

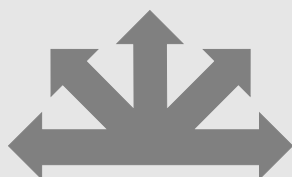
The Art of Leadership

Fourth Edition

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Part 1

Leadership Variables

2. The Leadership Equation

3. Leadership Qualities, Characteristics of Followers, and Situational Factors

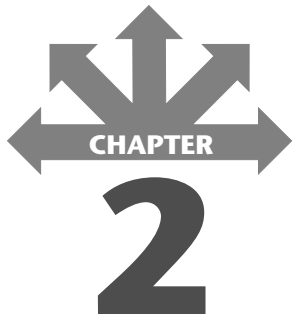
THE EAR OF THE LEADER must ring with the voices of the people. Together they rise to the challenge of the day.

—Woodrow Wilson

Learning Objectives

After studying Part One, you will be able to:

- Describe the variables that determine leadership effectiveness.
- Assess 10 qualities that distinguish a leader.
- Know how susceptible you are to leadership influence.
- Identify situations in which you are likely to lead.
- Know your natural kind of intelligence and leadership strength.



The Leadership Equation

For years, researchers have been trying to answer the questions, What does it take to be a successful leader? and What is the most effective leadership style? The *Encyclopedia of Leadership* identifies more than 40 theories or models of leadership that have influenced the study and practice of leadership.¹ Early studies were based on two main theories—**trait theory**, focusing on qualities of the leader, and **behavior theory**, focusing on leadership actions.

Leadership Trait Theory

Sir Francis Galton is credited with being one of the earliest leadership theorists, mentioning the trait approach to leadership for the first time in his book *Hereditary Genius*, published in 1869. In keeping with the general thinking of the period, Galton believed that leadership qualities were genetic characteristics of a family. Qualities such as courage and wisdom were passed on—from family member to family member, from generation to generation.²

How did Steve Jobs, a college dropout, become an iconic leader of the technology world? What enabled George Patton, who did so poorly at West Point that he had to repeat a year, to become a four-star general and hero of World War II? How could John L. Lewis, a coal miner with no formal education or leadership training, either energize or shut down an entire industry? Do individuals such as these share unique leadership traits?

The trait theory of leadership makes the assumption that distinctive physical and psychological characteristics account for leadership effectiveness. Traits such as height, attractiveness, intelligence, self-reliance, and creativity have been studied, and lists abound, from *The Leadership Traits of the U.S. Marine Corps* to the *Leadership Principles of the U.S. Army*. Almost always included in these and other lists of important leadership traits are (1) basic **intelligence**, (2) clear and strong **values**, and (3) high level of personal **energy**.³

One of the most widely reported studies of leadership traits was conducted by Edwin Ghiselli, who evaluated over 300 managers from 90 different businesses in the United States. Ghiselli identified six traits as being important for effective leadership:

1. *Need for achievement*—seeking responsibility; working hard to succeed.
2. *Intelligence*—using good judgment; having good reasoning and thinking capacity.
3. *Decisiveness*—making difficult decisions without undue hesitation.
4. *Self-confidence*—having a positive self-image as a capable and effective person.
5. *Initiative*—being a self-starter; getting jobs done with minimal supervision.
6. *Supervisory ability*—getting the job done through others.⁴

To personalize the concept of trait theory, evaluate yourself (or a leader you know) on Ghiselli's six traits for leadership effectiveness. (See Exercise 2–1.)

Exercise 2-1 Six Traits of Leadership

Rate yourself (or a leader you know) on the following six traits for leadership effectiveness by circling a number from 1 to 10 (1 is low; 10 is high).

1. Need for achievement

1 2 3 4 5 6 7 8 9 10

2. Intelligence

1 2 3 4 5 6 7 8 9 10

3. Decisiveness

1 2 3 4 5 6 7 8 9 10

4. Self-confidence

1 2 3 4 5 6 7 8 9 10

5. Initiative

1 2 3 4 5 6 7 8 9 10

6. Supervisory ability

1 2 3 4 5 6 7 8 9 10

Scoring and Interpretation:

Add all the circled numbers to find the overall trait score: _____

High	Individual Trait Score	Overall Trait Score	Evaluation
↑	9–10	54–60	Very good
↕	7–8	42–53	good
↓	1–6	6–41	Needs improvement
Low			

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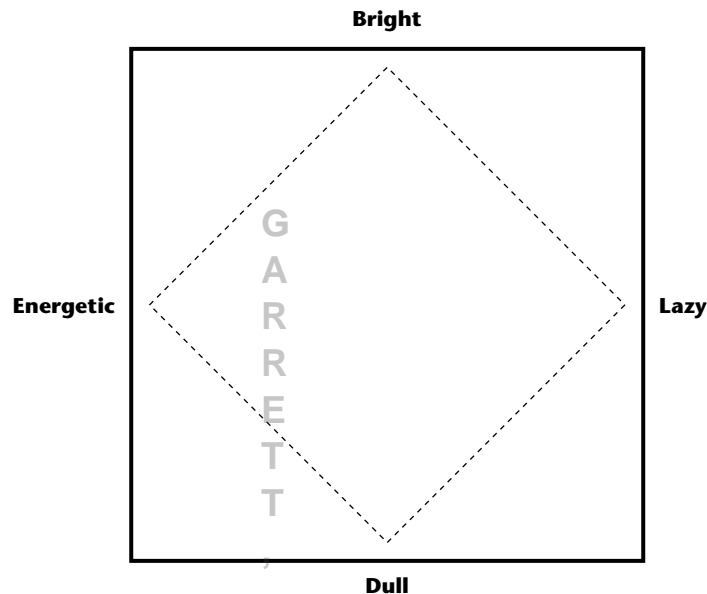
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Trait Theory Applied

An interesting application of trait theory was practiced by Paul von Hindenburg, war hero and second president of post–World War I Germany. Von Hindenburg used a form of trait theory for selecting and developing leaders. He believed that leadership ability was determined by two primary qualities—intelligence (bright versus dull) and vitality (energetic versus lazy). He used a box (see Figure 2–1) to evaluate potential military leaders on these two dimensions.

Figure 2–1
Dimensions of Leadership



If an individual was deemed to be bright and energetic, he was developed as a field commander, because it takes judgment and gumption to succeed as a leader on the battlefield. If the individual was deemed to be energetic but dull, he was assigned to duty as a frontline soldier, because as a leader, he could actively lead his command in the wrong direction. If the individual was believed to be bright but lazy, he was assigned to be a staff officer, because intelligence is important for developing a creative strategy that others may implement. If the individual was judged to be lazy and dull, he was left alone to find his own level of effectiveness.⁵

Leadership Behavior Theory

During the 1930s, a growing emphasis on behaviorism in psychology moved leadership researchers in the direction of the study of leadership behavior versus leadership traits. A classic study of leadership behavior was conducted at the University of Iowa by **Kurt Lewin** and his associates in 1939. These researchers trained graduate assistants in behaviors indicative of three leadership styles: **autocratic**, **democratic**, and **laissez-faire**. The *autocratic* style was characterized by the tight control of group activities and decisions made by the leader. The *democratic* style emphasized group participation and majority rule. The *laissez-faire* leadership style involved very low levels of any kind of activity by the leader. The results indicated that the democratic style of leadership was more beneficial for group performance than the other styles. The importance of the study was that it emphasized the impact of the behavior of the leader on the performance of followers.⁶

By the 1940s, most research on leadership changed focus from leadership traits to leadership behaviors. Behavioral leadership theories assume that there are distinctive actions that effective leaders take. In 1945 **Ralph Stogdill** and others at Ohio State

University developed an assessment instrument known as the Leader Behavior Description Questionnaire (LBDQ).⁷ Respondents to the questionnaire described their leaders' behaviors toward them in terms of two dimensions:

1. **Initiating structure**—the extent to which leaders take action to define the relationship between themselves and their staff, as well as the role that they expect each staff member to assume. Leaders who score high on initiating structure establish well-defined channels of communication and ways of getting the job done. Five assessment items measuring initiating structure are as follows:
 - a. Try out your own new ideas in the work group.
 - b. Encourage the slow-working people in the group to work harder.
 - c. Emphasize meeting deadlines.
 - d. Meet with the group at regularly scheduled times.
 - e. See to it that people in the group are working up to capacity.
2. **Showing consideration**—the extent to which leaders take action to develop trust, respect, support, and friendship with subordinates. Leaders who score high on showing consideration typically are helpful, trusting, and respectful, and have warm relationships with staff members. Five questionnaire items that measure showing consideration are as follows:
 - a. Be helpful to people in the work group.
 - b. Treat all people in the group as your equals.
 - c. Be willing to make changes.
 - d. Back up what people under you do.
 - e. Do little things to make it pleasant to be a member of the group.

At about the same time the Ohio State studies were being conducted, the University of Michigan's Survey Research Center started leadership studies under the direction of Rensis Likert, who gave special attention to the impact of leaders' behaviors on worker motivation and the performance of groups.⁸ The Michigan studies identified two similar dimensions of leadership behavior:

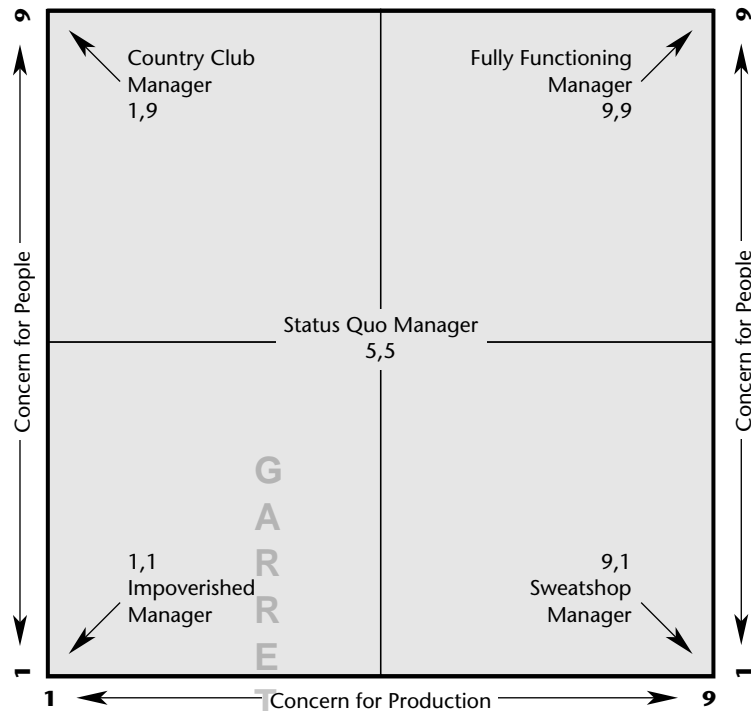
1. *Job-centered*—same as initiating structure.
2. *Employee-centered*—same as showing consideration.

In 1964 Robert Blake and Jane Mouton developed a managerial grid reflecting the Ohio and Michigan dimensions of initiating structure (job-centered) and showing consideration (employee-centered).⁹ This model identifies the ideal leader as having *a high concern for production and a high concern for people*. It has been used extensively in organizational development and leadership consulting throughout the world. See Figure 2–2.

The horizontal axis of the grid represents concern for production, and the vertical axis represents concern for people. Each axis is on a scale of 1 through 9. Lowest concern is 1, and highest concern is 9. The managerial (leadership) grid has 81 possible combinations, but identifies five major styles:

- (1,1) *The Impoverished Manager*—has low concern for production and low concern for people. The leader is uninvolved in the work and withdraws from people.
- (9,1) *The Sweatshop Manager*—has high concern for production but low concern for people. The leader is results driven, and people are regarded as tools to that end.
- (1,9) *The Country Club Manager*—has high concern for people and low concern for task accomplishment. The leader focuses on being agreeable and keeping human relations smooth.
- (5,5) *The Status Quo Manager*—has medium concern for both production and people. The leader emphasizes work requirements to a moderate degree and shows moderate consideration for the needs of people.

Figure 2-2
The Managerial (Leadership)
Grid for Leadership
Effectiveness



■ (9,9) *The Fully Functioning Manager*—has high concern for both production and people. The leader cares intensely about task accomplishment and cares deeply about people.

In recent years, two additional styles have been seen with such frequency that they are now listed as major styles:

1. *The Paternalistic Manager*—uses high concern for production (9,1) combined with use of rewards (1,9) in exchange for compliance and loyalty.
2. *The Opportunistic Manager*—uses whichever style will best promote his or her advancement (1,9 to please subordinates; 5,5 in interactions with peers; and 9,1 to gain favor with bottom-line-focused bosses).

To personalize leadership behavior theory, use Exercise 2-2 to evaluate yourself (or a leader you know) on two dimensions of leadership effectiveness—concern for production and concern for people. Note that concern for production is analogous to the terms *job-centered* and *initiating structure*, while concern for people is analogous to the terms *employee-centered* and *showing consideration*.

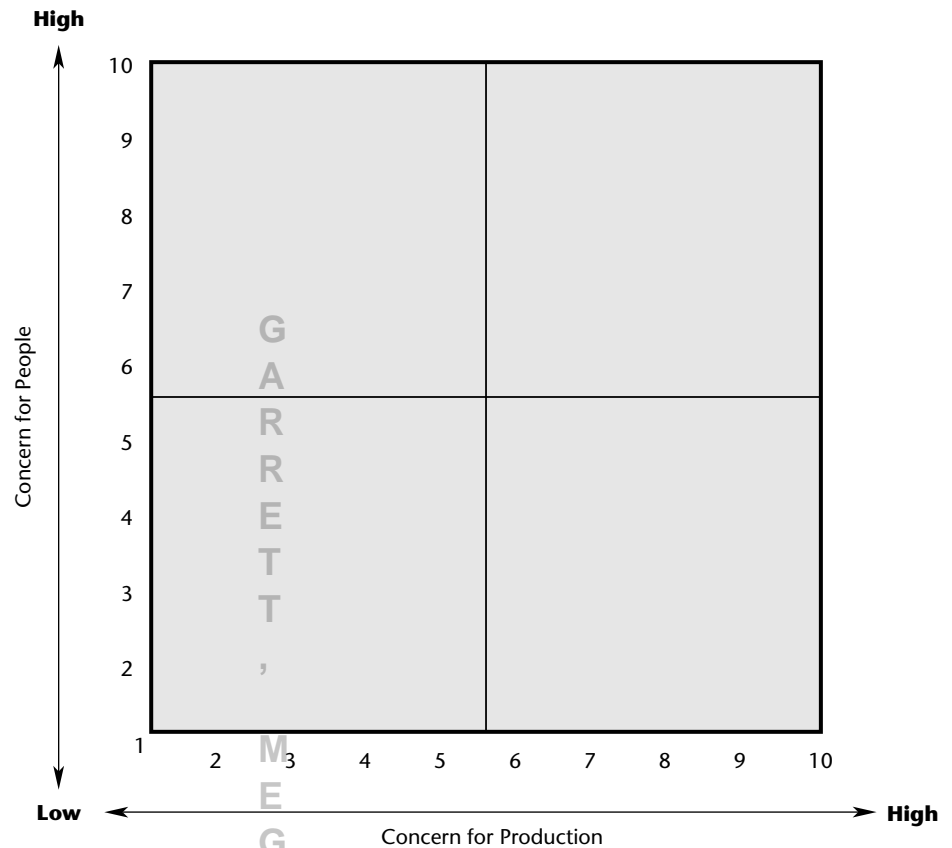
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Exercise 2-2 Two Dimensions of Leadership

Rate yourself (or a leader you know) on the two dimensions of leadership effectiveness indicated in the graph below (1 is low; 10 is high). Then mark the point where *concern for people* and *concern for production* intersect.



Scoring and Interpretation:

The higher the score on both axes, the higher the expectation for overall leadership effectiveness. To find the overall score, multiply the scores for the two dimensions. The best possible score is 100 (10×10). The ideal leader is a caring leader who focuses on job tasks and results, and is simultaneously concerned with the welfare of employees.

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Behavior Theory Applied

In *Shackleton's Way: Leadership Lessons from the Great Antarctic Explorer*, Margot Morrell presents a detailed account of Ernest Shackleton's endurance expedition and the leadership lessons to be learned from it. The book is based on primary sources—on the actual comments of the men who were led by Shackleton. She uses diaries, letters, and interviews to understand Shackleton's leadership behavior. Morrell believes that even today we can look to his behaviors as a source of inspiration and education. The four cornerstones of Shackleton's leadership behavior are leading by example, communicating a vision, keeping up morale, and maintaining a positive attitude. Morrell concludes from her research of Shackleton and leadership: "If you look closely at any successful leader, you will find [he or she is] executing on these four points."¹⁰

Leadership Contingency Theory

Both the trait theory and the behavioral theory of leadership were attempts to identify the one best leader and the one best style for all situations. By the late 1960s, it became apparent that there is no such universal answer. Leadership **contingency theory** holds that the most appropriate leadership qualities and actions vary from situation to situation. Effectiveness depends on leader, follower, and situational factors. Forces in the leader include personal values, feelings of security, and confidence in subordinates. Forces in the follower include knowledge and experience, readiness to assume responsibility, and interest in the task or problem. Forces in the situation include organizational structure, the type of information needed to solve a problem, and the amount of time available to make a decision.¹¹

Matching Qualities of Leaders, Characteristics of Followers, and the Nature of the Situation

In the past 60 years, more than 65 classification systems have been developed to define the dimensions of leadership, and more than 15,000 books and articles have been written about the elements that contribute to leadership effectiveness. The usual conclusion is that the answer depends on leader, follower, and situational variables. A leader in a bank and a leader on the farm will need different interests, values, and skills. Experienced followers and new followers will have different leadership needs. Situational factors include the job being performed, the culture of the workplace, and the urgency of the task.

No single element explains why leadership takes place. Leadership results when the ideas and deeds of the leader match the needs and expectations of the followers in a particular situation. The relationship between General George Patton, the U.S. Third Army, and the demands of World War II resulted in leadership; however, the same General Patton probably would not have much influence on the membership and goals of a PTA meeting today. Even if there were agreement about goals, disagreement over style probably would interfere with the leadership process.

A modern example of matching qualities of the leader, characteristics of followers, and the nature of the situation would be Nelson Mandela, the first black president of South Africa.¹² A negative example, but one of historic significance, is that of Adolf Hitler, the German people, and the period 1919 to 1945:

Hitler generated his power through the skillful use of suggestion, collective hypnosis, and every kind of subconscious motivation that the crowd was predisposed to unleash. In this way, the people sought out Hitler just as much as Hitler sought them out. Rather than saying that Hitler manipulated the people as an artist molds clay, certain traits in Hitler gave him the opportunity to appeal to the psychological condition of the people.

Seen in this light, Hitler was not the great beginner, but merely the executor of the people's wishes. He was able to feel the character and direction of the people and to make them more conscious of it, thereby generating power that he was able to exploit. This is not due to his personal strength alone. Isolated from his crowd, Hitler would be with reduced potency.

Hitler had many personal weaknesses, but as one who sensed the character and direction of the group, he became the embodiment of power. No doubt his strength came through his claiming for himself what actually was the condition and achievement of many.¹³

Ultimately, the leader, the followers, and the situation must match for leadership to take place. One without the other two, and two without the third, will abort the leadership process.¹⁴

Case Study:

Mr. Black, Ms. Blue, and Mr. White¹⁵

Recently you were promoted from the job of first-level supervisor to that of middle management, and you now have under your supervision several of your former equals. You get along well with them, and there is no resentment about your advancement because they recognize that you are the best person available for the job.

You know from past associations that you will have to straighten out three of these subordinates; the rest are all right. The three are Black, Blue, and White. Black has always been against the organization, Blue has always been snowed under by work, and White has always been a permissive supervisor.

Black, the anticompany supervisor, always sides with his subordinates against the organization and sympathizes with them when things go wrong. He wants conditions to be perfect and is always pointing out the defects in the company and finding fault with the way the organization is run. (Conditions, while not perfect, are above average.) Black does his job grudgingly and does not get along well with the other people in the organization.

Blue, on the other hand, is snowed under by her work; she carries the whole load of the department on her shoulders. Her subordinates take no initiative, and she is continually correcting their mistakes. Blue sees that whatever little work comes out of her section is letter-perfect even if she has to have her employees do their jobs over and over again and she has to put on the finishing touches herself. Often her subordinates are standing around waiting for her to get around to checking their work. They know their jobs but wait for Blue to make all the decisions.

Finally, there is White, the permissive supervisor. Instead of running his employees, he is letting them run him. His subordinates do their jobs in any manner they wish. They do not respect White's authority, and they raise so many objections that he lets them do whatever they want. Often they boast of how they tell him off.

All the other supervisors under your jurisdiction are doing a good job. You would like to take the easy way out and fire Black, Blue, and White, but they have been with the company for quite a while. Besides, you feel that if you can lick these problems, you will receive quite a bit of recognition from upper management.

Questions

1. How would you help Black become an effective supervisor?

2. How would you help Blue become an effective supervisor?

3. How would you help White become an effective supervisor?

Transformational Leadership

Some people have an extraordinary ability to inspire others and bring forth loyalty. A person who has such a personality is said to have charisma. The German sociologist Max Weber explains in his *Theory of Social and Economic Organization*: The term ‘charisma’ applies to a certain quality that causes one to be set apart from ordinary people and to be treated as endowed with superhuman, or at least exceptional, powers or qualities. In this sense, charisma is a gift or power of leadership.¹⁶

In 1976 R. J. House published a theory of charismatic leadership that has received a great deal of attention by researchers. He traces the influence of the charismatic leader to a combination of personal characteristics and types of behavior. The characteristics of charismatic leaders include being dominant, ambitious, and self-confident, as well as having a strong sense of purpose.

Charismatic leaders also demonstrate specific types of behaviors: (1) They are role models for the beliefs and values they want their followers to adopt. For example, Gandhi advocated nonviolence and was a role model of civil disobedience. (2) They demonstrate ability that elicits the respect of followers. Leaders in art, science, religion, business, government, and social service influence followers through their personal competence. (3) They have ideological goals with moral overtones. Martin Luther and Martin Luther King both employed this type of charismatic behavior. (4) They communicate high expectations for their followers and show confidence in their ability to meet those expectations. Military history is replete with examples of charismatic war leaders. (5) Charismatic leaders ignite the motives of their followers to take action. Motives and tasks fall broadly into three areas—affiliation, power, and achievement.¹⁷

The psychologist David McClelland describes the nature of charismatic leadership:

We set out to find exactly, by experiment, what kinds of thoughts the members of an audience had when exposed to a charismatic leader. They were apparently strengthened and uplifted by the experience; they felt more powerful, rather than less powerful or submissive. This suggests that the traditional way of explaining the influence of leaders has not been entirely correct. The leader does not cause followers to submit and go along by intimidation and force. In fact, the leader is influential by strengthening and inspiring the audience. The personality of the leader arouses confidence in followers, and the followers feel better able to accomplish whatever goals they share with the leader.¹⁸

In every walk of life, an individual with charisma may emerge. When this happens, the person is recognized as a leader. See, for example, the account by Willie Davis, all-pro lineman for the Green Bay Packers, which shows how Vince Lombardi exercised tremendous influence in the field of sports because of his charismatic personality. Men played their hearts out for Lombardi. Their goal was to please him, to be equal to their understanding of his values and goals.

The example of Lombardi shows how an individual can generate the respect and following of others through personal charisma. According to Willie Davis, how did Lombardi do this?

- First, he *cared*. No one was more committed to achieving the goal and winning the game.
- Second, he *worked hard*. No one worked harder and more diligently to prepare.
- Third, he *knew the right answers*. He knew the game of football, he knew the teams, and he had a plan to succeed.
- Fourth, he *believed*. He believed in himself and his players, and that made them believers as well.
- Fifth, he *kept the bar high*. He had uncompromising standards that raised the pride of his team as they rose to the challenge.
- Sixth, he *knew people*. He knew how to motivate each of his players, each in his own way.

He Made Me Feel Important

Willie Davis

Football is a game of emotion, and what the old man excels at is motivation. I maintain that there are two driving forces in football; one is anger and the other is fear, and he capitalized on both of them. Either he got us so mad we wanted to prove something to him, or we were fearful of being singled out as the one guy who didn't do the job.

In the first place, he worked so hard that I always felt the old man was really putting more into the game on a day-to-day basis than I was. I felt obligated to put something extra into it on Sunday; I had to, just to be even with him. Another thing was the way he made you a believer. He told you what the other team was going to do, and he told you what you had to do to beat them, and invariably he was right. He made us believe that all we had to do was follow his theories on how to get ready for each game and we'd win.

Probably the best job I can remember of him motivating us was when we played the Los Angeles Rams the next-to-last game of 1967. We had already clinched our divisional title, and the game didn't mean anything to us, and he was worried about us just going through the motions. Before the game, he was trembling like a leaf. I could see his leg shaking. "I wish I didn't have to ask you boys to go out there today and do this job," he said. "I wish I could go out and do it myself. Boy, this is one game I'd really like to be playing in. This is a game that you're playing for your pride."

How about the day we beat the Rams 6–3 in Milwaukee in 1965? We'd broken a two-game losing streak, and we were all kind of happy and clowning around, and he came in and you saw his face and you knew nothing was funny anymore. He kicked a bench and hurt his foot, and he had to take something out on somebody, so he started challenging us. "Nobody wants to pay the price," he said. "I'm the only one here who's willing to pay the price. You guys don't care. You don't want to win."

We were stunned. Nobody knew what to do, and finally Forrest Gregg stood up and said, "My God, I want to win," and then somebody else said, "Yeah, I want to win," and pretty soon there were forty guys standing, all shouting, "I want to win." If we had played any football team in the world during the next two hours, we'd have beaten them by ten touchdowns. The old man had us feeling so ashamed and angry. That was his greatest asset—his ability to motivate people.¹⁹

In his book *Leadership*, political sociologist James MacGregor Burns states that the term *charisma* has taken on a number of different but overlapping meanings: leaders' magical qualities; an emotional bond between the leader and the led; dependence on a powerful figure by the masses; assumptions that a leader is omniscient and virtuous; and simply popular support for a leader that verges on love.²⁰

The term **transformational leadership** can be used to describe the leadership of individuals such as Vince Lombardi. These leaders use optimism, charm, intelligence, and a myriad of other personal qualities to raise aspirations and transform individuals and organizations into new levels of high performance.²¹

Although transformational leadership was first discussed by J. V. Downton in 1973, its emergence as an important theory of leadership can be traced to Burns, who distinguished two kinds of leadership: *transformational* and *transactional*. Transactional leaders focus on exchanges between leaders and followers. An example would

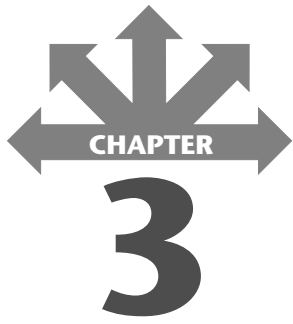
be a manager who exchanges pay and promotion for work performed. In contrast, transformational leaders focus on the potentialities of the relationship between the leader and followers. This leader taps the motives of followers to better reach the goals of both. Burns uses Gandhi as an example of transformational leadership because he not only raised the hopes and demands of millions of his people, but in the process was also changed himself.²²

In contrast to transactional leaders, who emphasize exchanging one thing for another, such as jobs for votes and rewards for favors, transformational leaders engage the full person of the follower. The result is elevation of the potential of followers and achievement beyond previous expectations.²³ It is important to note that transformational leadership can occur at all levels of an organization and transformational leaders can emerge in both formal and informal roles.²⁴

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CHAPTER 3

Leadership Qualities, Characteristics of Followers, and Situational Factors

Certain qualities belong potentially to everyone, but leaders possess these qualities to an exceptional degree. The following is a discussion of 10 qualities that mark a leader and help influence the leadership process—vision, ability, enthusiasm, stability, concern for others, self-confidence, persistence, vitality, charisma, and integrity.²⁵

■ **Vision.** *The first requirement for a leader is a strong sense of purpose.* A vision of what could and should be is a basic force that enables the leader to recognize what must be done and to do it. Vision inspires others and causes the leader to accept the duties of leadership, whether pleasant or unpleasant. A sense of vision is especially powerful when it embodies a common cause—overcoming tyranny, stamping out hunger, or improving the human condition.

Native Americans believe that the leader should look to the seventh generation when making decisions today, and this will ensure that a vision is sound and just. Antoine de Saint-Exupéry once commented on the imaginative nature of vision, saying, “A rock pile ceases to be a rock pile the moment a single man contemplates it, bearing within him the image of a cathedral.”²⁶

Examples of leadership vision and its power can be seen in computer pioneer Steve Jobs, who foresaw a computer on every desktop and in every home, and in business entrepreneur Bill Gates, who asked the optimistic and compelling question, Where do you want to go today? Jobs of Apple and Gates of Microsoft have altered business and society in irreversible ways.

If you are the leader of a work group or an organization, you should ask, Do I have a plan? What is my vision of what this department or organization should be?

■ **Ability.** *The leader must know the job—or invite loss of respect.* It helps if the leader has done the job before and done it well. Employees seldom respect the individual who constantly must rely on others when making decisions, giving guidance, or solving problems. Although employees usually show a great deal of patience with a new leader, they will lose faith in someone who fails to gain an understanding of the job within a reasonable period of time. Also, the leader must keep job knowledge current. Failure to keep up leads to lack of confidence and loss of employee support. Finally, a leader must have a keen mind to understand information, formulate strategies, and make correct decisions.²⁷

Leaders should ask, How competent am I? Am I current in my field? Do I set an example and serve as a resource for my employees because I keep job knowledge current? Mentally, are my perceptions accurate, is my memory good, are my judgments sound?

■ **Enthusiasm.** *Genuine enthusiasm is an important trait of a good leader.* Enthusiasm is a form of persuasiveness that causes others to become interested and willing to accept what the leader is attempting to accomplish. Enthusiasm, like other human

emotions—laughter, joy, happiness—is contagious. Enthusiasm shown by a leader generates enthusiasm in followers. As Harry Truman once said, “The successful man has enthusiasm. Good work is never done in cold blood; heat is needed to forge anything. Every great achievement is the story of a flaming heart.”²⁸

If you are a leader, you must ask, Do I care personally and deeply about what I am doing? Do I show this to my employees? Does my enthusiasm ignite others to take action?

■ **Stability.** *The leader must understand her or his own world and how it relates to the world of others.* One cannot solve the equation of others when preoccupied with the equation of self. Empathy for employees cannot be developed if the leader is emotionally involved with personal problems. Problems with alcohol, problems with money, and problems with relationships are fertile fields for emotional instability. A display of emotional instability places the leader in a precarious position with regard to employees, because they will question the leader’s objectivity and judgment. Leaving personal problems at home allows the leader to think more clearly and to perform more effectively on the job. One can see the consequences of loss of stability with examples ranging from the fall of Alexander the Great to the fall of Captain Queeg in *The Caine Mutiny*.

The leader must ask, Do I possess objectivity? Do I convey stability to my employees? Do they trust that personal problems will not interfere with my judgment?

■ **Concern for others.** *At the heart of caring leadership is concern for others.* The leader must not look down on others or treat them as machines—replaceable and interchangeable. The leader must be sincerely and deeply concerned about the welfare of people. The character of caring stands in clear contrast to the character of bullying. The caring leader never tears down, belittles, or diminishes people. The leader must also possess humility and selflessness to the extent that, whenever possible, others’ interests are considered first. Concern for others requires patience and listening, and the result is trust, the bedrock of loyalty. Loyalty to followers generates loyalty to the leader; and when tasks become truly difficult, loyalty carries the day.

Leaders must question, Do I truly care about my employees as people, or do I view them more as tools to meet my goals? Do I ever demean people, or do I always lift them up? If I value my employees, do they know it?

■ **Self-confidence.** *Confidence in one’s ability gives the leader inner strength to overcome difficult tasks.* If leaders lack self-confidence, people may question their authority and may even disobey orders. Researchers at the Center for Creative Leadership have found that successful leaders remain calm and confident even during intense situations. By demonstrating grace under pressure, they inspire those around them to stay calm and act intelligently. According to football quarterback Roger Staubach, the key to self-confidence is how hard the leader works: “Confidence comes from hours, days, weeks, and years of preparation and dedication. When I’m in the last two minutes of a December playoff game, I’m drawing confidence from windsprints I did the previous March. It’s just a circle: work and confidence.”²⁹

A leader must ask, What is my self-confidence level? Do I show confidence in my actions? Have I done the homework and preparation needed to build self-confidence?

■ **Persistence.** *The leader must have drive and determination to stick with difficult tasks until they are completed.* According to Niccolò Machiavelli, “There is nothing more difficult to take in hand, more perilous to conduct, or more uncertain as to success, than to take the lead in the introduction of a new order of things.”³⁰ Israeli prime minister Golda Meir referred to the quality of persistence when she advised that things do not just occur in one’s life. She encouraged people to *believe*, be *persistent*, and *struggle* to overcome life’s obstacles.³¹ Leaders from Walt Disney to Ray Kroc, founder of McDonald’s, have shown the importance of persistence for business success, and military leaders from Ulysses Grant to George Patton have proved its

importance on the battlefield. However, no better example exists to show the importance of fierce resolve as a leadership quality than that of Winston Churchill. Historians agree that this leader, with his bulldog will, was a determining element in the success of the Allied nations in defeating the Axis powers in World War II. In the face of impossible odds and seemingly certain defeat, Churchill rallied his people. Simply, he would not give in; he would not give up.³²

If you are the leader, ask, Do I have self-drive and unflagging persistence to overcome adversity even when others lose their strength and their will?

■ **Vitality.** *Even if the spirit is willing, strength and stamina are needed to fulfill the tasks of leadership.* Effective leaders are typically described as electric, vigorous, active, and full of life, no matter how old they are or if they are physically disabled. Consider Franklin Roosevelt, who had polio, and Helen Keller, who was blind and deaf. It is interesting to note that at one point in recent history, the American President Ronald Reagan, the Roman Catholic Pope John Paul II, and the Ayatollah Khomeini of Iran were all over 70 years of age—and more vital than many people half their age. At all ages, leaders require tremendous energy and stamina to achieve success. The caring leader must have health and vigor to pursue his or her goals. Physical checkups and physical fitness are commonsense acts.

Leaders must ask, Am I fit for the tasks of leadership? Do I have sufficient energy? Am I doing everything I can to keep physically strong?

■ **Charisma.** *Charisma is a special personal quality that generates others' interest and causes them to follow.* Napoleon makes the point that great leaders are optimists and merchants of hope.³³ Optimism, a sense of adventure, and commitment to a cause are traits found in charismatic leaders. These are qualities that unleash the potential of others and bring forth their energies. Charisma is a Greek word that means “divinely inspired gift.” The result is admiration, enthusiasm, and the loyalty of followers. Charismatic leaders in history include Julius Caesar, Charlemagne, and Elizabeth I.

As a leader, ask yourself, Do I possess a positive outlook and commitment in my demeanor that transforms followers to new levels of performance as well as personal loyalty to me?

■ **Integrity.** *The most important quality of leadership is integrity, understood as honesty, strength of character, and courage.* Without integrity there is no trust, the number one element in the leader–follower equation. Integrity leads to trust, and trust leads to respect, loyalty, and ultimately, action. It is trust coming from integrity that is needed for leading people from the boardroom, to the shop floor, to the battlefield.³⁴ A model of integrity was George Washington, about whom it was written:

Endowed by nature with a sound judgment, and an accurate discriminating mind, he was guided by an unvarying sense of moral right, which would tolerate the employment only of those means that would bear the most rigid examination, by a fairness of intention which neither sought nor required disguise, and by a purity of virtue which was not only untainted but unsuspected.³⁵

Washington's abilities, his determination, and even his image all furthered his achievements, but his greatest legacy was his integrity. He was respected by everyone. He refused ostentatious titles, insisting that in a republican country, he should be called simply “Mr. President.” When Washington died in 1799, Americans mourned the loss of the man known as “the father of his country.”³⁶

As a leader, ask, Do my people trust me? Do they know that I seek the truth and that I am true to my word? Do they see that I possess strength of character and the courage of my convictions?

How do you rate on the 10 qualities of leadership: vision, ability, enthusiasm, stability, concern for others, self-confidence, persistence, vitality, charisma, and integrity? Do you have the qualities that inspire others to follow? Exercise 3-1 will help you evaluate yourself (or a leader you know).

Exercise 3–1 Ten Leadership Qualities—How Do You Rate?

Evaluate yourself (or a leader you know) on the following leadership qualities by circling a number from 1 to 10 (1 is low; 10 is high).

1. **Vision:** a sense of what could and should be done

1 2 3 4 5 6 7 8 9 10

2. **Ability:** job knowledge and expertise to achieve results

1 2 3 4 5 6 7 8 9 10

3. **Enthusiasm:** personal commitment that invigorates and motivates people

1 2 3 4 5 6 7 8 9 10

4. **Stability:** emotional adjustment and objectivity

1 2 3 4 5 6 7 8 9 10

5. **Concern for others:** service to followers and interest in their welfare

1 2 3 4 5 6 7 8 9 10

6. **Self-confidence:** inner strength that comes from preparation and competence

1 2 3 4 5 6 7 8 9 10

7. **Persistence:** determination to see tough tasks through to completion

1 2 3 4 5 6 7 8 9 10

8. **Vitality:** strength and stamina

1 2 3 4 5 6 7 8 9 10

9. **Charisma:** magnetic ability to attract people and cause them to follow

1 2 3 4 5 6 7 8 9 10

10. **Integrity:** honesty, strength of character, and courage that generates trust

1 2 3 4 5 6 7 8 9 10

Scoring and Interpretation:

Add all the circled numbers to find the overall score: _____

Score	Evaluation
100–90	Excellent; exceptional
89–80	High; very good
79–70	Average; needs improvement
69–60	Low; much work needed
59 and below	Deficient; poor

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Researcher Barbara Kellerman states valuable insights can be gained by examining qualities of ineffective leaders. Her analysis has uncovered six negative behaviors or flaws:

1. *Incompetence*. The leader lacks will or skill (or both) to sustain effective action.
2. *Rigidity*. The leader is closed-minded to new ideas, new information, or changing times.
3. *Intemperance*. The leader lacks self-control in personal habits and conduct.
4. *Callousness*. The leader is uncaring and unkind, discounting the needs of others.
5. *Corruption*. The leader puts self-interest ahead of public interest, and is willing to lie, cheat, or steal.
6. *Cruelty*. The leader commits atrocities inflicting physical and/or emotional pain on others.³⁷

Similar findings are reported by Morgan McCall and Michael Lombardo in *Off the Track: Why and How Successful Executives Get Derailed*, published by The Center for Creative Leadership. Derailed leaders

1. Use a bullying style that is intimidating and abrasive.
2. Are viewed as being cold, aloof, and arrogant.
3. Betray personal trust.
4. Are viewed as self-centered, overly ambitious, and thinking of the next job.
5. Have specific business performance problems.
6. Overmanage and are unable to delegate or build a team.³⁸

To personalize the subject, consider individuals who have failed or derailed as leaders as the result of negative behaviors or flaws. What were the consequences?

Characteristics of Followers

The word *follower* is rooted in the Old German word *follazionhan*, which means to help, serve, and assist. Two characteristics of followers that influence the leadership process are **respect for authority** and **interpersonal trust**. People who respect authority figures and have a trusting nature are led more easily than people who disregard authorities and are suspicious of others. (Exercise 3–2, evaluates susceptibility to follow, based on the trust you have in others.)

A general decline is evident in the level of trust employees have in leadership personnel in American society. The tendency to withhold trust and be self-guarded can be traced to a number of factors: (1) breakdown of the traditional family structure; (2) decline of a wide range of social structures, such as schools, churches, and neighborhoods; (3) lack of shared values and a sense of community as the society has focused on individual advantage and self-absorption; and, perhaps most important, (4) case after case in which highly visible and influential leadership figures are discovered putting self-interest over the public good—clear evidence that too many leaders violate the trust that they have been given.³⁹

Attitudes toward authority have been changing in Western society, and effective leadership today requires adjustment to the ideas and expectations of a new generation of followers. In the past, the leader in the work setting typically was a taskmaster who ruled with a strong arm and forced employees to obey or face the consequences. If employees failed to show respect or follow orders, they were threatened with dismissal or other punishment. Over the years, employees have developed defenses to protect themselves. They have organized unions to represent their interests, and labor legislation has been created to protect workers from arbitrary firing or mistreatment. In addition, management has learned that people who feel oppressed usually respond

in negative ways—slowing down production, producing poor-quality work, and being uncooperative.⁴⁰

Today's effective leaders do not use the power tactics of the past. Modern managers find that the practice of threatening employees is usually counterproductive. Instead, they view their task as one of motivating employees to do their best. In adopting this approach, leaders function as facilitators and teachers as opposed to enforcers and disciplinarians, believing that trust and respect should be earned, not demanded. With this approach, the response of the good follower is in the tradition of the apprentice, disciple, and student—one of reliable effort and loyalty to the leader.⁴¹

Effective leaders and effective followers have many common qualities—integrity, ability, commitment, and so on. Two qualities that are necessary for organizational success are high involvement and critical thinking. Leaders and followers who care deeply and think well make a powerful team.⁴²

The Importance of Trust

Management authors Stuart Levine and Michael Crom write about building trust in the workplace. They identify six principles of trust for leadership effectiveness:

1. ***Deal openly with everyone.*** Hidden agendas will erode people's trust in you, while also showing that you don't trust them.
2. ***Consider all points of view.*** See situations from the other person's perspective. Show that although you may not agree with them, you do respect the views of others.
3. ***Keep promises.*** Never say you will do one thing and then do another. If you can't do what you have promised, explain why; don't try to hide the fact that you couldn't keep your word.
4. ***Give responsibility.*** As a leader, you have bottom-line expectations. Explain your expectations to employees; then let them use their talent, education, and experience to achieve results.
5. ***Listen to understand.*** Situations may arise that at first appear as though someone is untrustworthy. Missed deadlines, unreasonable expenses, and deviations from standard practices are examples. By simply asking what is happening instead of assuming the worst, you will build a trusting relationship.
6. ***Care about people.*** This principle will have a major impact on how people react to you and to situations. If they know you care about them, they will be honest with you and will do all they can to meet your expectations.⁴³

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Exercise 3–2 Interpersonal Trust Scale⁴⁴

The following is a survey of a number of work and social issues. Respond to each item on the basis of your own experience and judgment in dealing with people. Many views are represented in this survey. You may find yourself agreeing strongly with some of the statements, disagreeing with others, and perhaps being undecided about others. Whether you agree or disagree with any statement, you can be sure that many people feel the same as you do. Circle the response that shows the extent to which you agree or disagree with each statement.

1. The best way to handle people is to tell them what they want to hear.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
2. It is hard to get ahead without cutting corners here and there.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
3. Anyone who completely trusts someone else is asking for trouble.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
4. When you ask someone to do something for you, it is best to give the real reasons for the request rather than giving reasons that might carry more weight.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
5. It is safest to assume that all people have a vicious streak and that it will come out when they are given a chance to use it.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
6. One should take action only when sure it is morally right.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree

7. Most people are basically good and kind.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
8. There is no valid reason for lying to someone else.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
9. Most people forget more easily the death of their father than the loss of their property.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree
10. Generally speaking, people won't work hard unless they are forced to do so.
 - a. Strongly disagree
 - b. Disagree
 - c. Undecided
 - d. Agree
 - e. Strongly agree

Scoring:

Complete Steps 1 and 2.

Step 1:

In the following key, circle the score that corresponds to your answer for each item of the questionnaire:

- | | | | | |
|---------|---------|---------|---------|----------|
| 1. a. 5 | 2. a. 5 | 3. a. 5 | 4. a. 1 | 5. a. 5 |
| b. 4 | b. 4 | b. 4 | b. 2 | b. 4 |
| c. 3 | c. 3 | c. 3 | c. 3 | c. 3 |
| d. 2 | d. 2 | d. 2 | d. 4 | d. 2 |
| e. 1 | e. 1 | e. 1 | e. 5 | e. 1 |
| 6. a. 1 | 7. a. 1 | 8. a. 1 | 9. a. 5 | 10. a. 5 |
| b. 2 | b. 2 | b. 2 | b. 4 | b. 4 |
| c. 3 | c. 3 | c. 3 | c. 3 | c. 3 |
| d. 4 | d. 4 | d. 4 | d. 2 | d. 2 |
| e. 5 | e. 5 | e. 5 | e. 1 | e. 1 |

Step 2:

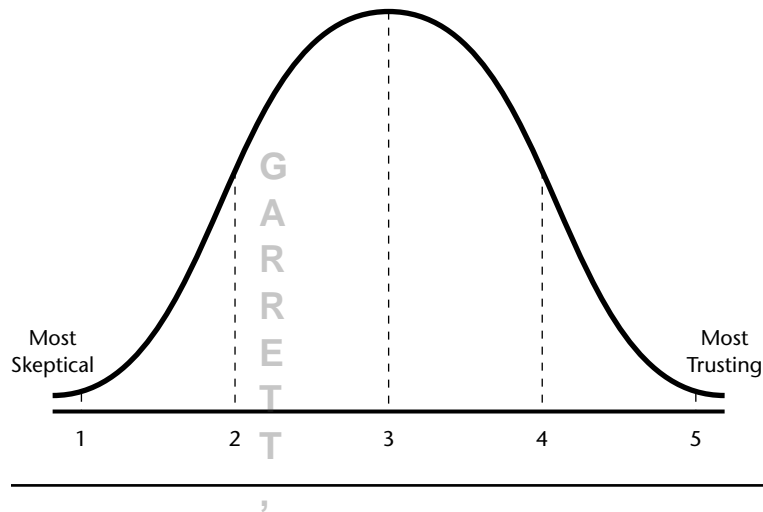
Add your scores; then divide the total by 10:

Total score _____ ÷ 10 = _____

Interpretation:

Scores on the Interpersonal Trust Scale, which range from 1.0 to 5.0 (see Figure 3–1), show your tendency to trust people. Typically, the higher the score on the scale, the more trust you have in the inherent decency of others. A high score may also reflect susceptibility to suggestion from others. The lower the score on the scale, the less trusting you would be expected to be of others. A low score may also reflect a tendency to manipulate others in accomplishing goals.

Figure 3–1
Interpersonal Trust Scale



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Score	Characteristics
1.0–2.0	This person believes that most people seek personal advantage, even at the expense of others; thus, the best course of action is self-protection. The 1.0–2.0 individual may manipulate others in interpersonal relations and avoid making personal commitments. Such a person is often difficult to lead.
2.0–3.0	This person is generally suspicious of the motives of others and tends toward skepticism and self-reliance rather than seeking assistance or direction. The 2.0–3.0 individual will usually act independently, rather than ask for help or delegate, believing the best way to get something done is to do it oneself.
3.0–4.0	This person has confidence in the basic decency of others, combined with an evaluation of the merits of the situation. The 3.0–4.0 individual will usually trust others temporarily, yet reserve final judgment.
4.0–5.0	This person believes that people are essentially good and therefore readily trusts others. Such a person may not look below the surface of things. The 4.0–5.0 individual is easily persuaded and should be encouraged to look at all sides of an argument before making a decision.

Review your interpersonal trust scores. What is your tendency? Do you lean toward suspicion and self-reliance? Do you tend to be trusting and suggestible? Or are you, like most people, somewhere in the middle? Given your level of trust, are you typically easy or difficult to lead?

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Situational Factors

In addition to qualities of the leader and characteristics of followers, many situational factors influence the leadership process. The following is a discussion of important situational factors, including the size of the organization, the social and psychological climate, patterns of employment, and the type, place, and purpose of work performed. Also included is a discussion of leader–follower compatibility.

■ **Size of the organization.** Studies show that the size of an organization demands a certain type of leadership skill. A small organization needs a leader who is both a salesperson and a production manager. Outside the organization, the leader is the organization's chief advocate, personally meeting with clients and winning their loyalty. On the inside, the leader organizes the work, assigns tasks, coaches employees, and evaluates progress. In contrast, the leader of a large organization devotes efforts primarily to the organization's public image and its investment and growth plans. Leaders of large organizations think in broad terms about the community and the marketplace, considering how the organization can be placed best in both.⁴⁵

■ **Social and psychological climate.** Social and psychological factors such as confusion, anxiety, and despair can also influence the leadership process. Consider pre–World War II Germany, where a great depression and the inactivity of the people seemed intolerable:

The streets of German towns were full of millions of unemployed waiting for the dole, which was scarcely sufficient to provide for the indispensable needs of daily life. These observations were common to everyone who lived in Germany during the years preceding Hitler's advent to power. The lack of such an important educational factor as compulsory military service on the one hand, and the plague of unemployment on the other, produced their inevitable consequences in the shape of a deplorable moral relaxation and in a not less deplorable decrease of patriotism. In these circumstances that were ripe for leadership, Adolf Hitler came to power.⁴⁶

■ **Patterns of employment.** In his book *The Age of Unreason*, management author Charles Handy describes how contemporary patterns of work are changing in fundamental ways. He describes the “shamrock” organization, in which there are three workforces supporting an organization, but only one leaf of the shamrock is permanent and full-time; the other two are (1) part-time or temporary or both, and (2) independent workers and contractors who form alliances with the organization to perform specified tasks. Handy describes how the seemingly unusual work assignments of our day—working at home, flextime, independent contractors, networks of professionals, associations, virtual offices and companies, and the like—are part of a new pattern of work that adds to the challenge of leadership.⁴⁷

■ **Type, place, and purpose of work.** The type of work to be done is an important factor in the leadership process. Leadership studies show that, in general, when the work to be done is clear-cut, routine, or monotonous, a nondirective and supportive approach is best. If work duties are defined loosely, a directive and task orientation is needed until roles, responsibilities, and relationships are clarified.⁴⁸

Also important is the context of place and purpose. Where is the setting, and what is the goal? Is the place the farm, the factory, or the lab? Is the purpose selling or serving? Is the task shipbuilding or singing? What is the challenge—starting a business or minding the store? All these factors of the situation have tremendous influence on who will light the path and how bright the light will be.

Different Kinds of Intelligence

Intelligence is multidimensional. *Crystallized intelligence* represents one's lifetime of intellectual attainments, as shown by vocabulary, accumulated facts about the world, and ability to solve problems within one's area of expertise. It includes comprehension of information and the ability to communicate in oral and written forms. Crystallized intelligence can be increased over time. *Fluid intelligence*

involves mental flexibility, as shown by the ability to process information rapidly, as in solving problems in new areas of endeavor. People draw upon fluid intelligence in novel situations or when conventional solutions fail. It includes reasoning, creative thinking, and memory. One can imagine an ancient mariner who is both sea-wise (crystallized) and people-smart (fluid).⁴⁹

Although intelligence is positively related to leadership effectiveness, different situations require different kinds of intelligence.⁵⁰ Once Henry Ford was asked who should lead the band. His answer was, “The one with rhythm.” Exercise 3–3, based on the work of Keith Rogers, Robert Sternberg, and Howard Gardner, measures multiple intelligences that are combinations of both crystallized and fluid mental abilities. This exercise can be used to answer the questions, What kind of intelligence do you possess? In which situations are you likely to lead, and in which are you likely to follow? What is your natural leadership strength?

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Exercise 3–3 Indicator of Multiple Intelligences⁵¹

For each statement, indicate your most accurate response by placing a check mark in the appropriate space. Think about your knowledge, beliefs, preferences, behaviors, and experiences. Decide quickly and move on. There is no right or wrong, no good or bad, no expected or desirable response. Focus on the way you really are, not on the way someone else may think you ought to be.

	Rarely 1	Occasionally 2	Sometimes 3	Usually 4	Almost Always 5
1. I am careful about the direct and implied meanings of the words I choose.	_____	_____	_____	_____	_____
2. I appreciate a wide variety of music.	_____	_____	_____	_____	_____
3. People come to me when they need help with math problems or any other calculations.	_____	_____	_____	_____	_____
4. In my mind, I can visualize clear, precise, sharp images.	_____	_____	_____	_____	_____
5. I am physically well coordinated.	_____	_____	_____	_____	_____
6. I understand why I believe and behave the way I do.	_____	_____	_____	_____	_____
7. I understand the moods, temperaments, values, and intentions of others.	_____	_____	_____	_____	_____
8. I confidently express myself well in words, written or spoken.	_____	_____	_____	_____	_____
9. I understand the basic precepts of music, such as harmony, chords, and keys.	_____	_____	_____	_____	_____
10. When I have a problem, I use a logical, analytical, step-by-step process to arrive at a solution.	_____	_____	_____	_____	_____
11. I have a good sense of space and direction.	_____	_____	_____	_____	_____
12. I have skill in handling objects such as scissors, balls, hammers, scalpels, paintbrushes, knitting needles, and pliers.	_____	_____	_____	_____	_____
13. My self-understanding helps me make wise decisions for my life.	_____	_____	_____	_____	_____
14. I am able to influence other individuals to believe and/or behave in response to my own beliefs, preferences, and desires.	_____	_____	_____	_____	_____
15. I am grammatically accurate.	_____	_____	_____	_____	_____
16. I like to compose or create music.	_____	_____	_____	_____	_____
17. I am rigorous and skeptical in accepting facts, reasons, and principles.	_____	_____	_____	_____	_____
18. I am good at putting together jigsaw puzzles, and reading instructions, patterns, or blueprints.	_____	_____	_____	_____	_____
19. I excel in physical activities such as dance, sports, or games.	_____	_____	_____	_____	_____

	Rarely 1	Occasionally 2	Sometimes 3	Usually 4	Almost Always 5
20. My ability to understand my own emotions helps me decide whether or how to be involved in certain situations.	_____	_____	_____	_____	_____
21. I would like to be involved in the helping professions, such as teaching, therapy, or counseling, or to do work such as political or religious leadership.	_____	_____	_____	_____	_____
22. I am able to use spoken or written words to influence or persuade others.	_____	_____	_____	_____	_____
23. I enjoy performing music, such as singing or playing a musical instrument for an audience.	_____	_____	_____	_____	_____
24. I require scientific explanations of physical realities.	_____	_____	_____	_____	_____
25. I can read maps easily and accurately.	_____	_____	_____	_____	_____
26. I work well with my hands, as would an electrician, plumber, tailor, mechanic, carpenter, or assembler.	_____	_____	_____	_____	_____
27. I am aware of the complexity of my own feelings, emotions, and beliefs in various circumstances.	_____	_____	_____	_____	_____
28. I am able to work as an effective intermediary in helping other individuals and groups solve their problems.	_____	_____	_____	_____	_____
29. I am sensitive to the sounds, rhythms, inflections, and meters of words, especially as found in poetry.	_____	_____	_____	_____	_____
30. I have a good sense of musical rhythm.	_____	_____	_____	_____	_____
31. I would like to do the work of people such as chemists, engineers, physicists, astronomers, or mathematicians.	_____	_____	_____	_____	_____
32. I am able to produce graphic depictions of the spatial world, as in drawing, painting, sculpting, drafting, or mapmaking.	_____	_____	_____	_____	_____
33. I relieve stress or find fulfillment in physical activities.	_____	_____	_____	_____	_____
34. My inner self is my ultimate source of strength and renewal.	_____	_____	_____	_____	_____
35. I understand what motivates others even when they are trying to hide their motivations.	_____	_____	_____	_____	_____

	Rarely 1	Occasionally 2	Sometimes 3	Usually 4	Almost Always 5
36. I enjoy reading frequently on a wide variety of topics.	_____	_____	_____	_____	_____
37. I have a good sense of musical pitch.	_____	_____	_____	_____	_____
38. I find satisfaction in dealing with numbers.	_____	_____	_____	_____	_____
39. I like the hands-on approach to learning, when I can experience personally the objects that I'm learning about.	_____	_____	_____	_____	_____
40. I have quick and accurate physical reflexes and responses.	_____	_____	_____	_____	_____
41. I am confident in my own opinions and am not easily swayed by others.	_____	_____	_____	_____	_____
42. I am comfortable and confident with groups of people.	_____	_____	_____	_____	_____
43. I use writing as a vital method of communication.	_____	_____	_____	_____	_____
44. I am affected both emotionally and intellectually by music.	_____	_____	_____	_____	_____
45. I prefer questions that have definite right and wrong answers.	_____	_____	_____	_____	_____
46. I can accurately estimate distances and other measurements.	_____	_____	_____	_____	_____
47. I have accurate aim when throwing balls or in archery, shooting, golf, and the like.	_____	_____	_____	_____	_____
48. My feelings, beliefs, attitudes, and emotions are my own responsibility.	_____	_____	_____	_____	_____
49. I have many good friends.	_____	_____	_____	_____	_____

Scoring:

In the Scoring Matrix on the next page, the numbers in the boxes represent the statement numbers in the preceding survey. You made a rating judgment for each statement. Now place the numbers that correspond to your ratings in the numbered boxes. Then add the columns, and write the totals at the bottom to determine your score for each of the seven intelligence categories.

Once you have calculated your total score for each kind of intelligence, consult the section "Interpretation" to determine the intensity level that corresponds to each total score. Record that number in the final section of the Scoring Matrix.

Scoring Matrix

	Verbal-Linguistic	Musical-Rhythmic	Logical-Mathematical	Visual-Spatial	Bodily-Kinesthetic	Intrapersonal	Interpersonal
	1	2	3	4	5	6	7
	8	9	10	11	12	13	14
	15	16	17	18	19	20	21
	22	23	24	25	26	27	28
	29	30	31	32	33	34	35
	36	37	38	39	40	41	42
	43	44	45	46	47	48	49
Total							
Intensity of knowledge, beliefs, preferences, behaviors, and experiences: (3) equals low, (2) equals moderate, and (1) equals high							

Interpretation:

To some degree, everyone possesses all seven kinds of intelligence, and all can be enhanced. We are each a unique blend, however, and we differ in the degree to which we prefer and have competence to use each of the intelligences. Presented below are interpretations for the total scores for each kind of intelligence. Intensity levels range from (3) low, to (2) moderate, to (1) high.

Score	Intensity of Knowledge, Beliefs, Preferences, Behaviors, and Experiences
7–15	<i>Tertiary preference (3): Low intensity. You tend to avoid activities in this area. Unless you are unusually motivated, gaining expertise would be frustrating and would likely require great effort. Keep in mind, however, that all intelligences, including this one, can be enhanced throughout your lifetime.</i>
16–26	<i>Secondary preference (2): Moderate intensity. You could take or leave the application of this intelligence. Although you accept it, you do not necessarily prefer to use it. On the other hand, you would not typically avoid using it. Gaining expertise in this area would be satisfying, but would require attention and effort.</i>
27–35	<i>Primary preference (1): High intensity. You enjoy using this intelligence. You are excited and challenged by it, perhaps even fascinated. Given the opportunity, you will usually select it. Becoming an expert in this area would be rewarding and fulfilling, and would probably require little effort compared with the effort required for intelligence in a moderate or low area of preference.</i>

The following are the specific characteristics of each of the seven kinds of intelligence:

1. If you have *verbal-linguistic intelligence*, you enjoy reading and writing, and have a good memory for names and places. Like the playwright William Shakespeare, you like to tell stories, and you are good at getting your point across. You learn best by seeing, saying, and hearing words. People whose dominant intelligence is in the verbal-linguistic area include poets, authors, speakers, attorneys, politicians, lecturers, and teachers.
2. If you have *musical-rhythmic intelligence*, you are sensitive to the sounds in your environment, enjoy music, and prefer listening to music when you study or read. Like the composer Ludwig van Beethoven, you appreciate pitch and rhythm, and learn best through melody and music. Musical intelligence is obviously demonstrated by singers, conductors, and composers, but also by those who enjoy, understand, and use various elements of music.
3. If you have *logical-mathematical intelligence*, you like to work with numbers, perform experiments, and explore patterns and relationships. Like the scientist Marie Curie, you enjoy doing activities in sequential order and learn best by classifying information, engaging in abstract thinking, and looking for basic principles. People with well-developed logical-mathematical abilities include mathematicians, biologists, geologists, engineers, physicists, researchers, and other scientists.
4. If you have *visual-spatial intelligence*, you are likely to engage in imagining things, sensing spatial changes, and working through mazes and puzzles. Like the artist Michelangelo, you like to draw, build, design, and create things. You learn best by looking at pictures, watching videos or movies, and visualizing. People with well-developed visual-spatial abilities are found in professions such as sculpting, painting, surgery, and engineering.
5. If you have *bodily-kinesthetic intelligence*, you process knowledge through bodily sensations and use your body in skilled ways. Like the warrior Achilles, you respond best in situations that provide physical activities and hands-on learning experiences, and you are able to manipulate objects with finesse. People who have highly developed bodily-kinesthetic abilities include carpenters, soldiers, mechanics, dancers, gymnasts, swimmers, and other athletes.
6. If you have *intrapersonal intelligence*, you are a creative and independent thinker. Like the philosopher Spinoza, you are comfortable focusing inward on thoughts and feelings, following personal instincts, and pursuing goals that are original. You may respond with strong opinions when controversial topics are discussed. Pacing your own work is important to you. People with intrapersonal abilities include both philosophers and entrepreneurs.
7. If you have *interpersonal intelligence*, you enjoy being with people, like talking with others, and engage in social activities. Like Eleanor Roosevelt, you have the ability to understand people, and people often come to you for help. You learn best by relating, sharing, and participating in cooperative group environments. People with strong interpersonal abilities are found in public service, sales, consulting, community organizing, counseling, teaching, or one of the other helping professions.

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Intelligence is complex and multidimensional. You may find that you have strengths in several different areas. When needs for leadership arise in your areas of strength, you can capitalize on these aptitudes for success.

The concept of multiple intelligences is relevant to successful leadership. Leadership effectiveness is in direct proportion to strength of commitment; commitment comes from passion; and passion comes from within the person. Consider examples such as Walt Disney in entertainment and Steve Jobs in technology.

Although there are many models and ways to describe and express human talent, the idea that there are seven kinds of intelligence is interesting and useful. The force of an idea or action is greatly determined by the style of intelligence of the leader.

Styles of Leading

An important factor in the leadership process is leader–follower compatibility based on styles of leading. Exercise 3–4 is designed to evaluate your preferred style of leading—directive, participative, or free-rein.⁵²

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Exercise 3–4 What Is Your Leadership Style?

Answer the following questions, keeping in mind what you have done, or think you would do, in the situations described.

	Yes	No
1. Do you enjoy the authority leadership brings?	_____	_____
2. Generally, do you think it is worth the time and effort for a leader to explain the reasons for a decision or policy before putting the policy into effect?	_____	_____
3. Do you tend to prefer the planning functions of leadership, as opposed to working directly with your employees?	_____	_____
4. A stranger comes into your work area, and you know the person is a new employee. Would you first ask, "What is your name?" rather than introduce yourself?	_____	_____
5. Do you keep employees up-to-date on a regular basis on developments affecting the work group?	_____	_____
6. Do you find that in giving out assignments, you tend to state the goals, leaving the methods up to your employees?	_____	_____
7. Do you think leaders should keep aloof from employees, because in the long run familiarity breeds lessened respect?	_____	_____
8. It comes time to decide about a company event. You have heard that the majority prefer to have it on Wednesday, but you are pretty sure Thursday would be better for all concerned. Would you put the question to a vote rather than make the decision yourself?	_____	_____
9. If you had your way, would you make communication sessions employee-initiated, with personal consultations held only at the employee's request?	_____	_____
10. Do you favor the use of audits and performance evaluations as a way of keeping work standards high?	_____	_____
11. Do you feel that you should be friendly with employees?	_____	_____
12. After considerable time, you determine the answer to a tough problem. You pass along the solution to your employees, who poke it full of holes. Would you be annoyed that the problem is still unsolved, rather than become upset with the employees?	_____	_____
13. Do you agree that one of the best ways to avoid problems of discipline is to provide adequate punishment for violation of rules?	_____	_____
14. Your way of handling a situation is being criticized by your employees. Would you try to sell your viewpoint, rather than make it clear that, as supervisor, your decisions are final?	_____	_____
15. Do you generally leave it up to your employees to contact you, as far as informal, day-to-day communications are concerned?	_____	_____
16. Do you feel that everyone in your work group should have a certain amount of personal loyalty to you?	_____	_____
17. Do you favor the practice of using task force teams and committees, rather than making decisions alone?	_____	_____
18. Some experts say that difference of opinion within a work group is healthy; others say it indicates basic flaws in the management process. Do you agree with the first view?	_____	_____

Scoring:

In the Scoring Matrix below, place a check mark next to each question you answered yes. Add the check marks for each column to find the totals for the leadership styles you prefer.

Scoring Matrix		
Directive	Participative	Free-Rein
1. ____	2. ____	3. ____
4. ____	5. ____	6. ____
7. ____	8. ____	9. ____
10. ____	11. ____	12. ____
13. ____	14. ____	15. ____
16. ____	17. ____	18. ____
Total ____	Total ____	Total ____

Interpretation:

Your highest score indicates your preferred style of leading. A description of each style is presented in Figure 3–2.

Figure 3–2 Continuum of Leadership Styles⁵³

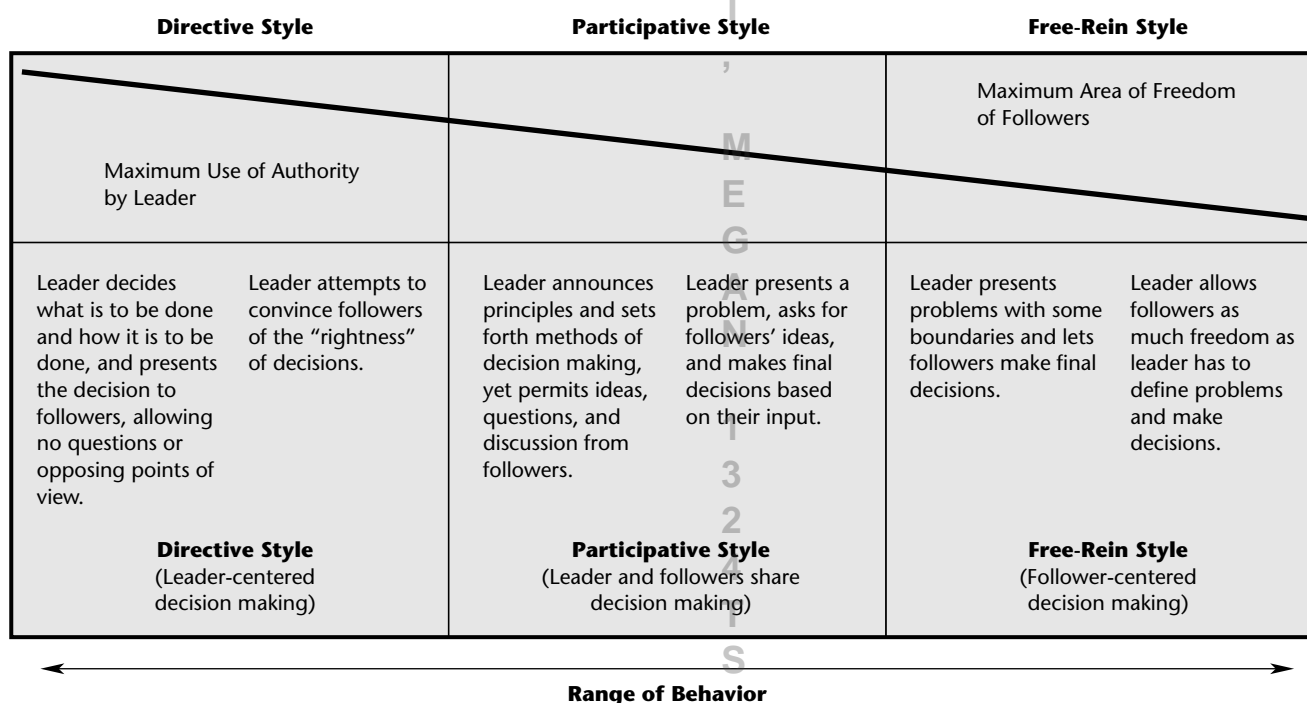
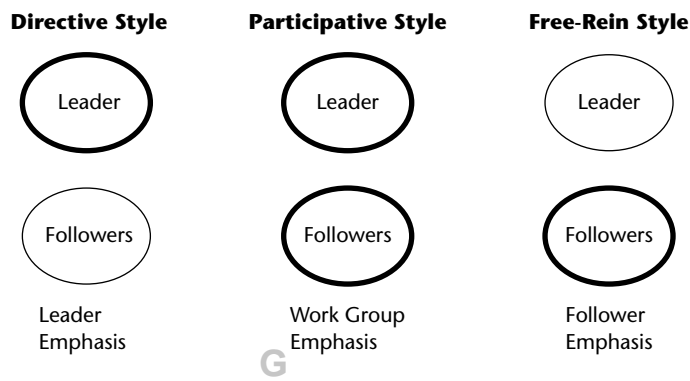


Figure 3–3 shows the different emphases in the use of power for the three styles of leadership.

Figure 3–3
Emphasis in the Use of Power⁵⁴



According to the ideas of Hollander, Vroom, and Yetton; Tannenbaum and Schmidt; Hersey and Blanchard; Daniel Goleman; and others, there are five points to remember about styles of leading.⁵⁵

1. People develop preferred styles by modeling others, going through formal training, and learning from personal experience.
2. An individual usually prefers the same style of leading and style of following. Confusion results when this is not the case. General George Patton was a directive leader and a free-rein follower, causing mixed signals and much controversy in his relations with commanders and soldiers.
3. Leaders have been successful along all points of the continuum: Elizabeth I was directive in her style; Thomas Jefferson chose participative leadership; Dwight Eisenhower preferred the free-rein style. It is interesting to contrast Italian political philosopher Niccoló Machiavelli (1469–1527), who advocated being directive to the point of believing that the ends justify the means, to sixth-century BC Chinese philosopher Lao-tzu, who prescribed nondirective leadership to the point of believing in total selflessness: “Of a good leader when his work is done and his aims fulfilled, all will say, ‘we did it ourselves.’”
4. There is no universally effective style of leading. Sometimes it is best for the leader to tell employees what to do; sometimes it is best for leaders and subordinates to make decisions together; and sometimes it is best for employees to direct themselves. The best style of leadership depends on qualities of the leader, characteristics of the followers, and the nature of the situation.

Increasingly, the American workplace is becoming faster paced, more culturally diverse, and more global in nature. See Table 3–1, which shows a general shift from

Table 3–1
The Changing Character
of Work Culture and
Changing Focus of Effective
Leadership⁵⁶

Directive		
Decade	Nature of Work Culture	Focus of Leadership
Pre-1950	Hierarchy	Command and control
1950s	Organization	Supervision
1960s	Systems	Administration
1970s	Strategy	Management
1980s	Innovation	Entrepreneurship
1990s	Diversity	Team building
Post-2000	Community	Relationship management
Free-rein		

directive (command and control) to free-rein (relationship management) focus of leadership, and a shift from a hierarchy to a community nature of work culture, as innovative products, quick reaction time, and individual initiative are requirements for success.

5. If styles of leading and styles of following conflict, extra patience and communication are needed, especially in the following areas:

- *Decision making.* Directive leaders may be upset by free-rein followers who insist on challenging decisions and behaving independently. These leaders must remember that free-rein followers usually do their best work on special assignments and independent projects. They respond best to individual treatment and personal freedom.
- *Goal setting.* Directive followers may be upset by free-rein leaders who provide few details on how to do a job. These leaders must remember that directive followers usually do their best work when job duties are spelled out and direct orders are given.
- *Communication.* Participative followers usually are upset by leaders who fail to have staff meetings, ignore the open-door policy, and show little concern for people's feelings. These leaders must remember that participative followers want open communication and active involvement in the decision-making process. They usually perform well on task forces, committees, and other work teams.

To understand the importance of leader–follower compatibility, consider your own experience. Have you ever had a leader who missed the mark in meeting your needs? Do you, yourself, have the range to meet the needs of all three styles—directive, participative, and free-rein?

Leadership Effectiveness Today

Because there is no universal formula for success, leadership is more **art** than science and more skill than knowledge. Above all, leadership is difficult. In “No Easy Task,” management author and educator Douglas McGregor, originator of the terms *theory X* and *theory Y*, describes how difficult leadership can be.

No Easy Task

Douglas McGregor

I believed (before becoming President of Antioch College) that a leader could operate successfully as a kind of advisor to his organization; I thought I could avoid being a “boss.” Unconsciously, I suspect, I hoped to duck the unpleasant necessity of making difficult decisions, of taking the responsibility for one course of action among many uncertain alternatives, of making mistakes and taking the consequences. I thought that maybe I could operate so that everyone would like me—that “good human relations” would eliminate all discord and argument.

I couldn't have been more wrong. It took a couple of years, but I finally began to realize that a leader cannot avoid the exercise of authority any more than he can avoid responsibility for what happens to his organization. In fact, it is a major function of the leader to take on his own shoulders the responsibility for resolving the uncertainties that are always involved in important decisions. Moreover, since no important decision ever pleases everyone in an organization, the leader must also absorb the displeasure, and sometimes the severe hostility, of those who would have taken a different course.⁵⁷

The role of the leader in today’s high-tech, fast-paced, and ever-changing workplace is increasingly difficult. In dealing with a wide variety of employees along a full range of skills, the leader must add new demands to traditional duties (see Table 3–2):

Table 3–2 Leadership Demands and Duties	Traditional Duties 1. Give orders. 2. Implement plans. 3. Manage individuals. 4. Do things right. 5. Organize work.	New Demands 1. Empower people. 2. Generate ideas. 3. Coach teams. 4. Do the right things. 5. Develop people.
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The effective leader today must be a director *and* motivator, implementer *and* innovator, mentor *and* team builder, expert *and* moral force, organizer *and* developer of people. These are great challenges that bring both satisfaction and appreciation for caring leaders who are willing and able to meet them.

Part One Summary

After reading Part One, you should know the following key concepts, principles, and terms. Fill in the blanks from memory, or copy the answers listed below.

Historically, the study of leadership has emphasized (a) _____ theory, focusing on qualities of the leader, and (b) _____ theory, focusing on leadership actions. Almost always included as important leadership traits are (c) _____, _____, and _____. Leadership behavior theory has included styles of leadership—(d) _____, _____, and _____—studied by (e) _____, and others, as well as dimensions of leadership—(f) _____, and _____—studied by (g) _____, and others. Leadership (h) _____ theory holds that the most effective leadership qualities and actions vary from situation to situation, depending on qualities of leaders, characteristics of followers, and the nature of the situation. The term (i) _____ is used to describe the elevation of the performance of followers beyond previous expectations. Qualities that mark a leader include (j) _____, _____, _____, _____, _____, and _____. Characteristics of followers that influence the leadership process are (k) _____, and _____. Principles for developing trust in the workplace include (l) _____, _____, _____, and _____. Many situational factors influence the leadership process, including (m) _____, _____, _____, and _____. There is no universal formula for leadership success, so what is effective can change, case by case. Thus, leadership is more (n) _____ than science.

Answer Key for Part One Summary

- a. **trait**, page 16
- b. **behavior**, page 16
- c. **intelligence, values, energy**, page 16
- d. **autocratic, democratic, laissez-faire**, page 19
- e. **Kurt Lewin**, page 19
- f. **initiating structure, showing consideration**, page 20
- g. **Ralph Stogdill**, page 19
- h. **contingency**, page 25
- i. **transformational leadership**, pages 27–28
- j. (any six) **vision, ability, enthusiasm, stability, concern for others, self-confidence, persistence, vitality, charisma, integrity**, pages 30–32
- k. **respect for authority, interpersonal trust**, page 35
- l. (any four) **deal openly with everyone, consider all points of view, keep promises, give responsibility, listen to understand, care about people**, page 36
- m. **size of the organization; social and psychological climate; patterns of employment; type, place, and purpose of work**, page 41
- n. **art**, page 54

Reflection Points—personal thoughts on the leadership equation, leadership qualities, characteristics of followers, and situational factors

Complete the following questions and activities to personalize the content of Part One. Space is provided for writing your thoughts.

- Critique the idea that leadership success requires effectiveness on two dimensions: (1) initiating structure—focus on the task and concern for production—as well as (2) showing consideration—employee support and concern for people. Evaluate an actual leader’s effectiveness using these two dimensions.

- Describe an incident or time when the qualities of the leader, the characteristics of followers, and the nature of the situation matched and leadership occurred. What took place, who was involved, and what were the results?

- Consider the qualities that mark a leader—vision, ability, enthusiasm, stability, concern for others, self-confidence, persistence, vitality, charisma, and integrity. On the basis of these 10 qualities, discuss the best leader you have ever had.

- How susceptible to leadership are you? Are you basically a trusting person or a suspicious person when it comes to following others?

- What is your natural intelligence strength? When and where have you provided leadership based on your preferred intelligence area(s)?

- Have you ever clashed with a supervisor or subordinate over leadership style? Discuss dynamics and results.

- Discuss the influence of Oprah Winfrey in American society. What factors of Oprah, her followers, and the situation have resulted in her leadership influence?

- Some think leadership is a born ability. Some think leadership can be learned. Some think leadership is the product of a need or challenge. What do you think? Cite experience or research to support your view.

Part One Video Case

Toying with Success: The McFarlane Companies

Todd McFarlane, president and CEO of the McFarlane Companies, is an entrepreneur who understands the importance of product development. Comics, sports, toys, and rock-and-roll have all benefited from his creativity. When McFarlane's dream to play major league baseball didn't happen, he fell back on another interest he developed as a teenager—drawing superheroes. He faced the same question faced by all other entrepreneurs: Could he make money pursuing his dreams? He sent his sketches to prospective employers, and after 300 rejection letters McFarlane got a job freelancing for Marvel Comics. Working many hours for low pay, he made a name for himself and by 1990 was the highest-paid comic book artist in the industry.

Frustrated over creative differences and his desire to own the rights to his characters, McFarlane quit, took six other artists with him, and started his own company. He went from artist to entrepreneur overnight. While industry experts predicted he would last less than a year, McFarlane didn't even think about the future. *Spawn*, his first comic, sold 1.7 million copies.

Entrepreneurship rewards individuals willing to take risks. In Todd McFarlane's case, the need to control his destiny drove his aspirations. His path is similar to that taken by many others: receiving training at a large company, then leaving when he decided he could provide a better product on his own.

Today's dynamic business environment has a tremendous effect on the success or failure of entrepreneurs like Todd McFarlane. Economics plays a key role at the McFarlane Companies. The firm must protect the many intellectual properties it creates and licenses. The business uses technology to support and spark creativity in developing new products. The competitive environment drives quality at McFarlane, which produces high-quality products even if they cost more, and thus McFarlane gains an edge over competitors. The CEO uses the Web to interact with his key demographic, or as he puts it, the freaks with long hair and cool tattoos. *Spawn.com* provides a place where fans can interact with each other and with the company. Finally, the global influence on business has an impact on all the other environments. Knowing he can't control the global environment, McFarlane focuses on managing what he can control.

Todd McFarlane's purchase of Mark McGwire's 70th home run ball for \$3 million illustrates his willingness to take a risk and focus on what he controls. While many thought he was crazy, McFarlane saw an opportunity. He combined the ball with several others hit by McGwire and Sammy Sosa to create the McFarlane Collection, which was displayed in every major league stadium and garnered enormous publicity. A portion of the proceeds was donated to the Lou Gehrig Foundation. Most significant, McFarlane began a relationship with professional sports that led to his obtaining the exclusive rights to nearly every professional sports team toy license.

Questions for Discussion

1. What personality traits do leaders like Todd McFarlane possess that distinguish them from other individuals?
2. How have global competition and technology advances changed business conditions and leadership challenges?

For more information, see www.spawn.com.

Action Assignment

As a bridge between learning and doing, complete the following action assignment.

1. What is the most important idea you have learned in Part One?
2. How can you apply what you have learned? What will you do, with whom, where, when, and, most important, why?

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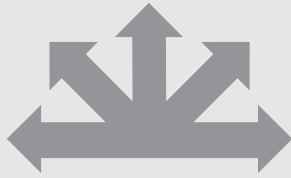
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Part 2 The Power of Vision

4. The Importance of Vision and the Motive to Lead 5. Organizational Climate

MOMENTUM COMES FROM HAVING A CLEAR VISION of what the organization ought to be, from a well-thought-out strategy to achieve that vision, and from carefully conceived and communicated directions and plans that let everyone participate and be accountable in achieving these plans. Momentum is vital and palpable. It is the feeling among a group of people that their lives and work are intertwined and moving toward a recognizable and legitimate goal.

—Max DePree

Leadership Is an Art

Learning Objectives

After studying Part Two, you will be able to:

- Know the role of vision for leadership success.
- Describe how a leader creates and implements a powerful vision.
- Understand the importance of alignment and prioritization.
- Know your motive for assuming the tasks of leadership.
- Develop an organizational climate that attracts and keeps good people.
- Describe the elements of true community.



CHAPTER 4

The Importance of Vision and the Motive to Lead

Management author Peter Drucker once said, “The best way to predict the future is to create it.”¹ Most leaders agree with this statement completely. The leader wants to make a difference and strives to create a thing that never was before. This thing, this difference, constitutes a **vision**.

The most important function of a leader is to develop a clear and compelling picture of the future, and to secure commitment to that ideal. Consider the words of Henry Ford as he communicated his vision to make a car for the masses: “I will build a motor car for the great multitude . . . constructed of the best materials, by the best men to be hired, after the simplest designs that modern engineering can devise . . . so low in price that no man making a good salary will be unable to own one and enjoy with his family the blessing of hours of pleasure in God’s great open spaces.”²

Ford’s leadership success began with a vision. To this, he added a **strategy** to succeed. Three great ideas that gave his vision life were (1) the moving assembly line; (2) paying workers not as little as possible but as much as was fair; and (3) vertical integration, which made Ford’s River Rouge plant a marvel of the industrial world.

Ford believed that a vision should not be just to make money. He saw profit as the by-product of a vision achieved. Ford wrote: “A business ought not to drift. It ought to march ahead under leadership. The easy way is to follow the crowd and hope to make money. But that is not the way of sound business. The right way is to provide a needed product or service. Try to run a business solely to make money and the business will die. Profit is essential to business vitality. But a business that charges too high a profit disappears about as quickly as one that operates at a loss. Short-sighted businessmen think first of money, but the quality of a product or service is what makes or breaks a business. Without these, customers soon go elsewhere.”³

In addition to developing a vision and a strategy to succeed, the leader must have intensity and **stamina** to see these through. As CEO at Johnson & Johnson, James Burke estimated that he spent 40 percent of his time communicating and reinforcing the company’s vision. Much is said about the vision of leaders and about their creative strategies. However, the incredible energy they display as they face repeated challenges and even failures must not be overlooked. Leaders typically have substantial vitality, and they manage to transmit this energy to others. This is a force born out of deep convictions and passion for the work or goal. Such leaders breathe life into their organizations; hence the term *animator* is used to describe the leader.⁴

Examples of Powerful Visions

Consider the strong and all-embracing vision of Johnson & Johnson that has helped thousands of employees throughout the world understand that their first obligation is to the customer: “We believe our first obligation is to the doctors, nurses, and patients; to mothers and all others who use our products and services.”⁵

Consider the moving vision of Collis Huntington, founder of Newport News Shipbuilding and Dry Dock Company in 1886:

We shall build good ships here.
At a profit—if we can;
At a loss—if we must.
But always good ships.⁶

And consider oil magnate J. Paul Getty who identified his vision as follows: “get up early, work hard, find oil.”⁷

Table 4–1 is a vision of an organization that impacts every American.

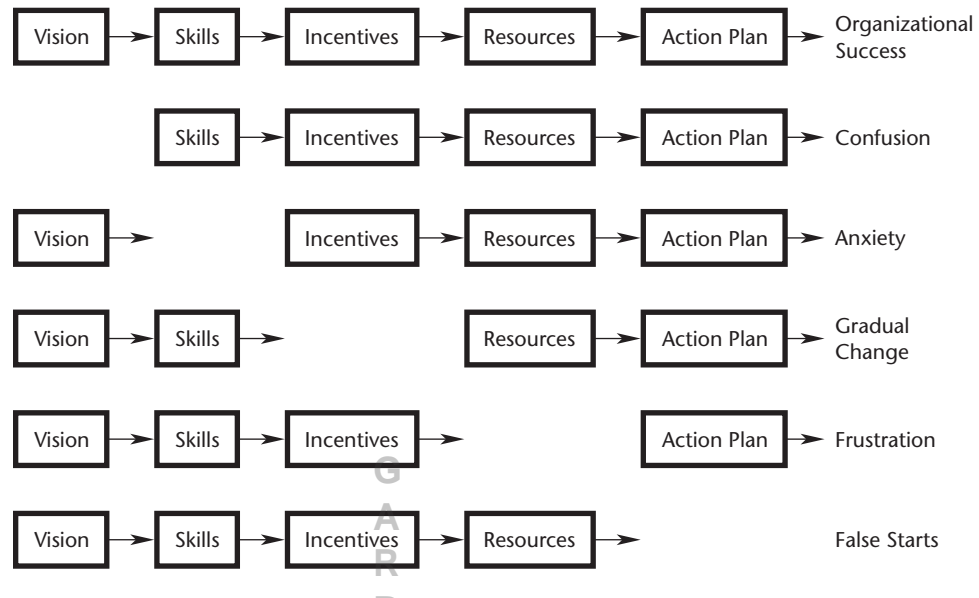
Table 4–1
United States Central
Intelligence Agency (CIA)

Vision	We will provide knowledge and take action to ensure the national security of the United States and the preservation of American life and ideals.
Mission	We are the eyes and ears of the nation and at times its hidden hand. We accomplish this mission by: <ul style="list-style-type: none"> • Collecting intelligence that matters. • Providing relevant, timely, and objective all-source analysis. • Conducting covert action at the direction of the president to preempt threats or achieve United States policy objectives.
Values	In pursuit of our country’s interests, we put Nation before Agency, Agency before unit, and all before self. What we do matters. <ul style="list-style-type: none"> • Our success depends on our ability to act with total discretion and an ability to protect sources and methods. • We provide objective, unbiased information and analysis. • Our mission requires complete personal integrity and personal courage, physical and intellectual. • We accomplish things others cannot, often at great risk. When the stakes are highest and the dangers greatest, we are there and there first. • We stand by one another and behind one another. Service, sacrifice, flexibility, teamwork, and quiet patriotism are our hallmarks.
Source: CIA Web site accessed May 25, 2010, at www.cia.gov/information/mission.html .	

What is the role of vision in helping organizations succeed? As Figure 4–1 shows, success begins with a clear, compelling vision, a picture in the minds of the members of the organization of how things should and could be. Without vision, there is confusion. Also required are other important ingredients: skills, incentives, resources, and an action plan.

Vision as an Ideal

The word *vision* evokes pictures in the mind. It suggests a future orientation, implies a standard of excellence or virtuous condition, and has the quality of uniqueness. These are the elements that give life and strength to vision. Vision is an ideal image of what could and should be. The leader must ask three questions to test his or her vision: (1) Is this the right direction? (2) Are these the right goals? (3) Is this the right time? Then, the leader must share this vision and have it supported. Turn to page 65 and read and feel the power of the words of Martin Luther King, Jr., as he delivered his vision of civil rights before the Lincoln Memorial on August 28, 1963.⁸

Figure 4-1
Organizational Success⁹

Leader as Visionary and Motivator of People

Management author Warren Bennis states that leaders must be clearly focused on a positive and future-focused goal or vision. Clarity of purpose provides guidance for making decisions about time and resources. Also required is constancy of effort. Passion and authority come to leaders who clearly know where they are going and have dedication to succeed. When leaders have passion and authority, others are inspired to follow.¹⁰

The role of leadership is to chart a direction that will motivate people. This is necessary at every level and walk of responsibility. Imagine a governor who says, “I can’t create a vision till the president does,” or a mayor who says, “I can’t create a vision till the governor does,” or a police chief who says, “I can’t create a vision till the mayor does,” or a captain who says, “I can’t create a vision till the chief does.” Every subordinate of every leader is thinking: And what about you? No matter how uncertain conditions are above the leader, the effective leader must create a clear and compelling vision of what should be done in his or her area of responsibility. Remember, if a vision is not clear in the leader’s mind, it will be a perfect blur in the minds of subordinates.

Visions can be small or large and can exist at any organizational level. The important points are: (1) a vision is necessary for effective leadership; (2) a leader can develop a vision for any project, work group, or organization; and (3) many leaders fail because they do not have a vision—instead they focus on surviving on a day-by-day basis.¹¹

Researchers Noel Tichy and Mary DeVanna describe how successful leaders help their organizations meet the challenge of change. The data from their interviews show that they use a three-act process: Act 1 is to recognize the need for change; act 2 is to create a clear and positive vision for the future; act 3 is to institute empowering structures and processes to achieve the vision.¹²

In a major study of leadership effectiveness, the Forum Corporation reports on the characteristics of successful leaders at middle to senior levels of responsibility. The study identifies three leadership qualities, analogous to Tichy and DeVanna’s three-act process, that are needed for steering organizations through periods of change:

1. *Taking personal responsibility for initiating change.* A major function of the leader is to manage attention. The leader must be personally involved and committed to making a difference. Absolute identity with one’s cause is the first condition of successful leadership.

I Have a Dream

Martin Luther King, Jr.

So I say to you, my friends, that even though we face the difficulties of today and tomorrow, I still have a dream. It is a dream deeply rooted in the American dream that one day this nation will rise up and live out the true meaning of its creed—we hold these truths to be self-evident, that all men are created equal.

I have a dream that one day on the red hills of Georgia, sons of former slaves and sons of former slaveowners will be able to sit down together at the table of brotherhood.

I have a dream that one day, even the state of Mississippi, a state sweltering with the heat of injustice, sweltering with the heat of oppression, will be transformed into an oasis of freedom and justice.

I have a dream my four little children will one day live in a nation where they will not be judged by the color of their skin, but by the content of their character. I have a dream today!

I have a dream that one day, down in Alabama, with its vicious racists, with its governor having his lips dripping with the words of interposition and nullification, that one day, right there in Alabama, little black boys and little black girls will be able to join hands with little white boys and little white girls as sisters and brothers. I have a dream today!

I have a dream that one day every valley shall be exalted, every hill and mountain shall be made low, the rough places shall be made plain, and the crooked places shall be made straight and the glory of the Lord will be revealed and all flesh shall see it together.

This is our hope. This is the faith with which I return to the South. With this faith we will be able to transform the jangling discords of our nation into a beautiful symphony of brotherhood. With this faith we will be able to work together, to pray together, to struggle together, to go to jail together, to stand up for freedom together, knowing that we will be free one day.

This will be the day when all God's children will be able to sing with new meaning, "My country 'tis of thee, sweet land of liberty, of thee I sing. Land where my fathers died, land of the pilgrim's pride, from every mountainside, let freedom ring."

And if America is to be a great nation this must become true.

So let freedom ring from the prodigious hilltops of New Hampshire.

Let freedom ring from the mighty mountains of New York.

Let freedom ring from the heightening Alleghenies of Pennsylvania.

Let freedom ring from the snow-capped Rockies of Colorado.

Let freedom ring from the curvaceous slopes of California.

But not only that.

Let freedom ring from Stone Mountain of Georgia.

Let freedom ring from Lookout Mountain of Tennessee.

Let freedom ring from every hill and molehill of Mississippi, from every mountainside, let freedom ring.

And when we let freedom ring, when we let it ring from every village and hamlet, from every state and city, we will be able to speed up that day when all of God's children—black men and white men, Jews and Gentiles, Catholics and Protestants—will be able to join hands and to sing in the words of the old Negro spiritual, "Free at last, free at last; thank God Almighty, we are free at last."

2. *Creating a vision and strategy for the organization.* The vision and strategy must be **leader-initiated, shared and supported by followers, comprehensive and detailed**, and above all, worth doing. The leader must create a vision that is **uplifting and inspiring to others**.

3. *Trusting and supporting others.* The leader must treat people with respect and dignity, expecting the best in effort and personal responsibility, and showing sincere appreciation for work performed. The leader combines individual incentive with group success as an important empowerment principle.¹³

Key findings of the Forum study are summarized as follows:

- *Leadership is important from the boardroom to the shop floor.* In a sense, the leadership chain is as strong as its weakest link. Without effective leadership at every level of responsibility, frontline employees and, ultimately, customers are bound to suffer.
- *Positions and titles have little or no relationship to leadership performance.* People are often skeptical of authority figures. New leaders have to earn the trust and respect of subordinates; otherwise, people will resist their efforts to lead. Indeed, workers with strong leadership skills can inspire their peers as well as any chief executive could.
- *Without leadership, organizations falter in times of change.* This situation is analogous to that of a car without an engine or a ship without a rudder. The organization will be dormant, or a terrible crash will occur as the group goes in the wrong direction.
- *Organizational leadership involves interdependence more than individualism.* The genius stroke of the independent contributor is important; but more important for organizational leadership are relationship skills, such as demonstrating concern for members of the work group, recognizing other peoples' contributions, and building enthusiasm about projects and assignments.
- *Leaders inspire others to take on the tasks of leadership.* Giving others the power and encouragement to make decisions frees the leader from the role of controller, liberating critical time and energy for charting and shaping the overall future of the organization.
- *Leadership is contextual.* Effective leadership requires an understanding of the forces and events that have shaped an industry, a company, or a work group; an assessment of organizational strengths, weaknesses, opportunities, and threats; and the development of a plan to meet current and future challenges. Understanding, assessment, and plans are specific to the organization and its environment.¹⁴

Leadership Effectiveness

The following questionnaire (Exercise 4-1) can be used to evaluate your leadership effectiveness (or the effectiveness of a leader you know).

Exercise 4–1 Leadership Assessment¹⁵

The following 20 practices cluster into four distinct areas that correlate positively with leadership effectiveness. Using a scale from 1 to 10 (1 is low; 10 is high), evaluate yourself (or a leader you know) on each practice in the following four areas.

Getting the Facts

The effective leader gains insight into the realities of the world and into him- or herself. This process includes getting the facts and interpreting conditions affecting the group. Rate each item separately (from 1 to 10).

1. Determining the facts by seeking information from as many sources as possible—library, field, lab, and so on. _____
2. Learning the challenges facing the group, including internal strengths and weaknesses, as well as external opportunities and threats for meeting these challenges. _____
3. Knowing the capabilities and motivations of the individuals in the group. _____
4. Analyzing how well the members of the group work together. _____
5. Knowing the leader's own capabilities and motivations. _____

Add your ratings and divide by 5 for an overall score on *getting the facts*. Circle that score on the scale below.

1 2 3 4 5 6 7 8 9 10

Creating a Vision

The effective leader develops a vision and a strategy to give meaning to the group's work, thus providing purpose and clarity of direction. Rate each item separately (from 1 to 10).

1. Standing up for what is important, including basic principles or core values. _____
2. Involving the right people in developing the group's vision and strategy. _____
3. Creating a clear and positive picture of the future of the group. _____
4. Developing a strategy for the success of the group, including clarity of individual and group assignments. _____
5. Adjusting plans and actions as necessary based on changing conditions. _____

Add your ratings and divide by 5 for an overall score on *creating a vision*. Circle that score on the scale below.

1 2 3 4 5 6 7 8 9 10

Motivating People

The effective leader is a motivator, possessing the ability to mobilize individuals with different ideas, skills, and values to achieve a common mission. Rate each item separately (from 1 to 10).

1. Appealing to people's hearts and minds to accomplish a worthy endeavor. _____
2. Communicating clearly the high standards and performance results expected from others. _____
3. Demonstrating concern for members of the group. _____
4. Showing confidence in the abilities of others. _____
5. Letting people know how they are progressing toward the group's goals, including giving recognition when milestones are reached. _____

Add your ratings and divide by 5 for an overall score on *motivating people*. Circle that score on the scale below.

1 2 3 4 5 6 7 8 9 10

Empowering Others

The effective leader has the ability to increase effectiveness by sharing power, thus igniting the energy and liberating the talent of the group. Rate each item separately (from 1 to 10).

- 1. Recognizing the contributions of others, for example, through performance awards, letters of commendation, and personal appreciation. _____
- 2. Promoting the development of people’s abilities, by providing training and challenging assignments. _____
- 3. Enabling others to feel and act like leaders. _____
- 4. Stimulating others’ thinking and creativity by soliciting suggestions and ideas. _____
- 5. Building enthusiasm about projects and assignments, especially through personal involvement. _____

Add your ratings and divide by 5 for an overall score on *empowering others*. Circle that score on the scale below.

1 2 3 4 5 6 7 8 9 10

Scoring and Interpretation:

Add the overall scores for all four areas to determine your leadership effectiveness.

Total Score	Evaluation
37–40	Excellent; your leadership effectiveness is outstanding.
28–36	Very good; your effectiveness as a leader is high.
17–27	Average; you are neither high nor low in your overall leadership effectiveness.
8–16	Below average; your effectiveness as a leader is low.
4–7	Failing; much work is needed to improve.

A useful exercise is for the leader to compare his or her self-evaluation on the leadership assessment with the evaluations of constituents or colleagues. Points of agreement and disagreement can be explored, and actions can be taken to improve as needed.

The Concept of Visioning

The importance of *vision* is an old idea, first stated in the Bible: “Where there is no vision, the people perish” (Proverbs 29:18, King James Version).

Henry David Thoreau describes the importance of having a vision and striving to attain it: “If one advances confidently in the direction of his dreams, and endeavors to live the life which he has imagined, he will meet with a success unexpected in common hours.”¹⁶

The concept of visioning as it is used in organizations today is credited to Ronald Lippitt, who, as early as 1949, began referring to “images of potential” rather than to “problems” as starting points for change.¹⁷ Management author Stephen Covey identifies certain process, content, and application principles that have been found to be effective in creating a vision.

Visioning Process Principles

1. *Initiate and provide constant vigilance by leaders.* It is the proper role of leadership to begin the process, to discuss and articulate the basis for developing a vision, and to start drafting a document. This effort begins the top-down portion of the visioning process.

2. *Be challenging, yet realistic.* Set the mark high, but stay in touch with reality. A vision should stretch the abilities of the organization but not destroy its members.

3. *Seek significant early involvement by other members of the organization.* This aspect includes discussing, writing, and rewriting the vision. In this joint-effort phase, senior leaders, in effect, say, “We’ve begun—but we need your input. Your involvement is essential.”

4. *Encourage widespread review and comment.* Include as many people as possible. This bottom-up period of review invites critical analysis. Here, leaders are saying, “We’ve worked hard on this and like it—but what do you think? Give us your ideas. We want this to belong to everyone.” Be open and show appreciation for suggestions. Incorporate modifications and the best thinking of all respondents. Involvement fosters commitment.

5. *Keep communications flowing.* Don’t assume everyone knows what is going on. Report on progress for developing the vision. Give acknowledgment and appreciation, and report on the adoption of elements of the vision—agreement on purpose, broad goals, core values, stakeholders, strategic initiatives, and so on. Provide feedback as achievements are made toward attaining goals.

6. *Allow time for the process to work.* People need time to think about and adjust to change, even positive change. The development of a vision may take longer than people expect. Top leaders may spend weeks on the original draft, months on the involvement and feedback process, and a year or more to finish the product.

7. *Demonstrate commitment, follow-through, and concurrent action by leaders.* Leaders must make reality match rhetoric. Any sincere effort to put words into action will lend credibility and will reinforce the actual attainment of the vision.

8. *Maintain harmony of subunits.* The content of the vision statements for subunits (such as divisions, plants, departments, and work teams) should be in harmony with the overall vision of the organization.¹⁸

Visioning Content Principles

Key elements of an overall vision or strategic plan typically include the following:

1. *Central purpose or mission (reason for existence).* This is a clear, compelling statement of purpose that provides focus and direction. It is the organization’s answer to the question, Why do we exist?

2. *Broad goals to achieve the mission (enduring intentions to act).* These are process or functional accomplishments that must be met to achieve the mission.

3. *Core values to measure the rightness and wrongness of behavior (hills worth dying on).* Sometimes called operating principles, core values such as truth, trust, and respect define the moral tone or character of the organization.

4. *Stakeholders and what the attainment of the vision will mean to them (the human element).* These are the people who will be affected by what the organization does or does not do.

5. *Analysis of the organization and its environment, including internal Strengths and Weaknesses, as well as external Opportunities and Threats.* This is a **SWOT**

assessment of current conditions that must be both thorough and objective. Information that is unknown and facts that are denied will hinder and can even destroy an organization.

6. *Strategic initiatives (sometimes called critical success factors).* These are short-term, intermediate, and long-term objectives necessary to achieve the goals and mission. They may be person- or group-specific, or may involve all members of the organization. They are strategic, measurable, action-oriented, realistic, and timely, with dates or numbers to measure accomplishment.

7. *Tactical plans and specific assignments (projects and activities) to support strategic initiatives, broad goals, and the attainment of the mission.* These projects and activities serve as guides in performance planning for units and members of the organization, and constitute the plan of work.

Elements 1 through 4 provide *general direction* for the organization. Adding elements 5 and 6 involves *strategic planning*. This gives definition to the vision and focuses people and resources on specific objectives that can be measured. Element 7, *tactical planning*, refers to projects and activities designed to implement strategy, the plays that drive the game to success. Tactical planning results in group- and person-specific assignments and concrete actions.¹⁹

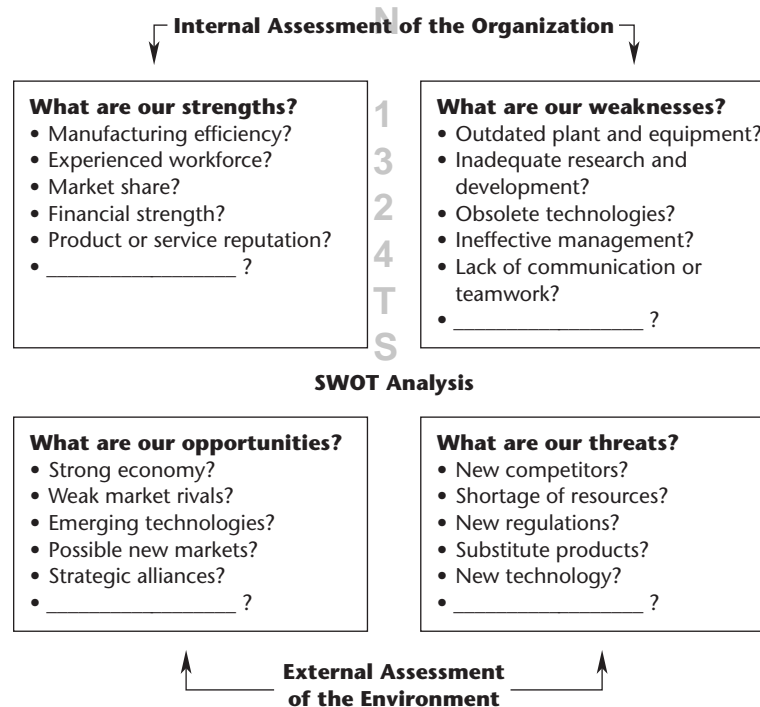
An important goal in the SWOT analysis is to identify core competencies in the form of special *strengths* the organization has or does exceptionally well. These can become sources of competitive advantage. Core competencies may be found in efficient manufacturing technologies, special product knowledge or expertise, or unique distribution systems, among many other possibilities. Another goal is to identify *opportunities* in the environment that the organization can act upon. Examples include new technologies, strategic alliances, and possible new markets for products and services. See Figure 4–2.

Visioning Application Principles

1. *Honor and live the vision as the organization's constitution.* The values and principles of the vision, not the personal style of individuals, should govern organizational culture and behavior.

2. *Encourage new-member understanding and commitment through early introduction.* Those not involved in the development process can identify with the vision

Figure 4–2
SWOT Analysis of
Organizational Strengths
and Weaknesses and
Environmental
Opportunities and Threats²⁰



from the first association: “This is what we are all about; if you can embrace this mission and these values as your own, then we may join together.” The vision should be the centerpiece of the orientation program for all new members.

3. *Make it constantly visible.* Express constancy of purpose through a written statement. The vision should be publicized to customers, employees, suppliers, owners—everyone.

4. *Create integrity through alignment and congruency.* Use the vision as a leadership tool and decision-making guide; as a checkpoint to test alignment of strategy, structures, systems, and member behavior; and as a means to track progress.

5. *Reinforce employee behavior that supports the vision.* This encourages similar behavior that helps the vision be achieved.

6. *Review the vision periodically, revising as appropriate to reflect changing conditions.* Even the U.S. Constitution has been amended over the long term. View the vision as a program with people as the programmers.²¹

The process of creating a vision must be tailored to each organization to be most effective. The process, content, and application principles are guidelines to achieve the required objective—agreement on direction and commitment to succeed.

The Importance of Alignment and Prioritization

Vision is important and execution is critical. Both are essential for organizational success. From vision to execution, the stories of great organizations (when they are great) are stories of alignment. Sam Walton aligned every resource of Walmart to support *the box* (his stores). Ray Kroc aligned every process at McDonald’s to deliver *quality, service, cleanliness, and value*. Walt Disney aligned every practice of his company to bring *wholesome entertainment* to children and their families. Fred Smith aligned every structure and system of FedEx to *deliver the package on time*. These great leaders knew the attainment of their vision would require integrity through alignment and congruency.²² Practically speaking, alignment means making sure organizational structure and employee behavior support the purpose and values of the organization. Ray Kroc was famous for saying, “If we’ve got time to lean, we’ve got time to clean,” thus emphasizing a core McDonald’s value.

The following story shows how important it is to set priorities:

When he was president of Bethlehem Steel, Charles Schwab called Ivy Lee, a consultant, and said, “Show me a way to get more things done with my time, and I’ll pay you any fee within reason.”

“Fine,” Lee replied. “I’ll give you something in twenty minutes that will step up your output at least fifty percent.”

With that, Lee handed Schwab a blank piece of paper, and said: “Write down the six most important tasks that you have to do tomorrow, and number them in order of their importance. Then put this paper in your pocket, and the first thing tomorrow morning look at item one and start working on it until you finish it. Then do item two, and so on. Do this until quitting time, and don’t be concerned if you have finished only one or two items. You’ll be working on the most important ones first anyway. If you can’t finish them all by this method, you couldn’t have by any other method either; and without some system, you’d probably not even have decided which was the most important.”

Then Lee said: “Try this system every working day. After you’ve convinced yourself of the value of the system, have your employees try it. Try it as long as you wish, and then send me a check for what you think it is worth.”

Several weeks later, Schwab sent Lee a check for \$25,000 with a note proclaiming the advice to be the most profitable he had ever followed. This concept helped Charles Schwab earn \$100 million and turn Bethlehem Steel into the biggest independent steel producer in the world.

You may think Charles Schwab was foolish to pay \$25,000 for such a simple idea. However, Schwab thought of that consulting fee as one of his best investments. “Sure, it was a simple idea,” Schwab said. “But what ideas are not basically simple? For the first time, my entire team and I are getting first things done first.”²³

Use a to-do list to accomplish organizational goals. Write down what you want to accomplish in order of importance. The small amount of time you invest in doing this will repay you many times over. A point to remember: Make sure your to-do list is readily visible; it should be where you are—in the office or on the road.

Why Create a Vision?

Peter Drucker explains the importance of having a vision:

Because the modern organization is composed of specialists, each with his or her own narrow area of expertise, its purpose must be crystal clear. The organization must be single-minded, or its members will become confused. They will follow their own specialty rather than apply it to the common task. They will each define “results” in terms of their own specialty and impose its values on the organization. Only a focused and shared vision will hold an organization together and enable it to produce. Without agreement on purpose and values, the organization will soon lose credibility and, with it, its ability to attract the very people it needs to perform.²⁴

Management authors James Collins and Jerry Porras report on the business benefits of having a vision. They asked a sample of CEOs from Fortune 500 and INC 100 companies to identify “visionary” organizations. For the 20 companies most frequently selected, they “invested” one dollar in stock in 1926 or whenever the firm was first listed. They found that, as a group, these visionary companies performed 55 times better than the general market. They also compared visionary companies with nonvisionary counterparts—companies that started at the same time—such as Motorola and Zenith, and Disney and Columbia. Again, vision-driven companies proved more successful, performing 8 times better than their competitors.²⁵

Occupying center stage in explaining the importance of vision is author and educator Joel Barker. Barker’s ideas are drawn primarily from three individuals—Frederick Polak, Benjamin Singer, and Viktor Frankl.²⁶

Historian Frederick Polak asked this question: Is a nation’s positive image of its future the consequence of its success, or is a nation’s success the consequence of its positive image of the future? He concluded that the fates of nations and civilizations have depended primarily on their visions for the future. He cites examples in history of ancient Greece, Rome, Spain, England, and America to support this thought. Polak makes three main points: (1) Significant vision precedes significant success; (2) a compelling image of the future is shared by leaders with their followers, and together they strive to make this vision a reality; and (3) a nation with vision is enabled, and a nation without vision is at risk.²⁷

Psychologist Benjamin Singer showed how children’s lives are similarly shaped by positive self-concepts and expectations for the future. Children without vision become powerless, feeling no control over their own futures. Children with vision are focused and energized, and these are strong and positive agents in a self-fulfilling prophecy. Adults should always take seriously a child’s dreams of what he or she wants to be. The interest and support shown communicates the message that the child is worthy and his or her future is important.²⁸ Consider the power of vision for one child, somehow conveyed by her father:

I was fourteen years old the night my daddy died. He had holes in his shoes but two children out of college, one in college, another in divinity school, and a vision he was able to convey to me as he lay dying in an ambulance that I, a young black girl, could be and do anything; that race and gender are shadows; and that character, self-discipline, determination, attitude and service are the substance of life.²⁹

Barker believes that what is true for nations and what is true for children is especially true for organizations, because organizations have the ideal size and complexity to put vision's power into practice.

The third individual who influenced Barker was Viktor Frankl, author of *Man's Search for Meaning*, based on his experiences in the Nazi death camps of World War II. Frankl believed that everyone needs a purpose or meaning in life, something important yet to be done. Often this can be attained in the experience and achievements of one's work. Frankl also believed that everything we do goes down in history and, in this sense, is irretrievable. As *The Rubáiyát of Omar Khayyám* states:³⁰ The Moving Finger writes; and having writ, / Moves on: Nor all your Piety nor Wit / Shall lure it back to cancel Half a Line, / Nor all your Tears wash out a Word of it.

In Frankl's view, meaning that transcends oneself and extends to people and ideals beyond the individual is meaning on its highest and most human plane. Just as an airplane is most like an airplane when it rises from the runway and flies, so are we most human when we seek meaning in our lives, and commit to a purpose or mission that transcends the self.³¹

Requirements for an Effective Vision

The requirements for an effective vision are as follows:³²

■ ***First, a vision must be developed by leaders, those individuals with strength and influence to establish direction and mobilize the organization.*** Leadership is dreaming a dream and then making it come true. Leaders create clear and worthy images that motivate the organization, and then create a climate so that ideas are transformed into deeds. Leadership is commitment to purpose along with persistence to see it through. The leader's vision should appeal to a common good and be believed passionately. Of six characteristics common to peak performers, management author Charles Garfield describes as the most important commitment to a mission that motivates.³³

■ ***Second, a vision must be communicated to followers and must be supported by them.*** Leaders have to let others see, hear, taste, touch, and feel their vision. A picture in the mind of the general is merely that until it is understood in the minds and adopted in the hearts of the soldiers. Only then will hands and feet be activated and the vision be implemented in fact. It may take leadership to articulate and give legitimacy to a vision, but it takes the strength of an empowered people to get things done. In this regard, the vision of leaders must be in harmony with the nature and needs of the people. Authors James Kouzes and Barry Posner write, "Constituents want visions of the future that reflect their own aspirations. They want to hear how their dreams will come true and their hopes fulfilled."³⁴

■ ***Third, a vision must be comprehensive and detailed, so that every member of the organization can understand his or her part in the whole.*** Roles and responsibilities must be well understood if the vision is to be fulfilled. Each person must know what is expected and the rewards that will accrue when the vision is achieved. Put yourself in the shoes of the soldier, who, upon hearing the vision and seeing the battle plan of the general, can't help wondering, Yes, but what about me? A clear line of sight between personal effort and personal reward is a major determinant of the ultimate fulfillment of the vision.³⁵

■ ***Fourth, a vision must be uplifting and inspiring.*** It must be worth the effort; it must be big enough. Relating to Frankl's message that every person needs meaning in life and something important yet to be done, the organization's vision must be meaningful and important for the members to do.³⁶ Psychologist Abraham Maslow once remarked, "If you purposefully choose to be less than you can be, then you are surely doomed to be unhappy."³⁷ The same is true for organizations; the members of an organization must seek to achieve the organization's fullest potential.

Social Motives to Lead

Someone must provide the spark for action; someone must provide energy and purpose for leadership to occur. There are three basic motives for leadership:

- (1) **power**—the desire to have influence, give orders, and have them carried out;
- (2) **achievement**—the need to create and build something of value; and (3) **affiliation**—a heartfelt interest in helping others.

To understand the role of social motives at work, imagine three supervisors given the task of building a house: (1) The power-oriented leader focuses on how to organize the production of the house. She feels comfortable being in charge and enjoys being recognized as the powerful figure who causes the house to be produced. (2) The achievement-oriented leader obtains satisfaction from creating the house. Building a sound structure and completing the task on time is rewarding. (3) The affiliation leader enjoys working with his crew. He is concerned with human relations and strives to create a spirit of teamwork. Also, he is pleased to think of how much the home will mean to the family who lives in it.

Why would you want to be a leader? What would be your purpose for assuming the challenge of leadership? Do your job and personal life allow the expression of your social motives? The questionnaire in Exercise 4–2 will help you answer these questions. Remember three important points about scores on the questionnaire:

- Although it is normal for everyone to have some of each social motive, a person usually will prefer one or two over the others. Preference depends on the values (power, achievement, or affiliation) promoted by one's culture and on personal traits and experiences.

- People exert leadership to satisfy one or a combination of these three motives. All leadership can be said to be motivated by power, achievement, or affiliation.

- As either leader or follower, a person will be most happy and productive in a situation that allows the expression of personal social motives. If an individual's work precludes this, morale and productivity can be expected to go down.

Exercise 4-2

Social Motives in the Work Setting³⁸

This questionnaire consists of 12 statements. There are no right or wrong answers. For each statement, indicate which of the three alternatives—a, b., or c.—is most preferred by or most important to you by placing a 3 next to that choice. Place a 2 by your second choice and a 1 by the choice that is least preferred by or least important to you. Do not debate too long over any one statement. Your first reaction is desired.

1. In a work situation, I want to
_____ a. be in charge.
_____ b. give assistance to my co-workers.
_____ c. come up with new ideas.
2. If I have ultimate responsibility for a project, I
_____ a. depend on my own ability to accomplish tasks.
_____ b. delegate work and oversee progress.
_____ c. use teamwork to accomplish tasks.
3. My co-workers see me as
_____ a. a competent person.
_____ b. a considerate person.
_____ c. a forceful person.
4. When I disagree with a decision, I
_____ a. voice my disapproval immediately.
_____ b. take into consideration other peoples' feelings and circumstances.
_____ c. suggest alternatives based on logic.
5. In a group discussion,
_____ a. I encourage others to express themselves.
_____ b. I will change my view only if a better one is suggested.
_____ c. my ideas generally prevail.
6. In a labor-management dispute, I would
_____ a. keep human relations smooth.
_____ b. maintain a position of strength.
_____ c. work for a compromise.
7. I am most satisfied with my job when I
_____ a. see progress being made.
_____ b. have a strong voice in determining policy.
_____ c. work with others to achieve results.
8. When disagreements arise, I usually
_____ a. yield a point to avoid conflict.
_____ b. stick to my guns.
_____ c. use reasoning to seek the best solution.
9. As a leader, I would
_____ a. permit flexibility, as long as the job gets done.
_____ b. recognize that workers have good days and bad days.
_____ c. insist on compliance with my rules and directions.
10. As a member of the board of directors dealing with a problem, I would most likely
_____ a. try to get my ideas adopted.
_____ b. solicit ideas from all members.
_____ c. review the facts.
11. When hiring a new employee, I would
_____ a. expect future loyalty to me.
_____ b. hire the person who is technically best qualified.
_____ c. take into consideration future relations with co-workers.

12. I am most happy in my work if I

- _____ a. am the decision maker.
- _____ b. work with good friends and colleagues.
- _____ c. make significant achievements.

Scoring:

Step 1:

Scoring is done across the page, from left to right. For each question, put your a., b., and c. scores in the appropriate columns. Note that a., b., and c. scores do not remain in the same columns. Continue until all scores are filled in; then total the columns. (The grand total for the three columns should be 72.)

Column 1	Column 2	Column 3
1. a. _____	1. c. _____	1. b. _____
2. b. _____	2. a. _____	2. c. _____
3. c. _____	3. a. _____	3. b. _____
4. a. _____	4. c. _____	4. b. _____
5. c. _____	5. b. _____	5. a. _____
6. b. _____	6. c. _____	6. a. _____
7. b. _____	7. a. _____	7. c. _____
8. b. _____	8. c. _____	8. a. _____
9. c. _____	9. a. _____	9. b. _____
10. a. _____	10. c. _____	10. b. _____
11. a. _____	11. b. _____	11. c. _____
12. a. _____	12. c. _____	12. b. _____
Total _____	Total _____	Total _____

Step 2:

Mark the total scores for each column in the appropriate places in Figure 4–3. Shade in the areas as shown in the example, Figure 4–4.

Interpretation:

A high score in column 1 indicates social motives that are power-oriented. A power-oriented person strives for leadership because of the authority it brings. This person's goal is to influence people and events. Historical examples are Winston Churchill and Elizabeth I, who are recognized as outstanding leaders because of their mastery of power politics. Strength, assertiveness, and dominance are characteristics of power-oriented leaders. Positions involving the expression of power are manager, supervisor, and political officeholder.

A high score in column 2 indicates achievement-oriented social motives. This type of leader wants to discover, create, and build. Marie Curie and Tim Berners-Lee are good examples of achievement-oriented people, each succeeding in making valuable contributions to humankind in science and technology. Achievement-oriented leaders are described as successful, competent, skillful, and productive. Achievement-oriented people are often found in occupations such as science, business, and the arts.

A high score in column 3 indicates a strong concern for human welfare. Mother Teresa and Mahatma Gandhi would be such leaders. These individuals care about other people and desire to serve humanity. This type of leader is likely to have traits similar to those of Florence Nightingale and Albert Schweitzer in the field of medicine. Common characteristics of these leaders are helpfulness, unselfishness, and consideration of the condition and well-being of others. Occupations such as teaching and counseling allow the expression of this social motive.

The basic needs that motivate leaders serve to motivate the employees in a company as well. Consider how you as a leader can use an employee's primary need as a motivating force:

1. *The need for power.* These employees gain satisfaction from influencing others. They like to lead and persuade, and are motivated by positions of power. They are comfortable with argumentation and debate, and are not reluctant in advancing their views. Give them the opportunity to make decisions and direct projects.
2. *The need for achievement.* These employees want the satisfaction of accomplishing projects successfully. They want to exercise their talents to attain success. They desire unambiguous feedback on performance and recognition for their accomplishments. They are self-motivated if the job is challenging enough, so provide them with meaningful work assignments and they will consistently produce.
3. *The need for affiliation.* These employees gain satisfaction from interacting with others. They enjoy people and find the social aspects of the workplace rewarding. They actively support others and try to smooth out workplace conflicts. Motivate them by giving them opportunities to interact with others: team projects, group meetings, and so on.³⁹

Figure 4-3
Your Social Motives

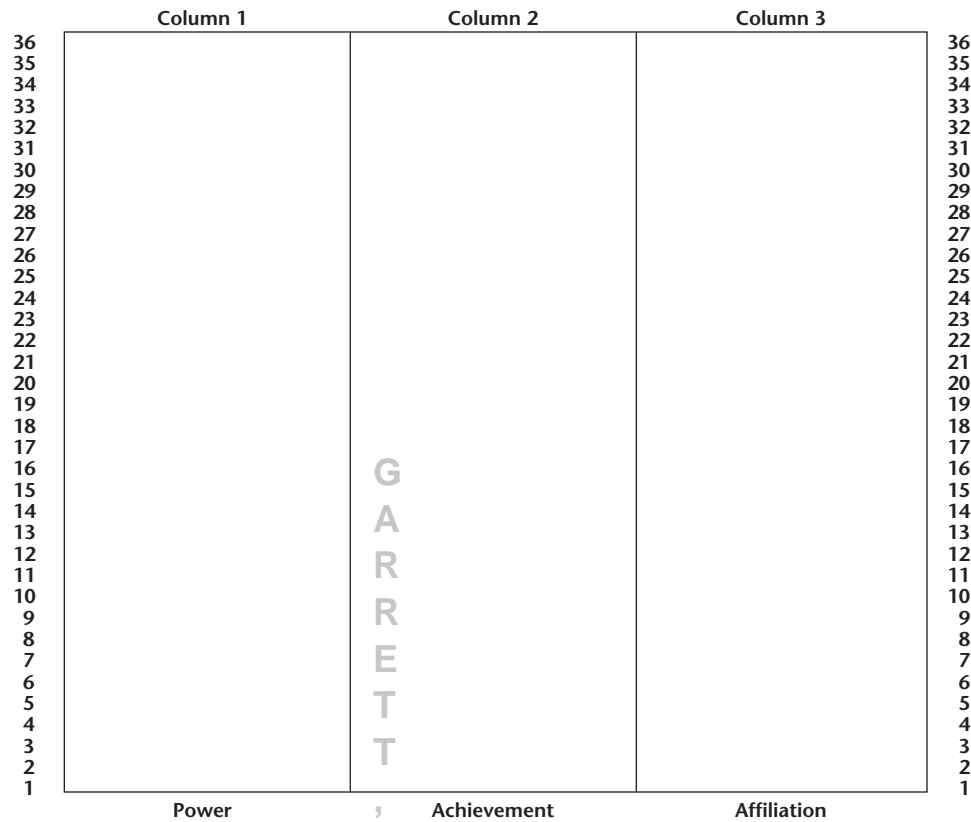
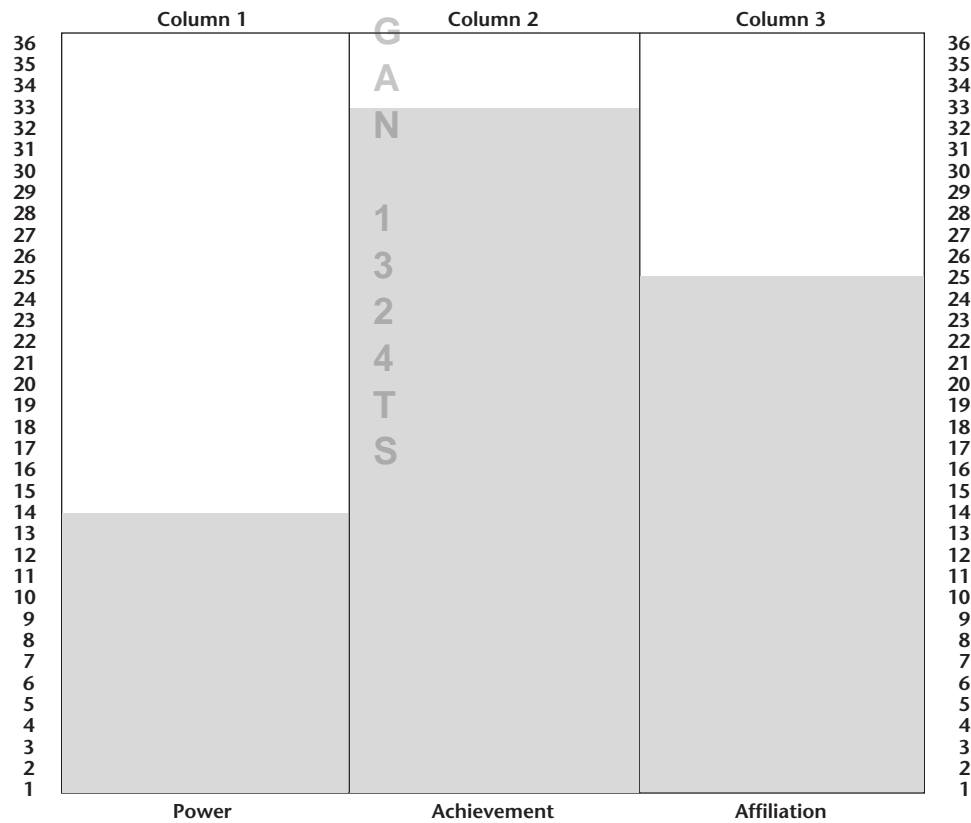


Figure 4-4
Example





CHAPTER 5

Organizational Climate

Most organizations resemble villages more than the finely honed, clearly focused structures they talk about in their annual reports—villages that are merging with other villages; villages that have become cross-cultural; villages that have richer and poorer parts of town. Organizations are like villages in that they have a certain pace and style of working and unspoken taboos. Organizations have social structures, pecking orders, and patterns of behavior, including habits governing dress, language, food, and the like. Established norms of behavior govern use of resources. Artifacts of the organizational village are its physical structures, rituals, stories, and legends, and these are based on shared and deeply held assumptions, beliefs, and values. An important element in the life of the organizational village is its psychological climate.⁴⁰

Even if an organization has a vision that is leader-initiated, member-supported, comprehensive and detailed, and worth doing, it must be sustained by a supportive organizational climate. Important dimensions include the *reward system*, *organizational clarity*, *standards of performance*, *warmth and support*, and *leadership practices*. An evaluation of these and other dimensions of organizational climate can be used to determine whether that organization is exploitive, impoverished, supportive, or enlightened. Keep in mind the following points:

- Just as sick societies can make people sick, so can an unhealthy work climate make employees sick. In contrast, a psychologically healthy work environment brings out the best in employee and organizational well-being.⁴¹
- An organization is only as strong as its weakest link. An individual may have an excellent nervous system, sound muscular system, and good respiratory system, but if the circulation system is poor, ultimately, the whole organism will fail. Similarly, an organization may be strong in performance standards, organizational clarity, and warmth and support, but if the reward system is poor, the entire organization will ultimately suffer.
- Organizational climate is important because it influences both the quality of work and the quality of work life of members. Depending on the nature of the group or organization, even life-and-death consequences can result.

Consider an exploitive or impoverished hospital: People who can find employment elsewhere will probably leave, and those may be some of the best personnel. People who remain may spend more time complaining about working conditions and management practices than actually doing their work, with the result being unattended patients, poor housekeeping, and medical and clerical errors. Exploitive and impoverished hospitals experience unnecessary mistakes due to human factors—untrained, unqualified, and uncommitted workers.

Now consider an enlightened or supportive hospital, where standards of performance are high, leadership is effective, goals and responsibilities are clear, warmth and support prevail, and the reward system reinforces good work. Given a choice, where would you want to be treated, and where would you want to work? Which type of organization provides the best quality of health care and the best quality of work life?

- Enlightened and supportive organizations represent good investments because they attract excellent personnel, who usually outperform their demoralized counterparts in exploitive and impoverished organizations.
- Organizations are composed of interdependent groups. The success of the total organization depends on conditions in each of its subgroups. As such, every division and unit should develop an enlightened or supportive climate.

You can evaluate the climate of your organization by completing the questionnaire in Exercise 5–1.

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Exercise 5–1 Organizational Climate Questionnaire⁴²

For each dimension of organizational climate, circle the number on the scale that represents conditions in your organization (1 is low; 20 is high).

- 1. Reward system**—the degree to which people are recognized and rewarded for good work, rather than being ignored, criticized, or punished when something goes wrong.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Rewards are not in line with effort and performance.										Effort and performance are recognized and rewarded positively.									
- 2. Organizational clarity**—the feeling that things are well organized and that goals and responsibilities are clearly defined, rather than being disorderly, confused, or chaotic.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
The organization is disorderly, confused, and chaotic.										The organization is well organized, with clearly defined goals and responsibilities.									
- 3. Standards of performance**—the emphasis placed on quality performance and achievement of results, including the degree to which meaningful and challenging goals are set at every level of the organization.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Performance standards are low.										Performance standards are high.									
- 4. Warmth and support**—the feeling that friendliness is a valued norm and that people trust, respect, and support one another; the feeling that good relationships prevail in the day-to-day work of the organization.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
There is little warmth and support in the organization.										Warmth and support are characteristic of the organization.									
- 5. Leadership**—the extent to which people take leadership roles as the need arises and are rewarded for successful leadership; the willingness of people to accept leadership and direction from others who are qualified. The organization is not dominated by or dependent on just one or two individuals.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Leadership is not provided, accepted, or rewarded; the organization is dominated by or dependent on one or two individuals.										Leadership is provided, accepted, and rewarded based on expertise.									
- 6. Communication**—the degree to which important information is shared—up, down, and sideways. Communication channels are open and free-flowing between levels and areas of the organization.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Information is incorrect or unavailable.										Information is accurate and available.									
- 7. Innovation**—the extent to which new ideas are sought and used in all areas of the organization. Creativity is encouraged at every level of responsibility.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
The organization is closed and unresponsive to new ideas.										The organization is innovative and open to new ideas.									
- 8. Feedback and controls**—the use of reporting, comparing, and correcting procedures, such as performance evaluations and financial audits. Controls are used for tracking progress and solving problems, as opposed to policing and punishment.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Controls are used for policing and punishment.										Controls are used to provide guidance and solve problems.									

9. **Teamwork**—the amount of understanding, cooperation, and support demonstrated between different levels and groups in the organization.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Teamwork is low.										Teamwork is high.									

10. **Involvement**—the extent to which responsibility for decision making is broadly shared in the organization. People are involved in decisions that affect them.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
There is little participation in decision making.										Participation in decision making is high.									

Scoring:

Total the scores for all the dimensions; then divide by 10. Circle that number on the scale below.

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Type of Organization

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Exploitive					Impoverished					Supportive					Enlightened				

Interpretation:

Results of this questionnaire can be used to reinforce strengths and improve weaknesses. High scores represent enlightened and supportive organizations. Low scores reflect exploitive and impoverished organizations.

Leaders and followers may have different views about the climate of a group or organization. People in upper levels of responsibility often evaluate conditions more favorably than do people in lower levels. See the example in Figure 5–1.

Figure 5–1
Extent to Which Leaders
and Followers Agree on
Organizational Conditions⁴³

Behavior	Top Staff Self-Evaluation*	First-Line Supervisor Evaluation of Top Staff Behavior	First-Line Supervisor Self- Evaluation**	Employee Evaluation of First-Line Supervisor Behavior
Always tells subordinates in advance about changes that will affect them or their work	70%	27%	40%	22%
Nearly always tells subordinates	30%	36%	52%	25%
More often than not tells subordinates	—	18%	2%	13%
Occasionally tells subordinates	—	15%	5%	28%
Seldom tells subordinates	—	4%	1%	12%

*Top staff rated themselves 37% higher than they were rated by subordinates.
**First-line supervisors rated themselves 45% higher than they were rated by subordinates.

Patterns of Leadership

How do organizations become what they are? Who decides whether an organization will be enlightened, supportive, impoverished, or exploitive? Although members may have considerable influence, organizational climate is determined primarily by leaders. Those in charge establish the character and define norms of behaviors.

Management author Rensis Likert identifies four patterns of leadership that correspond to the four types of organizational climate. His conclusions are based on studies of thousands of leaders in widely different kinds of organizations, both inside and outside the United States. A description of each of the four patterns of leadership follows.⁴⁴

Pattern I Leadership (Exploitive)

Exploitive leadership is autocratic and hierarchical, with virtually no participation by members. Leaders make decisions, and members are expected to comply without question. Leaders show little confidence or trust in others, and members do not feel free to discuss job-related problems with leaders. In a free social and economic order, Pattern I organizations rarely survive because people avoid them as much as possible. Where they do exist, they are characterized by a lack of loyalty and recurrent financial crises.

Pattern II Leadership (Impoverished)

Impoverished leadership makes some attempt to avoid being completely autocratic. Power remains at the top, but members are given occasional opportunities for participation in the decision-making process. Pattern II organizations fall into two

categories that determine their relative success. Successful Pattern II organizations are benevolent autocracies in which leaders have genuine concern for the welfare of members. Failing Pattern II organizations are autocracies that do not consider the interests or ideas of members. Some organizations are founded by autocratic but benevolent leaders, who achieve good results. Then, as time passes and new leaders assume power, the autocratic style of leadership is maintained, but benevolence is not, and the organization fails.

Pattern III Leadership (Supportive)

Supportive leadership shows a great deal of interest and confidence in members. Power resides in leaders, but there is good communication and participation throughout the organization. People understand the goals of the organization, and commitment to achieve them is widespread. Members feel free to discuss job-related problems with leaders. This leadership pattern involves broad member participation and involvement in decision-making activities.

Pattern IV Leadership (Enlightened)

Enlightened leadership delegates power to the logical focus of interest and concern for a problem. People at all levels of the organization have a high degree of freedom to initiate, coordinate, and execute plans to accomplish goals. Communication is open, honest, and uncensored. People are treated with trust rather than suspicion. Leaders ask for ideas and try to use others' suggestions. Pattern IV leadership results in high satisfaction and productivity. Absenteeism and turnover are low, strikes are nonexistent, and efficiency is high.

Likert describes the Pattern IV organization as follows:

A Pattern IV organization is made up of interlocking work groups with a high degree of group loyalty among the members and favorable attitudes among peers, supervisors, and subordinates.

Consideration for others and skill in problem solving and other group functions are present. These skills permit effective participation in decisions on common problems. Participation is used, for example, to establish objectives that are a satisfactory integration of the needs of all the members of the organization.

Members of the Pattern IV organization are highly motivated to achieve the organization's goals. High levels of reciprocal influence occur, and a high level of coordination is achieved in the organization.

Communication is efficient and effective. There is a flow from one part of the organization to another of all the relevant information important for each decision and action.

The leadership in the Pattern IV organization has developed an effective system for interaction, problem solving, and organizational achievement. This leadership is technically competent and maintains high performance goals.⁴⁵

Four principles should be followed to develop an enlightened, Pattern IV organization:

1. *View human resources as the organization's greatest asset.*
2. *Treat every individual with understanding, dignity, warmth, and support.*
3. *Tap the constructive power of groups through visioning and team building.*
4. *Set high performance goals at every level of the organization.*⁴⁶

Likert recommends that all organizations adopt the enlightened principles of Pattern IV leadership. He estimates that U.S. organizations, as a whole, are between Pattern II and Pattern III, and that a shift to Pattern IV would improve employee morale and productivity by 20 to 40 percent, or more.⁴⁷

Research supports Likert's ideas. Study after study shows that when an organization moves to Pattern IV leadership, performance effectiveness improves, costs decrease, and gains occur in the overall satisfaction and health of the members of

the organization. In addition, research findings show that Pattern IV leadership is applicable to every size and type of organization, including private businesses, not-for-profit organizations, and government agencies.⁴⁸

How important are organizational climate and enlightened leadership practices? Management author John Hoerr states: “We are in a global economy. To have world-class quality and costs and the ability to assimilate new technology, an organization must have world-class ability to develop human capabilities. This can’t be a drag on the system; it has to be a leading variable.”⁴⁹

The Power of Stories

Storytelling has an almost innate appeal. When a teacher interrupts a class with the statement, “Let me tell you a story,” attention in the room doubles. Stories can be used in a similar way to develop and reinforce a positive work climate. They serve as prescriptions of the way things should (or should not) be done. They have the greatest impact on an organization when they describe real people and are known by employees throughout the organization.⁵⁰

More than a decade ago, Southwest Airlines introduced an ad campaign with the phrase “Just Plane Smart.” Unknowingly, the Dallas-based airline had infringed on the “Plane Smart” slogan at Stevens Aviation, an aviation sales and maintenance company in Greenville, South Carolina. Rather than paying buckets of money to lawyers, Stevens’s chairman Kurt Herwald and Southwest CEO Herb Kelleher decided to settle the dispute with an old-fashioned arm wrestling match at a run-down wrestling stadium in Dallas. A boisterous crowd watched the “Malice in Dallas” event as “Smokin” Herb Kelleher and “Kurtsey” Herwald battled their designates, and then each other. When Kelleher lost the final round to Herwald, he jested (while being carried off on a stretcher) that his defeat was due to a cold and the strain of walking up a flight of stairs. Stevens Aviation later decided to let Southwest Airlines continue to use its ad campaign, and both companies donated funds from the event to charities.

“Malice in Dallas” is a legendary story that almost every Southwest employee knows by heart. It is a tale that communicates one of the airline’s core values—that having fun is part of doing business.⁵¹

Building Community in the Workplace

The word *corporation* conjures up images of authority, bureaucracy, competition, control, and power. The word *community* evokes images of democracy, diversity, cooperation, inclusion, and common purpose. The model under which an organization chooses to operate can determine its survival in a competitive and changing world. The idea of community at work is particularly satisfying to the makeup and challenges of today’s diverse workforce.⁵²

Community is experienced in two ways: as “a group of people” and as “a way of being.” The first type of community is formed by bringing people together in place and time. The second is created when barriers between people are let down. Under such conditions, people become bonded, sensing that they can rely on and trust each other. When people experience a feeling of community, their potential for achievement becomes enormous.⁵³

Thomas Carlyle, the Scottish philosopher, thought that each person wanted to be treated as a unique and valuable individual. He also believed we each have a simultaneous need to belong to something greater than self, something more than one alone can do or be.⁵⁴ For many people, feelings of self-worth and transcendence to something greater than self occur in the experience of community.

The benefits of interrelationship can be found everywhere in nature. If a gardener places two plants close together, the roots commingle and improve the quality of the soil, thus helping both plants grow better than if they were separated. If a carpenter joins two boards together, they will hold much more weight than the total held by each alone.

In the human sphere, our challenge is to apply the creative cooperation we learn from nature in dealing with those around us. The essence of this is to value differences, build on each other's strengths, transcend individual limitations, and achieve the full potential of community.

Writer and educator John Gardner states, "We are a community-building species." He goes on to describe the conditions necessary to experience true community:⁵⁵

- *Shared vision.* A healthy community has a sense of where it should go, and what it might become. A positive and future-focused role image provides direction and motivation for its members.
- *Wholeness incorporating diversity.* A group is less of a community if fragmentation or divisiveness exists—and if the rifts are deep, it is no community at all. We expect and value diversity, and there is dissent in the best of groups. But true community requires facing and resolving differences.
- *Shared culture.* Success is enhanced when people have a shared culture—that is, shared norms of behavior and core values to live by. If a community is lucky, it has shared history and traditions as well. This is why developing communities must form symbols of group identity and generate stories to pass on core values, customs, and central purpose.
- *Internal communications.* Members of a well-functioning community communicate freely with one another. There are regular occasions when people gather and share information. There are opportunities and means for people to get to know and understand what others need and want. Communication is uncensored and flows in all directions within the community.
- *Consideration and trust.* A healthy community cares about its members and fosters an atmosphere of trust. People deal with one another humanely; they respect each other and value the integrity of each person.
- *Maintenance and government.* A fully functioning community has provision for maintenance and governance. Roles, responsibilities, and decision-making processes are conducive to achieving tasks while maintaining a supportive group climate.
- *Participation and shared leadership.* The healthy community encourages the involvement of all individuals in the pursuit of shared goals. All members have the opportunity to influence events and outcomes. The good community finds a productive balance between individual interests and group responsibilities as community tasks are accomplished.
- *Development of younger members.* Opportunities for growth are numerous and varied for all members. Mature members ensure that younger members develop knowledge, skills, and attitudes that support continuation of the community's purpose and values.
- *Affirmation.* A healthy community reaffirms itself continuously. It celebrates its beginnings, rewards its achievements, and takes pride in its challenges. In this way, community morale and confidence are developed.
- *Links with outside groups.* There is a certain tension between the community's need to draw boundaries to accomplish its tasks and its need to have fruitful alliances with external groups and the larger community of which it is a part. A successful community masters both ends of this spectrum.

In *Productive Workplaces*, Marvin Weisbord writes that we hunger for community and are a great deal more productive when we find it. If we feed this hunger in ways that preserve individual dignity, opportunity for all, and mutual support, we will harness energy and productivity beyond imagining.⁵⁶

Community Building and the Role of the Leader

The plaque outside the two-family house at 367 Addison Street in Palo Alto, California, identifies the dusty one-car garage out back as the “birthplace of Silicon Valley.” But the site, where Dave Packard and Bill Hewlett first set up shop, in 1938, is more than that. It’s the birthplace of a new approach to management, a West Coast alternative to the traditional, hierarchical corporation. More than seven decades later, the methods of Hewlett and Packard remain the dominant DNA for tech companies—and a major reason for U.S. preeminence in the information age.

The partnership began when the pair met as students at Stanford University. Packard, an opinionated star athlete from the hardscrabble town of Pueblo, Colorado, had a commanding presence to match his 6-foot-5-inch frame. Hewlett, whose technical genius was obscured from teachers by undiagnosed dyslexia, favored dorm-room pranks and bad puns. While different in temperament, the two soon discovered a shared passion for camping and fishing—and for turning engineering theory into breakthrough products.

The result was one of the most influential companies of the 20th century. Hewlett-Packard Co. (they flipped a coin to decide whose name would go first) cranked out a blizzard of electronic tools that were crucial to the development of radar, computers, and other digital wonders. Still, the pair’s greatest innovation was managerial, not technical. From the first days in the garage, they set out to create a company that would attract like-minded people. They shunned the rigid hierarchy of companies back East in favor of an egalitarian, decentralized system that came to be known as “the HP Way.” The essence of the idea, radical at the time, was that employees’ brainpower was the company’s most important resource.

To make the idea a reality, the young entrepreneurs instituted a slew of pioneering practices. Starting in 1941, they granted big bonuses to all employees when the company improved its productivity. That evolved into one of the first all-company profit-sharing plans. When HP went public in 1957, the founders gave shares to all employees. Later, they were among the first to offer tuition assistance, flextime, and job sharing.

Even HP’s offices were unusual. To encourage the free flow of ideas, employees worked in open cubicles. Even supply closets were to be kept open. Once, Hewlett sawed a lock off a closet and left a note: “HP trusts its employees.” In Packard’s own words, “The close relationship among people encouraged a form of participative management that supported individual freedom and initiative while emphasizing commonness of purpose and teamwork. We were all working on the same problems and we used ideas from wherever we could get them.”

If HP’s policies were progressive, there was nothing coddling about either man. Until his death in 1996, Packard was a fearsome paragon of corporate integrity. He was famous for flying to distant branches to make a show of firing managers who skirted ethical lines. Neither man would hesitate to kill a business if it wasn’t hitting its profit goals. The result: HP grew nearly 20 percent a year for 50 years without a loss.

Today, the behavior of the two founders remains a benchmark for business. Hewlett, who died in 2001, and Packard, who died in 1996, expected employees to donate their time to civic causes. And they gave more than 95 percent of their fortunes to charity. “My father and Mr. Packard felt they’d made this money almost as a fluke,” says Hewlett’s son Walter. “If anything, the employees deserved it more than they did.” It’s an insight that changed corporate America—and the lives of workers everywhere.⁵⁷

In *A World Waiting to Be Born*, Scott Peck identifies the leader within a group or organization to be a potential obstacle to creating community. Specifically, no matter how deeply those at the bottom or middle desire it, community will be difficult to achieve if those at the top are resistant. Conversely, if the leaders are the kinds of people who want community, they can probably have it. They may have to work hard for it. It may require time and resources. But if leaders want to achieve a positive and healthy human environment, it can be done under almost any circumstances.⁵⁸

In an article entitled “The Brave New World of Leadership Training,” Jay Conger describes *building community* as the most important task facing leaders today. He views this as a special assignment that combines two basic leadership competencies—visioning and empowerment—which are related, since vision itself must be

The Mouse and the Web

empowering. The vision's purpose is not only to achieve a meaningful strategic or company goal, but also to create a dedicated community of people.⁵⁹

What does *Charlotte's Web* have to do with the most famous research mouse in the world? It is a fascinating story of two remarkable men—one of science and one of literature.⁶⁰

The Jackson Laboratory, the world's foremost mammalian genetics research center, was founded by Clarence Little in 1929. Little left his position as president of the University of Michigan to pursue his love of biological studies along the stern and craggy shores of Acadia in Bar Harbor, Maine.

Residents say that when Little met his neighbor, E.B. White, famous for his essays in the *New Yorker* and for his children's book *Charlotte's Web*, two minds ignited with ideas and insights.

White noted that the colored coats of the mice could explain deeper biological secrets, an observation that profoundly influenced Little's research.

For his part, the writer named a small mouse of his own, Stuart, after his good friend, Little. Their partnership and intellectual collaboration lasted more than 25 years.

What do Clarence Little and E.B. White have to do with building community in the workplace? The spark that was ignited more than 80 years ago lives on in the scholarship, creativity, and culture of the Jackson Laboratory today. Scientists throughout the world depend on Jackson Laboratory mice in their efforts to conduct the highest level of research, and the laboratory thrives as a center for genetic studies and scientific endeavors.

Today's leaders are committed to preserving the Jackson Laboratory culture and building on its record of achievement. Elements of true community are monitored, strengths are celebrated, and areas for improvement are addressed. It is whimsical, but true, to say that a dedicated community of people continues the spirit of the mouse and the web. Little and White would be pleased, indeed.

The Struggle to Stay Flat

An important element of organizational culture and climate is structure. As organizations grow in size, there is a need for layers and divisions of responsibility. Mid-level leaders are needed to guide work activities, coach subordinates, and manage organizational growth. Sufficient resources must be allocated to perform these functions well.⁶¹ Past an optimum point, organizations can have too many layers of management with corresponding reduction in creativity and performance. The case of Nucor Corporation shows the value of being flat:

When Ken Iverson became CEO of Nucor Corporation in the mid 1960s, he insisted that the Charlotte, North Carolina, steelmaker have only three layers of management below him: Crew supervisors reported to their functional manager (production, shipping, and maintenance), who reported to a plant manager, who reported to Iverson. By allowing each plant to operate as an independent business, this flat structure was manageable even as Nucor grew to more than two dozen plants. But today Nucor is America's largest steelmaker in terms of shipments, employing 20,000 people at more than four dozen facilities worldwide. Managing 50 or more direct reports would be a full-time job, so Nucor's current chairman and CEO, Dan DiMicco, reluctantly added another layer of management (five executive vice presidents). "I needed to be free to make decisions on trade battles," says DiMicco, adding that he continues to stay involved by checking his own e-mail and meeting with staff at every opportunity. Even with five layers of hierarchy, Nucor is incredibly lean. Many other companies the same size have twice as many levels of management.⁶²

There are strong arguments for being as flat as it is practical to be:

1. Tall organizational structures have higher overhead costs due to the cost of managers versus employees who actually make the product or supply the service.
2. Layers of hierarchy tend to slow down the transmittal of information and the speed of response even in today's e-business environment.
3. Tall structures tend to undermine employee satisfaction and organizational commitment because they focus power around managers rather than employees.⁶³

Part Two Summary

After reading Part Two, you should know the following key concepts, principles, and terms. Fill in the blanks from memory, or copy the answers listed below.

The most important function of a leader is to develop a clear, compelling (a) _____ and to secure commitment to that ideal. In addition, the leader must have a (b) _____ to succeed. Finally, the leader must have (c) _____ to see these through. These three items are the requirements for leadership success. Four distinct areas that correlate positively with leadership effectiveness are (d) _____, _____, _____, and _____. An effective vision must be (e) _____, _____, _____, and _____. The three motives for assuming leadership responsibility are (f) _____, _____, and _____. The climate of an organization includes the (g) _____, _____, _____, and _____. The climate of an organization is determined primarily by the quality of leadership. Leaders in the best organizations follow four enlightened principles: (h) _____, _____, _____, and _____.

Answer Key for Part Two Summary

- a. **vision**, page 62
- b. **strategy**, page 62
- c. **stamina**, page 62
- d. **getting the facts, creating a vision, motivating people, empowering others**, pages 67, 68
- e. **leader-initiated, shared and supported by followers, comprehensive and detailed, uplifting and inspiring**, page 66
- f. **power, achievement, affiliation**, page 74
- g. (any five) **reward system, organizational clarity, standards of performance, warmth and support, leadership, communication, innovation, feedback and controls, teamwork, involvement**, pages 81, 82
- h. **view human resources as the organization's greatest asset; treat every individual with understanding, dignity, warmth, and support; tap the constructive power of groups through visioning and team building; set high performance goals at every level of the organization**, page 84

Reflection Points—Personal Thoughts on the Importance of Vision, the Motive to Lead, and Organizational Climate

Complete the following questions and activities to personalize the content of Part Two. Space is provided for writing your thoughts.

- Describe the vision of a successful leader you have known; discuss the role of stamina in achieving that vision.

- Have you ever taken responsibility for initiating change? Have you ever created a vision and a strategy for success? Discuss.

- Discuss Martin Luther King, Jr.'s, speech "I Have a Dream." Why is the speech so powerful? Consider the message, words that are used, images that are conjured up, feelings that are evoked, and repetition of key ideas.

- The French philosopher Jean-Paul Sartre (1905–1980) believed every person needs a project in life, and the Austrian psychiatrist Viktor Frankl believed we each need a purpose. What is your project or purpose yet to be done?

- Why would you want to be a leader—power, achievement, or affiliation? Does your work or personal life allow the expression of your social motives?

- Evaluate the climate of an organization you know, including the reward system, organizational clarity, performance standards, warmth and support, leadership, and other dimensions. Discuss strengths and areas to improve.

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Part Two Video Case

Andre Thornton

André Thornton, a retired professional baseball player, is no stranger to the business world, nor is he a stranger to being a minority businessman. Thornton is president and CEO of GPI Procurement Services, a small sourcing and procurement service company that provides its clients with a wide variety of promotional and incentive items as well as uniforms and hospital apparel.

Thornton became involved in this business after a successful run at managing a chain of Applebee's restaurants. He describes wealth as being distinctively different from money. Wealth, according to Thornton, is an assortment of assets, whereas money is just an asset to be used to make and acquire other assets.

After leaving the big leagues, Thornton and two other retired professional athletes decided to enter the restaurant industry. Their desire was to operate restaurant locations in swank areas in Florida, such as Orlando or Miami. Much to their dismay, the franchising company they were going to be working with, Applebee's, would provide the partners with a territory only in the St. Louis area. They decided to go for it and made the most of the situation, making their chain of stores very successful. In fact, the stores they managed were consistently ranked in the top 10 percent and frequently were in the top 5 percent of all the Applebee's locations. After a short period, the Applebee's company approached the partners with a buyout offer, and they took it.

Thornton left the restaurant industry with a wealth of knowledge and decided that there were plenty of ways he could capitalize on it in a business setting. Thornton put his knowledge to work at GPI. This has not been an easy road for him, especially because he is a minority businessman. He will be the first to tell you that being an entrepreneur is a tough task and selling in an open market requires tremendous perseverance—an attribute he developed during his professional baseball career.

Thornton was able to translate his knowledge of the restaurant industry into a sourcing and procurement company that serves the needs of both small and large clients in three business sectors—financial, health care, and business and industry. GPI not only provides promotional and incentive items to its clients, but also designs programs, sources products, and manages processes to assist in bringing cost efficiencies to its customers. And because of its size, GPI is able to be much more flexible than its larger counterparts in terms of pricing, customizing, and providing customer service.

GPI is a minority vendor in what Thornton describes as a restrictive and controlled industry, but according to Thornton, “diversity is here to stay.” He acknowledges that because he is a minority businessman, many people won't accept him and feel that his business is “second-rate,” or that he has inadequate financing or products. He states that he acknowledges that women and other minorities face the same issues. To combat these views, Thornton prepares presentations that dispel these myths.

According to Thornton, there is a correlation between business and sports. He feels that any time you have a group of people working toward a common objective, you have a team. As a result, we commonly hear sports analogies used to describe business. According to Thornton, “business pressures drive business, not likes and dislikes,” especially in a global world that is rapidly changing demographically.

Questions for Discussion

1. How do Thornton's experiences in professional sports and in restaurant management assist him in running GPI? Does the fact that he is a minority help or hinder him personally in business?
2. What does GPI have to offer its clients? Does the fact that it is a minority vendor help or hinder the company?

For more information, see <http://www.aswglobal.com/leadership/Andre-Thornton.htm>.

Action Assignment

As a bridge between learning and doing, complete the following action assignment.

1. What is the most important idea you have learned in Part Two?
2. How can you apply what you have learned? What will you do, with whom, where, when, and, most important, why?

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