
The literature on transformational leadership is reviewed to provide a theoretical framework for leaders in educational organizations. Our rapidly changing society calls for a new type of educational leadership. Drawing on the work of J. M. Burns (1978) and B. M. Bass (1985) among others, transactional leaders are distinguished from transformational leaders. Transactional leaders exchange one thing for another, while transformational leaders look for potential motives in followers and seek to satisfy higher needs and engage the full person of the follower. Four behaviors of transformational leaders that have been identified are: (1) idealized influence; (2) inspirational motivation; (3) intellectual stimulation; and (4) individualized consideration. A theory of transformational leadership as a three-act drama has been developed by N. M. Tichy and M. A. Devanna (1986). An example of the organization during Act 1 of transformational leadership (recognizing the need for change) is provided in a discussion of a suburban St. Louis (Missouri) school district. Act II (creating a vision and mobilizing commitment) and Act III (institutionalizing change) are also seen in the school district's responses to the need for change. Strategic planning, like transformational leadership, is vision-driven planning for the future. Both transformational leadership and strategic planning are necessary for an organization to respond to the changes and uncertainties of organizational life. (Contains 60 references.) (SLD)
AN EXPLORATION OF TRANSFORMATIONAL LEADERSHIP AND ITS ROLE IN STRATEGIC PLANNING: A CONCEPTUAL FRAMEWORK

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Paper presented at the International Society for Educational Planning's Annual Fall Conference New Orleans, Louisiana, USA, September 19-21, 1996
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Introduction and Purpose

Traditional leadership theories have focused on the leadership effects on followers' cognition (House, Spangler, & Woycke, 1991). Since the 1970s, new organizational leadership theories have emerged and been identified or labeled as inspirational, charismatic, visionary, symbolic, and transformational. These new theories of leadership have evoked high levels of interest and led to empirical research on different aspects of leadership (House, Spangler, & Woycke, 1991; Bass & Avolio, 1994; Hoy & Miskel, 1996). James MacGregor Burns (1978) first described two types of political leadership: transactional and transformational. Later, Bass (1985; 1990) developed a formal theory of transformational leadership. According to Bass (1985, p. 17), "transformational leaders attempt and succeed in raising colleagues, subordinates, followers, clients, or constituencies to a greater awareness about issues of consequence. This heightening of awareness requires a leader with vision, self confidence, and inner strength [Italics ours] to argue successfully for what he sees is right or good, not for what is popular or is acceptable according to the established wisdom of the time." The research of both Burns and Bass did not focus however on educational leadership rather they have focused on political leaders and army officers as well as business executives. Obviously, transformational leadership has been of great interest in the corporate world. In contrast, little theoretical and empirical research has focused specifically on the leadership of educational organizations. The primary purpose of this article is to review the literature of transformational leadership and
provide some theoretical framework for leaders in educational organizations. The concepts of transformational and transactional leadership will also be compared and explained. Next, the role of transformational leadership in strategic planning will be analyzed. Finally, implications for educational organizations and recommendations will conclude the paper.

The paradigm shift and call for a new leadership

The new paradigm shifts in the world require new leadership for organizations. These new paradigm shifts were identified by Naisbitt (1982) in his best-selling book, *Megatrends*. The shifts and major changes which have been shaping the 1980s and 1990s are as follows:

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These trends have not stopped. These changes have become part of the daily life of organizations and people. Nearly a decade later, Naisbitt & Aburdene in *Megatrends 2000* (1990, p. 13) have presented new trends for the 21st century. These new millennial megatrends are:
The authors believe that these new trends will shape the 21st century and will have influence on the important elements of human life when they state "the millennium trends of the nineties will influence the importance elements of your life-your career and job decisions, your travel, business, and investment choices, your place of residence, your children's education" (p. 12).

These new shifts and changes are central to the new leadership and strategic organization. The changes and shifts have been studied by distinguished leading minds in the business world (Bennis & Nanus, 1985; Ouchi, 1981; Pascale & Athos, 1981; Prigogine, 1984; Kanter, 1983; Peters & Waterman, 1982; Townsend, 1970; Slater, 1970; Salk, 1970; Elgin, 1980; Naisbitt, 1982; Drucker, 1989; Bolman & Deal, 1991; Senge, 1990; Peters, 1987). The central theme that scholars focus on is the rapid changes and uncertainties surrounding modern organizations. Planned and rapid adaptation to these unexpected changes call for a new type of leadership. "The contexts of apathy, escalating change and uncertainty make leadership like maneuvering over ever faster and more undirected ball bearings" (Bennis & Nanus, 1985, p. 13). With these
undirected ball bearings in mind, "our tables of values will have to be reviewed" (Bennis & Nanus, 1985, p. 13). Values, visions, and beliefs of organizations have to be reevaluated and restated. With new leadership, the vision of any type of institution can turn into the reality. The new paradigm is a real one. "Survival in this seeming madness calls for great flexibility and awareness on the part of leaders and followers alike" (Bennis & Nanus, 1985, p. 14). It is obvious that shaping and predicting the future require strong transformational leadership and flexible strategic plans for making planned change and overcoming uncertainties that strategic organizations will face in the future.

Traditional leadership theories have emphasized the importance of leader effects on follower cognition, leadership enforcement behaviors, leader and follower exchange relationships (House, Spangler, & Woycke, 1991; Graen & Cashman, 1975; Ashour, 1982; Podsakoff, Todor, & Skow, 1982; Evans, 1970; House, 1971; Wofford & Srinivasan, 1983; Hollander, 1964). From a historical point of view, as Bennis & Nanus (1985, p. 16) point out "historically leaders have controlled rather than organized, administered repression rather than expression, and held their followers in arrestment rather than in evolution." Obviously, what both the organizations and societies need is the transformational leader who will be able to carry and lead the strategic organizations and societies into the 21st century.

Theories of Transformational Leadership

With rapid and uncertain changes in organization environments, new leadership is required. Therefore, a new theory of leadership emerged (House, Spangler, & Woycke, 1991). According to these same authors,
"all of these new theories of leadership invoke inspirational, visionary, and symbolic-behavior described by Weber (1947) as charismatic." (1991, p. 364). The new academic theorists of transformational leadership include (Burns, 1978; Bass, 1985; Bennis & Nanus, 1985; Bass & Avolio, 1994; Tichy & Devanna, 1986; Kuhnert & Lewis, 1987; Avolio & Bass, 1988; Conger & Kanungo, 1988; Sashkin, 1988). The new leadership is identified and labeled as visionary (Sashkin, 1988), charismatic (House, 1977; Weber, 1947), transformational (Avolio & Bass, 1988; Bass, 1985; Burns, 1978; Tichy & Devanna, 1986; Bass & Avolio, 1994), and inspirational (Yukl & Van Fleet, 1982). In the literature, these concepts are used alternatively and somewhat close to one another in meaning.

The new theory focuses leader-follower interaction in beliefs, inner strength, vision, mutually open communication, and participation in the decision making process.

**James MacGregor Burns on Leadership**

James MacGregor Burns (1978) first described and identified two types of leadership in his classic book on leadership: transactional and transformational political leaders. Since he focused in this book generally on political leaders, he also attempted to see and differentiate leaders from the power holders. In the prologue of his book, he explains that:

> I will deal with leadership as distinct form mere power-holding and as the opposite of brute power. I will identify two basic types of leadership: the *transactional* and *transforming*. The relations of most leaders and followers are *transactional*-leaders approach followers with an eye to exchanging one thing for another: jobs for votes, or subsidies for campaign contributions. Such transactions comprise the bulk of the relationships among leaders and followers, especially in groups, legislatures, and parties. *Transforming* leadership, while more complex, is more potent. The transforming leader recognizes and exploits an existing need or
demand of a potential follower. But, beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents" (Burns, 1978, p. 4).

In summary, transactional leadership as a process promotes exchanges between leader-follower and transformational leadership is broader than exchange and involves shifts in the beliefs, the needs, and the values of followers (Burns, 1978; Kuhnert & Lewis, 1987).

**Bernard M. Bass' Formal Theory of Transformational Leadership**

Based on James MacGregor Burns theory of transactional and transformational political leaders, Bass (1985) developed and presented a formal theory of transformational leadership including models and measurements of its factors of leadership behavior (Bass & Avolio, 1994). This formal theory has been studied and refined further by different scholars in the field (Bass & Avolio, 1990; Carey, 1992; Dubinsky, Yammarino, & Jolson, 1995; Wofford & Goodwin, 1994; Yammarino, Spangler, & Bass, 1993; Yammarino & Dubinsky, 1994; Kuhnert & Lewis, 1987; Tichy & Devanna, 1986; Bass, 1990; House & Howell, 1992).

Bass in his famous book, *Leadership and Performance Beyond Expectations* (1985, p. 27) argues that transactional leaders "mostly consider how to marginally improve and maintain the quantity and quality of performance, how to substitute one goal for another, how to reduce resistance to particular actions, and how to implement decisions." In contrast, Bass (1985, p. 17) argues that transformational leaders "attempt and succeed in raising colleagues, subordinates,
followers, clients, or constituencies to a greater awareness about the
issues of consequence. This heightening of awareness requires a leader
with vision, self confidence, and inner strength to argue successfully for
what he sees is right or good, not for what is popular or is acceptable
according to the established wisdom of the time." Bass & Avolio (1994,
p. 2) further developed and tested the characteristics of transformational
leaders. Their study included 400 leaders from business, education,
health care, arts, industry, and government. The research was
sponsored by Kellogg Foundation and initiated Center For Leadership
Studies. The study pointed out that transformational leadership is seen
when leaders:

- stimulate interest among colleagues and followers to view their
work from new perspectives,
- generate awareness of the mission or vision of the team and
organization,
- develop colleagues and follower to higher levels of ability and
potential, and
- motivate colleagues and followers to look beyond their own
interests toward those that will benefit the group.

Avolio, Waldman, & Yammarino (1991) identified four behaviors of
transformational leaders as quoted in Bass & Avolio (1994, p. 3):

1. **Idealized influence.** Transformational leaders behave in ways
that result in their being role models for their followers. The
leaders are admired, respected, and trusted. Followers identify
with the leaders and want to emulate them. Among the things the
leader does to earn this credit is considering the needs of others
over his or her own personal needs. The leader shares risks with
followers and is consistent rather than arbitrary. He or she can be
counted on to do the right thing, demonstrating high standards of
ethical and moral conduct. He or she avoids using power for
personal gain and only when needed.

2. **Inspirational motivation.** Transformational leaders behave in
ways that motivate and inspire those around them by providing
meaning and challenge to their followers' work. Team spirit is
aroused. Enthusiasm and optimism are displayed. The leader gets
follower involved in envisioning attractive future states. The leader
creates clearly communicated expectations that followers want to
meet and also demonstrates commitment to goals and shared vision. 

3. Intellectual stimulation. Transformational leaders stimulate their followers' effort to be innovative and creative by questioning assumptions, reframing problems, and approaching old situations in new ways. Creativity is encouraged. There is no public criticism of individual members' mistakes. New ideas and creative problem solutions are solicited from followers, who are included in the process of addressing problems and finding solutions. Followers are encouraged to try new approaches, and their ideas are not criticized because they differ from the leaders' ideas.

4. Individualized consideration. Transformational leaders pay special attention to each individual's needs for achievement and growth by acting as coach or mentor. Followers and colleagues are developed to successfully higher levels of potential.

A Three-Act Drama of Transformational Leadership Theory

This theory of transformational leadership was developed by Tichy & Devanna in 1986. According to the authors, transformational leaders "define the need for change, create new visions, mobilize commitment to those visions, and ultimately transform an organization. Transforming an organization is a human drama that involves both joys and sorrows" (Tichy & Devanna, 1986, p. 4). Therefore, "transforming an organization also requires new vision, new frames for thinking about strategy, structure, and people" (Tichy & Devanna, 1986, p. 4). According to the same authors (1986), three themes are central to the transformational organization: (a) recognizing the need for revitalization, (b) creating new vision, and (c) institutionalizing change.

Managing an uncertain future and its environment is central to the transformational organization and leadership. The uncertainty of the organization's environment and the effect of that uncertainty on its future calls for change. The change and its paradoxes create dramatic tensions. These dramatic tensions in transformational drama include:
1. A Struggle Between the Forces of Stability and the Forces of Change.
2. Dramatic Tension Between Denial and Acceptance of Reality.
3. A Struggle Between Fear and Hope.
4. A Struggle Between the Manager and the Leader (p. 27-28).

The transformational drama theory includes both the individual and organizational level. The key concept is again leadership. According to these authors, "Leaders must pull the organization into the future by creating a positive view of what the organization can become and simultaneously provide emotional support for individuals during the transition process." (p. 28). Tichy's and Devanna's theory of leadership involves three stages called "a three act transformation drama."

The Organization During Act I: The need for change is the key concept in this stage. The organization needs change because of environmental pressures. In many organizations the environmental changes cannot be very significant indicators of change. The transformational leader must perceive and respond to these changes (Tichy & Devanna, 1986). When leaders accept that there is a real need for change, the decision makers in the organization must be made to feel dissatisfaction with the status quo because "the felt need for change provides impetus for transformation" (Tichy and Devanna, 1986, p.30).

The Organization During Act II: Creating a vision and mobilizing commitment is the second phase of the transformation. Vision is about the future of organization. "The leaders involved in organizational transformation need to create a vision that a critical mass of employees will accept as a desirable change for the organization. Each leader must
develop a vision and communicate it in a way that is congruent with the leader's philosophy and style" (Tichy and Devanna, 1986, p. 30).

Creation of new vision and acceptance of it by all members' of organization is essential for transformation. "The organization, or at least some critical mass within the organization, accepts the new mission and vision and makes it happen. It is in this stage of the transformational process that leaders must tap into a deeper sense of meaning for their followers" (Tichy and Devanna, 1986, p. 31).

The Organization During Act III: Institutionalizing change becomes this stage of transformation. It is a kind of reality check. The new vision and mission has to become reality. As the theorists put it "revitalization is just empty talk until new vision becomes reality. The new way of thinking becomes day-to-day practice. New realities, actions, and practices must be shared so that changes become institutionalized" (Tichy and Devanna, 1986, p. 31). This new way of organizational and individual thinking requires new organizational culture. Creating a new culture is difficult one but it is crucial for the transformation of an organization.

The Tichy and Devanna's theory of transformational leadership also pays attention to and points out the importance of the individual during each of stages of this transformation. The Individual During Act I deals with endings. "All individuals transitions start with endings. Employees who cling to old ways of doing things will be unable to adjust to new demands. They must follow a process that includes disengaging from the past; disidentification with its demands; disenchantment with its implications and disorientation as they learn new behaviors" (Tichy
and Devanna, 1986, p. 32). *The Individual During Act II* deals with the concept of "neutral zones." "Employees need the time to work through their feelings of being disconnected with the past and not yet emotionally committed to the future... Passing successfully through the neutral zone requires taking the time and thought to gain perspective on both the endings—what went wrong, why it needs changing, and on what must be overcome to make a new beginning" (Tichy and Devanna, 1986, p. 33).

This stage for transformational leader is a kind of testing the leadership skills. People have emotions and feelings about their past glories and the culture that they had been part of for a long time. *The Individual During Act III* refers to the readiness of individual to the new roles and responsibilities. "Once a stage of psychological readiness to deal with a new order of things is reached, employees must be prepared for the frustration that accompanies failure as they replace thoroughly mastered routines with a new act. Adequate rehearsal time will be needed before everyone learns their new lines and masters their new roles so that the play can become again a seamless whole rather than a set of unintegrated scenes" (Tichy and Devanna, 1986, p. 33). The characteristics of transformational leaders are identified and summarized by Tichy and Devanna (1986, p. 271-280) as follow:
1. They Identify Themselves as Change Agents.
2. They are Courageous Individuals.
3. They Believe in People.
4. They are value-Driven.
5. They are Life Long Learners.
6. They have the Ability to Deal With Complexity, Ambiguity, and Uncertainty.
7. They are visionaries.


The Drama Performed

A prime example of the organization during "Act I" was experienced by one of the paper's authors during the 1984-85 school year when he was recruited and subsequently contracted for a leadership position in a St. Louis, Missouri suburban public school system. A new superintendent of schools had been hired the preceding year with the charge given by the board of education to bring stability following a tumultuous period of upheaval following a series of court desegregation orders imposing change from outside the organization that was unacceptable to most of district's families, both black and white. Thus the environmental conditions were quite significant indicators of change, however, the change desired by the majority of parents was a return to the status quo prior to court involvement in the management of the organization. The board of education realized this could not be permitted either legally or realistically for the best future of the organization. The results of this realization was the recruitment and hiring of a reform, transformational leader and staff additions from outside the organization to avoid a return to the past. The import of
these outsiders indeed gave the organization's middle managers, the principals, a clear signal that dissatisfaction with the status quo existed for the policy makers and change for organizational transformation was in the wind.

**Act II**, creating a vision and mobilizing commitment, began when the author attended a seminar on strategic planning sponsored by the American Association of School Administrators in which a transformational process and discipline for recreating an organization was explained by the founder and chief executive officer of the Cambridge Group, Dr. Bill Cook. While strict adherence to procedure for plan development in accord with the Cambridge methodology was the requirement for plan success, the process did allow for adaptation to encompass the philosophy and style of the key leaders in the local organization since acceptance by organization members was a critical factor. Finding that deeper sense of meaning for followers occurred during a marathon session with a microcosm of district's staff and community at a three day planning retreat in which old wounds were opened, examined and at least bandaged until a critical organization and community mass could be recruited to work on action teams to make the strategic vision reality and thus bring the ailing organization back to some sense of well being of its future.

**Act III**, or institutionalizing change, began when the board of education accepted the great majority of what the strategic planning team recommended for implementation of the transformation of the organization. This served as both a reality check and an appropriate ending to the old way of making policy decisions behind closed doors and announcing them to a dissatisfied public. Instead a microcosm of the
public had been involved in this transformation either on the plan team itself or on action teams established to add wheels to the transformational vehicle in the form of tangible plans with cost benefit analysis to begin institutionalizing the change and thus changing a closed culture to an open one. Gradually at first, then more rapidly as the momentum swung toward organizational acceptance of the plan and its implementation, individuals with large investment in the status quo and the past began to distance themselves from the previous transactional oriented leadership regime of the previous superintendent and board and permit themselves to identify with the new climate of open communication and decision making of the post plan organization. Inadequate rehearsal time was of course the reality since the business of the school organization had to move forward so that those who could not, "replace thoroughly mastered routines with a new act" over the course of the first year of implementation found themselves taking early retirement or simply seeking other management positions with nearby, less transformational organizations. Thus a visionary board of policy makers made an organizational transformation possible both by design in hiring leaders with the characteristics summarized by Tichy and Devanna and by circumstance as these leaders sought out a process like strategic planning and made it happen operationally to provide a framework in which the transformation had a chance to occur.

Transformational Leader and Strategic Planning

These trends which we previously described require educational organizations to think strategically about their direction and the future. Schools as mirrors of our culture are in the center of these trends. In
order to overcome future uncertainties, schools need to think strategically about the direction which they are taking. One of the way of reducing the tensions of uncertainty is strategic planning. The models and methodologies of strategic planning have been developed specifically for educational organization by leading scholars in education (See Kaufman & Herman, 1991; Cook, 1990; McCune, 1986; Kaufman, 1995; Simerly & Associates, 1987). The authors developed practical and conceptual framework in both discipline and process of strategic planning for school districts.

**Definition of Strategic Planning**

Like the concept of leadership, there is a difficulty in defining strategic planning. Cook points out that "there is a distressing overabundance of ideas about what strategic planning really is" (1990, p. 71). Therefore, Cook believes that "strategic planning should be understood first as distinctive from other kinds of organizational planning. The distinctiveness of each kind of planning derives from both methodology and context." The following definitions of strategic planning are taken from a variety of different sources:

Strategic planning is the means by which an organization constantly recreates itself to achieve extraordinary purpose (Cook, 1990, p. 74).

A strategic plan is a framework for carrying out strategic thinking, direction, and action leading to the achievement of consistent and planned results (Below, Morrisey, & Acomb, 1989, p. 2).

Strategic planning is a long-term planning process aimed at achieving a vision of a desired future state. It is a type of planning that allows school leaders to decide where they want to go and how they intend to get there (Herman, 1989, p. 10).

Strategic planning is a dynamic, active process. It scans current realities and opportunities in order to yield useful strategies and
Leader and Strategic Planning

Cook (1990) believes that strategic planning differs from other types of planning in context and methodology. He believes that "only strategic organizations can do strategic planning" (p. 75). Strategic organizations have five characteristics:

1. A strategic organization is autonomous.
2. Strategic organizations have the prerogative and the responsibility to determine their own identity and to actualize that identity by performance.
3. Strategic organizations have the prerogative and the responsibility for the acquisition and allocation of resources of all kinds.
4. Strategic organizations are responsible for providing the vision, values, and leadership that control, guide, and sustain everyone who is a part of organization.
5. As a practical matter, strategic organizations develop of necessity long-term plans, usually five to ten years; non-strategic units usually develop plans one to three years (Cook, p. 75-76).

The methodology of strategic planning is an effective combination of both a process and discipline (Cook, 1990). The discipline describe fundamental components of the strategic planning. These include beliefs, mission, policies, internal analysis, external analysis, objectives, strategies, and action plans (Cook, 1990). The process refers both to the methodology and procedures with which the plan is created. The facilitator, information, the planning team, the planning sessions, developing and communicating the plan, building action teams, board approval, implementation, and the annual updates are the essential components of the strategic planning process (Cook, 1990; McCune, 1986; Below, Morrisey, & Acomb, 1989; Kaufman & Herman, 1991; Herman & Herman, 1994; Kaufman & Grisé, 1995; Bryson, 1995).
The role of leader in strategic planning is a crucial one. In the business world, the CEO has a central role in providing leadership for strategic planning, especially, if there is no commitment to strategic planning throughout the organization (Below, Morrisey, & Acomb, 1989; Ekrom, 1991; Miller, 1991; Bowerman, 1991). The leader or leadership, therefore, should be able to provide a visible commitment, clear and realistic expectations as well as coaching and training in planning process and methodology (Below, Morrisey, & Acomb, 1989).

Like business organizations, the role of leadership in educational organizations has been emphasized. Cook (1990) believes that for the success of planning, leadership is essential. He states that "it's the kind of leadership that plans strategically. After all, a leader is just someone who gets to the future before anyone else; and his or her greatness is measured by the time of his or her arrival and the number of people who followed (p. 11). Lewellen (1990) sees the strategic planning as one of the essential characteristics of effective leadership. His four characteristics of effective leadership include strategic planning, change, communication, and decision making.

Like strategic planning, transformational leadership is vision driven which emphasizes communication, vision, self confidence, and inner strength. With special attention to humans and their needs, beliefs and concerns, the leader is able to create an environment in which the future concerns of the organization and individuals can be addressed. Providing and sharing information with people in the process of developing strategic planning is fundamental for the effective planning. In fact, leadership and strategic planning are integrated and cannot be separated. Hacker (1990, p. 3) says that "leadership and
strategic planning are processes that, when interwoven, form a powerful action plan for change."

The mission of both strategic planning and transformational leadership is to anticipate the future. The future has both uncertainties and opportunities for organizations and individuals. A leader with vision and a well developed strategic plan can overcome the problems and uncertainties that the organization will face and make opportunities available to both the organization and its members.

Conclusion and Recommendations

Rapid changes and the uncertainties of our times call for a new type of leadership. With these rapid changes and uncertainties in mind, every organization wants to create its own desired future. In order to do that, both transformational leadership and strategic planning are necessary. Bass (1990) summarizes why organizations need a transformational leader. He points out that "problems, rapid changes, and uncertainties call for a flexible organization with determined leaders who can inspire employees to participate enthusiastically in team efforts and share in organizational goals. In short, charisma, attention to individualized development, and the ability and willingness to provide intellectual stimulation are critical in leaders whose firms are faced with demands for renewal and change. At these organizations, fostering transformational leadership through policies of recruitment, selection, promotion, training, and development is likely to pay off in the health, well-being, and effective performance of the organization" (p. 31).

Educational organizations are becoming more complex than ever before. The rapid changes and uncertainties of the future and slow
adaptation and readiness to these shifts have made the job of a school leader more difficult. Creating a desired future state for schools requires well developed strategic plans and new leadership. The new leader will be able to create an environment in which people plan their future with strong commitment to achieve their extraordinary organizational purpose. Whatever they individually and collectively envision that extraordinary organizational purpose to be, or not to be.
References


I. DOCUMENT IDENTIFICATION:

Title: An exploration of transformational leadership and its role in strategic planning: A conceptual framework

Author(s): Selahattin Turan & Christopher S. NY

Corporate Source: International Society for Educational Planning

Publication Date: September 19-21, 1996

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