinates will be interviewed and identities might be determined by inference.

The findings from this project will provide information on leader behaviors with no cost to you other than the time it takes for the interview.

If you have any questions about this research project, please feel free to call me at (912) 756-4463 or send an email to [Lindabriandugan@aol.com](mailto:Lindabriandugan@aol.com). If you have any additional questions you may contact Dr. Priscilla Griffith, faculty chair, at (405) 325-1508 or send an e-mail to [pgriffith@ou.edu](mailto:pgriffith@ou.edu). Questions about your rights as a research participant or concerns about the project should be directed to the Institutional Review Board at The University of Oklahoma-Norman Campus at (405) 325-8110 or [irb@ou.edu](mailto:irb@ou.edu).

I would like to audiotape this interview. Do I have your permission to audiotape the interview?

Thanks for your help!

Sincerely,

Linda Borie Dugan  
Advanced Program Graduate Student

## Appendix E

# TAPE RECORDED INTERVIEW CONSENT SCRIPT

University of Oklahoma Norman Campus

April 24, 2006

Dear General (Ret.) Gordon R. Sullivan:

I am a graduate student in the Organizational Leadership program at the University of Oklahoma. I invite you to participate in an interview as part of a research study being conducted under the auspices of the University of Oklahoma-Norman Campus and entitled A qualitative study of (Retired) General Gordon R. Sullivan Former Army Chief of Staff. The purpose of this study is to examine leadership skills exhibited by yourself and how they impinge upon others to develop their leadership skills and make change within an organization.

Your participation will involve completing a questionnaire and an interview. The interview will be audiotape recorded. It should only take approximately an hour and thirty minutes or less of your time. Your involvement in the study is voluntary, and you may choose not to participate or to stop at any time. The results of the research study may be published, but your name will not be used unless you grant permission. It is important to note that only four subordinates will be interviewed and identities might be determined by inference.

The findings from this project will provide information on leader behaviors with no cost to you other than the time it takes for the interview.

If you have any questions about this research project, please feel free to call me at (912) 756-4463 or send an email to [Lindabriandugan@aol.com](mailto:Lindabriandugan@aol.com). If you have any additional questions you may contact Dr. Priscilla Griffith, faculty chair, at (405) 325-1508 or send an e-mail to [pgriffith@ou.edu](mailto:pgriffith@ou.edu). Questions about your rights as a research participant or concerns about the project should be directed to the Institutional Review Board at The University of Oklahoma-Norman Campus at (405) 325-8110 or [irb@ou.edu](mailto:irb@ou.edu).

I would like to audiotape this interview. Do I have your permission to audiotape the interview?

Thanks for your help!

Sincerely,

Linda Borie Dugan  
Advanced Program Graduate Student

## **Appendix F**

### **Interview Protocol Guide for General (Ret.) Sullivan**

1. What led you to become the Chief of Staff of the United States Army?
2. How have you been affected by your role as Chief or Staff of the United States Army during the time of transformation?
3. How would you describe the United States Army, your subordinates, and your soldiers?
4. Has the United States Army changed in any way in the last several years? How?
5. What process has the United States Army used in achieving change? Who was involved in this process?
6. When did the change initiative take place and what role did you play in the change process?
7. In your opinion, what were the most important elements in implementing change?
8. What were impediments to change? Were they overcome and, if so, how?
9. What do you consider the United States Army's major strengths?
10. Why did the United States Army decide to initiate change?
11. Briefly comment on how the changes that the United States Army implemented affected its:
  - Organizational structure
  - Culture
  - Ability to deal with conflict
  - Power distribution
  - Ability to navigate the big picture or systems perspective
12. Considering some of the changes that the United States Army implemented, if you had to do things over what would you do differently?

13. What recommendations would you make for other leaders who are just about to begin a major change initiative?

14. Please respond to the following questions regarding your perspectives on leadership:

- What is leadership?
- Are leaders born?
- Can leadership skills and abilities be learned?
- Do leaders possess exceptional personal attributes that make them different from other people?
- Is leadership different from management?
- Is leadership context specific?
- What type of leader do you feel you are?

14. What are your thoughts on the importance of “vision” in an organization?

15. How did the United States Army go about creating a shared vision for the organization?

- What has been the role of communication?
- Who were the stakeholders?
- Why was empowerment and delegation so important to the vision process and the impending change process?
- Does the vision continue to evolve? How does that affect the future of the United States Army?

16. Once a vision, process, and guidelines for change were established, how did you manage change?

- How did you deal with staff or subordinates who were resistant to change because they felt uncomfortable or fearful?
- Were there unexpected changes?
- Were people confrontational? If so, how was this dealt with?
- What is your perspective on the role of stewardship and/or ownership facilitation the change process?
- How have monetary issues affected the change process and your ability to manage this large organization?
- How do you monitor the change process in light of it being a slow, time-consuming, incremental process?
- How did you measure if the change was successful?

17. As a leader today, how would you teach other leaders how to initiate change?

Is there specific steps or procedures that must be followed?

18. As Chief of Staff of the United States Army, what impact do you feel you had on your subordinates? Specifically, how do you feel your leadership impinged upon other people to develop their leadership skills and make change within the organization?

19. In your own words, can you describe what is meant by the words “transformation of the United States Army”? What was your role in this process?

20. Where do you see yourself in the next ten years?

## **Appendix G**

### **Interview Protocol Guide for Subordinates**

1. Please respond to the following questions regarding your perspectives on leadership:
  - What is leadership?
  - Are leaders born?
  - Can leadership skills and abilities be learned?
  - Do leaders possess exceptional personal attributes that make them different from other people?
  - Is leadership different from management?
  - Is leadership context specific?
  - What type of leader do you feel you are?
2. What are your thoughts on the importance of “vision” in an organization?
3. How did the United States Army go about creating a shared vision for the organization?
  - a. What has been the role of communication?
  - b. Who were the stakeholders?
  - c. Why was empowerment and delegation so important to the vision process and the impending change process?
  - d. Does the vision continue to evolve? How does that affect the future of the United States Army?
4. Once a vision, process, and guidelines for change were established, how did you manage change?
  - a. How did General (Ret.) Gordon Sullivan deal with staff or subordinates who were resistant to change because they felt uncomfortable or fearful?
  - b. Were there unexpected changes?
  - c. Were people confrontational? If so, how was this dealt with?
  - d. What is your perspective on the role of stewardship and/or ownership facilitation the change process?
  - e. How have monetary issues affected the change process and General (Ret.) Sullivan’s ability to manage this large organization?
  - f. How did you feel he monitored the change process in light of it being a slow, time-consuming, incremental process?
  - g. How did the organization measure if the change was successful?



5. As a leader today, how would you teach other leaders how to initiate change?

Is there specific steps or procedures that must be followed?

6. What type of leader was General (Ret.) Gordon R. Sullivan?

7. What impact do you feel General (Ret.) Gordon R. Sullivan had on you? Other soldiers? Specifically, how do you feel his leadership impinged upon other people to develop their leadership skills and make change within the organization?

8. What leadership skills did you obtain as a subordinate under General (Ret.) Sullivan's leadership?

9. How would you describe "the transformation of the United States Army process"? What does this involve? What was your role in this process?

10. What was your position or role in the United States Army while under General (Ret.) Sullivan's leadership?

11. What suggestions or recommendations would you give other leaders regarding implementing change within their organization?

12. Where do you see yourself in the next ten years?

**Appendix H**  
**Initial Questionnaire**

First Name:

Middle Name:

Last Name:

Gender: Male (or) Female

Birthdate:

Place of Birth:

Education:

Number of years employed by United States Army:

Number of years under the command of General (Ret.) Gordon R. Sullivan:

Title/Rank while working under General (Ret.) Gordon R. Sullivan's leadership:

Position/Job held while under supervision of General (Ret.) Gordon R. Sullivan:

Responsibilities while working under his command:

Awards/Honors received during time of employment with United States Army:

Books/Articles written about leadership:

Current Job/Position:

## **Appendix I**

### **Initial Questionnaire for General (Ret.) Gordon Sullivan**

First Name:

Middle Name:

Last Name:

Gender: Male (or) Female

Birthdate:

Place of Birth:

Education:

Number of years employed by United States Army:

Number of years as United States Army Chief of Staff:

Awards/Honors received during time of employment with United States Army:

Books/Articles written about leadership:

Current Job/Position:

Would you please attach copy of your resume?

## Appendix J

July 11, 2006

GEN (Ret.) Vuono:

Greetings from Savannah, Georgia! Several weeks ago, I interviewed GEN (Ret.) Griffith as part of my research for my dissertation. Due to time constraints in the schedule, my husband and I were only fortunate to briefly meet and take a photo with you. Originally, my plans were to interview GEN (Ret.) Sullivan, and five of his subordinates (Brig. GEN (Ret.) Nelson, GEN (Ret.) Tilelli, GEN (Ret.) Griffith, GEN (Ret.) Maggart, and COL (Ret.) Harper). My research topic is looking at Sullivan's leadership and how his leadership abilities impinged upon his subordinates. Through the interview process, your leadership and professionalism were repeatedly praised and complimented. Each interview asked if I had spoken to you regarding your selection of GEN (Ret.) Sullivan.

As GEN (Ret.) Sullivan's predecessor, I would like to see if you would answer a few questions about his leadership for my research. Your comments or quotes would be extremely helpful in my introduction chapter of this dissertation. I would be honored and most grateful to include your information in my study. Attached I have included the questions that I would like answered. I have also enclosed a self addressed stamped envelope for easy mailing. If you would prefer to email your responses, my email address is: [Lindabriandugan@aol.com](mailto:Lindabriandugan@aol.com). If it is more convenient for me to do a telephone taped interview, I would be glad to arrange this with your schedule.

Your participation in my research will provide valuable answers and information. I would like to thank you in advance for your assistance with my educational journey. This has truly been a very rewarding life experience as a military wife. I look forward to hearing from you soon. Please do not hesitate to contact me if you have any additional information.

Sincerely,

Linda Borie Dugan  
18 Williams Avenue  
Richmond Hill, Georgia  
31324  
(912) 756-4463  
(912) 655-1766

## **Appendix K**

### **Questionnaire for General (Ret.) Carl Vuono**

1. How and why did you select GEN (Ret.) Sullivan for the US Army Chief of Staff position?
2. What types of traits/attributes were you looking for in this position?
3. How would you define leadership?
4. Do you feel leaders are born?
5. Do you feel “vision” is important in an organization?
6. Do you have a favorite quote, comment, or motivational slogan that you use?
7. Do you have any suggestions, recommendations, or procedures that leaders should follow when implementing change within an organization?
8. Please feel free to add any comment on leadership or GEN (Ret.) Sullivan: