

MANAGERIAL EFFECTIVENESS SERIES





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LEADERSHIP CHARACTER AND COMPETENCIES

By

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Introduction

Primary and Secondary Greatness

For a leader to lead effectively, what's most important? If we were to list all the traits, competencies and strategies it takes to motivate a group of people to accomplish an important task what would be at the top of the list?

In the past, leadership development experts focused on *competencies*--the abilities, traits and personality styles that make for effective leadership. The result was a steady stream of "how to" books, workshops and seminars on leadership development, personality growth, communication and presentation skills, motivation and influence.

The fundamental premise of our approach is different. While a focus on competencies is important, it is secondary. What is of primary importance is *character*. No matter what strategies or abilities we use to get people to do what we want, we're rarely successful if we are or are perceived as being flawed in character—if we lack integrity, are dishonest, are unfair, manipulative or insincere. In the words of Steven Covey, *Seven Habits*, "Sometimes we become so focused on our own building that we forget the foundation that holds it up."

All business stands or falls on two great pillars: *trust and business intelligence*. Our discussion of leadership therefore focuses first on the area of primary greatness: character and core principles that build trust. Here we ask the questions: "What core principles govern the lives of effective leaders?" "How do great leaders build trust?" Then, second, we focus on the area of secondary greatness: leadership competencies, style and strategies. The relevant questions here are: "What traits and behaviors characterize effective leaders?" "What leadership competencies or approaches generate followership?" This manual then concludes with a discussion of three characteristics of great leaders: (1) they drive mission; (2) they formulate a compelling vision; and (3) they exhibit presence among their followers.

Part One: Primary Greatness Character and Core Values

"What core principles govern the lives of effective leaders?"

The supreme quality for a leader is unquestionable integrity. Without it, no real success is possible, no matter whether it is in a section gang, on a football field, in an army, or in an office. If his associates find him guilty of phoniness, if they find he lacks forthright integrity, he will fail. His teachings and actions must square with each other. The first great need therefore is integrity and high purpose.

Dwight David Eisenhower

Setting an example is not the main means of influencing another, it is the only means.

Albert Einstein

Our chief want is someone who will inspire us to be what we know we could be.

Ralph Waldo Emerson

Some of the most talented people are terrible leaders because they have a crippling need to be loved by everyone.

James Schorr

Never be associated with someone you can't be proud of, whether you work for him or he works for you.

Victor Kiam

No man is fit to command another who cannot command himself.

William Penn

If no one among us is capable of governing himself, then who among us has the capacity to govern someone else?

Ronald Reagan

I hold it more important to have the players' confidence than their affection.

Vince Lombardi

Leadership is sacrifice. It is denial. It is love. It is fearlessness. It is humility. It is perfectly disciplined will. This is also the distinction between great and little people.

Tom Peters

There are countless ways of attaining greatness but any road must be built on a bedrock of respect for the individual, a commitment to excellence and a rejection of mediocrity.

Buck Rogers

A business is a reflection of the leader. A dead fish doesn't just stink from the tail.

Gary Feldmar

What's Wrong with Leaders Today?

Executives today are failing at alarming rates. What's wrong? Those failing attended the best schools; they experienced years of success rising to the top of their companies. And yet, over the last decade, many executives have been fired after leading their companies for only a few years. The problems involve not just incompetence; often a breach of ethics or a violation of the law ends a promising career. Recent statistics (2005) are alarming:

- 11,000+ executive indictments per year (FBI)
- \$300B executive fraud costs
- 71% of Americans believe that the typical CEO is less honest than the average person (Time/CNN poll)
- 40% fail in their first 18 months (<u>HBR</u>, January 2005)
- 58% underperforming but tolerated after 18 months
- 70% of all small businesses fail
- 3% of companies develop leaders well (McKinsey)
- 24 times package, average opportunity lost costs

Certainly the problem is not a lack of knowledge. In 2005:

- 1,700 business books published
- More than \$60 billion spent on training
- More than \$43 billion spent on management consulting
- More than 80,000 business school graduates and lots of business school research

Why Leaders Fail?

Three Key Studies

Sidney Finkelstein, Why Smart Executives Fail (2003)

- Lack of respect: see themselves as dominating their environment, which causes them to lose touch with reality.
- Lack of character: a sense of entitlement to compensate for their sacrifices paves the way for unethical decisions.
- Leader without followers: fail to get input or adequate information before making and acting on decisions
- Ruthlessly eliminate dissenters
- Blatantly attention-seeking: promote themselves more than the company
- Excessive hype: underestimate obstacles, overstate success
- Rely too much on past: apply yesterday' solutions to tomorrows problems

David L. Dolitch and Peter C. Cairo, Why CEOs Fail (2003)

- Arrogance: You're right, everybody else is wrong.
- Melodrama: You always grab the center of attention.
- Volatility: Your mood swings drive business swings.
- Excessive Caution: The next decision you make may be your first.
- Habitual Distrust: You focus on the negatives.
- Aloofness: You disengage and disconnect.
- Mischievousness: Rules are made to be broken.
- Eccentricity: It's fun to be different just for the sake of it.
- Passive Resistance: Your silence is misinterpreted as agreement.
- Perfectionism: Get the little things right even if the big things go wrong.
- Eagerness to Please: Winning the popularity contest matters most.

Barbara Kellerman, <u>Bad Leadership</u> (2004)

- Incompetent: lack the will or skill to sustain effective action.
- Rigid: stiff, unyielding, and unwilling to adapt to new ideas.
- Intemperate: lack self-control
- Callous: uncaring or unkind
- Corrupt: lie, cheat, or steal their way to the top
- Insular: disregard or minimize the health and welfare of those outside the core group.
- Evil: no conscience around atrocities and/or tragedies.

What do you think? After reading these lists, is it character or competencies, the lack of the ability to build trust or the lack of strategic intelligence that caused the executive failures?

Core Values

Values are the foundational beliefs and principles that guide what leaders and their organizations say and do. They are demonstrated through the day-to-day behaviors of employees. The way an organization behaves can make the difference in whether it will achieve its vision and execute its strategy.

Core values are crucial to leaders for many reasons:

- They help us control our life, what we think and what we do.
- They improve our social relationships.
- They ready us beforehand for inevitable crises.
- They guide us in making important decisions.
- They help us overcome addictions.
- They make us ethically fit.
- They provide a fundamental optimism about life.
- They define our values and priorities, what's most important.
- They help us manage our time, balance work, family and social worlds.
- They give us a perspective on the past and on the future.
- They increase self-confidence.
- They help us be proactive and responsive rather than reactive, aggressive or passive.
- They are the ground out of which we build trust for all social and business relationship.

A lack of core goodness surfaces in every long-term relationship we have, whether related to family, friends or business. What we are communicates more effectively than what we say or what we do?

Exercise: The Island Story

Two islands are separated by 100 yards of shark-infested water. On these islands live two communities of people. Until the present, there has been no way for the people on one island to travel to the other island.

One day while walking on the beach, Bob looked across the water to the other island and saw Alice, the most beautiful woman he had ever seen. They began talking across the water, repeated this day after day and soon fell in love. They longed to be able to see each other face to face.

One evening, after weeks of pining for Bob, Alice learned of a man named Carl who had built a small boat that could take her over to Bob's island. Carl's was the only boat on the island. Alice went and told Carl of her predicament. Carl offered a deal. If she would sleep with him for one evening, he would take her to the other island. Alice went to her mother Debbie to ask her for advice. Debbie told Alice that she was a grown woman, that she needed to make this decision herself, and that she would support her whatever she did.

Alice decided to sleep with Carl. True to his word, the next day Carl took Alice to Bob's island. When Alice met Bob there was a joyful and tearful embrace. Bob wondered how Alice had crossed the shark-infested water. Alice told Bob the whole story, including the fact that she had had to have sex with Carl for him to take her in his boat. Bob was horrified and disgusted and told Alice that he never wanted to see her again.

Despondent, Alice walked alone to the other side of Bob's island. There on the beach she met Eric. Eric saw her crying, took her home and comforted her. After dinner, Alice told Eric her terrible tale. Eric's heart went out to her. He offered to take care of her forever and asked her to marry him. Alice accepted.

Rank from 1 to 5 the five characters in this story (Alice, Bob, Carl, Debbie, Eric), from 1, the character you like, respect, admire the most, to 5 the character you like, admire, respect the least.

Examples of Core Values

- Keeping spiritually centered
- Telling the truth about yourself to yourself
- Honesty in all social relationships
- Fairness: treating all people with respect
- Kindness: the "golden rule"
- Love of country
- Love of family
- Obedience to the law
- Keeping yourself physically healthy

One President's Core Principles:

- Courage. Heedlessness of self is a key to high level leadership.
- Authenticity. Being real, personal and human is a critical component of a leader's ability to earn the trust of others.
- Confidence. Confidence undergirds optimism.
- Empathy. Empathy builds trust and helps the leader focus on the interest of the audience.
- Discipline.
- Perseverance and Constancy.
- Humility.
- Distance. Strive to protect the dignity of the position. He maintained a strong sense of perspective on his work and was a uniquely self-contained personality.

Stephen Covey's Seven Habits of Effective People

Habit One: Be Proactive. As human beings we are responsible for our own lives.

- The word "responsibility" = response ability, having the ability to respond
- Know the difference between reacting and responding
- Disempower the things that control us
- Response to a stimulus is a value-based choice
- It is no what happens to us but our response to what happens to us that hurts us
- Recognize your responsibility to make things happen, act, don't wait to be acted upon
- Through positive energy seek to expand your circle of influence

Habit Two: Begin with the End in Mind. Begin today with the image, picture or paradigm of the end of your life as the frame of reference or criterion by which everything else is measured.

- Whatever you do should not violate the criteria you have set as supremely important
- Know where you're going so that you can know whether the steps you take are in the right direction
- The mental image or plan of where you want to go will define the process of actually going
- Live by design not default
- Compose a personal mission statement
- Identify your center
- Identify roles and goals

Habit Three: Put First Things First. Exercise the power of independent will. Through effective management and discipline you can make your life plan a reality.

- The successful person has a habit of doing the things failures hate to do
- Subordinate desires to the strength of purpose
- Organize and execute around priorities
- Cultivate your ability to say "No"

Habit Four: Think Win/Win. Constantly seek mutual benefit in all human interactions.

- Seek to live in the cooperative, not competitive, arena
- Cultivate the character traits central to win/win
 - Integrity: know what constitutes a win
 - Maturity: balance courage and consideration
 - Abundance mentality: there is plenty out there for everybody
- Cultivate trusting relationships
- Write explicit agreements to clarify and manage expectations

Habit Five: Seek First to Understand, Then to Be Understood. This is the key principle to effective interpersonal communication.

- Listen empathically
- Diagnose before you prescribe
- Ask effective questions
- Seek to be understood, speak clearly and accurately

Habit Six: Synergize. Apply the principle of creative cooperation to every area of life.

- Keep your heart and mind open to new possibilities
- The whole is greater than the sum of its parts
- Fish for the third alternative
- Value differences
- Conduct a force field analysis (analyze restraining and driving forces)

Habit Seven: Renewal. Take the time to sharpen the saw.

- Physical renewal: exercise, nutrition, stress management
- Mental renewal: reading, visualizing, planning, writing
- Social/Emotional renewal: service, empathy, synergy, intrinsic security
- Spiritual: value clarification and commitment, study and meditation

Codes of Ethics:

- The Ten Commandments (Exodus 20:1-17). Two parts: (1) Don't worship more • than one God; Don't create a graven image; Don't take God's name in vain; Don't break the Sabbath; (2) Honor your parents; Don't kill; Don't commit adultery; Don't steal; Don't give false evidence or lie; Don't envy or covet. This code asserts prohibitions rather than asserting what must be done.
- The Boy Scout Law: "A scout is: Trustworthy, Loyal, Helpful, Friendly, Courteous, Kind, Obedient, Cheerful, Thrifty, Brave, Clean, Reverent.
- The Girl Scout Law: A scout is: Trustworthy, Loyal, Useful, Friendly, Courteous, • Kind to Animals, Obedient, Cheerful, Thrifty, Clean in Thought, Word, and Deed. Boys must be kind, while girls need to be kind only to animals; boys should be "helpful," while girls are simply "useful."
- The West Point Honor Code: "A cadet does not lie, cheat, steal or tolerate those • who do." Two screens: not only does the code regulate one's own behavior, it also requires one to pay attention to the action of others. What is the meaning of the word "tolerate?"
- The Four-Way Rotary Test: •
 - 1. Is it Truth?
 - 2. Is it Fair to all concerned?
 - 3. Will it build Goodwill and Better Friendships?
 - 4. Will it be beneficial to all concerned?

The McDonald-Douglas Code of Ethics:

- 1. Honest and trustworthy in all our relationships.
- Reliable in carrying out responsibilities and assignments.
 Truthful and accurate in what we say and write.
- 4. Cooperative and constructive in all work undertaken.
- 5. Fair and considerate in our treatment of employees, customers and all other persons.
- 6. Law abiding in all our activities.
- 7. Committed to accomplishing all tasks in a superior way.
- 8. Economical in utilizing company resources.
- 9. Dedicated in service to our company and to improvement of the quality of life in the world in which we live.

• The Minnesota Principles (The Minnesota Center for Corporate Responsibility):

Proposition #1: Business activities must be characterized by fairness. We understand fairness to include equitable treatment and equality of opportunity for all participants in the marketplace.

Proposition #2: Business activities must be characterized by honesty. We understand honesty to include candor, truthfulness and promise-keeping.

Proposition #3: Business activities must be characterized by respect for human dignity. We understand this to mean that business activities should show a special concern for the less powerful and disadvantaged.

Proposition #4. Business activities must be characterized by respect for the environment. We understand this to mean that business activities should promote sustainable development and prevent environmental degradation and waste of resources.

• Johnson and Johnson Credo: "We believe our first responsibility is to the doctors, nurses, and patients, to mothers and fathers, and to all others who use our products and services."

Exercise: Determine Your Own Core Values

- What do I care about most?
- What do I spend most of my time doing? What do I wish I could spend more time doing?
- What satisfies me most? What make me most angry?
- What personal failures bother me most? Why?
- What would I sacrifice or die for?
- Why do I work?
- What is most important in each of the roles I live out each day (father, husband, boss, subordinate, friend)?
- At the end of my life, what will I look back on with the most satisfaction? The most disappointment?
- What values was I taught as a child that are still relevant to me?
- What are the characteristics of the people I respect most?

Additional Exercises:

In small groups:

- Identify and discuss leaders you've known or read about who have failed or damaged their cause, company or family because of lapses in personal integrity.
- Identify leaders whose skills may not be as great as others you've known, who nevertheless lead effectively because others respect the quality of their character.
- Identify several of your own core values and explain why they are central to your way of being.

Alone:

Imagine that you will be living apart from someone you love or are responsible for (perhaps you are dying or are forced through divorce to live apart from your child). Write a "This is who I am and what I want you to know about me and living in this world" letter. Maybe this is a letter that you'll send or perhaps it's a letter that you will use to remind yourself of what you want o communicate to this person as they grow into maturity. In this letter define your guiding principles. Also define what you believe from your own experience are the most important abilities or talents they will need to live effectively in this world.

•

Core Values Identification Worksheet

Directions: First circle all your elected values. Choose the five you consider most important for success at Total Safety and score them 1-5 (1 for most important, top priority to 5, fifth in importance)

Accuracy	Growth-Oriented High Energy	Respectability
Achievement-Oriented	High Market Perception	Responsiveness
Best Investment	High-Spirited	Results-Oriented
Best Products		Rewarding
Cohesive	Highest Value	Social Responsibility
Commitment	Highly Specialized	Solution-Oriented
Compassion	Industry Pioneer	Special Expertise
Consistency	Industry Standard	State-of-the-Art
Cooperation	Innovation	Success-Oriented
Cost-Effective	Integrity/Honesty	Supportive
Creativity	Leadership	Teamwork
Credibility	Loyalty	Technology-Driven
Customer-Oriented	Market Leader	Trustworthy
Customer Service	Most Competitive	Unique
Decisive	Most Efficient & Effective	Visionary
Dependability	Performance-Driven	Other
Discipline	Proactive	Other
Empowerment	Profitability	
Enthusiasm	Progressive	
Entrepreneurial	Quality	
	Recognition	
Excellence	Reliability	
Financial	Respect for Individual	

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Corporate Values

Foundational Values

Foundational values are the fundamental, precondition cornerstones upon which all other values stand. They are normally deep, subjective traits, not action oriented. They are *intrinsic elements* needed before a company opens its doors, sets its course or does anything. Examples: Integrity, Respect for the Individual, Social Responsibility.

Services Feature Values

Service Values relate to the major characteristic of your organization, products or services. These are the true *action values* or catalysts that operate in execution of your company's vision and mission. Examples: Innovation, Efficiency/Effectiveness, Responsiveness, Reliability.

Resultant Benefit Values

The values reflect the benefits that are achieved when service values are exhibited. These are true *outcome values*. Examples: Market Leadership, High Competitiveness, Customer and Solution Oriented.

Legacy Values

Values which, over time, form the permanent legacy of the company due to the consistent, cumulative, sustained execution and demonstration of the prior three categories of values. These are the long-term, ultimate manifestations of the company's true quality and worth. Examples: excellence, high market perception, reputation, and profitability.

Our Company's Core Values

What are our core values?

To what degree do the core values we espouse publicly and throughout the company actually influence the way we treat one another on the level of the executive team?

Are our lived values different than our spoken ones?

Can you envision our values to be as valid 100 years from now as they are today?

Reading: Do You Have the Will to Lead?

by Polly LaBarre

Reprinted from: Fast Company Issue 32, page 222

Philosopher Peter Koestenbaum poses the truly big questions: How do we act when risks seem overwhelming? What does it mean to be a successful human being?

Who hasn't stared out an airplane window on yet another red-eye and thought, What exactly is the point of this exercise? Or sat through a particularly senseless meeting and wondered, How in the world did I get here? Or wrestled with a set of strategic choices -- all of which seem hard and unpleasant -- and said, What happened to the fun part of being in business? According to Peter Koestenbaum, those uncomfortable questions -- those existential quandaries -- are at the root of issues that great leaders deal with all the time, and they influence every decision that must be made.

A classically trained philosopher with degrees in philosophy, physics, and theology from Stanford, Harvard, and Boston University, Koestenbaum has spent half a century pondering the questions that give most of us headaches: Why is there being instead of nothing? What is the ultimate explanation of the universe? What does it mean to be a successful human being? After fleeing pre-World War II Germany with his parents, Koestenbaum was raised in Venezuela; later, he immigrated to the United States to pursue his studies. He taught at San Jose State University for 34 years, and during that period he focused on creating a "practical philosophy" -- a philosophy that is linked to education, psychology, and psychiatry. His many books include "The Vitality of Death" (Greenwood, 1971), "The New Image of the Person" (Greenwood, 1978), and "Managing Anxiety" (Prentice Hall, 1974). One of his books, "Leadership: The Inner Side of Greatness" (Jossey-Bass, 1991), has been translated into several languages, and Koestenbaum is now at work on a new book, tentatively titled "Diamond Reverse Engineering."

More than 25 years ago, Koestenbaum traded the cloistered halls of academia for the front lines of the global economy. It's not unheard-of for this philosopher, now a tireless 71-year-old with thick glasses and a flowing beard, to visit clients across three continents in a single week. His agenda: to apply the power of philosophy to the big question of the day -- how to reconcile the often-brutal realities of business with basic human values -- and to create a new language of effective leadership. "Unless the distant goals of meaning, greatness, and destiny are addressed," Koestenbaum insists, "we can't make an intelligent decision about what to do tomorrow morning -- much less set strategy for a company or for a human life. Nothing is more practical than for people to deepen themselves. The more you understand the human condition, the more effective you are as a businessperson. Human depth makes business sense."

Koestenbaum's wisdom makes sense to leaders at such giant organizations as Ford, EDS, Citibank, Xerox, Ericsson, and even one of Korea's chaebols. All of these companies have welcomed him into their offices to roam free as a resident sage, company therapist, and secular

priest. His involvement with them ranges from one-on-one coaching sessions to decade-long engagements featuring intensive leadership seminars. At Ford, Koestenbaum contributed to the company's 2,000-person Senior Executive Program throughout the 1980s. In more than a decade at EDS, he led seminars and coached hundreds of top executives, including then-chairman Les Alberthal. He also coached Alexander Krauer, a prominent Swedish industrialist, when Krauer was chairman of Ciba-Geigy. Picking up on that momentum, another leading Swedish industrialist, Rolf Falkenberg, founded the Koestenbaum Institute to disseminate the philosopher's teachings across Scandinavia.

"Everything I do," says Koestenbaum, "is about using themes from the history of thought to rescue people who are stuck." His logic: Change -- true, lasting, deep-seated change -- is the business world's biggest and most persistent challenge. But too many people and too many companies approach change by treating it as a technical challenge rather than by developing authentic answers to basic questions about business life. "We've reached such explosive levels of freedom that, for the first time in history, we have to manage our own mutation," declares Koestenbaum. "It's up to us to decide what it means to be a successful human being. That's the philosophical task of the age. Nothing happens unless you make it happen. As a leader, everything is your responsibility, because you always could have chosen otherwise."

In an interview with Fast Company, Koestenbaum explains how age-old questions apply to the new world of work.

Why does being a leader feel so hard today?

Because reckoning with freedom is always hard -- and the powerful paradoxes of the new economy make it even harder. We're living in a peculiar time: It's marked by a soaring stock market, the creation of tremendous wealth, an explosion in innovation, and the acute alienation that occurs when the global economy hits the average individual. What I call the "new-economy pathology" is driven by impossible demands -- better quality, lower prices, faster innovation -- that generate an unprecedented form of stress. People feel pressure to meet ever-higher objectives in all realms of work, wealth, and lifestyle -- and to thrive on that pressure in the process.

This condition is exacerbated by the graphic treatment of business in media and culture. The message is, You're living in the best country in the world at the best time in history; you have an amazing degree of freedom to do what you want, along with an unprecedented opportunity to build immense wealth and success -- and to do it more quickly than ever before. Of course, the average individual has as much of a chance of launching a skyrocketing IPO as he or she has of becoming a movie star.

What's even more disturbing is that the ascendancy of shareholder value as the dominant driving force in business has resulted in a terrible insensitivity to basic human values. That's the real "stuck point" for leaders: How do we cope with a brutal business reality and still preserve human values? How do we handle competition without becoming either the kind of fool who allows it to crush us or the kind of fool who forgets people?

Resolving that paradox requires something like an evolutionary transformation of who we are, how we behave, how we think, and what we value. We've reached such an incredible level of freedom that, for the first time in history, we have to manage our own mutation. It's up to us to decide what it means to be a successful human being. That's the philosophical task of the age.

In some sense, of course, that has been the task of every age. There's nothing in today's economic disruptions that equals the horror of World War II. According to some estimates, nearly 100,000 people were killed during every week of that war. In 1935, when I was a seven-year-old boy, I once stood in the Alexanderplatz, a square in Berlin, and watched Hitler parade by in his Mercedes, just a few feet away. I'll never forget the mothers with babies in their arms, the children holding up swastikas. That leaves a mark on you that can't be erased -- and it leaves you with questions that you have to confront: Who am I to have witnessed such acts? How am I to live meaningfully in a world such as this?

The new economy just happens to be the form that our existential challenge takes today. As always, the real obstacle is existence itself.

That's a heavy burden to place on leaders. They must not only guide organizations but also wrestle with basic philosophical questions.

There's a terrible defect at the core of how we think about people and organizations today. There is little or no tolerance for the kinds of character-building conversations that pave the way for meaningful change. The average person is stuck, lost, riveted by the objective domain. That's where our metrics are; that's where we look for solutions. It's the come-on of the consulting industry and the domain of all the books, magazines, and training programs out there. And that's why books and magazines that have numbers in their titles sell so well. We'll do anything to avoid facing the basic, underlying questions: How do we make truly difficult choices? How do we act when the risks seem overwhelming? How can we muster the guts to burn our bridges and to create a condition of no return?

There's nothing wrong with all of those technical solutions. They're excellent; they're creative; they're even necessary. But they shield us from the real issues: What kind of life do I want to lead? What is my destiny? How much evil am I willing to tolerate?

Reflection doesn't take anything away from decisiveness, from being a person of action. In fact, it generates the inner toughness that you need to be an effective person of action -- to be a leader. Think of leadership as the sum of two vectors: competence (your specialty, your skills, your know-how) and authenticity (your identity, your character, your attitude). When companies and people get stuck, they tend to apply more steam -- more competence -- to what got them into trouble in the first place: "If I try harder, I'll be successful," or "If we exert more control, we'll get the results we need."

The problem is, when you're stuck, you're not likely to make progress by using competence as your tool. Instead, progress requires commitment to two things. First, you need to dedicate yourself to understanding yourself better -- in the philosophical sense of understanding what it means to exist as a human being in the world. Second, you need to change your habits of thought: how you think, what you value, how you work, how you connect with people, how you

learn, what you expect from life, and how you manage frustration. Changing those habits means changing your way of being intelligent. It means moving from a non-leadership mind to a leadership mind.

What are the attributes of a "leadership mind"?

Authentic leaders have absorbed the fundamental fact of existence -- that you can't get around life's inherent contradictions. The leadership mind is spacious. It has ample room for the ambiguities of the world, for conflicting feelings, and for contradictory ideas.

I believe that the central leadership attribute is the ability to manage polarity. In every aspect of life, polarities are inevitable: We want to live, yet we must die. How can I devote myself fully to both family and career? Am I a boss or a friend? A lover or a judge? How do I reconcile my own needs with those of my team? Those paradoxes are simply part of life. Every business interaction is a form of confrontation -- a clash of priorities, a struggle of dignities, a battle of beliefs. That's not an invitation to wage an epic battle of good versus evil or right versus wrong. (Chances are, your boss is less of an SOB than he is an agent of the cosmos.) My point is, you have to be careful not to bang your head against the wrong door. Polarities are in the nature of things. How we act, how we respond to those polarities -- that is where we separate greatness from mediocrity.

That doesn't mean that we don't have to make decisions. Tough choices are a daily requirement of leadership. Leaders have to hire and fire, to sign off on new strategies, and to risk investments -- all of which can lead to stress and guilt. The presence of guilt is not a result of making the wrong choice but of choosing itself. And that is the human condition: You are a being that chooses.

A young, ambitious guy whom I worked with at Amoco got a double promotion that required a transfer to Cairo. He went home to his new wife and young baby and said, "Great news, we're moving to Cairo." Appalled, his wife said, "You're moving alone. I'm going home to my mother." That was the first test of leadership in that family. There was no viable compromise: If he relinquished his promotion, he would resent his wife for ruining his career; if she just went along with the move, she would hate him for squashing her ideals for her baby and herself. What to do?

After some discussion, they might have been tempted to believe that maturity required them to deny their feelings and to sacrifice on behalf of each other. But that actually leads to illness, depression, and the end of affection. Instead, they went back to the fundamentals: Is it my career, or is it our career? Is it your baby, or is it our baby? Are we individuals, or do we operate as a team? What are our values? That marriage had to grow up by the equivalent of five years in about two weeks. They ended up going to Cairo, but their relationship had been transformed: She understood that his career was important to her; he recommitted to his values as a participant in the family. What matters is not what they ended up choosing, but how. They took the courageous step to redefine, from the inside out, who they truly were. The how is what gives you character. The what, which at first appears paramount, is ultimately of no emotional significance.

Managing polarity teaches us that there are no solutions -- there are only changes of attitude. When you grapple with polarities in your life, you lose your arrogant, self-indulgent illusions, and you realize that the joke is on you. To get that message makes you a more credible human being -- instantly.

It's one thing for a leader to embrace the contradictions of the new economy. But how does he or she persuade colleagues to go along with this kind of thinking?

The best leaders operate in four dimensions: vision, reality, ethics, and courage. These are the four intelligences, the four forms of perceiving, the languages for communicating that are required to achieve meaningful, sustained results. The visionary leader thinks big, thinks new, thinks ahead -- and, most important, is in touch with the deep structure of human consciousness and creative potential. Reality is the polar opposite of vision. The leader as realist follows this motto: Face reality as it is, not as you wish it to be. The realist grapples with hard, factual, daily, and numeric parameters. A master in the art of the possible, the realist has no illusions, sees limits, and has no patience for speculation.

Ethics refers to the basic human values of integrity, love, and meaning. This dimension represents a higher level of development, one ruled not by fear or pleasure but by principle. Courage is the realm of the will; it involves the capacity to make things happen. The philosophic roots of this dimension lie in fully understanding the centrality of free will in human affairs. Courage involves both advocacy -- the ability to take a stand -- and the internalization of personal responsibility and accountability.

The real challenge of leadership is to develop all four of these often-contradictory modes of thinking and behaving at once. Leaders tend to operate on two dimensions at most -- which has more to do with a lack of insight into human nature than with corrupt intent. Reality dominates, and the second-most-common attribute is ethics: Consider the statement "People are our most important asset." Unfortunately, those are often empty words -- not just because too few people make the connection between profits and human values, but also because there is no adequate understanding of what it means to be a human being in a brutally competitive environment. "Vision" might be one of the most overused words in business, but in fact vision -- in the sense of honing great thinking and fostering the capacity for ongoing inventiveness -- is rarely practiced. And courage is demonstrated even more rarely.

When we talk about courage, we usually mean having guts or taking risks. But you talk about courage as if it were an almost mythic quality -- one that lies at the heart of leadership success.

It goes back to the beginning of our discussion. Aristotle believed, correctly, that courage is the first of the human virtues, because it makes the others possible. Courage begins with the decision to face the ultimate truth about existence: the dirty little secret that we are free. It requires an understanding of free will at the archetypal level -- an understanding that we are free to define who we are at every moment. We are not what society and randomness have made us; we are what we have chosen to be from the depth of our being. We are a product of our will. We are self-made in the deepest sense.

One of the gravest problems in life is self-limitation: We create defense mechanisms to protect us from the anxiety that comes with freedom. We refuse to fulfill our potential. We live only marginally. This was Freud's definition of psychoneurosis: We limit how we live so that we can limit the amount of anxiety that we experience. We end up tranquilizing many of life's functions. We shut down the centers of entrepreneurial and creative thinking; in effect, we halt progress and growth. But no significant decision -- personal or organizational -- has ever been undertaken without being attended by an existential crisis, or without a commitment to wade through anxiety, uncertainty, and guilt.

That's what we mean by transformation. You can't just change how you think or the way that you act -- you must change the way that you will. You must gain control over the patterns that govern your mind: your worldview, your beliefs about what you deserve and about what's possible. That's the zone of fundamental change, strength, and energy -- and the true meaning of courage.

Does developing the will to transform mean that you can actually will others to change?

Taking personal responsibility for getting others to implement strategy is the leader's key polarity. It's the existential paradox of holding yourself 100% responsible for the fate of your organization, on the one hand, and assuming absolutely no responsibility for the choices made by other people, on the other hand. That applies to your children too. You are 100% responsible for how your children turn out. And you accomplish that by teaching them that they are 100% responsible for how they turn out.

So how do you motivate people? Not with techniques, but by risking yourself with a personal, lifelong commitment to greatness -- by demonstrating courage. You don't teach it so much as challenge it into existence. You cannot choose for others. All you can do is inform them that you cannot choose for them. In most cases, that in itself will be a strong motivator for the people whom you want to cultivate. The leader's role is less to heal or to help than to enlarge the capacity for responsible freedom.

Some people are more talented than others. Some are more educationally privileged than others. But we all have the capacity to be great. Greatness comes with recognizing that your potential is limited only by how you choose, how you use your freedom, how resolute you are, how persistent you are -- in short, by your attitude. And we are all free to choose our attitude.

Sidebar: Fear and Trembling in the New Economy

You don't need a philosopher to tell you that anxiety is one by-product of what Peter Koestenbaum calls "the brutality and promise" of the new economy. But you do need a philosopher to explain how anxiety rules the human condition -- and how it can serve as a powerful, productive force in your life. The best thinker for the job, says Koestenbaum, is Soren Kierkegaard, a Danish philosopher who did as much for the analysis of anxiety as Freud did for the analysis of the subconscious. Here's a short course from Koestenbaum on the value of anxiety.

Anxiety generates knowledge. "As Kierkegaard explains it, anxiety is the natural condition. It's a cognitive emotion that reveals truths that we would prefer to hide but that we need for our

greater health. In an essay called 'The Concept of Dread,' Kierkegaard draws a connection between anxiety and free will. We cannot prove that free will is true -- because we freely choose the meaning of truth in the first place. But our anxiety tips us off to the existence of our freedom: It reminds us of our huge responsibility to choose who we are and to define our world."

Anxiety leads to action. "Kierkegaard wrote that the most common form of despair occurs when one does not choose or 'will' to be oneself -- when a person is 'another than himself.' The opposite of despair is 'to will to be that self which one truly is.' That's the experience of anxiety. It is choosing life in the face of death; it is the experience of thought becoming action, reflection becoming behavior, and theory becoming practice. Anxiety is pure energy."

Anxiety makes you a grown-up. "Anxiety is the experience of growth itself. In any endeavor, how do you feel when you go from one stage to the next? The answer: You feel anxious. Anxiety that is denied makes us ill; anxiety that is fully confronted and fully lived through converts itself into joy, security, strength, centeredness, and character. The practical formula: Go where the pain is."

Part Two: Secondary Greatness Leadership Competencies and Style

Now we focus on the area of secondary greatness: competencies, style and behaviors. The relevant questions here are: "What traits and abilities characterize effective leaders?" "What leadership behaviors, styles or approaches are effective with followers?"

When all is said and done, the greatest quality required in a commander is "decision"; he must be able to issue clear orders and have the drive to get things done. Indecision and hesitation are fatal in any officer; in a commander-in-chief they are criminal.

Field Marshall Montgomery.

Great corporate leaders understand human behavior rather than the cybernetics of any functional specialty.

James Schorr

The secret of successful managing is to keep the five guys who hate you from talking to the four guys who haven't made up their minds.

Casey Stengel

I spend 60% of my time planning, 60% with people, and all other duties are completed with whatever time is left.

A.W. Claussen

The primary skill for a manager consists of knowing how to make assignments and picking the right people to carry out those assignments.

Lee Iacocca

I will pay more for the ability to deal with people than for any other ability.

John D. Rockefeller

The dream begins with a teacher who believes in you, who tugs and pushes and leads you to the next plateau, sometimes poking you with a sharp stick called "truth."

Dan Rather

Leadership: The art of getting someone else to do something that you want done because he wants to do it.

Dwight D. Eisenhower

There is something that is much more scarce, something finer, something rarer than ability. It is the ability to recognize ability.

Elbert Hubbard

The buck stops here.

Harry S. Truman

The first responsibility of a leader is to define reality. The last is to say thank you. In between the leader is a servant.

Max Dupree

The role of the leader is to enhance, transform, coach, care, trust, and cheerlead. The activities of a leader are to educate, sponsor, coach and counsel using appropriate timing, tone, consequence and skills.

Tom Peters

The world of business will not belong to managers or those who make the numbers dance, or those who are conversant with all the business and jargon we use to sound smart. The world will belong to passionate driven leaders—people who not only have an enormous amount of energy but who can energize those whom they lead.

Jack Welch

Trait Theory

Trait theory suggests that leaders have certain personality, social, and physical characteristics, known as traits that influence whether the person acts as a leader. First introduced in the 1940s and 1950s, trait theory originally proposed that individuals were born to be leaders. Supported by the development of psychological testing and an interest in what made the "great" leaders of the world, trait theory compared leaders and nonleaders.

More than 100 studies on leader traits conducted during the first half of the twentieth century supported the assertion that leaders were born by showing that leaders differed from nonleaders in their intelligence, initiative, persistence in dealing with problems, self-confidence, alertness to others' needs, understanding of the task, desire to accept responsibility, and preference for a position of control and dominance.

More recent research assumed that leaders are not necessarily born, but can learn the requisite skills and traits. Trait theory proposes that most leaders have the traits of energy, tenacity, and initiative. They generally demonstrate ambition and are achievement oriented. They show originality, enthusiasm, and persistence. Trait researchers further agree that leaders differ from nonleaders in their drive (achievement, ambition, energy, tenacity, and initiative), desire to lead, honesty and integrity, self-confidence, cognitive ability, and knowledge of business.

Trait theory suggests that certain traits can increase the likelihood of a leader's effectiveness. One study of senior management jobs showed that an effective leader requires a broad knowledge of and solid relations within the industry and the company, an excellent reputation, a strong track record, a keen mind, strong interpersonal skills, high integrity, high energy, and a strong drive to lead.

Another series of studies at the Center for Creative Leadership validated the basic premise that effective and ineffective leaders had different traits and skills. The studies compared successful managers and "derailed" managers, managers who advanced into middle or top management but failed to perform effectively. The results indicated that successful managers had characteristics that derailed managers lacked. Successful managers demonstrated emotional stability and composure. They were calm and confident rather than moody or angry during crises. They admitted mistakes and then tried to correct problems rather than blaming others or hiding mistakes. They had strong interpersonal skills. They had diverse functional and technical experiences that gave them a broader perspective for solving problems.

Characteristics of Successful Leaders

TRAITS

Adaptable to situations Alert to social environment Ambitious and achievement oriented Assertive Cooperative Decisive Dependable Dominant (desire to influence others) Energetic (high activity level) Persistent Self-confident Tolerant of stress Willing to assume responsibility

SKILLS

Clever (intelligent) Conceptually skilled Creative Diplomatic and tactful Fluent in speaking Knowledgeable about group task Organized (administrative ability) Persuasive Socially skilled

Source: R.H. Stogdill and A.E. Coons, <u>Leader Behavior: Its Description and Measurement</u> (Columbus: Ohio State Bureau of Business Research)

ASSESSMENT: THE X-Y-Z OF LEADERSHIP ATTITUDE

STEP 1: Complete the following questionnaire.

Assign a weight of 0 to 10 to each statement. The firmer your belief in one statement rather than the statement it is paired with, the higher the score. The points assigned to each pair must total 10 (6-4, 2-8, 5-5, etc.). Be honest with yourself. Evaluate each statement based on how you actually feel, not how you think you should feel. Explanations of the assumptions underlying the three management philosophies follow the scoring key.

1.	The average human being instinctively dislikes work and will avoid it if possible.	(a)
	The expenditure of physical and mental effort in work is as natural as play or rest.	(b) 10
2.	A worker is motivated by participating in setting goals. People who don't use much imagination and ingenuity on the job probably don't have much of either.	(c) (d) 10
2		(e)
3.	Receiving recognition for one's accomplishments is motivating to a worker.	
	If people are allowed to set their own goals and standards of performance, they tend to set them higher than the boss would.	(f) 10
4.	A worker is motivated by having additional duties delegated to	(g)
	him/her. If anything is going to get done, the manager has to make the decisions.	(h) 10
5.	The average person prefers to be directed and wishes to avoid	(i)
	responsibility. The average human being learns, under proper conditions, not only to accept but to seek responsibility.	(j) 10
6.	Most jobs do not allow for individual self-fulfillment.	(k)
	Work can be designed to allow workers more freedom and autonomy on the job.	(k) (l) 10
7.	Most people are imaginative and creative, but they may not show it	(m)
	because of limitations imposed by supervision and the job. Having trust that both they and management share the same goals is motivating to workers.	(n) 10
8.	If employees receive more information than they need to perform	(0)
	their tasks, they will misuse it. If employees have access to inside information, they tend to have better attitudes and behave more responsibly.	(p)

(q) _____ 9. Group decision-making helps determine goals and improves worker productivity, even without supervision. (r) ______10 Asking employees for their ideas results in the development of useful suggestions. (s) _____ 10. Providing opportunities for workers to utilize all their skills in performing their jobs will increase productivity. (t) ______10 Rules and procedures are necessary to get workers to be productive. (u) _____ 11. Minimizing management status symbols increases workers' respect of the manager. Managers are entitled to the privileges and perquisites of their positions. (w) _____ 12. Pay increases are the best way to keep employees motivated. (x)_____ A trusting relationship among members of an organization is a good 10 way to keep employees motivated.

STEP 2: Score the questionnaire.

In the columns below, write the score you assigned to each statement next to the letter of that statement. Then write the sum of the scores at the bottom of each column.

Everyone uses some combination of styles, but the column with the highest score will identify your basic managerial attitude and philosophy. If all three scores are within a few points of one another, you probably adjust your style to fit particular situations. If this instrument indicates that your attitude is strongly X, Y, or Z, you need to consider if your style is appropriate for the people you are supervising.

THEORY X	THEORY Y	THEORY Z
SCORE EQUALS	SCORE EQUALS	SCORE EQUALS
THE SUM OF	THE SUM OF	THE SUM OF
(a) (d) (h) (i) (k) (k) (o) (t) (w) Total	(b) (c) (e) (g) (j) (m) (r) (v) Total	(f) (l) (n) (p) (q) (s) (u) (x) Total

The Assumptions of Three Leadership Styles

Theory X

Theory X leadership style is based on the view of human nature embodied in the following three statements:

- 1. People have a natural aversion to work.
- 2. People need to be coerced, controlled, and threatened with punishment to get them to put forth adequate effort toward the achievement of company goals.
- 3. The average person prefers to be directed, wishes to avoid responsibility, has little ambition, and wants security most.

Theorists now ask how much of the behavior described above is inherent human nature and how much is behavior learned from bosses who manage with those assumptions. Perhaps the assumptions become self-validating. Workers who are always treated by an authoritarian management as though they are lazy tend to behave that way.

Theory Y

Theory Y assumptions represent a much more positive assessment of human behavior. Following are the basic premises of Theory Y:

- 1. The expenditure of physical and mental effort in work is as natural as play or rest.
- 2. External control and threat of punishment are not the only means for bringing about effort toward corporate goals. People will exercise self-direction and self-control to achieve goals they find important.
- 3. Commitment to objectives is in proportion to the rewards associated with their achievement.
- 4. The average person learns, under proper conditions, not only to accept but to seek responsibility.
- 5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in solving work problems is widely, not narrowly, present in the population.
- 6. Under the conditions of modem industrial life, the brainpower of the average person is only partially utilized.

Theory Z

Theory Z, a contemporary perspective based in part on lessons learned from Japanese management practices, suggests that leaders get more out of their employees because of mutual trust and cooperation. This management philosophy is based on the following assumptions:

- 1. Long-term, even lifetime, employment is expected by both managers and employees.
- 2. Employees need freedom and the opportunity to grow.
- 3. Decisions should be group decisions involving workers and managers.
- 4. Subordinates are whole people at work (in contrast to being thought of as titles or as units of production).
- 5. Management has a broad concern for subordinate welfare.
- 6. Open communication, both vertically and horizontally, is the norm.
- 7. There is complete trust among groups and individuals because they all have the same goals--the good of the organization.
- 8. Cooperation, not competition, is the basis for relationships within the company.

Exercise:

In small groups or with the class as a whole, discuss the following questions:

- 1. What does your profile look like?
- 2. Do you think your style is appropriate for your work environment? Why or why not?
- 3. Are different styles appropriate for different kinds of industries? At different levels of the company? For different situations?
- 4. What are the implications of your style for managing subordinates?
- 5. What changes might you make in your assumptions?

The Life Cycle Theory of Leadership

The Life Cycle Theory specifies that effective leadership results from the fit between the leader's style and the readiness of employees to follow. The theory assumes that under most conditions as follower's readiness will likely increase over the lifecycle of his or her relationship with the leader, calling for a change in the leader's style over time

Leadership Style

The creators of the theory, Paul Hersey and Ken Blanchard, identify two dimensions of leadership style:

- 1. *Task behavior* refers to behaviors in which the leader specifies an individual's or group's duties, activities, and responsibilities by goal setting, organizing, scheduling, directing, and controlling.
- 2. *Relationship behavior* refers to the communication behaviors of the leaders, such as listening, giving support, facilitating interactions, providing feedback., and supporting individuals and groups.

Combining these two dimensions results in four decision styles labeled S1 through S4, or 1 through 4

The Four Leadership Styles

- 1. *Telling* (S1): high task and low relationship. The leader guides, directs, establishes guidelines, provides specific instructions, and closely supervises performance. Ross Perot, for example, regularly engages in telling behavior. A dysfunctional telling-style leader dictates without really considering the subordinates at all.
- 2. *Selling* (S2): high task and high relationship. The leader explains decisions, clarifies them, and persuades subordinates to follow them as necessary. Sam Walton frequently used this style as he toured the Wal-Mart stores. Selling that is too intense, however, can result in badgering of subordinates with too much structure and consideration.
- 3. *Participating* (S3): (low task and high relationship. The leader shifts significant responsibility to the followers, encourages subordinates to participate in decision-making, and facilitates collaboration and commitment. In extreme cases the leader can bend too greatly to the will of his or her subordinates, rather than correctly judging the amount of participation that is appropriate.
- 4. **Delegating** (S4): low task and low relationship. The leader only observes and monitors subordinate performance, after giving them responsibility for decisions and implementation. Improper application of this style can result in the leader disengaging too much from the decision-making process.

Follower Readiness

At Texas Instruments, CEO Jerry Junkins believes he has capable workers. He created 3,000 teams of workers who have control over scheduling, setting profit targets, ordering materials, and devising strategies. This delegative style fits with the workers' high maturity.

According to the life cycle theory, selecting the appropriate style requires the leader to determine the *readiness* of his or her followers. Follower readiness includes two main components-ability and willingness.

- 1. The *ability* of the subordinates describes whether they have the necessary knowledge, skills, and experience to perform the task. New hires, for example, may not have the ability to do the job unless they received specific job-related training prior to securing the job.
- 2. *Willingness* describes whether the subordinates have the motivation, commitment, and confidence to do the task. Some salespeople, for example, have the skills, knowledge, and experience to double their sales from the previous year, but they may lack the motivation and commitment to attain such a goal.

Life Cycle Model of Leadership

Leader Behavior

Task Behavior The extent to which the leader engages in defining roles, telling what, how, when where and, if more than one person, who is to do what in: Goal Setting Organizing Establishing Time Lines Directing Controlling Relationship Behavior The extent to which the leader engages in two-way (multi-way) communication, listening, facilitating behaviors, socioemotional support:	(High) ▲ Relationship Behavior (Support Behavior) → (Low)	Shares in deci S4 D Turns for dec	Lo T Lo Lo T elegating over responsibility visions and nentation Task B	Rel Task Rel Task	provid Hi Task Hi Rel Hi Task Lo Rel instru super	Selling S2 lains decision and es opportunity for clarification Telling S1 Provides specific ctions and closely vises performance (High)	Decision StylesS1Leader-made decisionS2Leader-made decision with dialogue and/or explanationS3Leader/follower made decision or follower-made decision with encouragement from leader.S4Follower-made decision
 Giving Support Communicating Facilitating Interactions Active Listening Providing Feedback 	Abl willi conf	igh le or ng or ident Followe S4 gating erving itoring	Follower Mode Able but unwilling or insecure Leader I er Directed S3 Participating Encouraging Collaborating	Rea erate Un: wi co Beh:	diness able but lling or nfident avior	Low Unable and unwilling or insecure Directed S1 Telling Guiding Directing	Ability: has the necessary knowledge, experience and skill Willingness: has the necessary confidence, commitment and motivation

SITUATIONAL ANALYSIS: A LEADERSHIP INVENTORY

STEP 1: Assume you are involved in each of the following situations. Read each item carefully and think about what you would do in each circumstance. Then circle the letter of the alternative that you think would most closely describe your behavior in the situations presented. Circle only one choice. For each situation, interpret key concepts in terms of the environment or situation in which you most often think of yourself as assuming a leadership role. Do not change your situational frame of reference from question to question.

SITUATION 1

The employees in your program appear to be having serious problems getting the job done. Their performance has been going downhill rapidly. They have not responded to your efforts to be friendly or to your expressions of concern for their welfare.

What Would You Do?

- a. Reestablish the need for following program procedures and meeting the expectations for task accomplishment.
- b. Be sure that staff members know you are available for discussion, but don't pressure them.
- c. Talk with your employees and then set performance goals.
- d. Wait and see what happens.

SITUATION 2

During the past few months, the quality of work done by staff members has been increasing. Record keeping is accurate and up to date. You have been careful to make sure that all staff members are aware of your performance expectations.

- a. Stay uninvolved.
- b. Continue to emphasize the importance of completing tasks and meeting deadlines.
- c. Be supportive and provide clear feedback. Continue to make sure that staff members are aware of performance expectations.
- d. Make every effort to let staff members feel important and be involved in the decisionmaking process.

Performance and interpersonal relations among your staff have been good. You have normally left them alone. However, a new situation has developed, and it appears that the staff members are unable to solve the problem themselves,

What Would You Do?

- a. Bring the group together and work as a team to solve the problem.
- b. Continue to leave them alone to work it out.
- c. Act quickly and firmly to identify the problem and establish procedures to correct it.
- d. Encourage the staff to work on the problem, letting them know you are available as a resource and for discussion if they need you.

SITUATION 4

You are considering a major change in your program. Your staff has a fine record of accomplishment and a strong commitment to excellence. They are supportive of the need for change and have been involved in the planning.

What Would You Do?

- a. Continue to involve the staff in the planning, but you direct the change.
- b. Announce the changes and then implement them with close supervision.
- c. Allow the group to be involved in developing the change, but don't push the process.
- d. Let the staff manage the change process.

SITUATION 5

You are aware that staff performance has been going down during the last several months. They need continual reminding to get tasks done on time and seem unconcerned about meeting objectives. In the past, redefining procedures and role expectations has helped.

- a. Allow your staff to set their own direction.
- b. Get suggestions from the staff but see that the objectives are met.

- c. Redefine goals and expectations and supervise carefully.
- d. Allow the staff to be involved in setting goals, but don't pressure them.

You have just been appointed as the director of a new program that had been running smoothly under the previous director. She had the reputation for running a tight ship. You want to maintain the quality of the program and the service delivery, but you would like to begin humanizing the environment.

What Would You Do?

- a. Do nothing at the present time.
- b. Continue with the administrative pattern set by the previous director, monitoring the staff and emphasizing the importance of task accomplishment.
- c. Get the staff involved in decision making and planning, but continue to see that objectives are met and quality is maintained.
- d. Reach out to staff members to let them feel important and involved.

SITUATION 7

You are considering expanding your unit's responsibilities. Your staff members have made suggestions about the proposed change and are enthusiastic. They operate effectively on a day-to-day basis and have shown themselves willing to assume responsibility.

- a. Outline the changes and monitor carefully.
- b. Reach consensus with the staff on the proposed changes and allow the staff members to organize the implementation.
- c. Solicit input from the staff on proposed changes, but maintain control of the implementation.
- d. Let the staff handle it.

Staff members have been working well. Interpersonal relations and morale are good. The quality of service delivery is excellent. You are somewhat unsure of your apparent lack of direction of the group.

What Would You Do?

- a. Be careful not to hurt your relationship with the staff by becoming too directive.
- b. Take steps to assure that staff members are working in a well-defined manner.
- c. Leave the staff alone to work as they have been.
- d. Discuss the situation with the staff and then initiate the necessary changes.

SITUATION 9

You have been appointed to replace the chairman of a task force that is long overdue in making requested recommendations for certification requirements. The group is not clear on its goal. Attendance at meetings has been poor. Frequently, the meetings are more social than task-oriented. Potentially, they have the knowledge and experience to complete the task.

What Would You Do?

- a. Let the group members work out their problems.
- b. Solicit recommendations from the group, but see that the objectives are met.
- c. Redefine and clarify the goals, tasks, and expectations, and carefully supervise progress toward task completion.
- d. Allow group involvement in setting goals, but don't push.

SITUATION 10

Your employees are usually able to take responsibility. However, they are not responding well to your recent redefinition of performance standards.

- a. Supervise carefully to assure that standards are met.
- b. Solicit input from the staff on performance standards. Incorporate their suggestions and monitor their progress toward meeting the standards.

- c. Allow staff involvement in the redefinition of performance standards, but don't push.
- d. Avoid confrontation. Apply no pressure and see what happens.

You have been promoted to the position of manager. The previous manager appeared to be uninvolved in the affairs of the staff. They have adequately handled their tasks and responsibilities. Their morale is high.

What Would You Do?

- a. Become active in directing the staff toward working in a clearly defined manner.
- b. Involve your staff in decision-making and consistently reinforce good contributions.
- c. Discuss past performance with your staff and then examine the need for new procedures.
- d. Continue to leave the staff alone.

SITUATION 12

You have recently become aware of some internal difficulties on your staff. They had been working well together for the past year. The staff has an excellent record of accomplishment. Staff members have consistently met their performance goals. All are well qualified for their roles in the program.

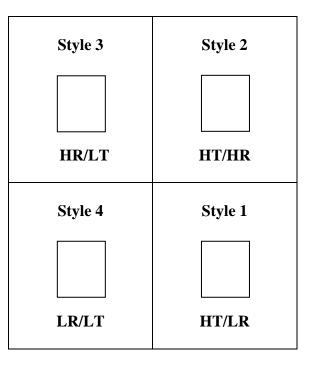
- a. Allow your staff members to deal with the new problem themselves.
- b. Tell the staff how you propose to deal with the situation and discuss the necessity for these procedures.
- c. Make yourself available for discussion but don't jeopardize your relationship with the staff by forcing the issue.
- d. Act quickly and firmly to nip the problem in the bud.

STEP 2: Scoring

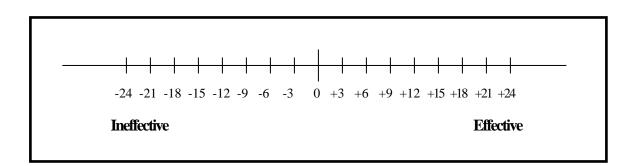
1. Below are two charts labeled Flexibility and Effectiveness. In each chart circle your answer for the situations described above. For example, if you answered alternative C for Situation 1, circle the Cs in row 1 in both the Flexibility and Effectiveness charts.

F	LE	XIB	ILI	TY	
		S1	S2	S 3	S4
	1	Α	С	В	D
	2	В	C	D	Α
	3	С	Α	В	D
)er	4	В	Α	С	D
Imt	5	С	В	D	А
Nu	6	В	С	D	А
Situation Number	7	Α	С	В	D
uat	8	В	D	А	С
Sit	9	С	В	D	Α
	10	Α	В	С	D
	11	Α	С	В	D
	12	D	В	С	А
		S1	S2	S 3	S4

- 2. Now focus on the Flexibility chart. Add the number of letters you circled in each column and enter the sum in the boxes labeled S1, S2, S3, and S4.
- 3. Still focusing on the Flexibility chart, place the total of each column in the corresponding quadrant of the style matrix chart below. That is, the S1 score goes in the Style 1 box (high task, low relationship), the S2 score goes in Style 2 (high task, high relationship), and so on.



- 4. Now focus on the Effectiveness chart, add the number of letters you circled in each column and enter the sum in the boxes below each column.
- 5. Then multiply each number by the number directly under it. Be sure to indicate + or as appropriate, and put the answer in the box below that.
- 6. Now add the four numbers and enter in the box labeled Total. Again, be sure to include the + or sign.
- 7. On the Effectiveness scale below, find the number in the Total box and mark it with an arrow.



MANAGEMENT RESEARCH GROUP: LEADERSHIP EFFECTIVENESS ANALYSIS™

22 Leadership Behavior Sets: Sample Words and Phrases

LEA questionnaire stems ask <u>primarily</u> about *professional, role-specific behavior*. In endorsing items on the LEA questionnaire, people are responding to the following types of question stems:

- In a leadership role, I...
- In my organization, I am regarded as...
- When I am working on an important assignment, I emphasize...
- In my role, I...

Following are a list of words and phrases associated with the types of leadership practices, perspectives and behaviors that people are endorsing when they score high on a specific LEA Set.

CREATING A VISION

• **Conservative:** Studying problems in light of past practices to ensure predictability, reinforce the status quo and minimize risk.

sound approaches	prudent decisions	judicious deliberation
use my hard-won experience	let well enough alone	respect the lessons of the past

• **Innovative:** Feeling comfortable in fast-changing environments; being willing to take risks and to consider new and untested approaches.

creative thinking	explore new horizons	challenge outmoded assumptions
value new ideas	innovative thinker	willing to change traditions

• **Technical:** Acquiring and maintaining in-depth knowledge in your field or area of focus; using your expertise and specialized knowledge to study issues and draw conclusions.

expert in my field	use specialized skills	importance of my field to company
do a strong technical job	apply expertise effectively	stay up-to-date in my field

• **Self:** Emphasizing the importance of making decisions independently; looking to yourself as the prime vehicle for decision making.

self-directed	use independent judgments	be more autonomous
in control of my own destiny	do it on my own	make their own decisions

• **Strategic:** Taking a long-range, broad approach to problem solving and decision making through objective analysis, thinking ahead and planning.

a strategist	think ahead	ability to plan
strong analytical abilities	long-term implications	objective thinking

DEVELOPING FOLLOWERSHIP

• **Persuasive:** Building commitment by convincing others and winning them over to your point of view.

do well in selling	convincing	sway people's opinions
persuasive	win people over	sell an idea

• **Outgoing:** Acting in an extroverted, friendly and informal manner; showing a capacity to quickly establish free and easy interpersonal relationships.

very friendly	many acquaintances	an extrovert
wide range of friends	outgoing personality	friendly atmosphere

• **Excitement:** Operating with a good deal of energy, intensity and emotional expression; having a capacity for keeping others enthusiastic and involved.

lively and dynamic	constantly on the go	ability to get people enthused
vibrant personality	great enthusiasm	boundless energy

• **Restraint:** Maintaining a low-key, understated and quiet interpersonal demeanor by working to control your emotional expression.

restrained	remain calm	reserved
even disposition	stay cool under stress	serious-minded

IMPLEMENTING THE VISION

• **Structuring:** Adopting a systematic and organized approach; preferring to work in a precise, methodical manner; developing and utilizing guidelines and procedures.

well-organized	orderly	set careful guidelines
effective and precise	methodical	administrative ability

• **Tactical:** Emphasizing the production of immediate results by focusing on short-range, hands-on, practical strategies.

do things quickly	effective troubleshooter	set concrete, practical goals
seize an opportunity	do well in negotiating	quickly change directions

• **Communication:** Stating clearly what you want and expect from others; clearly expressing your thoughts and ideas; maintaining a precise and constant flow of information.

keep everyone informed	thoroughly brief people	express my ideas clearly
express viewpoints clearly	explicit about what I want	explain objectives thoroughly

• **Delegation:** Enlisting the talents of others to help meet objectives by giving them important activities and sufficient autonomy to exercise their own judgment.

let people do the job	see other people grow	allow freedom to make mistakes
take all the help I can get	let others give me a hand	let others try their own ideas

FOLLOWING THROUGH

• **Control:** Adopting an approach in which you take nothing for granted, set deadlines for certain actions and are persistent in monitoring the progress of activities to ensure that they are completed on schedule.

persistence	tenacity	stick with a goal
set follow-up dates	keep after people	deliver on promises

• **Feedback:** Letting others know in a straightforward manner what you think of them, how well they have performed and if they have met your needs and expectations.

very direct	outspoken advocate	tell people how they are doing
tells it like it is	don't mince words	tell them what I think of them

ACHIEVING RESULTS

• **Management Focus:** Seeking to exert influence by being in positions of authority, taking charge, and leading and directing the efforts of others.

be very influential	ability to manage people	strong leadership qualities
willingness to take command	have a powerful position	act as a facilitator

• **Dominant:** Pushing vigorously to achieve results through an approach which is forceful, assertive and competitive.

assertive	prevail in an argument	highly competitive
play a dominant role	somewhat authoritative	attack goals aggressively

• **Production:** Adopting a strong orientation toward achievement; holding high expectations for yourself and others; pushing yourself and others to achieve at high levels.

set ambitious goals	constantly test my limits	have very high aspirations
give it everything I've got	expect a great deal	set demanding goals

TEAM PLAYING

• **Cooperation:** Accommodating the needs and interests of others by being willing to defer performance on your own objectives in order to assist colleagues with theirs.

accommodating	cooperative	willing to help
put the team's interests first	a helpful partner	willing to compromise

• **Consensual:** Valuing the ideas and opinions of others and collecting their input as part of your decision-making process.

seek the advice of colleagues	listen to others' ideas	get ideas from others
respect others' opinions	adopt their views	encourage maximum democracy

• Authority: Showing loyalty to the organization; respecting the ideas and opinions of people in authority and using them as resources for information, direction and decisions.

support my superiors	accept my boss' ideas	willing to follow the rules
loyal subordinate	carry out my duties	loyal to organizational principles

• **Empathy:** Demonstrating an active concern for people and their needs by forming close and supportive relationships with others.

build strong personal bonds	soft-hearted and generous	help people feel better
sensitive to people	genuine interest in others	concern for others' welfare

Stage Directions for Leaders

Communication

- 1. Be specific, and communicate your expectations to others in detail.
- 2. Check for understanding. Ask the other person to repeat your expectations to ensure that the information given was received as intended.
- 3. Repeat your expectations and key pieces of information.
- 4. Use all forms of communication (verbal one-on-one discussions, meetings, presentations, voicemail, written memos, email, etc.)
- 5. Ask yourself, "How can I communicate more effectively (e.g. more specifically, more clearly, more directly)?" "What additional detail and/or information can I provide?"
- 6. Specifically define what outcomes you will expect for each task or situation.
- 7. Ask your staff to identify the information they need to do their jobs more effectively.
- 8. When communicating verbally, make sure that your non-verbal cues (facial expressions, tone of voice, posture, gestures, etc.) are sending the same message as your words.
- 9. Define who needs to know what for each communication prior to communicating.
- 10. Frequently pass on information to your staff from all areas of the company and from the external world (competition, customers, financial, political).
- 11. Take enough time to communicate. Don't rush.
- 12. Summarize and/or review key points at the end of discussions, meetings and memos.
- 13. Encourage your staff to ask questions to clarify understanding.
- 14. Use examples and illustrations and give specifics to get your message across clearly.
- 15. Provide your audience with a summary document outlining your key points.
- 16. Prepare for your communication by writing out your message ahead of time and reviewing to ensure that it contains all relevant information.
- 17. Hold regular communication sessions with staff and/or have a standardized method for communicating in writing on a regular basis.

Consensual

- 1. Specifically define the issue or problem. Say, "Here's the wayI see the problem... and here's where I need your input..."
- 2. Decide whose input you will seek:
 - Who has valuable information and/or ideas
 - Whose cooperation you will need
 - Who will be impacted
 - Whose approval you will need
 - Who will be responsible for implementation
- 3. Specifically ask for the type of input you want:
 - "What are your ideas regarding X?"
 - "Please give me the information you have on Y."
 - "I would like your approval on A."
 - "I'm interested in your reaction to B."
- 4. Define why you want the input and the level of influence the input is likely to have:
 - Critical decision will definitely include their input
 - Moderate influence
 - Just checking in
- 5. Specifically incorporate the input of others into the final action and communicate this to the originators of the input. For example:
 - "When we met last, you felt that communication on this project needed to be improved.
 - In order to respond to this concern, I have..."
- 6. Paraphrase all input to check for understanding. Then document it to ensure that everyone remembers the content accurately, as well as which person provided it.
- 7. Standardize input sessions in key places:
 - Staff meetings
 - Project meetings
 - Hold problem solving sessions
- 8. Give credit to others, use "we" instead of "I."

- 9. Acknowledge input from others: "Thank you for taking the time to give me your thoughts on this."
- 10. Let people give their input before you give yours.
- 11. Build upon other people's ideas and input.
 - "That's a great idea Bob, and if we did that we could also do this ..."
 - "I hadn't thought of that, your input gives me food for thought."
 - "Your input has caused me to rethink my original idea, thanks."
- 12. Prepare a statement of the issue/problem and circulate a written draft of current ideas under consideration. Ask others to react to the draft and provide their input. Be sure to emphasize that the written document is a draft intended to stimulate ideas, reactions and input.
- 13. Provide background information prior to asking for input so that others are able to provide thoughtful and targeted opinions, information and input.
- 14. Ask open-ended questions to ensure full input:
 - "How would you handle...?"
 - "What information would be useful in this case?"
 - "Describe the impact of..."
 - "What would be important to consider when addressing...?"
- 15. Ask others to provide you with the names of people whose input you should seek.
- 16. Remind others of the need to gather input from stakeholders.
- 17. Listen when input is being given. Follow up by paraphrasing. Hold judgmental comments.

Control

- 1. For each project and/or task, set specific check-in points with clearly articulated expectations for each point.
- 2. Implement a variety of control processes:
 - Update meetings
 - Project reviews
 - Staff meetings with verbal reports
 - Written status reports
 - Informal check-ins, "Where are we with project X?"
- 3. Drop in on people to informally discuss project/task status.
- 4. Organize (or have the employee organize) projects/tasks into stages for review and check-in.
- 5. Keep after people. Remind them about expectations and key objectives.
- 6. Where possible, use multiple sources to check on status. For example:
 - Employee's perceptions
 - Expense numbers
 - Inventory numbers
 - Perceptions of other key people
 - Tangible outcomes product to date, program to date, etc.
- 7. Hold employees accountable for developing and adhering to follow through activities.
- 8. Set specific, measurable objectives, specific dates and timelines and specific consequences of compliance and non-compliance.
- 9. Be persistent stick with an objective until it is completed.
- 10. Adhere to a time standard for responding to communications (email, voicemail, memos, etc.)
- 11. Follow-up on commitments you have made within the promised timeframe.

Cooperation

- 1. Make a point of being helpful. Ask, "What can I do for you?"
- 2. Put the team's interests first. For example: "This solution would not be my first choice, but I will support it for the sake of the team."
- 3. Be willing to compromise. Ask, "What can we do to compromise?"
- 4. Promote cooperation with your team. For example:
 - "We need to give the marketing department all of the help we can."
 - "The goals of the team come before anyone's individual goals."
 - "If you have completed your work, look for ways in which you can help your coworkers."
- 5. Be willing to defer your objectives to help a colleague attain his/hers. "I can push my deadline back so you can utilize the resources to get your project completed first."
- 6. Readily respond to any request others make for your time.
- 7. Follow through with your commitments to support others by asking "What can I do to help?" and then doing it.
- 8. Acknowledge that other people's needs and objectives are at least as important as yours.
- 9. Recognize and reward direct reports who defer their personal goals to enable the team goals to be achieved.
- 10. Let others know when you have time available to provide assistance.
- 11. Be aware of the pressures on colleagues, volunteering to assist or deferring your needs when appropriate.

Delegation

- 1. Identify tasks or aspects of tasks that can be delegated, and determine the skill and competence levels required to successfully accomplish the job.
- 2. Develop a *delegation discussion checklist* to ensure that all aspects of delegation are discussed prior to delegating: scope, authority, standards, deliverables, etc.
- 3. Assess the employees' workloads and help them re-prioritize tasks when a new task is delegated.
- 4. Specifically define the outcomes in terms of content, 'look', standards and timelines.
- 5. Determine the career aspirations of employees and identify appropriate challenges that can be delegated to accelerate personal and professional growth.
- 6. Analyze your tolerance level for error. Within reason, allow people the freedom to learn through their mistakes.
- 7. Do an evaluation of each staff member, assessing skill level, competence, motivation, interest and level of readiness. Map against tasks to be delegated.
- 8. Develop methods for keeping yourself informed so that you are confident that delegated tasks are being carried out to your satisfaction.
- 9. Invite employees to share alternatives for accomplishing the task. Avoid imposing your approach.
- 10. Ask employees what they would like to learn, and jointly develop an action plan for completing the delegated task.
- 11. Assess your direct reports and peers and find ways to effectively utilize the talents and abilities they have that you do not.
- 12. Give others opportunities to try out their own ideas.
- 13. Create check points for yourself to ensure you are not over-involving yourself in the completion of the delegated assignment.
- 14. Identify and provide the information necessary for the individual to be successful in completing the delegated assignment.
- 15. Demonstrate the approaches described in *No-Nonsense Delegation* by Dale McConkey or *The Situational Leader* by Paul Hersey.

Empathy

- 1. Check in with people:
 - "How are you feeling about this?"
 - "How are you handling all these changes?"
 - "How does this decision impact you personally?"
- 2. When you sense something, check it out:
 - "You seem very angry about this. Are you?"
 - "Are you frustrated with the way things are going?"
 - "You seem upset with Ken. Am I reading you correctly?"
- 3. Be sensitive to others. Put yourself in their shoes.
 - "If I were Sue, how would I be feeling now?
 - How did I get to this point?
 - What would I want or need to be more satisfied?"
- 4. Learn about the people you work with. Take a genuine interest in them. When appropriate and based on the individual's interest in sharing, ask about family, personal and professional history, hobbies and interests, goals and expectations, concerns and needs.
- 5. Reveal more about yourself. It will enable others to know you better and encourage a climate of openness.
- 6. Assess the impact that every goal, decision and situation has on the people around you.
- 7. Let people know that you support them. Do not assume that they know this.
- 8. Stand up for your staff and their well-being. Let others see that you consider individual well-being a critical component to the success of your area.
- 9. Find out what the people around you need to feel more supported, appreciated and understood.
- 10. Be generous with your time. Let people know you are available to talk when they want or need to.
- 11. Use affirming verbal (restating, paraphrasing, summarizing) and non-verbal (head nodding, eye contact, facial expressions) responses that match the emotional tone of the discussion.

Excitement

- 1. Display obvious signs of energy and enthusiasm, using dramatic gestures and a varied vocal tone.
- 2. Use language to demonstrate your enthusiasm and excitement. Use words like "Fantastic", "Absolutely!", and "Immediately!" in place of "good", "OK" and "As soon as possible."
- 3. Express your emotions and reactions so that these can easily be observed by others.
- 4. Ensure that your choice of words, gestures, facial expressions and vocal tone match your intended message.
- 5. Spend time getting others enthused and charged up. Make the time to discover what words, phrases, examples, stories, goals, incentives, etc. will raise your "audience's"level of motivation and enthusiasm.
- 6. Be observant and watch for those times when the energy of the group wanes. When this happens, immediately assert yourself and recharge the group.
- 7. Show your own high levels of energy by moving quickly, using broad gestures, making direct eye contact and speaking quickly.
- 8. Use inspirational quotes and slogans to create an energetic and enthusiastic climate.

Feedback

- 1. Specifically describe the observed behavior in detail. Link to objectives and explain why the behavior is desirable or undesirable.
- 2. Clarify and confirm that the feedback and the intent have been understood. Engage the person to ensure that he/she 'owns' the behavior and is committed to addressing it.
- 3. Address only the issue at hand. Raise only issues that directly relate to the current situation and support the point you are trying to make.
- 4. Seek out frequent and public situations where you can praise desirable behavior. Use different mediums for raising the profile of those who exemplify desirable behavior: e.g., email, voicemail, newsletters.
- 5. In giving positive feedback, acknowledge the desired behavior and specifically state what aspects of the behavior deserved recognition: e.g. a well structured and written document; the sensitive manner in which someone responded to a peer in need; a well thought out argument and supporting documentation; respecting all security measures under challenging conditions.
- 6. Give corrective feedback in private. Use a tone and language that are appropriate to the person and the situation. Maintain the person's self-esteem. Give positive feedback in public whenever possible; however, be careful not to embarrass people.
- 7. Before giving feedback, conduct a root cause analysis. Ask yourself: "To what extent am I responsible for the behavior? Was I clear in stating expectations?"
- 8. Never give feedback in anger or in a manner that is perceived as punishment. If you need time out, take it and come back to the situation when you have your emotions under control.
- 9. Determine when to give feedback. Keep a 'critical incident file' on employees and watch for patterns of behavior. Avoid overreacting to a one-time or situational behavior.
- 10. Ask employees and colleagues how they would like to receive feedback. Ask for permission to offer observations.
- 11. Check to see if you are falling into typical 'rating error' patterns. For example: Do I see some people as 'perfect' no matter what they do? Do I see others as through a negative filter and find fault more frequently? Am I overly affected by recent events that cloud how I perceive certain individuals?
- 12. Read Stephen Covey's book, "*The Seven Habits of Highly Effective People*," and apply some of his principles to feedback interactions with others.

- 13. Invite feedback on your feedback. Ask colleagues how they felt about the feedback and explore what you might have done differently to be more effective.
- 14. When someone becomes defensive, say "I did not mean to put you on the defensive. My intent is to be helpful."
- 15. Carve out time for feedback. Leave adequate time so you do not appear rushed. Do not underestimate the power of positive and negative feedback as a tool for attracting, developing and retaining talent.
- 16. Identify opportunities to reinforce the feedback following the initial discussion. Loop back to people to whom you gave feedback to reinforce the relationship.
- 17. In formal feedback sessions, jointly develop an action plan for reinforcing or redirecting behavior. Determine how to track and measure behavior change. Look for opportunities to give feedback on an ongoing basis.

Innovative

- 1. Challenge the status quo constantly:
 - Why are we doing this?
 - Is there a better way to do this?
 - Can we do it faster, better, for less money, with fewer people?
 - How can we improve?
 - What can we do differently that we haven't done yet?
- 2. Take a "try and see" approach be willing to experiment.
- 3. Encourage new ideas from others. For example, "Jim, what are your ideas about a new way to handle things?"
- 4. "Borrow" ideas from others (competitors, vendors, clients, etc.). What are others doing that is working well?
- 5. Praise innovative attempts and/or ideas.
- 6. Recognize that innovation can lead to failure as well as to success. Be comfortable with that expectation, communicate it to others, and review any failure. "What can we learn from this so we can do it better next time?"
- 7. Don't accept the same old answers to problems.
- 8. Challenge the boundaries, re-examine assumptions:
 - "Who established these procedures?"
 - "Are they still valid?"
 - "What assumptions are we making that are holding us back?"
- 9. Hold and/or encourage idea-generating sessions. Brainstorm all possible solutions, using the following prompts to facilitate generating options:
- 10. Ask "What if ..." questions: "What if we had more resources?" "What if we had fewer resources?" "What if our competition came out with a better product/service next month?"
- 11. Break the rules and make new rules.
- 12. Ask: "How would other people handle this problem?"
- 13. Get out of the "box." Where else can you look for ideas?
 - What is the most obvious thing that you can do?

- How is this problem similar to others you have solved?
- Where could you do nothing, or where could you do less?
- How can you expand your tolerance for risk taking?

14. Challenge yourself and others:

- "Am I settling for an easy answer rather than looking for a better answer?"
- "Am I open to the ideas of others?"
- "Am I rejecting options and ideas in full when I might use them in part?"
- "Am I rushing the process so that new ideas are never presented or explored?"
- 15. Include people from outside your area to help generate new ideas and bring new perspectives to issues and opportunities.
- 16. Ask people for two solutions to a problem:
 - One that has a high probability of success, and
 - Another that has a high degree of risk, but also a high potential pay-off.
- 17. Teach yourself and others to communicate in terms of how we could rather than why we couldn't.
- 18. Ask: "How might that work?" rather than judging.
- 19. Operate with more flexibility. Eliminate unnecessary rules, regulations and processes that make it difficult for people to innovate or change things.

Management Focus

- 1. Let people see your decision-making process:
 - Describe the issue
 - Articulate your input strategy
 - Explain your decision and why
- 2. Take charge of the group. For example:
 - Calm an upset group
 - Focus a disorganized group
 - Motivate a lethargic group
 - Pull together a fractured group
- 3. Publicly assume responsibility for anything that goes on in your area:
 - "That's my department's responsibility, I'll take care of it."
 - "It doesn't matter who in my area didn't come through, I'm responsible for the results." (Then deal directly, one-on-one, with the person who did not come through.)
- 4. Directly address anything that gets in the way of meeting your unit's objectives.
- 5. Provide reason and context when making demands.
- 6. Deal openly with conflicts as soon as they occur.
- 7. Facilitate and/or direct staff meetings and processes:
 - Outline goals
 - Define agenda
 - Orchestrate input
 - Clarify outcomes
- 8. Keep people focused on the goals and objectives: "This is what we are here for..."
- 9. Sharpen management skills:
 - Define goals
 - Assign work
 - Hold people accountable
 - Provide feedback
 - Make decisions and solve problems

- 10. Speak on your unit's behalf with the rest of the organization and with the outside world.
- 12. Give assignments and/or direction in a straightforward manner. For example: "Mary, I need you to write the Watson report in draft by Wednesday, to be completed by Friday. Thanks." <u>Not:</u> "Mary, do you think you will have enough time this week to do a draft of the Watson report?"
- 13. Stay focused on achieving results. Keep asking: "What else can I do to keep people on track to achieve our objectives?"
- 14. Be visible in your leadership role. Put yourself on the agenda and speak up at meetings.
- 15. Provide clear direction to people on a regular basis: "This is where we are... This is where we are headed..."
- 16. When appropriate, provide guidance and advice to others.
- 17. Take on responsibilities that allow you to be visible and influential.

Persuasive

- 1. Tell your audience how your idea/solution will meet their needs.
- 2. Explain, in detail, the <u>benefits</u> of your proposal.
- 3. Use language that appeals to your audience.
- 4. Use metaphors, illustration and examples to make your points and "paint a picture" for your listener/audience.
- 5. Find a way to make your proposal more compelling than other choices. Know and present how your proposal is better than others.
- 6. Do your homework: know who you must convince, and what their needs and opinions are.
- 7. Ask questions to get people involved. For example:
 - Does this meet your needs?
 - What would make this a more appealing option to you?
 - What are the most important objectives?
- 8. Obtain the endorsement of a few key people for your proposal before you present it to a larger group.
- 9. Where possible, present data and objective information to support your position (facts, figures, financial impact, survey results, etc.).
- 10. Express your personal commitment to your position in strong, clear language.
- 11. Know what you consider to be the most important components of your proposal, and what you would be willing to trade or to give up.
- 12. Use persuasive, compelling language.
 - "This is the best."
 - "If we do this, we'll be able to accomplish great things."
- 13. Demonstrate your confidence in the way you present your ideas/proposal.
 - Upright posture.
 - Definitive voice.
 - Good eye contact.
 - Choice of words (For example, "I am confident this will help us reach our objectives." "I am completely convinced that this is the best alternative.")

Production

- 1. For individuals and for the unit, set high standards for the quantity and quality of work produced.
- 2. Keep looking for ways in which your group can accomplish more. Have your staff do the same. For example, ask: "How can we do things so that we can process more claims, write more programs, etc.?"
- 3. Keep challenging people to do more. For example:
 - "The competition is here. We have to move beyond them."
 - "The customer expects X, we have to give them X + 2!"
 - "That was terrific! Next month let's do 5% more."
- 4. Quantify objectives whenever possible, using dates, numbers, dollar amounts, etc.
- 5. Use words and phrases related to high levels of achievement and results. For example:
 - Exceptional
 - Excellence
 - Push the limits
 - Raise the bar
 - Hard-driving
- 6. Look for and eliminate barriers to high production.
 - "What's holding us up?"
 - "What can we simplify, do faster or get rid of?"
- 7. Continually measure progress toward achieving high standards and ambitious objectives.
- 8. Using status reports and feedback, hold people accountable for achieving their goals.
- 9. Refer to and remind others of goals and objectives whenever possible, during one-on-one discussions, at staff meetings, in written communications, etc.
- 10. Use the SMART system to establish goals:
 - Specific
 - Measurable
 - Aligned and Actionable
 - Realistic & Challenging
 - Time-bound

- What is the industry standard?
- What is the competition doing?
- What is the best you have ever done?
- What could you achieve if all obstacles were removed?
- What is possible?
- What are the very best doing?
- What would you expect if you outsourced it?
- If you had more resources, could you reach an even higher goal?
- 12. Challenge people to achieve more:
 - Does the individual have the ability to perform this responsibility at a high level?
 - Is the individual motivated to perform at a high level?
 - Do the processes the individual uses support or constrain high performance?

Strategic

- 1. Identify the strategic objective:
 - Describe what you are trying to accomplish.
 - Describe the ultimate goal.
- 2. Assess the long-range perspective: Describe the implication of any course of action on long-term objectives.
- 3. Assess the broad-range perspective:
 - Describe the implication of any course of action on other areas and on other people.
 - Describe the implication of this action on customers, vendors, investors, competitors, etc.
- 4. Develop plans: Describe specifically how you will get from where you are to where you want to be (interim goals, time frames, resources needed, accountabilities identified).
- 5. Anticipate the future:
 - What challenges and/or opportunities may come up?
 - What will clients want?
 - What will competitors be doing?
- 6. Review all parts of your operation against strategic positioning:
 - Do you have the people you need to accomplish next year's goals?
 - Do you have the resources you need to address next year's goals?
 - What training needs to be done this quarter in order to put you in a strong position at year end?
- 7. Look for trends that may give insight to future business conditions.
- 8. Ask "What if..." from a strategic perspective. e.g. "What if I had to reduce head count by 50% two years from now?" "What if our company entered a foreign market three years from now?"
- 9. Do contingency planning. Anticipate future problems/obstacles and develop a strategy for dealing with them.
- 10. Analyze the pros and cons of any potential course of action.
- 11. Perform a "SWOT" analysis (strengths, weaknesses, opportunities, threats) on potential courses of action or existing situations.

- 12. Continuously articulate your vision for your unit, a project or an initiative.
- 13. Define the link between the tactical activities of your unit and the strategic objectives of the organization.
- 14. Define what lies 2 to 5 steps ahead of where you are currently with any project or activity.
- 15. Prioritize activities based on the strength of their relationship to key strategic objectives.
- 16. Define the impact key external events and situations have on the business and on your unit.
- 17. Develop key relationships with others to broaden your strategic perspective, including:
 - people outside your department/unit
 - people outside your organization (within and outside your industry and profession)
 - key customers

Technical

- 1. Stay up-to-date in your area of expertise by reading professional journals and books, participating in professional associations and taking courses.
- 2. Hold technical update sessions to keep people informed.
- 3. Respond to questions with specific, in-depth answers related to your area of expertise.
- 4. Quote relevant journal articles, books, related studies and other relevant sources when providing people with information about your field of expertise.
- 5. Analyze every problem/idea/situation in light of the impact on your area of expertise
- 6. Encourage others to ask you questions about your area of expertise. When talking about potential solutions or options, explain the relevant technical experience you have had with similar situations
- 7. Thoroughly research what is relevant in your area of expertise prior to making a presentation.
- 8. Encourage the sharing of knowledge in your unit on an ongoing basis. Encourage others to share what they have learned through experience, reading and conferences.
- 9. Challenge yourself and others to make the time to stay up-to-date in your areas of expertise. Include this in goals and performance management plans for yourself and others.
- 10. Use technical expertise as a significant criteria for determining who you gather information from, use as a sounding board, choose to fill key roles, etc.
- 11. Take opportunities to speak on behalf of your field of expertise to internal and external audiences. At appropriate opportunities, describe how your field of expertise is important to the success of the organization.
- 12. Use your technical expertise to support and educate both internal and external customers.
- 13. Set high standards for technical mastery in your unit.
- 14. Clearly define your area of expertise for yourself and others.
- 15. Look for and accept assignments that allow you to use and expand your knowledge and expertise.
- 16. Stay up-to-date on emerging trends in your area of expertise.
- 17. Become knowledgeable in and communicate how your area of expertise fits and can be integrated with other key areas of expertise in your organization.

Good to Great Leaders

Most successful entrepreneurial companies begin as a platform for the genius of the leader. The leader surrounds him/herself with a group of loyal lieutenants who capably carry out her/his directives. Research and experience have demonstrated that many initially successful companies ultimately fail under this type of leadership; that leadership focused on the charisma, intelligence and vision of the entrepreneurial leader contributes to the demise or continued mediocrity of mid-sized companies.

The following list of characteristics of executives of entrepreneurial companies who successfully achieved the transition to larger, successful companies is what Jim Collins, *Good to Great* (p. 39), calls "Level 5 Leadership":

- They embodied a mix of personal humility and professional will. They were ambitious, not for themselves, but for the company.
- They display a compelling modesty, are self-effacing and understated.
- They are driven by an incurable need to produce sustained results.
- They focus on developing and mentoring a group of successors, capable of leading the company to even greater success in the next generation.
- They display a genuine concern for people, their satisfaction level and their development in their jobs.
- They display a workmanlike diligence—more a plow horse than a show horse.
- They attribute success to factors other than themselves. When things go poorly, they take responsibility for disappointing results.
- They are genuinely open to the ideas and initiatives of subordinates.
- They are able to evolve—to transform their leadership styles toward traits more characteristic of those outlined above.

LEADERSHIP LESSONS

These short leadership lessons are drawn from the observations, writings and classes of James Strock, Warren Bennis, Stephen Covey, Peter Drucker, Howard Baker, William F. Buckley, Peter Hannaford, Richard Neustadt.

CRAFT A COMPELLING VISION

- Remember that vision is the indispensable key to leadership of any enterprise.
- Work hard to keep your vision simple, so it can be readily communicated and implemented by others, far beyond your direct efforts.
- Keep your vision at the level of principle and strategy, able to encompass flexibility, creativity, and continuous improvement as it is implemented.
- Ensure that your vision is consistent with the values and history of the members of your organization and your customers. Such consistency becomes increasingly important to the extent that your vision will bring change in its wake or threaten existing arrangements.
- Make your vision as inclusive as possible-bringing out the best in your own organization and tempting others, even competitors, toward your vision.
- Adhere to your vision with unshakable constancy.
- Communicate your vision with infectious optimism; as far as possible incorporate optimism into your vision.
- To the maximum possible extent, personify your vision for your organization.

BE DECISIVE

- Recognize that a willingness to take decisive action is a hallmark of an effective leader--people want to know where you stand so they will know where they stand.
- Decisive action must be taken in a timely manner--an action taken too late, even if executed with greater precision, may have much less value.
- Decisive actions that put the leader at visible risk set an example that strengthens the organization.
- By aligning word and deeds, decisive actions add predictability and certainty to an enterprise.
- A leader should make plain, both before and after decisive actions are taken, how their accomplishment relates to the vision of the organization.
- In cases where immediate action is not an option, be prepared to take a methodical approach, laying markers that will make eventual action comprehensible and defensible.
- Be willing to take sole accountability for a decisive action that goes to the core of your vision--if necessary, act alone.
- The trust earned from taking decisive actions may provide the leader with the benefit of the doubt when circumstances force him to take actions that are, or might be made to appear, inconsistent with his vision.

• While taking decisive action may bring to bear many positive characteristics of the leader, none of that will matter if the action is not a success.

NEGOTIATE FROM STRENGTH

- Become the negotiator-in-chief of your organization.
- Look over your organization's activities to determine which could be best viewed and handled as negotiations.
- Before entering a negotiation, lay the groundwork to define the terms of the discussion.
- Be patient. Wait for the other side to make offers, and do not be tempted to bid against yourself.
- Treat your opposite numbers with courtesy. Do not underestimate the importance of the personal contact between the leaders of both sides in reaching a mutually beneficial outcome.
- Do not attach your ego to a particular position or outcome.
- Listen carefully to what your adversary offers. Do not assume that you know in advance what he is offering. He may present ideas that you have not foreseen and that meet your goals as well or better than your own offer.
- While in negotiation, use your public statements to educate outsiders on the connection between your stance and your vision. Never discuss your negotiation tactics.
- After setting the strategy, have subordinates negotiate as far as they can, but be prepared to step in directly if necessary to conclude the agreement.
- Remember that negotiating techniques, as important as they are, are only as useful as the substantive result and its connection to your vision.

KNOW HOW TO TAKE THE INDIRECT APPROACH

- When a direct approach has small likelihood of success, consider whether an indirect approach can be more effective.
- An indirect approach can be most effective if the leader generally follows a direct approach; it then includes elements of surprise and unpredictability.
- Remember von Moltke's dictum: If you can lead your opponent into attacking you when you have assumed defensive positions with an offensive nature, you may succeed more rapidly than if you had sparked a direct confrontation.
- Do not be afraid for opponents to seize your arguments; welcome it.
- If committed to incompatible priorities, consider ancillary benefits that might accrue from an indirect approach to achieving one.
- When using an indirect approach, take care to maintain it within your vision.
- In deciding whether to pursue a goal through an indirect strategy, consider what the appropriate time frame for accomplishment should be.
- Remember: The bottom line is results. There is no wisdom in going for the thickest place in the fence unless it is the best way to achieve your goal.

LEARN FROM FAILURE AND MISTAKES AND MOVE ON

- Every organization-and every individual-will make mistakes and face failure. To the maximum possible extent such events should be viewed as important opportunities to learn.
- Plan for mistakes and failures; the only thing one can know for sure is that they will occur.
- Use care in determining if a failure or mistake has occurred; sometimes a situation may be susceptible to multiple interpretations based on the time frame considered or other variables.
- Never reinforce failure. Where a failure or a mistake has occurred, acknowledge it as soon as practicable.
- Assume accountability for the failure or mistake in order to begin to rebuild trust. While many may not understand the nature of the error, virtually everyone understands what is involved in personally assuming accountability for something that takes place "on your watch."
- Err on the side of providing too much rather than too little information in the aftermath of a mistake or failure.
- Take decisive remedial action in your organization that makes plain that lessons have been learned and changes are being made. The actions should be consistent with your overall vision and should bolster rather than contradict your personal assumption of accountability.
- Once you have taken these steps for your organization, be sure that you personally "move on" as well. Do not allow naysayers or negative habits of thought to cause your self-confidence to reflect misfortunes, mistakes, or failures rather than your abilities and achievements.

TIMING

- Timing is of critical importance to a leader. An action taken too soon or too late may have entirely different consequences than a decision made and implemented at the right time.
- Keep a clock in your own head when making key decisions. Deciding whether a course of action is a success or failure may depend in large part on the time frame for evaluation.
- Remember that people's attention is focused most strongly when a new leader assumes authority. Plan the rituals of transfer with care and use the early days to move rapidly on priorities, sending key signals both inside and outside your organization.
- Prepare for initial decisions before taking the reins. Do not wait and lose valuable time in the first days studying or considering courses of action-be fully prepared to implement your plans on day one.
- Remember that a farewell well handled-particularly in the context of a disappointment or defeat-may also become the basis for a new undertaking.
- Know when it's time to leave the stage. At the higher levels of leadership, especially when your organization is at a high point, others may see little need for change. Rely on the clock inside your head, and leave while your audience would rather have you stay.

MANAGEMENT

- Leadership, if it is to be actualized through results, must encompass a strong management approach.
- As an executive--especially a chief executive-you must combine leadership skills (relating to the emotional and spiritual needs of your organization) with managerial skills (relating to physical resources).
- If, as an executive, your leadership vision and management approach are consistent, they can come together as a powerful force.
- On the foundation of a compelling vision, the chief executive can empower the organization by setting broad policy, telling people what is expected, and then letting them apply their own ingenuity without unnecessary interference.
- To the extent that your management approach relies on empowerment of staff and decentralization of authority, you must put correspondingly greater personal emphasis on initial personnel selection. Personnel should share your organization's vision and continually receive information and training that bolsters their commitment and updates their knowledge.
- A readily communicated and expansive vision, constantly communicated to staff, can empower the executive by providing direction without orders.
- Back up your staff--but do not let your general support of staff allow you to rationalize a reluctance to take timely, decisive personnel actions.
- In analyzing a management breakdown, distinguish between problems in the management approach and problems in its implementation.

FIRST THINGS FIRST

- Your organization's top priorities should flow clearly, directly, and inevitably from the leader's vision.
- You need a small number of top priorities; if you have a dozen "top" priorities you have none.
- Your top priorities should inform every area of management over which you have influence or responsibility-from personnel to budget to communication.
- As chief executive, you should focus on implementing your top priorities, one at a time.
- How to communicate the intended interrelationship among several top priorities is a separate decision to be considered in the context of best achieving your goals.
- If you do not set priorities, others will set them for you as they seek to meet their own priorities, or your organization may be driven by the force of random events.
- As an executive, when you focus on priorities you necessarily maintain your own attention to the world outside of your organization--and the need for concrete results to be achieved by specific dates.
- Remember that while the setting of priorities is critical to your success and that of your organization, it should be combined with an approach to delegation of authority that ensures the best use of each individual's talents.

DELEGATE: DO ONLY WHAT YOUR SUBORDINATES CANNOT DO

- Effective delegation makes it possible for an organization to get maximum value from each individual.
- Remember the rule for executives: "If anyone else can perform a task as well as or better than you could, then you should not do it."
- Your ability to delegate broadly depends on the quality of your personnel selections.
- The economy of decision-making suggests that a chief executive's ability to perform his role can be increased by limiting the number of decisions requiring his personal direction or imprimatur. The organization can be best served where its vision and priorities are advanced by empowered employees who have received direction without orders.
- An executive who takes on too many small tasks risks having confidence in the organization's broader vision undermined by otherwise inconsequential events.
- Delegation can create the distance a chief executive needs to maintain tactical flexibility in the service of strategic resolve.
- Delegation is the mechanism by which management makes operational leadership possible. It allows the chief executive to focus attention on the things no one else in the organization can do. The executive's necessary roles include communicating with the outside world, maintaining a clear focus on results and a readiness for rapid decision, and serving as a unifying figure.

MEETINGS

- Meetings, along with the presentations and reports that accompany them, are often the greatest single time commitment of an executive. If you are to use your time and that of your organization well, you must use meetings well.
- An executive should decide from the beginning how he can best make his contribution, adding value through a meeting. In decision-making meetings, executives can benefit by not initially reveal his/her own leanings.
- Encourage broad participation in decision-making meetings, including non-experts who can inject judgment and common sense into discussions that might otherwise grant undue deference to technical expertise.
- Do not allow individuals to end-run decision-making meetings by buttonholing you in another venue.
- Keep written information simple, clear, and concise. If issues are boiled down to their essentials in one- or two-page formats, it is easier to get input from a wide variety of individuals. It can also help ensure that the matter at hand will be considered in the context of your organization's vision.
- Have staff presentations of complex issues use graphics or other user-friendly devices that allow you to begin to bridge the recommendations of technical experts with the likely questions or concerns of your ultimate consumers. An executive should be a translator between these different but mutually reliant groups.
- When meetings are unavoidable-when they are not directly relevant to achieving your goals but are nonetheless necessary for reasons such as protocol-turn them to your benefit

as far as possible. To discourage additional meetings of this nature, gently make them unproductive for the other party.

• Remember that all meetings with executives become sources of management communications on issues far beyond those under consideration. Understand and direct the messages that you are sending through a wink, a gesture of support, or the emphasis you place on one matter versus another.

COMMUNICATION

- Communication skills are essential for all who would lead organizations.
- Always be honest in your presentations-the more deeply you believe in your message, the more believable and attractive your message becomes to others.
- When making speeches to persuade others to share your vision, remember the rule: repetition, repetition, repetition.
- Take care to ensure that the signals you send through nonverbal communications-physical movements ranging from your facial expressions to your way of walking--are consistent with and bolster your verbal message.
- Remember that nonverbal communications are properly a focus of the audience in public appearances. In considering the claims of a leader, observers often understand that the traits of character glimpsed in an "off moment" may be at least as significant as the presentation of a well-considered and rehearsed opinion or a passing matter of the day.
- If you come to embody your vision, your ability to communicate will be dramatically enhanced. When you personify your cause, virtually every action you take will send a communication to one or more audiences.

ALWAYS FOCUS ON YOUR AUDIENCE

- Always talk to your audience.
- When communicating through any medium--print, television, radio--aim your message as you would to a group of familiar individuals in a familiar setting.
- When you focus methodically on the interests and concerns of your audience, many questions about presentation--how long to speak, what to emphasize, and so on--take care of themselves.
- When you appear before a live audience, make use of all available opportunities before and after your speech--including question-and-answer periods--to learn more about your audience's perspectives.
- Develop a speaking style that allows you to combine the benefits of careful preparation with the flexibility of spontaneity, so that you can perceive and react to the audience's response during your presentation.
- Give your complete attention to any audience, whether one hundred eminent personages or one small child.
- Recognize that when you face multiple audiences, as when there is television coverage of a live speech, you have a choice of which audience to emphasize.
- If you are speaking to a large audience, you can consciously choose to speak to several parts of your audience at various points in your presentation.

• If you wish to excel as a public speaker, think of your audience as your customers. Speak, to the greatest possible extent, in a manner and on a topic that interests your audience.

BE YOUR OWN BEST SPEECHWRITER

- To become a skilled public speaker, find your own voice and become your own best speechwriter.
- When speaking to a large audience, use short sentences and short words. Your listeners are most likely to absorb simple language.
- Whenever possible, use examples--statistics, quotations, stories, and graphics--to make your points. Examples drawn from everyday experience can often explain complex issues more readily than abstract argument, however logical. If your examples are sufficiently interesting, they can gain additional power when listeners repeat your examples to others.
- Even if you have the assistance of others in gathering ideas for writing a speech (including studying others' successful work), be sure that you "hold the pen" for the final product.

RESPONDING TO CRITICS AND CRITICISM

- Anyone who aspires to leadership must not only accept questioning and criticism but also learn from it.
- As you ascend to higher levels of leadership, and as you raise the stakes of your endeavor, questioning and criticism should and will become more intense.
- Respond directly to legitimate criticism, but use great care before responding to the critic. Do not allow personal attacks to distract you from focusing on your audience rather than on your adversaries.
- When you respond to hostile criticism, respond in terms consistent with your broader message rather than in the terms of the critic.
- React in a studied, detached manner--rather than with uncontrolled anger--in response to inaccurate or unfair attacks. Do not inadvertently add your own credibility to the attack.
- Emphasize the affirmative rather than the negative wherever possible. Focus on what you are for and ignore what you are against.

Part Three: Mission, Vision, Presence

Mission

Your mission is the reason you exist as a person or an organization. Mission is the motivating force that drives an individual or people in an organization to achieve extraordinary high levels of innovation, quality and service.

"A group of people get together and exist as an institution that we call a company so that they are able to accomplish something collectively that they could not accomplish separately—they make a contribution to society—they do something which is of value." David Packard

A great mission statement defines the core purpose of the organization. It should . . .

- inspire change
- be long-term in nature
- be easily understood and communicated
- be a simple expression of the real reason your company exists, the value or contribution you strive to make.

The following are examples of the mission statements of some successful companies:

- 3M: To solve unsolved problems innovatively
- Wall-mart: To give ordinary folks the opportunity to buy the same things as rich people
- Walt Disney: To make people happy
- Hewlett-Packard: To make technical contributions for the advancement and welfare of humanity
- Marriott: To make people away from home feel that they are among friends and are really wanted
- Medtronic: To restore people to full life and health

In your own words, what is your mission as a man or a woman? What is the mission of your organization?

Five "whys" exercise. Write a mission statement. Then ask of it "Why?" Do this five times with each answer you develop and you will be close to your core mission.

Mission as Prime Motivating Force

Try to remember the best organizational experience you've ever had. Think about your most memorable experience, one that you enjoy looking back on, that you enjoy talking about or even bragging about. The kind of organization it was or whether or not it was successful by the world's standard doesn't matter. The main thing is that you are able to say that this was the most meaningful or one of the most meaningful organizational experiences that you've ever had.

Describe what you remember:

Most people who recall this experience do not just remember the "job" or "assignment," they remember the fullness of the impact of the organization or experience on them. They remember how it filled up their lives. How they lived, ate, slept and breathed it. Often there are tears. Sometimes regrets. Always there are stories.

A mission represents the spirit of an organization. It exerts a powerful tug on a person's emotions and on their willingness to contribute.

Powerful missions reflect a fit between the goals and activities of the organization and the personal needs, expectations, hopes, fears, and visions that all stakeholders bring to the situation. Organizational mission does not exist apart from the people who make up the organization—it reflects their personal aspirations and energies. Individuals working under the influence of powerful missions feel, "I am a part of something larger than myself—something I personally believe in, and something that everyone else believes in too."

Mission is the glue, binding people together in a common effort and under common values. "A common purpose" is a phrase synonymous with the word "mission." Great leaders both portray desirable states of affairs (visions) and give us reasons for seeking those states of affairs (missions).

Mission, therefore, is an organization's prime motivating force; it gives organizational members *clarity, consensus and commitment*.

Mission and Stakeholders

A company's stakeholders are the individuals and groups who care deeply about the mission of the organization and it's success. Stakeholders have expectations of an organization and are able to influence it either positively or negatively.

Common stakeholders are:

- Customers/Community Constituencies
- Suppliers
- Owners
- Regulators
- Board Members
- Donors
- Neighbors
- Competitors
- Employees at all levels

Stakeholders define their own stake in the company. Each person works within his or her own set of expectations of what the organization should do.

Leadership and Managerial stakeholders are in a special position—they have official responsibility for the fulfillment of the organization's mission. They must be expressive of what the mission means to them and cannot ignore the expectations of all the other stakeholders; all their expectations, needs, wishes, wants, aversions, prejudices, demands and even threats.

The responsibility of organizational leadership is to craft, to synthesize, integrate and transform all the separate expectations of stakeholders into an overarching mission under which stakeholders can unite and cooperate fully.

Leaders therefore have to learn to incorporate new perspectives into their views or the organization. This learning process is the number one challenge facing organizational leadership today.

Who are the stakeholders in your organization?

The Limits of "Maximizing Shareholder Value" as a Mission

Q: Shouldn't the only mission of a business be to maximize shareholder value?

A: Research shows that when companies make this their mission, shareholder value actually stagnates and eventually declines.

Two flaws:

- Strategic
- Motivational

The Strategic Flaw:

- Near term shareholder value takes precedence over market competitiveness and customer satisfaction.
- Decisions about strategy and tactics hinge on financial considerations.
- Companies fail to invest in long-term opportunities.
- Eventually, short-term opportunities taper off.
- Top management turns to financial restructuring to achieve financial goals (non-strategic acquisitions, divestitures, consolidations, layoffs, cutbacks).
- Company loses capacity for growth.
- Shareholders press for a change in leadership or acquisition by another owner.
- The process of maximizing shareholder value ultimately fails to do so.

The Motivational Flaw:

- Incapable of motivating large numbers of employees to achieve exceptional performance.
- Employees do their jobs, but no more.
- Employee apathy leads to diminished service and mediocrity of products. Especially when executive salary increases outpace workers 10 to 1.

The Path to Long-term Value:

A compelling mission offers employees a sense of meaning in their work, which inspires them to create innovative products and provide superior service to customers.

Mission: Exercise

■ What's your personal mission? Why do you exist? What's the purpose of your life?

■ Is your own personal mission aligned with that of the organization you lead?

■ If you asked your employees to repeat your company's mission, could they do it?

Corporate Missions: More Examples

Ford Motor Company

"Quality is Job One"

Gallery Furniture

"Gallery Furniture saves you money!"

The United States Post Office, 1912

Messenger of sympathy and love Servant of parted friends Consoler of the lonely Bond of the scattered family Enlarger of the common life Carrier of news and knowledge Instrument of trade and industry Promoter of mutual acquaintance Of peace and of good will Among men and nations

AMF, Inc., maker of Alcort Sailboats, Brunswick bowling equipment, Spaulding athletic equipment and recreational products:

"We make weekends."

DuPont

"Better things for better living through chemistry."

Weyerhaeuser

"The tree-growing company."

General Electric

"We bring good things to life.

Marine Corps

"Semper Fidelis"

United States Constitution

"We the people."

Lincoln Electric Company, one of the most continuously successful companies in the twentieth century:

"A better and better product at a lower and lower price."

Leading with Vision

Exercising vision is developing an understanding of where you are and where you're headed-both as an individual and as an organization.

Allan Cox

Vision without action is merely a dream. Action without vision just passes the time. Vision with action can change the world.

Joel Arthur Barker

Good business leaders create a vision, articulate the vision, passionately own the vision, and relentlessly drive it to completion.

Jack Welch

I've always believed in the art of the possible. I believe there's a difference between brave-heartedness and foolishness and I believe in whatever I'm going to do, if I don't see success somewhere through the tunnel of that vision, I don't even bother with it.

Governor Douglas Wilder

See things as you would have them be instead of as they are.

Robert Collier

One essential ingredient for being an original in the day of copies is courageous vision.

Charles Swindoll

Vision is a process that allows you to think ahead to where you want to be and what you want to be doing, and to create workable plans to lead you there.

Fred Pryor

In the absence of a vision, there can be no clear and consistent focus. In the absence of a dream, there can be no renewal of hope. In the absence of a philosophy, there is no real meaning to work and to life itself.

Joe Batten

Where there is no vision, the people perish.

Proverbs

A vision is a point on the horizon that will be reached only at some date in the future, a statement of what will be created years or decades ahead. To create visions, leaders must become preoccupied with the future. They must be able to project themselves ahead in time.

> James M. Kouzes and Barry Z. Posner The Leadership Challenge

The world of tomorrow belongs to the person who has the vision today.

Robert Schuller

Ideals are like stars. You will not succeed in touching them with your hands. But like the seafaring man on the desert of waters, you choose them as your guides and following them you will reach your destiny.

Carl Schurz

The bravest are surely those who have the clearest vision of what is before them, glory and danger alike, and yet not withstanding, go out to meet it.

Thucydides

If you don't have a vision for your life, then you probably haven't focused in on anything.

Dr. David Burns

Vision is not so much what you think as how you think. Vision is less a matter of content than process. Vision is moving away from micromanagement, from "flyspeck management" to macroleadership.

Anonymous

Vision is not necessarily having a plan, but having a mind that always plans. In sum, vision means to be in touch with the unlimited potential and expanse of this marvelous instrument called the human mind.

Peter Koestenbaum

A vision is not a vision unless it says yes to some ideas and no to others, inspires people and is a reason to get out of bed in the morning and come to work.

Gifford Pinchot

Cherish your visions and your dreams, as they are the children of your soul, the blueprints of your ultimate achievements.

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Leadership: Character and Competencies

Napoleon Hill

The vision of things to be done may come a long time before the way of doing them becomes clear, but woe to him who distrusts the vision.

Jenkin L. Jones

The people who shape our lives and our cultures have the ability to communicate a vision or a quest or a joy or a mission.

Anthony Robbins

The willingness to create a new vision is a statement of your belief in your potential.

David McNally

Vision without action is merely a dream. Action without vision just passes the time. Vision with action can change the world.

Joel Arthur Barker

A vision without a task is but a dream; a task without a vision is drudgery; a vision with a task is the hope of the world.

Anonymous

The very essence of leadership is you have to have a vision. It's got to be a vision you articulate clearly and forcefully on every occasion. You can't blow an uncertain trumpet.

Father Theodore Hesburgh

Vision is composed of one part foresight, one part insight, plenty of imagination and judgment, and often, a healthy dose of chutzpah.

Burt Nanus

What Is Vision and What Does It Do

A vision is a statement of where your or your organization will be at some definite point in the future.

Great, Famous and Historic Visions

Thomas Watson, Sr. and IBM

Thomas Watson was forty years old when he took over a small company that manufactured meat slicers. At his first meeting with his employees he articulated a vision for the creation of a machine that could process and store information, and sent them out to do it—this, long before the invention of the computer. To match his lofty vision, Watson renamed his company, International Business Machines Corporation (IBM). At the end of his life, when asked when he had first envisioned his company becoming so successful, he answered, "At the very beginning."

Moses and the Promised Land

Moses left Egypt with approximately 2-3 million people, leading one of the great pilgrimages of all time, the Exodus. Think of the organizational challenges. The quartermaster general of the U.S. Army once estimated that this journey from Egypt to Israel would have required over 1500 tons of food each day, 4000 tons of firewood, 11,000,000 gallons of water and a camp ground two thirds the size of the state of Rhode Island (750 square miles). How did Moses motivate his people throughout this long journey? A great vision, "We are going to a land God promised to our forefathers, a land flowing with milk and honey."

John F. Kennedy and a Man on the Moon.

In 1960, President Kennedy articulated a vision for the United States to put a man on the moon by the end of the decade. This vision kindled the imagination of millions of people who set about concentrating their time and efforts to fulfill this lofty goal. In 1969, the vision was fulfilled.

Fred Smith and Federal Express

In the early 1970's, Fred Smith wrote a paper for his economics class at Yale University. He envisioned an overnight, nationwide, air express delivery system for urgent packages. The professor was not impressed and gave him a "C" for the term paper. Smith was not deterred and ultimately created not only one of world's most successful businesses but also one that is ranked as one of the top ten places to work in America.

Lee Iacocca and Chrysler

"I have one, and only one, ambition for Chrysler: to be the best. What else is there?"

"If you can find a better car in America, buy it."

General Anthony C. McAuliffe's reply to the Nazi ultimatum to surrender at Bastogne:

"Nuts."

Pat Riley, Los Angeles Lakers basketball coach, came up with this vision to launch the 1988-1989 season after the team had won the championship the previous two seasons:

"Threepeat!"

Theodore N. Vail's vision of the orginial AT&T (1920): Vision of Universal Service

"We will build a telephone system so that anyone, anywhere in the world, can talk with someone else, cheaply, quickly and satisfactorily."

Leading with Vision

The essence of visionary leadership is the ability to articulate an idea that brings people together and gives them a sense of common purpose.

An executive ought to want something. Many executives are content to preside over their organizations just as they found them. They are "reactive" leaders, letting events, often crises, dictate their actions. Visionary leaders, in contrast, want something. They formulate new visions of what their organization may be and do in the future. And these visions strike a responsive chord in the hearts of the organization's stakeholders.

Effective acts of visioning:

- May be simple
- May be an advertising slogan
- Must have integrity. If employees feel that they cannot align their own personal mission with the vision or do not believe that it can be achieved, they may not only become cynical about the vision, they may also become less likely to believe any "call to arms" the organization offers. Do not proclaim a vision you do not believe in. Do not proclaim a vision just for effect. People have a deep need for inspiration and if they become disappointed it can be worse than if you had not tried to inspire them in the first place.
- Must join clarity, commitment and consensus.
- Must be encouraged by certain organizational factors and conditions (see chart)
- Are, if they are formulated with a part (department) of an organization, consistent with the broader vision of that organization and, in fact, should bring the larger vision into sharper focus.
- Calls for empowerment, that is, a substantial increase in the influence that lower-level employees will have on an organization. "Empowerment exists in an organization when lower level employees feel that they are expected to exercise initiative in good faith on behalf of the mission even if it goes outside the bounds of their normal responsibilities and if their initiative should lead to a mistake—even a serious one—they trust that they will not be arbitrarily penalized for having taken that initiative." (Peter Vaill). The message to employees is: when you see something that needs to be done, do it! Don't sweep the problem under the rug. Don't blame it one someone else.

Potential for Visionary Leadership

Factors Possessed by Potentially Visionary Person or Group	Effect on Vision Effectiveness		
	Encouraging	Discouraging	
Credibility with others	High	Low	
Positioning relative to the top of the unit in question	At or near	Far from	
Relevance of ideas to main mission of unit in question	Clear or close	Unclear or not close	
Ability to draw others in	High	Low	
Likelihood of long-term commitment to vision	High	Low	
Organization members' readiness for new vision	High	Low	
Other encouraging factors	Many	Few	
Other discouraging factors	Few	Many	

Making Vision Real

What can leaders do to make their vision real for others?

- 1. Inspirational speech making
- 2. Personal, intimate conversations with individuals. MBWA (management by wandering around)
- 3. Group-Centered Methods
 - a. Circumstances
 - (1) The office is not an effective place to meet to create a vision.
 - There are too many interruptions, too many competing items on the group's agenda, too many temptations to duck out of the meeting.
 - The office setting with its rule and roles can get in the way of the egalitarian mood a group needs to develop a shared vision.
 - Most offices do not have the space needed for such meetings, i.e., open flexible rooms with a lot of wall space, a variety of possible seating configurations, an ambiance that stimulates creative thinking

(2) Most companies make use of retreats or off-site meetings such as the conference facilities of commercial hotels.

- Some organizations are creating their own spaces.
- Some organizations give the process over to organizations that conduct retreats
- b. Activities: the following factors play a role in a successful visioning workshop
 - (1) **Create fruitful interaction.** Talk to people in the organization you don't normally talk to; talk about things you don't normally talk about; get more personal than you usually do; talk in setting that you usually don't share with other organizational members.

- (2) **Create a greater team feeling**. This is often formed by performing various tasks, under competitive conditions, that bring people into closer relationship to one another.
- (3) **Create a perspective on organizational issues**. Vision needs to be created from a perspective that is broader than some stakeholders generally have. Analyze the needs and nature of various stakeholders. Pay attention to tradition, to what it has meant and what it will mean to the company in the future.
- (4) **Make leaders accessible**. Give persons in authority an opportunity to show sides of themselves normally hidden by their office. Often gives the boss and important opportunity to express what he/she really thinks about the organization.
- (5) **Expose and work through conflicts.** Recognize differences of opinion and work through them so that a common commitment can be achieved by the end of the process.
- (6) Uncover and highlight feelings. Enthusiasm is an essential element in these sessions. Constructing a vision is not about creating an abstract idea about the organization; it is about creating a powerful, personally meaningful picture of what the organization can be, of what its human value can be, and the role that each stakeholder plays in making it happen. Enthusiasm, passion, commitment, optimism, a sense of urgency—these feelings are key.
- (7) **Determine next steps and reentry back home**. Determine specifically what the participants will take home from the even, what they will communicate to those who did not attend, what steps they need to take back at the office to begin to implement the vision. Pay attention to follow-up work.
- (8) **Institutionalize the process for creating and re-creating the vision**. The experience of working together like this might give participants ideas about how they can work together in their regular organizational culture, and provide ideas for future offsite retreats.

Determining Vision Worksheet

A. Vision Elements

For each of the following develop a brief, simple phrase.

- 1. What will your primary products or services be in five years?
- 2. What will your primary market be in five years?
- 3. Who will you be serving be in five years?
- 4. What will your exclusive, differentiating benefit be in five years?
- 5. What will the geographic coverage of your organization be in five years?
- 6. How big do you see your organization in five years?
 - Total programs
 - Total number of employees
 - Total number of locations
 - Types of locations
- 7. What do you perceive your competitive position will be in five years (leader, middle pack, follower, pioneer, nitch specialist)?
- 8. What kind of special factors (culture/ unique approaches) will make the future enterprise a very special work experience?
- 9. Who are your primary stakeholders and what are their expectations of the organization?

S.W.O.T. Matrix

S.W.O.T. is an acronym for a corporation's key *internal Strengths and Weaknesses* and its *external Opportunities and Threats*. The relationship between these internal and external factors is key for understanding a corporation's present performance and future direction.

The following chart illustrates how the external opportunities and threats facing a company can be matched with their strengths and weaknesses to results in four sets of possible strategic alternatives.

- 1. In the block labeled *Opportunities*, list 5-10 external opportunities available in the corporation's current and future environment.
- 2. In the block labeled *Threats*, list 5-10 external threats facing the company now and in the future.
- 3. In the block labeled *Strengths*, list 5-10 specific areas of current and future strength for the corporation under consideration.
- 4. In the block labeled *Weaknesses*, list 5-10 specific areas of current and future weakness for the corporation under consideration.
- 5. Generate a series of possible strategies based on the combination of the four sets of strategic factors:
 - **SO** strategies are generated by thinking of ways a company can use strengths to take advantage of opportunities.
 - **ST** strategies consider a company's strengths as a way to avoid threats.
 - WO strategies attempt to take advantage of opportunities by overcoming weaknesses.
 - WT strategies are primarily defensive strategies that attempt to minimize weaknesses and avoid threats.

S.W.O.T. Matrix

INTERNAL FACTORS	Strengths	Weaknesses	
	List 5-10 internal strengths here	List 5-10 internal weaknesses here.	
EXTERNAL FACTORS			
Opportunities	SO Initiatives	WO Initiatives	
List 5-10 <i>external</i> opportunities here.	Generate initiatives here that use strengths to take advantage of weaknesses	Generate initiatives here that take advantage of opportunities by overcoming weaknesses	
Threats	ST Initiatives	WT Initiatives	
List 5-10 <i>external</i> threats here.	Generate initiatives here that use strengths to avoid threats	Generate initiatives here that minimize weaknesses and avoid threats	

LEADERS WHO ARE PRESENT

A leader cannot lead without followers.

If there is any leadership posture that disturbs a potential follower, it is aloofness.

"The tragedy of leadership today is that many who are in great need, many who seek an attentive ear, a word of support, a firm hand, a tender smile or even a stuttering confession of an inability to do more, often find their leaders distant men and women, who do not want to burn their fingers." --Henri Nouwen

Those who want to be for or in charge of everyone, often find themselves unable to be close to anyone.

The aloof and abusive:

- Angry
- Stressed out
- Too busy
- Preoccupied with the "hard" skills
- Narcissistic
- Managing up
- Sheltered
- Unpracticed

Leadership is not:

- Being in charge, being the CEO or President is not the same as leading.
- Reaching the top, being first, or being the best is not the same as leading.
- Having the highest income is not the same as leading.
- Setting a strategic direction, or developing a great plan is not the same as leading.

Leadership is:

- Leadership is the ability to mobilize a group of followers toward a desired and common objective.
- Leadership requires the ability to gain followers.
- A person will not follow unless they are convinced that the leader "gets" them, will work for their interests, and will lead them in a direction that is good for them and those they care about.

Leaders Who are Present Build Trust

Effective Leaders . . .

- Are honest and fair. They do not misrepresent assets, lie about past results or about what they can supply.
- Build rapport through courteous expressions of friendly concern for their employees' health, family and work.
- Make mentoring a priority ("a great coach never scores a TD").
- Focus on process not content
- Work collaboratively by initiating exchanges of information which add features and benefits to agreements.
- Are consistently empathic listeners; they are considerate in listening to the thoughts, feelings and interests of others.
- Are consistently able to maintain objectivity; they look for interests that underlie positions; they are able to recognize the validity of the interests on all sides of an issue.
- Are aware of their own biases and prejudices; they admit to conflicts of interest that might make them biased in a particular conversation.
- Prize the emotional side of life; they are not threatened by the strong expression of feeling and therefore provide contexts in which emotion can be expressed.
- Are intentional about inclusion.
- Understand their own limitations; they recognize when a problem is too complex for them to solve without help; they are in touch with outside resources that they call to work through difficult issues.
- Are good communicators; they know how clearly to express their own thoughts and concerns, and they are able to help others do the same.

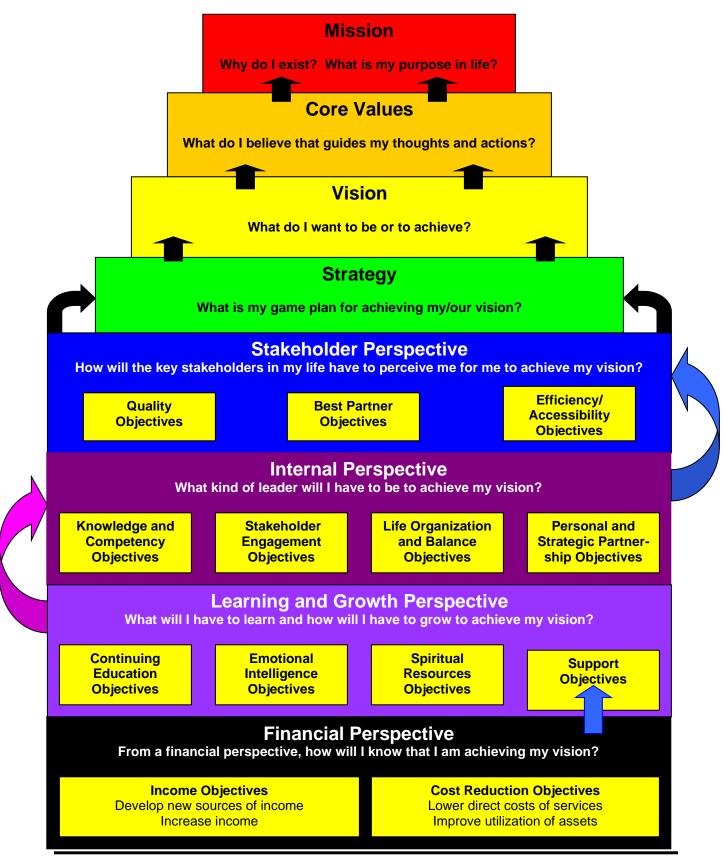
Leaders Who Are Present Unleash Human Potential

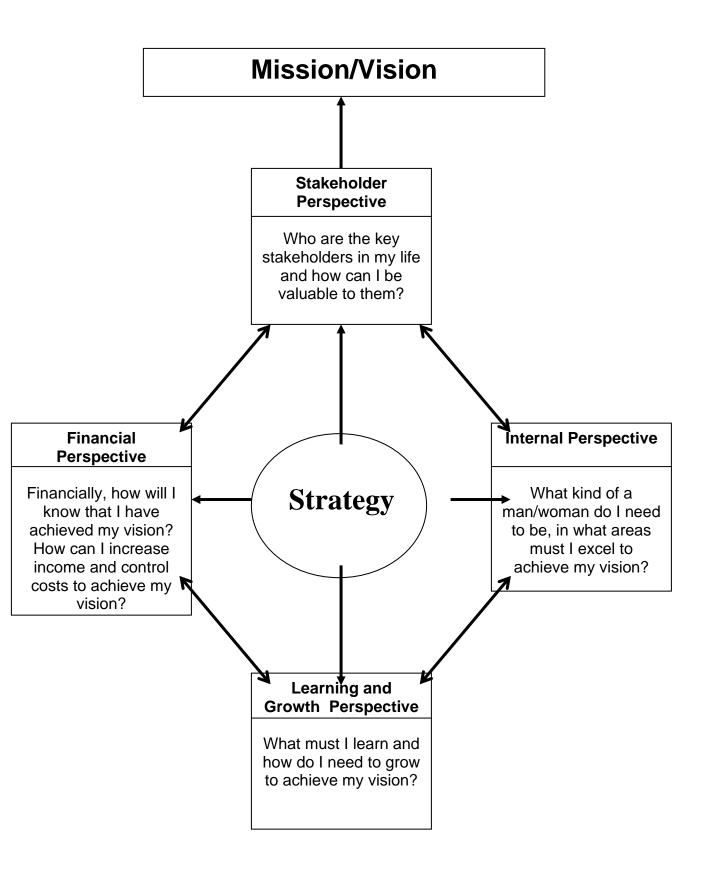
Effective leaders create an environment in which people in their organizations can thrive.

Curt Coffman and Gabriel Gonzales-Molina, senior scientists for the Gallup organization conducted a survey of the 300,000 organizations in the Gallup database. Their book, *Follow This Path: How the World's Greatest Organizations Drive Growth by Unleashing Human Potential*, defines 12 key questions effective leaders use to create a "best place to work" and unleash the power of their employees.

- 1. Do you know what is expected of you at work?
- 2. Do you feel that your opinions count around here?
- 3. Do you have the materials and equipment you need to do your work?
- 4. Do you feel that your supervisor/manager or someone else at work seems to care about you as a person?
- 5. Do you have opportunities to learn and grow at work?
- 6. Does the mission of our company make you feel that your job is important?
- 7. Do you have the opportunity to do what you do best everyday?
- 8. In the past month, have you been praised for doing a good job?
- 9. In the past six months, has someone at work talked to you about your progress?
- 10. Do you think that your co-workers are committed to doing quality work?
- 11. Do you have a best friend at work?
- 12. Does someone at work encourage your development?

LEADERSHIP STRATEGY MAP





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SERVICES AND INDUSTRIES

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- O ENERGY AND NATURAL RESOURCES
- NATURAL GAS, LNG, AND NGL INFRASTRUCTURE AND OPERATION
- O OIL AND GAS EXPLORATION AND PRODUCTION
- POWER GENERATION AND TRANSMISSION INFRASTRUCTURE AND OPERATIONS
- O HEALTHCARE
- O HIGHER EDUCATION

EDUCATION

- PRINCETON UNIVERSITY PH.D.
- HARVARD BUSINESS SCHOOL
 LEADERSHIP PROGRAM
- UNIVERSITY OF HOUSTON, CLEAR LAKE
 M.S., PSYCHOLOGY
- WHEATON COLLEGE B.A.

Paul Feiler is the Chief Executive Officer for CITE Development LLC, with responsibility for the leadership, development and on-going management of the CITE Test and Evaluation Facility, located in New Mexico, and its subsidiary businesses. Paul also serves as a Managing Director with Berkeley Research Group, leading their national Strategy and Dynamic Capabilities Practice. He provides expert advisory services related to the commercialization of large scale innovations and design and development of strategy and implementation of transformational change with large organizations in high velocity and/or turbulent markets. Dr. Feiler offers over 25 years of professional experience leading strategy development and major change projects in energy, healthcare, construction, manufacturing, and higher education industries, and with government institutions. He focuses on helping leaders realize long-term, sustained growth in shareholder value through practical, systematic, and organized approaches that produce outstanding business results, create a winning culture, inspire and align followers, and build momentum to realize strategic vision. Dr. Feiler's engagements have involved developing and resetting strategy, strategy execution and implementation, global change projects, capability improvement, strategic risk management, and metrics and measurement systems.

Dr. Feiler has negotiated deals in diverse environments and mediated numerous complex disputes in pre-litigation and court-ordered settings, which have produced agreements in business, employer-employee, civil, and ecclesiastical cases. He also possesses an outstanding track record of developing leaders who create value and inspire followership.