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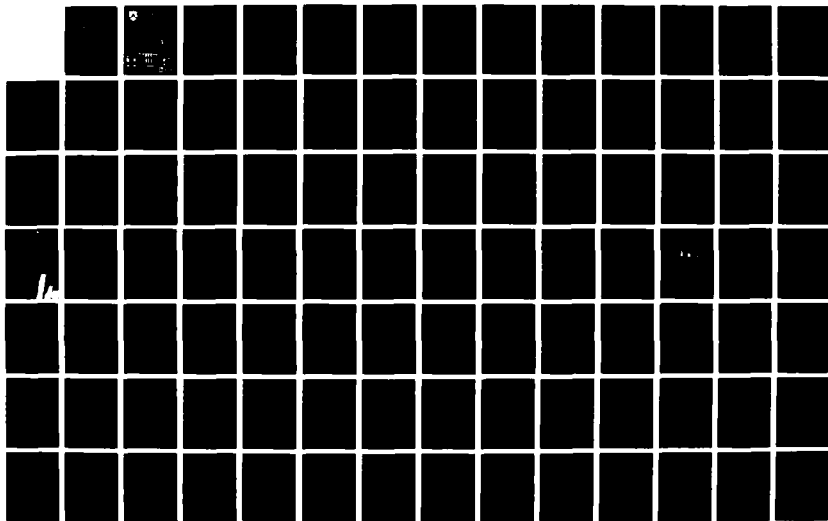
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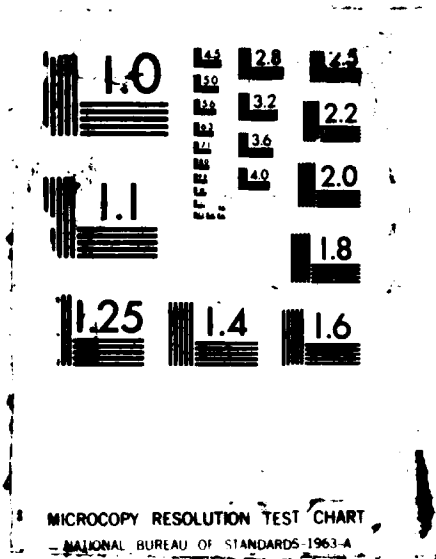
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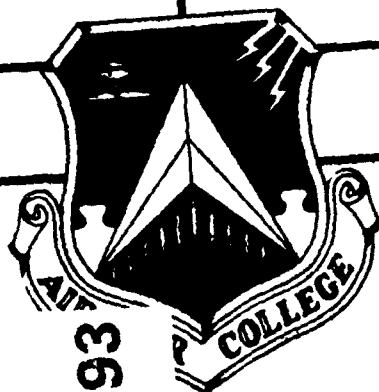
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AIR WAR COLLEGE

RESEARCH REPORT

No. AU-AWC-87-041

IN PURSUIT OF LEADERSHIP: THE PRESCRIPTIVE APPROACH

By COLONEL DALE O. CONDIT

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AIR UNIVERSITY
UNITED STATES AIR FORCE
MAXWELL AIR FORCE BASE, ALABAMA

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IN PURSUIT OF LEADERSHIP

The Prescriptive Approach

A RESEARCH REPORT SUBMITTED TO THE FACULTY
IN FULFILLMENT OF THE RESEARCH REQUIREMENT

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AIR WAR COLLEGE RESEARCH REPORT ABSTRACT

TITLE: In Pursuit of Leadership: The Prescriptive Approach

AUTHOR: Dale O. Condit, Colonel, USAF

➤ Most of the current literature on leadership is "descriptive," detailing what leaders are or what leaders must do now that they are in leadership roles. Very little has been offered in the way of "prescribing" an approach to leadership development -- to the selection, development, and assessment of leadership. The Prescriptive Approach offers this orientation by detailing four levels of traits and skills necessary in all leaders: Individual Traits, Professional Skills, Helping Skills, and Group Dynamics Skills. The Prescriptive Approach also discusses how these should be applied in leadership development to improve the quality and numbers of individuals capable of leading organizations in an increasingly diverse, complex social milieu.

BIOGRAPHICAL SKETCH

Colonel Dale O. Condit (B.Met.Engr., M.S., Ph.D., The Ohio State University, M.B.A., Auburn University, P.E.) has spent most of his career involved in the Air Force's research, development, and acquisition communities. In the mid-1970s, he served as an Associate Professor on the faculty of the U.S. Air Force Academy and was their first recipient of the William P. Clements Award for Excellence in Education. Prior to attending the Air War College, he was the System Program Director for the Ground Wave Emergency Network and Aircraft Alerting Communications EMP Upgrade programs at Air Force Systems Command's Electronic Systems Division at Hanscom AFB, Massachusetts. He has also been a leader in various community activities throughout his Air Force career. He has published articles in his technical field, as well as in leadership and management, and holds four awards from the Freedoms Foundation at Valley Forge for his public addresses. Colonel Condit is a distinguished graduate of the Air Command and Staff College, graduate of the Defense Systems Management College, and 1987 graduate of the Air War College.

ACKNOWLEDGEMENTS

The author wishes to acknowledge the support of the United States Air Force and many individuals in the development of this study on leadership. It has been prepared as part of my course of studies at the Air War College, and I am grateful to the Air Force for providing me with the opportunity at this point in my career to pursue my professional military education under such optimum conditions. I wish to thank Colonel Kenneth H. Wenker, my thesis advisor, and Dr. William P. Snyder, my technical advisor, for their excellent advice for improving the quality of this work. I also appreciate the timely help of Lt Scott Alan Cain in the preparation of the figures contained herein. I thank all those previous supervisors whose examples and thoughtful counsel on leadership have provided much insight in preparing this study. I am equally grateful to all those who have worked with me and for me, helping me to mold my own leadership style. Finally, I am deeply indebted to the group of young officers with whom I have been closely associated over the past ten years and who have provided great inspiration to me to be the best leader I can possibly be.

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"Leadership can be but a broad ideal proposed by the culture of a country, instilled into the young through the schools, but also through the family, the intellectual atmosphere, the literature, the history, the ethical teaching of that country. Will power, sensitivity to the age, clear thinking rather than profound thinking, the ability to experience the emotions of a group and to voice their aspirations, joined with control of those emotions in oneself, a sense of the dramatic ... are among the ingredients of the power to lead men."

---- Henri Peyre

PREFACE

One enters the study of leadership with a great sense of challenge -- and some trepidation. It is a topic of genuine interest today. With all that has been written recently one looks eagerly toward adding credibly to the store of knowledge to make worthwhile reading for the serious student and practitioner.

This treatise represents the initial product of what is an on-going study of leadership and leadership development. Over the course of my eighteen years as an officer in the military and twenty-five years involvement in leadership roles in local communities and athletics, along with my academic study of the subject, I have gained insights which I am compelled to reduce to manuscript. What I have learned and will share here may appear to be common knowledge, but I believe it needs exposure through the prism of my experience. This is because, when we read another's thoughts, we often reflect that we knew those thoughts, but had never perceived them in quite the way this particular author has presented them. Another part of what I have learned -- and perhaps what is the most important thing I have to share -- is we need to reconsider how we view leadership. Schools, models, and theories of leadership and management abound for those who are already leader; but we

are not frequently confronted with an approach to the total development of good leadership.

This is the goal of this study: when you have finished reading it, you will believe it offers an approach to leadership which was not previously apparent to you. You will read about those other schools, models, and theories; you will read about character; you will read about skills required in leaders; you will read about working with people. More important, however, I believe this "prescriptive approach" will provide you better insights in your quest for excellence in leadership in yourself and those around you.

Dale O. Condit
Maxwell AFB, Alabama
March 1987

PART I

INTRODUCTION

CHAPTER 1

Recent Leadership Schools, Theories, and Models

The studies of leadership and management offer many perspectives with respect to what leaders and managers are, must be, and must do. Leadership and management are often used synonymously, and studies abound whether one or the other is an art or a science. In addition to the schools, theories, and models for leadership and management, more recent strategies with respect to "organizational excellence" have been advanced.

Terry has provided an excellent overview of the significant schools of management thought which describe **managers'** patterns of thought with respect to their responsibilities and methods. The Management by Custom School uses the experiences of the recent past as a guideline for the actions of management for present situations. Knowledge of how the organization itself successfully dealt with similar situations would offer the basis for current decision making. By gathering data on the progress of similar organizations, more informed decisions could be made. While such a style can be effective, it may not foster creativity. The Scientific Management School seeks to use experimental and scientific methods to discover causal relationships to improve management. This is accomplished by gathering facts and information and seeking

relationship among them to develop accurate generalizations to be used in the management of organizations. The driving force for this management school is the desire for new ideas to improve organizational management. The Human Behavior School of Management believes that the central focus of the manager should be on human behavior. Since this behavior determines how well an organization functions, managers must apply the principles of behavioral science to their management of the organization. Individuals in the organization should be understood as psychological beings and brought into the management process. In this way a healthy organizational environment can be created to satisfy the needs and motivations of these individuals. The Social System School regards organizations as complex social systems. Here management should understand the social and cultural subsystems and how they interact cooperatively to achieve organizational goals. Important to this school is the effective communication and stress on the interaction and cooperation among the organization's members. The manager's role is to balance the interests of the group to achieve their common goals. The Systems Management School defines a manager's role in terms of systems, or products in some industries. The systems approach violates the traditional organizational structure's concentration on "functions" for that of "systems." Management of the various systems cuts across functional disciplines, but

allows the manager to view the "big picture." It also simplifies the understanding the manager must have of the various function involved in the management of a particular system. The Decisional Management School studies the decision-making process since its adherents believe decisions are the central focus for the manager. The concentration is on the diagnosis and resulting decisions for the improvement of the entire range of activities within the organization, from organizational structure to financial decisions to human resources concerns. The introduction of quantitative methods has contributed significantly to decision making and led to subsequent school of management thought. The Quantitative Management School views as a logical entity. As such, measurable data and their relationships can offer the manager information necessary for decisions. Based on these data, decisions are directed toward optimizing physical productivity rather than dealing with human behavior, although methods are being in this area as well. Finally, the Management Process School envisions management as a process whereby the manager performs basic functions different from non-managers. In performing these functions, managers use groups of people to accomplish tasks. Operating in concert, these groups, achieve organization achieve organizational goals, as well as individual goals. Central to this school of thought is the

universal nature of management, its applicability across the broad range of human enterprises. (8:92-126)

By themselves, each of these schools of management thought provides only an isolated perspective of management. A broader perspective is required for the context of leadership. These schools, along with the subsequent investigation of certain organizational entities and their leaders, have resulted in theories and models for management and leadership which have gained wide acceptance. These will be useful in understanding the perspective to be developed in the present study. The first attempt to look at management as something more than a "seat of the pants" function was made by Taylor in the early part of this century. His principles of scientific management basically postulated that jobs could be designed and people selected for those jobs in a very scientific way in order to maximize the output of the organization. Taylor suggested that effective training and worker incentives were essential to this maximization. (1:6-2-6-3) This was the beginning of what has been called the "task orientation" in management.

The Management Process School provided a series of functions for which the manager was responsible: planning, organizing, actuating (sometimes called "coordinating" and "directing"), and controlling. (8:131) These, then, became the tasks of the managers in their quest to achieve organizational goals. The function of actuating recognizes

an important element of human behavior and human interaction in the management of an organization.

The human element was given greater emphasis in Douglas McGregor's The Human Side of Management in 1960. His Theory X and Theory Y were probably the beginning of the notion of the distinction between management and leadership. Theory X -- what has become "task management" -- purports that human beings can be described in negative terms with respect to their orientation toward work. For example, these negative attitudes include their inherent dislike of responsibility, avoidance of work, and need to be coerced to get results. Theory Y -- what has become "people-oriented management" -- views people in the work environment in terms of positive characteristics. These positive attitudes include the fact that work is natural and people have a capability for self-direction, responsibility, and creativity.

(1:12-15-12-16) McGregor believed that Theory X was no longer an effective management/leadership orientation. He thought it was necessary to integrate organizational and individual goals for success. More recent work has shown the organizational situation may dictate either or a balance of the two.

This view was articulated by Blake and Mouton in 1964 when they proposed their "management grid." The grid is a two-dimensional representation on vertical and horizontal axes of "concern for people" (people-orientation) and

"concern for production" (task-orientation), respectively, as shown in Figure 1. Styles of management are represented by the four quadrants of the grid and its center: low concern for people/low concern for production (denoted 1,1) which is "impoverished management"; low concern for people/high concern for production (1,9), referred to as "authority-obedience" management; moderate concern for people/moderate concern for production (5,5), which is "organization man management"; high concern for people/low concern for production (9,1), described as "country club management"; and high concern for people/high concern for production (9,9), which is termed "team management." (2:12) Blake and Mouton made the point that the (9,9) style was the most effective management style to employ.

Hersey and Blanchard expanded this model, giving it a third dimension of "effectiveness" to avoid the temptation offered by the management grid: "team management" is the "best" leadership style. This third dimension is shown in Figure 2. The effectiveness dimension recognizes that leadership style is a function of the situation in which the leader is operating. This is to say, for some situations a (9,9) style might be very effective; while in others, it might be totally ineffective, wasting human, physical, and financial resources. Therefore, leaders must "integrate the concepts of leader style with [the] situational demands of

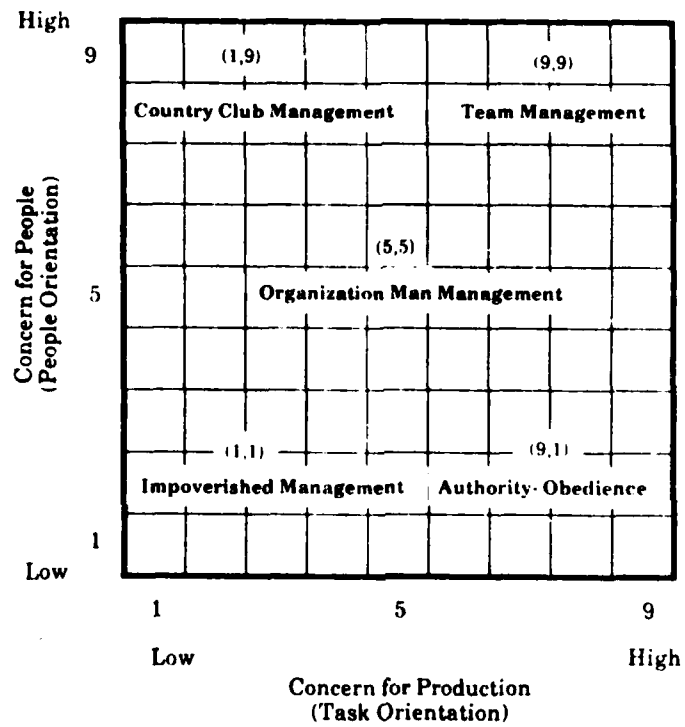


Figure 1. The Management Grid (3:12)

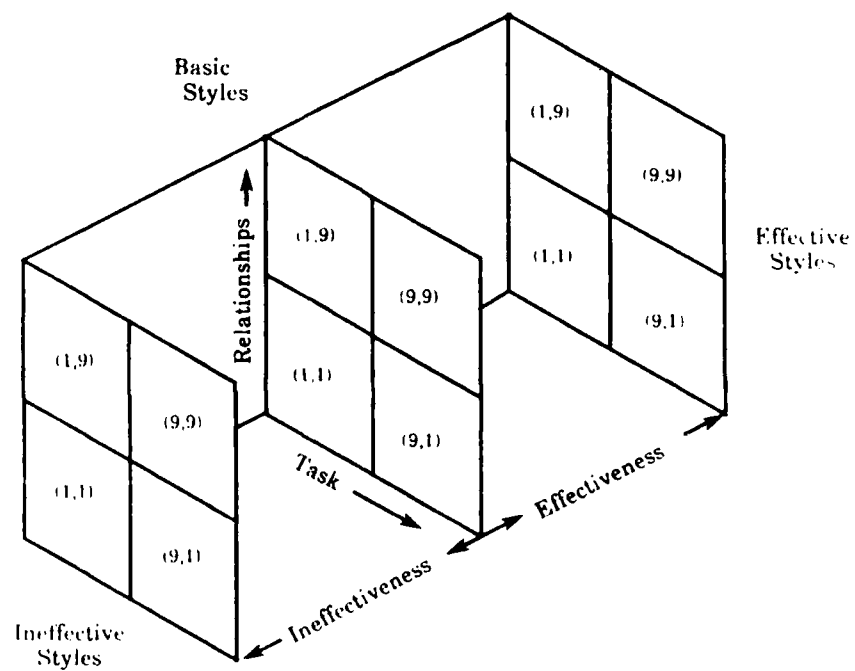


Figure 2. The 3-Dimensional Leadership Effectiveness Model (5:553)

dynamic environments," adapting their "style" to the situation. (5:551-554)

Korman went a step further by postulating that the maturity of the group being led is a major determinant of leadership style. Maturity is based on two main factors: willingness (motivation) and ability (competence). As this maturity changes -- that is, the "human" situation changes -- the leadership style necessarily changes. Figure 3 illustrates this. By determining the maturity of the subordinate(s) on the scale below the grid, a vertical line upward from that point will intersect the curve line in the appropriate leadership style quadrant for that level of maturity. With very immature groups, the style would be low concern for people/high concern for production (1,9). As maturity increases, the style would change to (9,9), then (1,9), and finally to (1,1). (4:163-168) Blake and Mouton would most likely disagree with this last step to the (1,1) style because of their belief that the effective leader's concern for people should never be low, even in highly mature groups.

Argyris has also advanced the theory that high concern for people will yield organizational effectiveness. He believes the leader, in dealing with mature individuals, must establish "trusting, authentic relationships" among people which will result in "increased interpersonal competence, intergroup cooperation, and flexibility" to

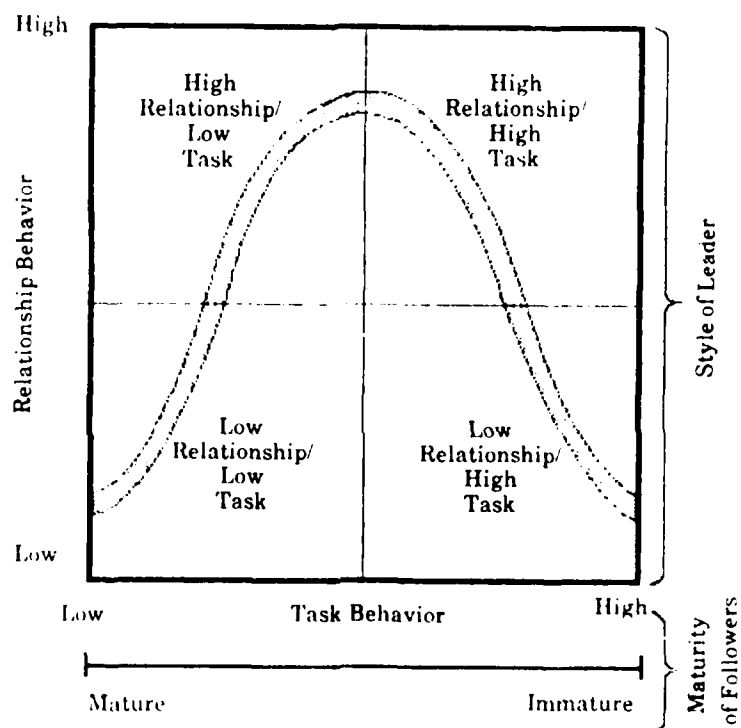


Figure 3. The Leadership Style-Subordinate Maturity Management Grid (4:164)

achieve organizational goals. (4:60-61) Herzberg found that establishing those trusting, authentic relationships requires incentives. These incentives are of two types: "hygiene factors" such as money, status, security, and working conditions and "motivators" such as achievement, recognition, challenge, responsibility, and growth. The leader's job is to provide the appropriate incentives to achieve group effectiveness and, in this way, organizational success. (4:64-68)

Lickert makes an important point that management must consider both human resources and capital resources in achieving organizational effectiveness. He proposed organizational change programs to accomplish this. They involve moving from Theory X (9,1) to Theory Y (9,9) in a series of steps by a shifting emphasis from hygiene factors to the motivators. (4:72)

This has been advanced more recently by Burns in his book Leadership and by Peters and Waterman in their popular book In Search of Excellence. While much of Burns' study centers on political leadership, he offers an important theory of leadership: the "dynamic reciprocity" between followers and leaders that thrives on conflict. Thus, leaders are the agents of change by having a "comprehensive and lasting influence" on their followers, movements, and organizations. "Leadership mobilizes," he states. (3:439) He makes the salient point that so often the traditional

conceptions of leadership dwell on the great captains and forget the "vast preponderance of personal influence that is exerted quietly and subtly in everyday relationships."

(3:442) "Leadership is not merely a game among elitists and no mere populist response," but is a "structure of action that engages persons, to varying degrees, throughout the levels and among the interstices of society." (3:3)
Everyone involved is a leader.

Peters and Waterman's work points to the fact that, in today's world society, organizations are becoming ever more complex and their leadership must become increasingly proficient. (7:8-9) Kotter and Turcotte, and Burns to some extent, have proposed models for the leader in large organizations. Kotter points out the complexity which exists in organizations today is the result of increased diversity among people with respect to their goals, values, and perceptions and greater interdependence in terms of the power individuals have over one another in these organizations. (6:17) The challenge for the leaders is to make this social complexity work for them, and not against them. His model proposes the responsible use of "power dynamics" to solve the conflicts which arise from diversity and interdependence to achieve organizational success.
(6:39) Turcotte proposes a very comprehensive model for top executives leading large, complex organizations. It involves the integration among five broad activities:

understanding of the organization's external and internal environments; managerial processes such as those discussed earlier; behavioral processes which include style, motivation, and group dynamics; change strategies; and the management of time. (9) Burns, as stated previously, reminds us that those throughout an organization -- to the lowest subordinate levels -- and are the real "agents of change." Any approach to the leadership of organizations must take this into account to achieve organizational goals and success.

CHAPTER 2

The Missing Elements

In reviewing the many schools, theories, and models of management and leadership, several observations are in order. First, most are bipolar: a leader is either this or that; a leader must do either this or that. Second, the distinction between management (or executive management) and leadership is not altogether clear. Finally, Harris points out that definitions of leadership are too often narrow (3:49), and Roskill concurs by stating that the essence of leadership is elusive, personal, and resistant to analysis. (6:9) With this in mind, nonetheless, some assumptions must be made with respect to management and leadership before proceeding with this study.

1. Leadership and management are not synonymous; leadership is the superordinate term and subsumes the functions of management.
2. Leadership is the ability to influence an organization composed of individuals toward the achievement of its goals while management involves the manipulation (in the best sense of this word) of its physical, fiscal, and structural resources through the functions of management.
3. Leadership is neither an art nor a science; it is a multi-faceted process which involves the talents of an art and the skills of a science.
4. Leadership is not an end, but a means to an end.

In addition, these schools, theories, and models offer many good skills for the leader; they are "descriptive" in nature. With the possible exceptions of Roskill (6) who treats leadership as an "art" and Turcotte (7) who treats it

more as a "science," if these models offered over the years are prescriptive, they are prescriptive from a very narrow perspective: what is the leader expected to be and to do now that the leader is in the position of leadership. In these contexts, then, two elements are missing. First, one must look across all these models to formulate an integrated approach. Second, and most important, what is missing is the prescription for being ready when one arrives at the various leadership stops -- not learning once having arrived. Smart people are making a fortune conducting seminars for the latter -- but it is the former which demands our attention. Arriving at leadership is itself a process and one not clearly articulated in the literature. Even those companies which are very adept at "management training and socialization" conduct their training once the individual management trainees have been selected. (5:29) Burns points out that "leadership begins earlier, takes more forms, pervades more sectors of society, and last longer in the lives of most persons than has been generally recognized." (2:427) This must be considered in learning about leadership and in developing a viable "prescriptive approach" to leadership.

Adler in his book A Guidebook to Learning discusses the modes of learning: obtaining or receiving information, acquiring knowledge, supplementing it with understanding, and reaching for wisdom. Likewise, these can be translated

into the modes of knowing: to know **that**, know **what**, know **how**, and know **why and wherefore**. Receiving facts, information, is knowing **that**, but involves no real knowledge of the area or endeavor. Beyond knowing **that** something is the case, knowledge of what it is, what its characteristics are, and what its relation to other things is constitutes knowing **what**. Knowing **how** takes two forms: the know-how of skillful performance in either intellectual or physical pursuits and the know-how of acting for our own good and the good of society. Adler also points out that if we know "something is a fact, what it is, and why it is, our knowing is descriptive." If we know some goal which ought to be sought or something ought to be done, then our knowing is prescriptive. (1:113-115) These distinctions are important in developing an integrated, prescriptive approach to leadership, particularly in viewing it in terms of a process. Know-how is one element which is required for successful leadership, both in terms of actions for what is good in the leader and for society and performance of the requisite intellectual skills. Being ready for leadership when it comes is a goal, not just for individuals who seek such positions, but for the society -- and has, therefore, a "prescriptive" nature.

Taking this into account, together with what Burns has said about the pervasiveness of leadership, Roskill and Turcotte discussed about understanding the art and science

nature of leadership, and Zaleznik's comment that "there are no ways to train 'great' leaders" (8:67), what is required is an approach to produce leaders, **good, effective leaders**, not great leaders -- develop them, if you will -- to fill those "levels and interstices" of society. Great leaders cannot be expected or anticipated. The pace of changes in society and their concomitant magnitude require well-prepared leaders -- these **good, effective leaders** -- because society cannot hope nor wait for the "great" leader to come along. Leaders are needed who can cope with change, diversity, interdependence, conflict -- all those complexities already mentioned. The goal is to get those leaders, and a prescriptive approach which integrates what is known about leadership is the avenue to get them.

Naturally, the ultimate usefulness of any such approach will be measured by the leaders capable of effectively leading organizations it produces. The best approach is to build in the traits and skills ahead of time. Such an approach must also lend itself to the development of the best education and training processes required to achieve these capable leaders. Hersey and Blanchard noted it is "easier said than done" to tell practicing managers they should study behavioral science and other skills to become effective. (4:159) Furthermore, having a prescriptive approach allows for measurement of where individuals are on

the ladder toward developing and internalizing the necessary attributes of a leader.

The Prescriptive Approach which follows is a new approach designed to address the concerns of the above two paragraphs: what skills and traits must be developed in prospective leaders and how shall this be accomplished. The former will be discussed in Part II: The Elements of The Prescriptive Approach. The latter will be covered in Part III: Using The Prescriptive Approach.

PART II

THE ELEMENTS OF THE PRESCRIPTIVE APPROACH

CHAPTER 3

Introduction to the Prescriptive Approach

Out of the discussion of the various schools, theories, and models of leadership (and management) comes the need for an integrated model, one which looks across the spectrum of the leadership process and examines both the art and the science process and the traits and skills it requires. Further, and equally important, this approach must provide for the selection, training and measurement of leadership. Such an approach will enable the large number of leaders at every level to be developed to meet the needs of organizations and the individuals who comprise them, whether they be in the realm of business, government, the military, sports, charity, or religion.

Fundamental to this prescriptive approach to leadership are the "givens." Because leadership is applied through organizations and the individuals in them to achieve certain goals, leadership and the leadership development process must be viewed in this context. Figure 4 illustrates that individuals and organization bind together to achieve goals, both organizational goals and individual goals. These goals are not automatically achieved. Instead, these goals are achieved as a result of leadership and organizational processes (for example, planning, financing, manufacturing).

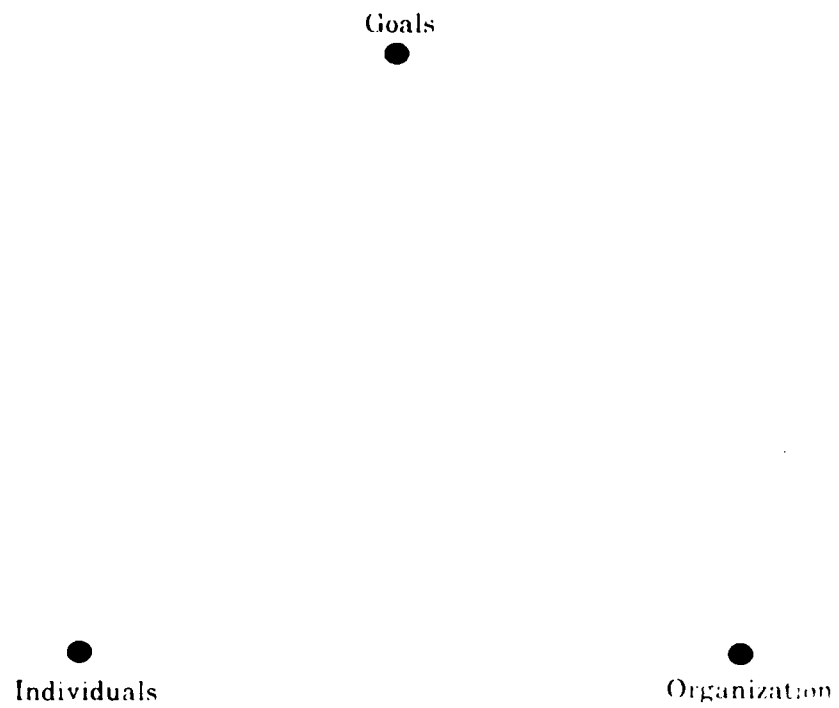


Figure 4. Individuals Use Organizations to Achieve Goals.

What then is involved in the leadership required to achieve these goals? Figure 5 illustrates the fundamental traits and skills required in the leadership process in organizations and constitutes the integrated model -- the elements of **The Prescriptive Approach**. Individual Traits are those more personal qualities of leaders which are generally developed intellectually, physically, socially, and spiritually over their early years and are not solely the result of a formal educational process. Professional Skills are the earliest of the skills mastered in formal education, from individual skills such as writing to disciplinary skills such as accounting for business majors to unique skills such as those particular to the military profession. Helping Skills are those used by leaders to help individuals within an organization, skills such as counseling. Group Dynamics Skills expand on helping skills and are those necessary in working with groups of people. The "Sigma Factor" relates to the integration and interaction among the skills and traits in the lower level tiers in the "total" leadership sense.

While these skills are not necessarily hierarchical -- for example, one certainly learns group dynamics skills on the playground or an athletic team as a youngster -- they are proposed as hierarchical in the context of The Prescriptive Approach. This is done to emphasize the necessity for concentration on building these traits and

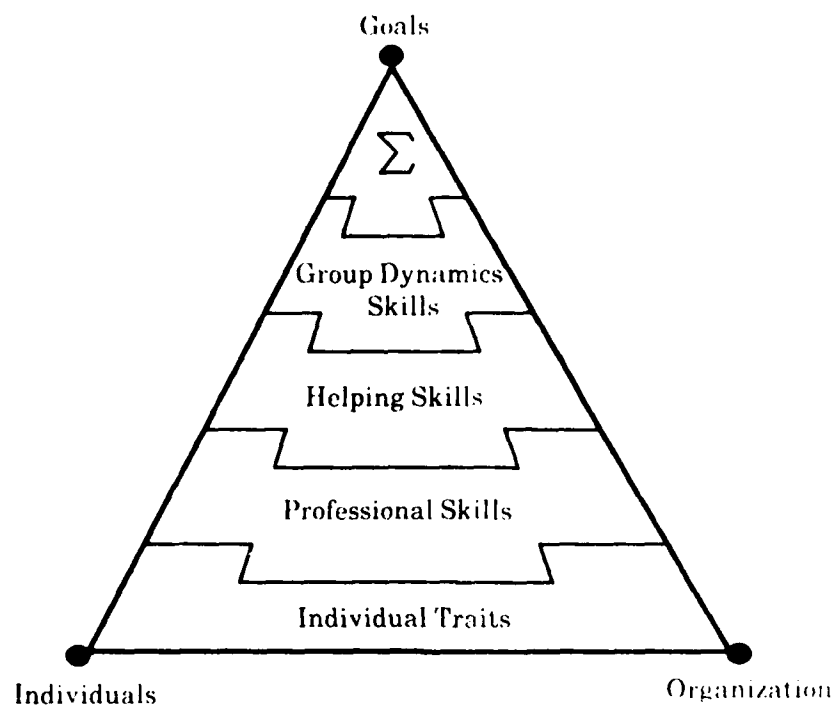


Figure 5. The Elements of the Prescriptive Approach

skills in an effective leadership development process. Each of the tiers is shown as interlocking, as well, in recognition of their close relationship to one another in achieving effective leadership.

In the chapters which follow each of these tiers in The Prescriptive Approach will be discussed in more detail, to illustrate both their importance in the leadership process and their necessity in an effective leadership development process.

CHAPTER 4

Individual Traits

No discussion of leadership ever occurs without discussion of "individual" traits -- often too narrowly referred to as "character traits" or simply "character." Yet no set of characteristics of a leader is more difficult to distill to its essence or more open to controversy than these individual traits. As least part of the problem is that those who are already leaders are examined for individual traits and, depending on a particular investigator's biases toward given leaders and styles, certain traits are selected as the *sine qua non* of leadership. Turcotte believes it is a subject which has not been dealt with adequately. (23:29) This is due to the fact that, in the current environment of investigating leadership and leadership development, these essentials to leadership are considered "fixed" commodities in those who are leaders or about to become leaders. That is to say, these traits can neither be taught nor influenced. They are either present, or they are not. In rejecting this view, the first task is to determine what these individual traits are and then discuss how they might be taught and influenced.

In those books, articles, and lectures which do address the subject of individual traits, a certain commonality exists among traits. These common traits fall into the

category Zaleznik describes as "leader personality."

(26:124-133) This leader personality takes on a broad dimension when one considers all the traits of which it might consist. In an excellent article on leadership, Time in 1974 questioned several leading minds with respect to these traits. Mortimer Adler, perhaps America's foremost philosopher, summed it best when he described them in terms from the Greek:

1. **Ethos** or moral character,
2. **Pathos** or the ability to touch people emotionally and spiritually, and
3. **Logos** or solid reasoning ability and intellect. (10:26)

Others in the article noted traits within these categories: character, intelligence, honesty, candor, vision, courage, physical stamina, and moral authority. (10:23-27)

Effective leaders put these individual traits to work in their organizations. As Bennis and Nanus describe this as the "creative deployment of self." But, to do this, they caution, the "management of self" is critical. (1:58) The leader must not only employ these traits -- but must carefully develop and manage them.

This study begins with those essential individual traits which distinguish the leader and must consciously and conscientiously be developed, managed, and employed. They are divided into four categories and establish the

foundation of The Prescriptive Model as shown in Figure 6:

1. Character Traits
2. Values and Standards
3. Vision
4. Energy

Character Traits

In his essay Emerson said character is "a reserved force, which acts directly by presence and without means. It is conceived of a certain undemonstrable force ... by whose impulses a man is guided but whose counsels he cannot impart." (4:184) Moore points out that the "crucial quality" necessary to the implementation of authority is "excellence of character." What qualities make up character?

Integrity. "Integrity is an essential quality for effective leadership." (2:89) Integrity in the leader comes in two forms: personal integrity and trust in others. The ramifications of each have an incredible influence on organizations, their individuals and their goal achievement. Drucker points out that integrity is the vital quality through which leadership is exercised -- example is imitated everywhere. He explains that lack of integrity, regardless of other high qualifications, leads to failure. (3:157-158)

Personal integrity is basically honesty in one's behavior, in small matters as well as large ones. Roskill makes this point very clearly when he says "every small act of deceit in which we involve ourselves all too probably leads to another and more serious piece of mendacity or

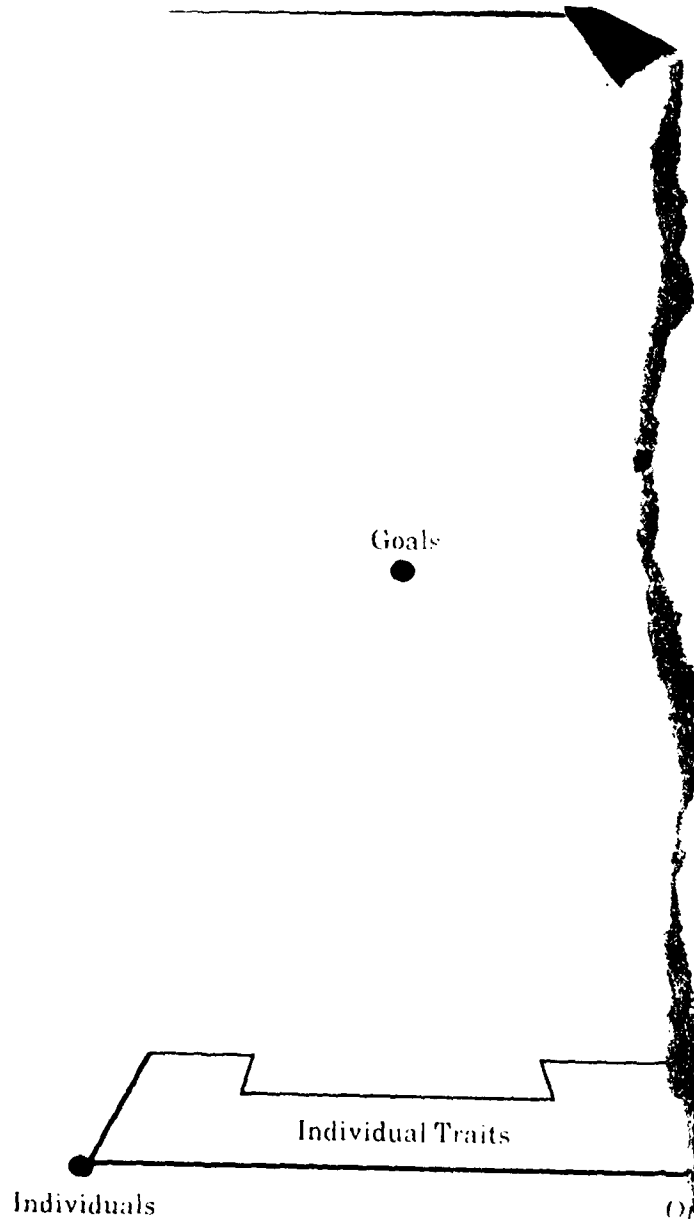


Figure 6. The Foundation Element:
Individual Traits

fraud, so progressively undermining one's whole integrity."

He urges leaders to avoid the minor acts of dishonesty from the very beginning to avoid such a trap. (16:42-43)

Admiral James Stockdale has also stated that this integrity must not be relativistic. One cannot fall into the convenient social trap of measuring the legality versus the illegality of an act as opposed to whether what is good versus what is bad. Common sense and personal responsibility are crucial to one's sense of integrity.

(20:2) Wheeler summarizes H.L.A. Hart's criterion for integrity:

Hart's important points are three: an impartial point of view, an active concern for others, and a disciplined attempt to meet the claims on one's behavior. These are the marks of morally sensitive man, and they constitute a large part of what we ordinarily mean when we speak of personal integrity. (25:54)

Personal integrity involves not only honesty in one's personal acts, but in one's evaluation of self. If such an honest appraisal can be made, so can changes -- changes in behavior, in particular. Contrary to conventional wisdom, personal integrity can be strengthened.

The personal integrity which one displays in a leadership role has a dramatic influence on the behavior the individuals led. The authenticity manifested by practicing what one preaches creates a confidence in the follower.

(22:56) This is typified, in Drucker's words, by behavior manifested in "what is right" not "who is right." (3:157)

Good leaders recognize that such integrity is a great source of power. The effective leader gains the followers' trust first, and then their collective power becomes an instrument for achieving organizational goals. (12:54)

While developing trust is essential, so is trusting in others. In this way the leader fosters integrity within the organization. Wakin states "integrity would appear to be one of those critical moral qualities which makes loyalty and obedience possible." (24:367) Why is this important to the leader? Wheeler shares an important insight: If leaders inspire trust, they also inspire loyalty.

"Without trust, he may be able to compel compliance with his orders, but this compliance will not be the same...."

(25:53) This inspired trust enables leaders, in concert with their followers, to accomplish tasks necessary for the achievement of individual and organizational goals.

How do leaders do this? They create the "climate" for integrity to flourish. Already mentioned are the leader's personal acts, establishing trust, and trusting others. The key to establishing this climate, according to Henderson, is "dynamic vertical communication." Leaders must ensure that their subordinates know exactly what they expect and what they want; and, likewise, subordinates must ensure they tell their leaders the way it is and not what they think the leaders want to hear. (7:100) Clear communications with appropriate feedback mechanisms is, therefore, essential --

both oral/written and non-oral -- by what is said and what is done.

Courage. Close on the heels of the leaders' integrity is their courage. In dangerous jobs, such as the police, fire, and military professions, physical courage is necessary, understood, and respected in leaders -- and in followers, too, of course. However, the essential quality in leaders is **moral courage** which is a direct outgrowth of integrity. Moral courage is manifested in many ways, and Roskill get to the heart of many of them. First and foremost, it is "the ability to recognize evil ... and resist it." It is to seek the truth and stand for that which is right. The ability to admit when one is wrong is a measure of moral courage, as is resisting pressures to pursue popular and expedient courses of action rather than those more morally defensible. Those who clearly recognize what has to be done and set about to do it are those imbued with moral courage. (16:44-49) General Spangrud has couched moral courage in two ways: having the strength of conviction to speak up when necessary; and the ability of making decisions which, while unpopular, are right -- and accepting the responsibility. (19:2)

Roskill believes that courage can be taught, but not in an academic sense: "The only possible teacher of it is the example of the self-disciplined man." (16:50)

Self-Discipline. No other individual trait of a leader

is more self-evident yet harder to define than self-discipline. In the leader self-discipline includes discipline of the mind, Roskill notes, which is characterized by "absolute clarity of thought" and "abundant common sense." (16:84) Another element of self-discipline is self-control, the internal mechanism that ensure leaders themselves do those things they are supposed to do, not doing those things they are not supposed to do, and controlling their destructive passions.

Self-discipline displays itself in a number of ways: calmness, balance, and a sense of humor, the leader's constant companions. (16:85-86) The effective leaders understand stress and take advantage of it to improve their performance and the performance of the others. This is what the Kriegels call "C Zone" performance, controlling stress as a positive force. (11:17) Self-discipline is required to yield these kinds of positive results in the high pressure environment of leadership.

Self-discipline in leaders extends outward into their organizations. They know the importance of focussing the important issues and ensure their followers concentrate on them. (17:334) Peters and Waterman speak of this discipline in an even broader sense in the "attribute of excellence" they call "sticking to the knitting," which implies the necessity for discipline in the leadership to

keep the organization doing what it does best, employing its inherent skills in the best way. (14:293)

Self-discipline in the words of Paul Hornung in the now famous beer commercial, is "practice, practice, practice." Self-discipline is a matter of developing good habits through concentration and practice -- and having the self-confidence that the good result is attainable.

Intelligence. The need for intelligence in leaders is perhaps prone to the most argument. As already mentioned, however, today's environment is increasingly diverse and complex which requires leaders to absorb, understand, relate, and act over a broad spectrum of issues -- simultaneously! The leader's ability to do this will, quite frankly, be a function of the power of intellect. Garfield believes intellect is required, but not being an "intellectual"; and he shares Vince Lombardi's thought "you need to be smart to be number one in anything you try." (5:51) When added to integrity, moral courage, and self-discipline, leaders' expertise as established by their intellectual capacities forges a solid credibility to allow them to lead effectively. Subordinates recognize the power of this combination and are inspired to follow.

Sincerity and Simplicity. This illiterative couplet speaks to the leader's genuine and uncomplex nature. Bennis and Nanus point out the quality of sincerity in a leader:

In order to **willingly** accept the direction of another individual, it **must** feel good to do so.

This business of making another person feel good in the unspectacular course of his daily comings and goings [being sincere in word and deed], in my view is the very essence of leadership. (1:59)

Sergiovanni believes that leaders of highly effective organizations have very strong feelings about achieving the goals of the organization; they "care deeply." (17:334)

This sincerity must be connected with simplicity, simplicity in terms of lack of complexity or capriciousness in the leader's actions and reactions. Followers must know a leader well enough to be able to act in given circumstances should the leader not be instantly present. Consistency, born of simplicity, is a worthwhile hallmark and allows followers latitude in pursuing both organizational and individual goals.

Humility. While last in the group, humility is not least by any means. Humility plays heavily with all the preceding traits. It does not mean that leaders do not have self-confidence in their abilities or are restrained from taking credit when it is due them. What it does mean is that leaders suppress their egos and recognize the ultimate source of power for achieving organizational goals resides in the followers. (12:54) Humility is an unselfishness which means the leader does make concerted, conscious efforts to give credit to those who make organizational accomplishments possible.

These then are the character traits essential to effective leadership. Leaders must take these traits to

themselves, exemplify them, and inculcated them in those those they lead. As Wakin so succinctly stated: "One's character is what counts." (24:374)

Values and Standards

The best leaders are those who have well-developed sense of values. Values can be described as what is good, what is right, what is worthy, what is desirable in the context of how an individual decides to use one's life.

(15:6-7) To be called values, they must be freely chosen and cherished and affirmed by the individual. More importantly, they serve as direction for decisions of action and the standard for measuring the quality of behavior.

(15:28-29) The evidence of values can be found in an individual's goals, objectives, and aspirations; attitudes; interests; feelings; beliefs and convictions; activities; and worries and problems. (15:30-32)

In his Model for Quality Leadership, Sergiovanni states "what a leader stands for is as important as what he or she does." His model proposes that high quality leaders have a "platform," which "refers to the articulation of one's principles into an organizational framework. Platforms are governing in the sense that they represent criteria and an implicit standard from which decisions are made."

(17:330-332)

Garfield believes the leaders who determine the direction a mission will take and who are the "peak

performers" are those with strong commitments to values.

He articulates several of the critical values:

1. Achievement: the primary motivation is through mission.
2. Contribution: seeks results and assists in the development of others.
3. Self-development: pursues self-management and self-improvement.
4. Creativity: encourages innovation and risk-taking.
5. Synergy: aligns organization, team, and personal objectives.
6. Quality: seeks feedback and makes corrections.
7. Opportunity: welcomes the challenge of change. (6:266)

Sergiovanni makes clear that what the leader believes in and stands for are the "guiding principles which give integrity and meaning to leadership." (17:331)

Equally important to leaders having such values and standards is the careful articulation of them to the members of the organization. These values and standards then become the guideposts the organization uses on its pathway to goal achievement.

Vision

While character traits and values typify leaders in an inward context, vision typifies them in the outward sense. Leaders must be the source of vision for their organizations and play the crucial role in communicating that vision to everyone. Sidey has called this vision "optimism, perseverance, patience, and an eager view of the distant horizon." (18:25) Strozier also believes this vision must have great breadth. The leader must be capable of standing

back and taking the entire situation into view, then carefully considering the steps to be taken and the likely consequences. Leaders are equally disposed in this context to take the necessary risks to make the vision a reality. (21:63)

Individuals within an organization need a sense of purpose. They need to know that their struggles and the associated frustrations have a reason -- that their lives have meaning. Effective leaders are those capable of visualizing purposes and generating value in work; they have the ability to communicate to their followers with an imaginative capacity. (26:125)

The most common manifestation of the leader's vision is a strategy. Besides providing the organization with a sense of what it is doing and why, the leader's strategy provides a vehicle for sustaining interest, elucidates the tasks to be accomplished, provides a mechanism for evaluating progress, and, most important, maintains a sense of commitment to the vision -- the goals. (8:133-136)

Vision can also be considered a broad-range view that allows the leader to separate the important from the trivial and to establish priorities for taking action. We have already discussed the moral imperative for the leader to observe what needs doing and setting about doing it, but a practical imperative also exists to do the most important

things first. With the vision in mind, the leader can accede to both imperatives.

Energy

No one doubts that leadership requires an enormous amount of energy. Most commentators put this requirement in terms of hard work:

Leaders of high performing systems [organizations] put in extraordinary amounts of time; they work hard. Leaders who strive for excellence should 'seek constantly to do what is right and needed for the system (focus); do it all out in terms of your energy (time); put your whole psyche into it (feeling).' (17:334)

The energy equation for the most effective leaders is larger than sheer physical stamina. It is the combination of three types of energy: field energy, integral energy, and dynamic energy as shown in Figure 7.

Of these types of energy, field energy is perhaps the most difficult to define, but easy to discuss in terms of everyone's experience. Most people have worked for leaders about whom they "sensed an energy" -- a psychic form of energy which they imparted to their organization and which followers drew on for their own dynamic energy, which will be discussed momentarily. In discussing character, Emerson states, "What others effect by talent or eloquence, this man accomplishes by some magnetism. 'Half his strength is not put forth.' ... He conquers because his arrival alters the face of affairs." (4:184) He calls it a "motive force,"

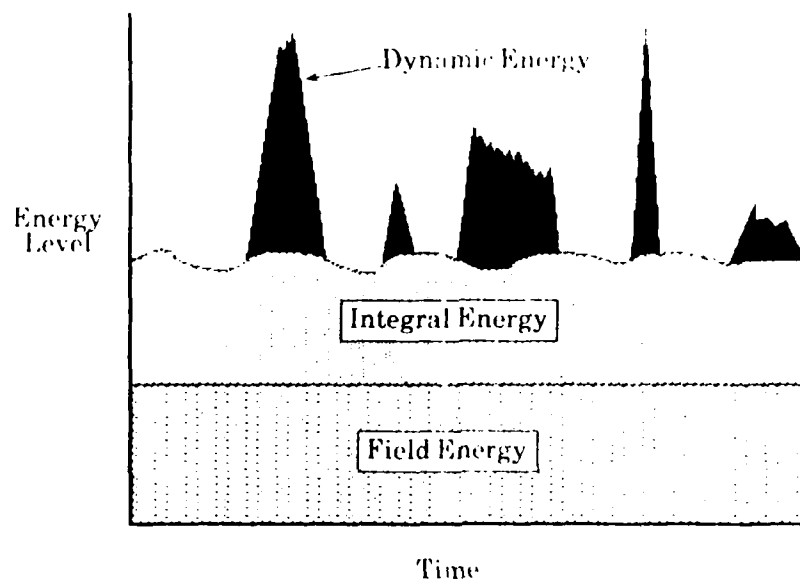


Figure 7. The Leader's Energy Profile

and his relating it to magnetism is the reason for the selection of the term "field energy."

What is the source of this field energy? It is the manifestation of all that has come before in this chapter. Emerson, of course, believed character to be a great "motive force ... an extraordinary and incomputable agent ... communicates all [its] own faith ... this moral order seen through the medium of an individual nature .. the reason why we feel one man's presence and do not feel another's ... shares the magnetic currents of the system." (4:185-187) The artful combination of individual traits, values and standards, and vision serve as the foundation of field energy. Field energy then become an effective inspirational force within the organization.

Integral energy and dynamic energy have a physical context. Integral energy is that level of energy at which the leaders operate on a daily basis and, while cyclic, is nearly constant from day to day, as shown in the figure. This energy is "integral" to the leader. Dynamic energy, on the other hand, is that reserve energy the leader can call upon when extra amounts of work and higher levels of performance are required for short periods of time.

The most effective leaders have high levels of all these three types of energy. They exercise great physical self-discipline and work very hard to develop them, sustain them, and employ them.

In the introduction the importance of the employment and development of individual traits was noted. The development process for such traits is not easily accomplished because of their intimate nature.

Those who believe character cannot be developed in leaders are those who take too narrow a view of leadership, assuming that leadership development begins at more mature stages in an individual's life. This is clearly not so. What may be true is that leaders without these traits are inappropriately selected for leadership positions in these stages. Oncken believes character must be worked earliest in one's life. (13:227) Roskill points to the importance of the family in developing fundamental leadership qualities -- the individual traits -- by being the "laboratory" where they are practiced. (16:21) He also emphasizes the importance of examples in the development of these traits. (16:50) Both family members and schools through its teachers can provide these examples. Current emphasis on "values clarification" can serve young people well in developing those traits so essential to leadership. Parents, teachers, coaches, youth group and church leaders can all develop these traits by discussing them, encouraging them, and providing an example of them. They can work diligently to produce within young people "positive self-regard" by emphasizing strengths and working to improve weaknesses which may be holding them back. Equally

important is an emphasis on determination to make the most of oneself which Garfield believes is so essential to peak performance. (5:51)

Integral energy and dynamic energy require attention, as well. Such energies are essential to high levels of performance. The most effective way to increase these energy levels is through a program of regular physical fitness which achieves a balance between aerobic capacity and strength. Kriegel emphasizes this good physical conditioning to improve one's mental attitude and enthusiasm. He also suggests it makes one more alert, creative, and confident, as well as increasing energy level. (9:76) Such attention to physical fitness is also begun at an early age, but no time is too late.

Indeed, it is never too late really for enhancement of any individual traits. Leaders who are serious in self-examination can determine what needs attention and give it in full measure. These traits give prospective leaders the solid foundation from which to move on to the skill-based elements of The Prescriptive Approach.

CHAPTER 5

Professional Skills

The next levels constituting The Prescriptive Model, and interlocking with the foundation of individual traits, concerns what are broadly termed the "skills." Emphasis is on "skills" and not "traits." As a result, skills can be developed by more formal education and training. Bennis and Nanus postulate that the second element in the "positive self-regard" which typifies the most effective leaders is their nurturing of skills with discipline. They go on to say "the capacity to develop and improve their skills is what distinguishes leaders from followers. (2:59)

Moore reminds us that those leaders who are most effective in motivating their followers possess three qualities: good will (which will be discussed in subsequent chapters), integrity (already discussed), and competence. (1:54) This competence is a reflection of the first level of skills termed "professional skills," as shown in Figure 8, which will be discussed in this chapter. They deal strictly with individual capabilities which must, once again, be developed in prospective leaders. They are as follows:

1. Individual Skills
2. Disciplinary Skills
3. Area Knowledge and Skills

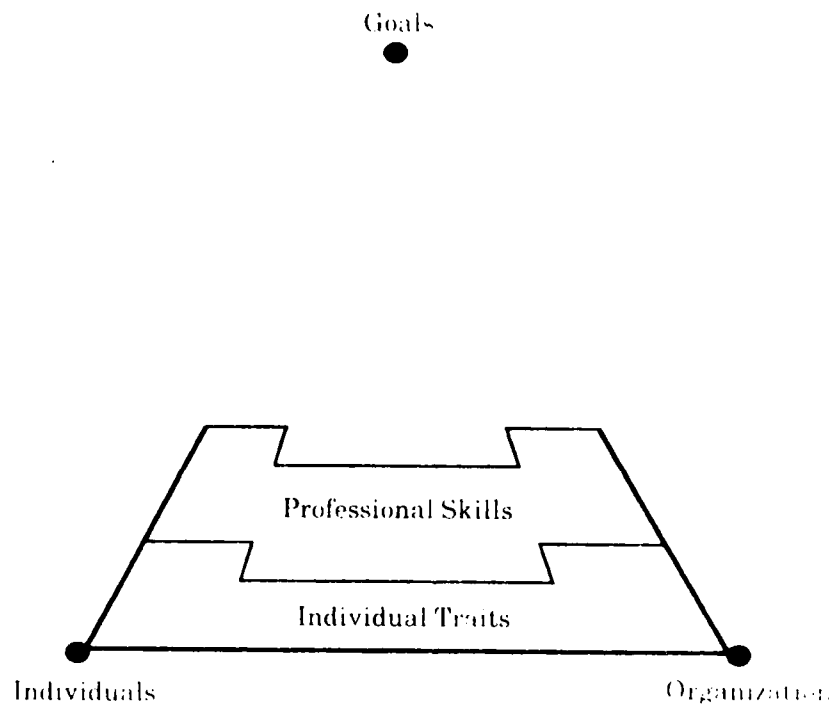


Figure 8. The Professional Skills Tier

Individual Skills

The crucial Individual Skills requisite to leadership development and for good leaders are primarily manifested by the intellect discussed in Chapter 4. They are perhaps best described by Sir Francis Bacon when he wrote, "reading maketh a full man, writing maketh an exact man, and conference [speaking] maketh a ready man." (18:27) Mortimer Adler has amended Bacon's wisdom by adding "listening," (1:5) Development and creative employment of these four skills are critically important to those aspiring to and assigned to leadership roles where the achievement of the goals of the organization and its individuals is the measure of that leadership. In addition, Roskill points out that as seniority increases, "command of the language occupies an ever increasing place in the leader's work and life." (19:122-123)

Reading. Surprisingly few leadership or management texts mention, let alone stress the importance of reading in either the development or the practice of leadership. Roskill believes that the importance of reading in the development of a leader must not be underestimated; and the sooner the training begins, the sooner the art will be mastered. (19:110-111) The very best of those leaders he knew were also those who read continuously and extensively. (19:113)

Reading must be approached from two points of view.

First, leaders must develop the skills of an extensive reader. Second, they must be judicious in their selection of reading materials. With the current and ever-burgeoning "explosion" of information, the effective leadership development programs and the best leaders will press forward on both fronts.

Aside from basic reading skills which are taught in the public schools, leaders must develop additional, helpful skills. Leaders must learn to be rapid readers, developing especially the skills of skimming, reading topic sentences, searching for key words. Learning to divide office correspondence into "critical," "important-but-can-wait," and "later" stacks can help immensely in managing the flow of paper. For books, Smith suggests reading first and last chapters to judge whether the rest bears reading. (20:150)

While most authors who do address the subject suggest reading books that are "fun," they recommend "fun" books which have lessons for the particular profession in which the leader is involved. Nye has probably provided the best general advice in what leaders and prospective leaders should be reading:

The duty of self-development ... call (sic) for three study objectives. First is the acquisition of knowledge and skills associated with ... roles of ... leader, manager ... strategist, and moral standard bearer. Second is the acquisition of knowledge, insights, and values associated with the virtuous human being, perhaps best stated in Plato's ideal of the man of wisdom, courage, temperance, and justice. Third is the acquisition of insights gained from thought about oneself and

the personal style that is suited to the [leader's] role" (14:128)

Roskill, Smith, and Nye all recommend biographies, particularly those of leaders from all professions, which treat their character, thinking patterns, decisions, how they used power, and their values and motives. Additionally, serious reading should include books on leadership itself, management, planning and strategy, and the future (20:148), as well as one's professional journals. This all sounds like a lot, but the best leaders can and do accomplish it.

Writing. Good reading contributes to writing and speaking skills by exposing prospective and practicing leaders to what good writing, as found in good books, is and providing insights on the leader's profession and leadership and management in general. Good writing skills are essential to leaders, and they must be sensitive to the purposes as well as mechanics in their writing.

Most leadership/management communications focus on the receiver, as opposed to communications generated by the professional/technical line and staff which focuses on facts and statistics. The leader's purpose is most often to get the receiver to act with respect to some situation. This kind of communication occurs in nearly two-thirds of leadership communications. (12:19) Keeping this in mind, effective leaders tailor their strategies in their written communications, relying on emotional appeals as well as ones

of logic. The bottom line for these written communications is to ensure the right things happen and the wrong things stop happening. (12:23)

Of course, selecting a communication strategy appropriate to the situation is only half the skills required. The other half is mechanical -- but equally important -- and effective leaders cannot always leave "all those mechanics" to others in ensuring his messages get through. Roskill, who is a strong advocate of "command of the language," give the most succinct formula for effective writing: "accuracy, clarity, and simplicity." (19:120) Nothing, quite frankly, is more difficult! Such a dictum can be addressed in several ways.

First, organizing for writing is crucial. Too many leaders dispatch their communications without keeping this in mind. Two steps are involved: choosing a pattern and using an outline, both of which are extremely helpful and not too time-consuming. The pattern provides the logic for the communication and may follow any number of forms: topic, time, reason, problem-solution, comparison/contrast, analysis, or cause-and-effect. Having selected one of these patterns, the outline can be constructed. It should contain a statement of purpose, the points one wishes to make along with any subordinate points, and a conclusion which drives home the message -- elicits the action desired. (23:17)

Next, following four simple rules with respect to the

writing itself can ensure Roskill's goals are achieved. Use a natural tone, as if one is speaking; avoid the "bloated, bureaucratic style." Make the communication compact by constantly suspecting too many words. Here, editing carefully and ruthlessly is essential. The best communications are also to the point; they have the bottom line up front, not hidden somewhere in the body or even the conclusion. Last, the best communications are active -- they have subject actors and verb actions and avoid the passive voice construction at every turn. (15)

Leaders must ensure they have available to them those who can help them with their writing. To achieve the goals of accuracy, clarity, and simplicity, leaders should seek out those who have good editing and proof-reading skills -- but the leader remains ultimately responsible for ensuring the purposes of written communications are transmitted to better achieve organizational goals.

Two additional points should be made with respect to writing skills. First, learning to use computer information systems to facilitate organizational communications is very important. Leaders can save considerable time and expense for themselves, their staffs, and the organization if an effective communications network is used. Leaders must understand the importance of such networks to organizational efficiency and have the discipline to apply them effectively in the organization's operation. Second, Nye points out the

importance of a leader's taking meeting notes, making experimental speeches, recording conversations, making summaries of readings, keeping diaries of current thoughts, and setting up files of quotations, poems, and speeches for potential use in their written communications and speeches. (14:130)

Speaking. Little profit is gained by reading, Roskill says, unless prospective and practicing leaders put it to use by both writing and speaking. (19:118) Despite its importance, speaking receives little attention in educational and business training. (7:352) Adler agrees that, outside the special "public speaking" courses which are offered, no instruction in the "art of speech" is conducted in our educational institutions; and yet it is as vital to the course of everyday affairs as any form of communication -- especially for those charged with leadership responsibilities. (1:5) Strozier puts it quite succinctly: "You have a great advantage if you look the part of a leader, although it lasts only until you open your mouth." (22:62)

Speaking should be considered from two perspectives: interpersonal speech and public speaking. Adler makes important distinctions for interpersonal speech, which he generally terms "conversation." He divides it first into "playful" and "serious." Serious conversation is then divided into "personal" and "impersonal." Impersonal

conversation is further divided into "theoretical" and "practical," so that four types of interpersonal speech emerge:

1. Social conversation,
2. Personal, heart-to-heart talk,
3. Impersonal, theoretical talk which is instructive and enlightening, and
4. Impersonal, practical talk which is persuasive with respect to action. (1:131)

While all of these are important for the leader, the last three are crucial. All those lessons which are effective in writing apply for these types of interpersonal speech. Adler offers powerful advice with respect to engaging in them, both with respect to the intellectual aspects of controlling one's mind and the emotional aspects of controlling one's emotions. His advice: knowing what kind of conversation one is going to have; selecting the appropriate time and place; being prepared in terms of purpose, content, and the result desired; selecting the right individual(s) with whom to have it; sticking to the issue(s); allowing for feedback while avoiding interruptions, interrogations, and side conversations as applicable; and listening, which will be discussed momentarily. (1:136-157)

Public speaking, or "one-way" speech, is an equally important skill which leaders must be able to employ both within their organizations and outside as representatives of their organizations. These speeches may take the form of staff meeting presentations, briefings to superiors, forums

with employees, or presentation to other agencies or groups. The most effective leaders are those gifted in this skill because through this medium they can best convey their values, standards, and vision to those centrally connected to achieving organizational goals.

Public speaking is a matter of four simple precepts -- preparation and practice, practice, practice. Countless books and courses are available on the subject, but these precepts will serve all prospective and practicing leaders well. Preparation involves analyzing the audience, determining the message one wishes to leave with this audience, organizing and preparing an outline, and putting the facts to that outline in as brief and concise a manner as possible. Practice means going over and over the speech -- either reading the manuscript, if absolute accuracy is required, or using a detailed outline if it is not. It also involves working on wresting attention, pace and clarity of speech, gesturing, and the appropriate places for humor, which can be very effective except in the most serious of speeches. Not enough can be said for getting one's message across succinctly; Confucius is reported to have said, "It does not take a cabinet-maker to put a bottom in a chair."

Listening. "You may be persuasive and convincing when using influential self-expression, but it is responsiveness -- listening -- that contributes to the relationship."

(24:12) Adler is as equally disturbed about the "untalent"

skill" of listening as he is about speaking. (1:5) He further points out that deficiencies in this skill are a "major source of wasted time, ineffective operation, miscarried plans, and frustrated decisions in every phase" of business. (1:89)

Again, Adler probably provides the best counsel in the recent literature on the art of listening, to public speeches and in interpersonal conversation. Critical to active listening is the engagement of the mind, getting behind the mere words heard to the thoughts constructed with them. He offers four very simple questions to guide one in effective listening:

1. What is the speaker trying to say?
2. What are the main points, arguments, and conclusions?
3. Are the speaker's conclusions sound or mistaken?
4. What of it?

By keeping these questions in mind, whether listening to an address or the conversation of an employee, active listening can occur. That active listening becomes critical to leaders in their interactions with individual employees or group of employees, which will be discussed in Chapters 7 and 8.

Reading, writing, speaking, and listening then are the critical Individual Skills which must be developed in the prospective and practicing leaders because their use by leaders in their roles are essential to achieving the goals of the organization and its individuals.

Disciplinary Skills

The term "Disciplinary Skills" will be used in a slightly different context than might ordinarily be expected. These skills are those which involve the discipline of the leader in the conduct of every business and include:

1. Priority setting
2. Time management
3. Decision-making

Few skills are more important to leaders, less adequately addressed in leadership development, or more difficult to employ consistently and effectively in leadership roles. Quality performance in each of these skills marks the most effective leaders.

Priority Setting. Because most leaders reach the executive levels by moving up through the technical and functional areas of their businesses and professions, they often fail to realize in leadership roles they cannot "know" all the details of the operation of the organization, let alone "do" everything -- like they did when they were at lower echelons and in more follower-oriented roles. As a result, leaders must be adept at establishing priorities with respect to those issues which will receive their attention, and this is especially true as they move up in leadership responsibilities. General Spangrud puts it very concisely: "Keep lists, do first things first, do one thing

a time, concentrate on it, and then move on to the next task." (21:2)

Smith understands that attending to organizational goals and ensuring priorities are kept in order is not always an easy task. (20:139) Leaders are often "captured" by their in-baskets, telephone, and constituencies. He counsels the effective leaders to give their primary attention to the mission -- and at the same time to convey its importance to their subordinates by the attention they give them. (20:132) Leaders must be willing to tackle organizational issues, problems, programs, and opportunities. They must ensure initiative and innovation are prized commodities, not suppressed, because these qualities are the wellspring of positive organizational change. (20:136, 134).

All this can be accomplished in many ways, but the discipline manifested in maintaining a schedule and making lists of the issues and requirements facing the leader serve as mechanisms to set priorities. Gaining and maintaining control of their schedules, while being flexible in recognizing changes in priorities, is the mark of the most disciplined leaders, Smith notes. (20:131-132)

Two additional points must be kept in mind in establishing priorities. Leaders' priorities within their organizations are not "territorial"; they are not strictly theirs. Leaders must be sensitive to their superiors'

priorities -- and pay attention to those of peers who have an influence on their operations and to those of subordinates. (9:59) Second, Oncken stresses the importance of determining what can be left undone. Establishing priorities is essential, but it doesn't mean that everything on the list must be done today -- or ever. (16:161)

Last, in establishing and maintaining priorities, leaders must ensure they remain in control of their own lives. Crippin stresses that leaders must carefully balance the priority their organization and its goals have in their lives with what is rightly due to their families and themselves. (5:33) This will be discussed more fully in the following section.

Time Management. Closely allied to the establishment and working of priorities is time management. Time and procrastination, Niehouse notes, are irreconcilable enemies in the achievement of organizational priorities and goals. (13:81) He proposes two reasons for procrastination in accomplishing tasks and making decisions. First is lack of confidence which can result from fear of failure, being overwhelmed by too many things to do, the complexity of the task, or too much stress on perfection. Second is time distortion where the leader underestimated the time required to do the work. (13:82-83)

He offers solutions to both of these. With respect to

the first, he suggests the building of skills which improves confidence in the leaders themselves and their confidence in their subordinates. Establishing a system of goals and priorities is a second step. (13:84) These two suggestions are part and parcel of The Prescriptive Approach. Setting priorities has just been discussed in the last section, and the development of those skills covered in this chapter and those to be discussed in subsequent chapters will serve to establish the leader's competence and confidence. His third solution is time management because its effective use enable leaders with competence and confidence to manage more and varied tasks. (13:85)

No one has probably offered more effective advice on the subject of time management, with so much insight, readability, and good humor, than William Oncken. He establishes five criteria for the effective management of time by leaders:

1. Resolving of the dilemma between management's requirement for "compliance and conformity" and its expectation for "creativity and innovation."
2. Dealing with and capitalizing on intrusions upon the leader's time by superiors, peers, and subordinates.
3. Choosing between the "work ethic" which involves working longer hours and the "management ethic" which involves "judgment and influence" as a substitute for long hours.
4. Balancing constructive influence with one's boss, the ability to get the system to work for them instead of vice versa, and being accessible to subordinates.
5. Understanding clearly when to choose between "temporal priorities based on relative urgency" and "logical priorities based on relative importance." (16:1,19,67,103,139)

Keeping these criteria in mind, the most fundamental approach to the leader's effective time management is controlling subordinates time and organizing. Oncken and Wass believe the leader has little control over "boss-imposed" time and "system-imposed" time. So to increase "self-imposed" time and discretionary time to work one's own actions as well s those of the other two, the leader must control the "subordinate-imposed" time. They use the expression "who's got the monkey?" to explain the leader's approach, advising that effecting time management involves never letting a subordinate put a "monkey" on one's back when it is legitimately the subordinate's: "namely, before the manager [leader] can develop initiative in his subordinates, he must see to it that they have the initiative. Once he takes it back, they will no longer have it and he can kiss his discretionary time good-bye." They believe the effective leadership strategy is to encourage subordinates to take one of three courses of action: (1) make recommendations, then take the resulting action, (2) take action, but advise the leader as the job is being done, or (3) take action, and report routinely. (17:24) In so doing, leaders increase the competence and initiative of their subordinates and dramatically increase the time they have.

Organizing time and place is also important. This can be done, as already discussed under "Priority Setting," by

the effective use of calendars and lists. Calendars give leaders a long-term picture of their time requirements, while a agenda is a more short-term device to help manage time on a daily basis. Using waiting time and commuting time is useful for lower priority requirements, like newspapers, news magazines, and professional/technical journals. An organized workspace which includes desk, table, shelves, and files will save time by permitting ready access to needed materials.

While establishing priorities is important, setting deadlines for those leaders decide must be accomplished is equally important for the potential time it saves. In this way they avoid both Parkinson's Law and the procrastination trap.

Baldwin offers helpful insights into time management in what he terms his "Humane Approach," as opposed to the "Traditional Approach." He believes leaders can be more effective if they understand that reasonable productivity from a healthy individual is better than productivity for productivity's sake at all costs. He suggests "organizational strategies" along with "survival skills" to ensure long-term leadership effectiveness. The important organizational strategies are:

1. Plan for an imperfect world by avoiding overly optimistic, tight schedules that create pressures on leaders and waste their subordinates time waiting for late appointments.
2. Use Parkinson's Law to advantage by establishing reasonable time limits for

appointments and call to create the expectation in those involved of the time constraint.

3. Optimize one's personal style of working, for example, in the morning or afternoon, in large or small blocks of time, with or without colleagues.

4. Adjust one's effort to importance; don't let the penchant for perfection waste time making less important tasks perfect.

5. Conduct a self-examination of how things are getting done and seek ways to improve them.

(2:15-17)

Combined with the above, he advises the following survival skills:

1. Have a "non-productive" leisure activity that will allow relaxation and rejuvenation.

2. Take some "retreat time" every day -- about half an hour.

3. Know and accept your physical limits because exhaustion serves neither the leader nor the organization.

4. Teach others to respect your time.

5. Eliminate unfulfilling obligations from the schedule, like committees or officerships.

(2:14-15)

Decision-making. Perhaps no skill better typifies leaders to their constituencies than their decision-making. "Decision-making is the executive task." Too much emphasis is often given decisions and not the processes by which they are achieved. (10:29) Therefore, leaders' understanding of the decision-making process is essential to good decisions, and the development and practice of this understanding are essential to leadership growth.

The decision-making process is a relatively simple one, but is often fraught with pitfalls of which the most effective leaders are aware. Drucker, and McCall and Kaplan, offer superb approaches to the process. Drucker

counsels evaluating the situation as either "generic" or "exceptional," then proceeding from there. By assuming most situations are generic, previous experience can be brought to bear in the decision-making process; while exceptional situations require new ground to be broken in the process. He cautions, however, the necessity of correctly identifying the situation and the hazards of treating generic situations as exceptional and vice versa. (6:123-125)

McCall and Kaplan recommend decision-making using one of two methods: "quick action" or "convoluted action." In the former the decision-maker limits the search for information and relies on a very few important considerations in making the decision, often choosing the first alternative. Quick action can be applied to the more simple, generic situations; but the decision-maker must act carefully and not be trapped into "crises" in order to achieve a quick decision. They suggest that leaders, who know their organizations well and have reliable sources of information, can quickly get information, decompose the problem, test the alternative against a few knowledgeable colleagues, and act quickly with an alternative that offers flexibility should the situation require adjustment.

(10:32-33)

The tougher generic and exceptional situations require convoluted action. It can be slow, characterized by backward as well as forward movement, involve people at

various levels, and require considerable information. Leaders must be "champions" in these situations to get movement because compromises will have to be made. Leaders must be sensitive to the political situation and be prepared to negotiate. They must control the "tempo and images" and use their personal "leverage," which will be discussed in more detail in the next chapter's section on "power." Above all, decision-making in these situations requires patience.

(10:34)

The decision-making analysis process involves five steps:

1. Specify the objectives sought in making the decision.
2. Determine the available alternatives.
3. Collect relevant information.
4. Analyze uncertainties.
5. Evaluate alternatives and make a decision.

(8:68)

Without clear objectives, making a decision to yield those objective is impossible. This means establishing boundary conditions; and the more adequately they are defined, the more effective the decision is likely to be. Often this first step in the process involves the careful definition of a problem which exists, and those most common error is the incorrect definition of that problem. (6:126)

Developing alternatives must be a free-wheeling exercise. If it is not, useful alternative decisions are likely to be overlooked. Recognizing that objectives can be reached in steps is also useful in generating alternatives.

which will allow sequential approaches to the objective. Leaders must never forget that "no decision" is also an alternative, and a very effective one often not considered.

The collection of information is crucial to the decision-making process and evaluation of the alternatives. Controlling the kind, quality, and amount of information is essential to timely, effective decisions. Several suggestions offered by Cotton are useful in information collection. First, overcome the tendencies to seek only supportive and to avoid conflicting information. Leaders who have predilections toward certain alternatives can be guilty of this and make less-than-optimum decisions. Second, avoid accepting "first explanation" for given situations -- seek "best" not "satisfactory" explanations, for contained in them may be the seeds of the best decision. Third, focus on organizational, environmental, and "random events" as possible causes for the situation, instead of the common tendency to focus on people as the cause. Events are often caused by situational factors, not people. Fourth, and perhaps the toughest to ensure, understand that non-events or non-occurrences may be relevant. Leaders must be sensitive to the fact that something not happening may be as relevant as what did happen. (4:45-59)

As mentioned previously, leaders are the champions and the keepers of the vision. As such, they are those who best understand the risks; and in making decisions they must

evaluate the risks and uncertainties associated with making given decisions. In evaluating alternatives, leaders must search for the risks and uncertainties before making the final decision.

In evaluating alternatives for the tougher situations many people and considerable information are involved. Leaders must be sure they understand the different perspectives of all the players and the influence they have on the information these players bring to the process. Leaders must also be aware of their own "selective memories" in their evaluation process and force themselves to be as objective as possible.

Making the decision is not the true end of the process. Drucker points out that converting the decision into action is crucial -- gaining commitment from those involved to see the decision implemented. This means announcing the decision, what the required action is, who will carry it out, and what will the action do. In addition, essential to all effective decisions is a feedback mechanism which allows evaluation of the decision and associated action.

(6:136,139) Drucker has made clear "a decision is a judgment ... rarely a choice between right and wrong."

(10:30) Therefore, the effective leader will use feedback to make adjustments to the decision because, at this point, the result is the critical measure of the process.

These Disciplinary Skills are appropriately designated:

they require discipline. Developing them, however, adds to the store of skills on which the prospective leader can continue to build -- and which the practicing leader effectively employs in working toward the achievement of organizational goals.

Area Knowledge and Skills

When considering the combination of an organization with its individuals and its leaders, one certainly takes into account the nature of that organization in determining the knowledge and skills which are required of the leader in that particular organization. These are designated "Area Knowledge and Skills." Extended discussion of them is beyond the scope of any treatise on leadership because of the breadth of organizations requiring area knowledge and skills. It is important to note, however, that they can be divided into two sets and the development and practice of leadership must account for expertise in both.

1. Technical area knowledge and skills
2. Business area knowledge and skills

Technical Area Knowledge and Skills. Effective leaders have usually based themselves solidly in a particular technical discipline as they progress to higher levels of responsibility within an organization. They have, in fact, been leaders in those technical areas, for example, whether it be accounting in business, English in teaching, aerodynamics in engineering, artillery in the military for the professions, or plumbing or die-making, among others in

the skill-based occupations. Technical area knowledge and skills are generally acquired through very structured, formal education and training programs conducted at colleges, universities, and technical schools, as well as on-the-job training. Such knowledge and skills are essential to getting the job done, helping others to do theirs, and establishing one's technical credibility within the organization.

Business Area Knowledge and Skills. Equally important, leadership development must include understanding of fundamental business/organizational knowledge and skills. These include, among others, some familiarity and skill in accounting, finance, economics, marketing (public affairs in some types of non-profit organizations), and "management" which includes understanding of planning, organizing, coordinating, controlling, and directing.

The development of these "Professional Skills" discussed in this chapter give the prospective leader a firm base to move to the next two tiers in The Prescriptive Approach where the most critical leadership function occurs: working with people, individually and collectively. The Prescriptive Model now moves away from the self-interest skills into the other-directed skills to achieve the goals of the organization and its individuals.

CHAPTER 6

Helping Skills

Armed with Individual Skills and Professional Skills, leadership development now turns to its crucial facet: the leader's ability to work with the individuals who constitute the organization. Prentice states that "leadership is the accomplishment of a goal through the direction of human assistants." (22:140) While all that has been discussed in Chapters 4 and 5 is the "skeletal structure" of good leadership and important elements in a leadership development program, the skills to be covered here and in Chapter 7 provide the "muscle and flesh."

The leader's role is both human and social, and the measure of good leadership is the ability to understand the individuals in the organization and the relationship between their goals and the goals of the organization. (22:141) Leaders recognize their source of power within the organization lies with their subordinates. (19:54) Understanding this, the leader must understand those subordinates from two perspectives: as individuals and as groups of individuals. This chapter will discuss the skills associated with the former, while Chapter 7 will cover those associated with the latter.

Moore emphasizes how important recognizing the individuality of an employee is to good leadership.

Respecting their expertise, listening to them, and looking to help them succeed are what the most effective leaders seek. (19:54-55) While Prentice understands these more "usual" methods of relating with individuals, he believes that leaders' skills should encompass a thorough understanding of individual **behavior** to create genuinely intrinsic interest in the work of individual subordinate. They do this by understanding individual goals, making clear they can help subordinates achieve them, being aware of their role and the consequences of their actions, and being consistent in their decisions. (22:142-143)

How does the effective leader do this? First, by having a keen understanding of human personality patterns such that these patterns can be recognized and, having recognized them, being able to work with them effectively. While a detailed discussion of human personality is beyond the scope of this treatise, an excellent, highly validated method of determining personality types, descriptions of them, and methods for working with different types has been treated by Keirsey and Bates in their book Please Understand Me: Character and Temperament Types. (12) Second, Prentice points out a vital part of effective leadership is the commitment to long-term growth of subordinates, "to see that their successes outweigh their failures." (22:146) Crippin provides an excellent accounting of the causes for sub-optimal performance and the cures that can lead to

success and long-term growth. Briefly, they are:

<u>Cause</u>	<u>Cure</u>
Nuances of the job	Dialogue to clarify what is essential
How to do it well	Training
Where the job fits	Team building
The results expected	Goals/objectives
Why do the job well	Motivation/rewards
How much freedom	Delegation
Their success/failure	Feedback
How to get help	Coaching/counseling
What they can contribute	Consultation/ Participation
What they could do better	Performance appraisal
Where success gets them	Career pathing (6:135)

In accomplishing all this, certain skills on the part of the leader are necessary; and, as shown in Figure 9, The Prescriptive Approach terms them "Helping Skills" because they help in providing for the individual subordinate's long-term growth. The helping skills are:

1. Teaching
2. Goal Setting
3. Counseling
4. Motivating

While these skills will be discussed as separate entities, good leaders will recognize the blurred boundaries among them and the importance of their interplay in the effective interaction with individuals in the organizational context.

Teaching

"No genuine growth of an employee will occur without teaching," Prentice advises. (22:47) Subordinates must be motivated and have goals which are consistent and compatible with those of the organization, but these must be translated

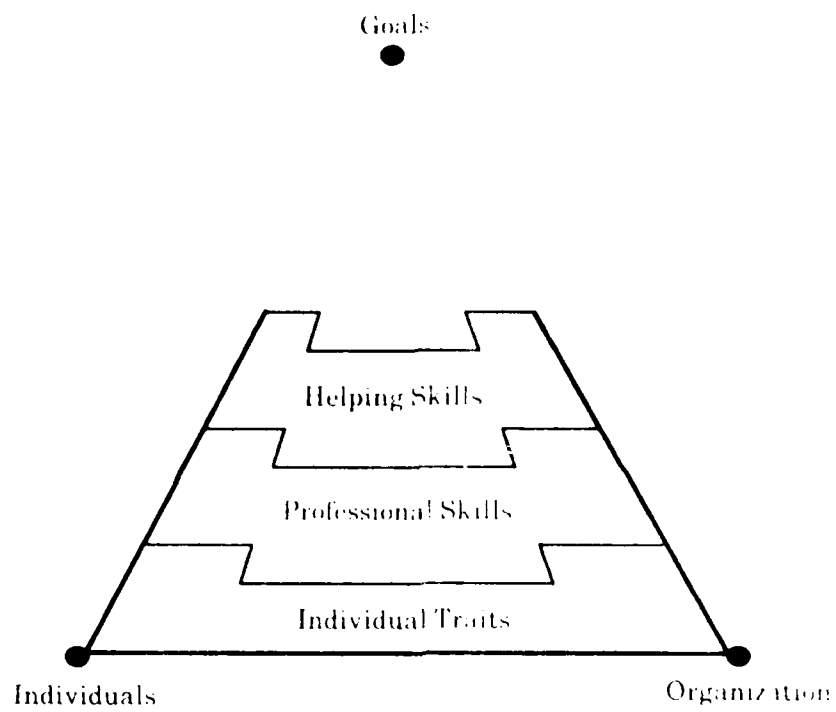


Figure 9. The Helping Skills Tier

into achieving the goals of the organization. Subordinates must have the requisite skills to do their jobs; and, regardless of how well-equipped they came to the organization, their eventual effectiveness will depend upon, not just those skills they bring, but those they learn while a member of the organization. The most effective leaders are those who play a cardinal role in this learning process -- they are teachers. Strozier states, "Good leaders are good teachers ... and create a climate that allows for mistakes." (26:61) Roskill concurs:

I believe that the leader is, above all, a teacher, and that teaching represents perhaps the greatest responsibility that can be placed on a human being. ...the leader is a teacher in the far wider field than is enclosed in the narrow confines of the classroom. For he is by his manner and example, by his habits and his outlook, by his professional and spiritual qualities, a teacher over a whole vast field of human life and experience. Like all teachers he is constantly under the very acute, and not always very charitable, observation of his pupils; and they will, perhaps instinctively, model themselves on him.... Indeed of all the weapons in his armoury (sic) **example** is, in my view, by far the most powerful. (24:28-29)

Leaders are teachers in several ways. First, as Roskill points out, they teach by example. What leaders are, what they do, and how they do it is an important source of instruction for subordinates. Effective leaders are sensitive to this and provide the best examples possible in all facets of their performance.

Second, leaders are teachers in a direct manner, in one-on-one instruction situations. This most often involves

job performance. Effective leadership means providing the subordinate a clear understanding of **what is to be done**. In some instances this may extend to instruction on **how to do something**, depending of the level of knowledge and skill of the individual. To achieve the best results in working with individuals on their performance, the best leaders are effective in: **observing** an employee's performance and interactions on the job; **analyzing** with the employee what responsibilities and authority the job entails and integrating them with the employee's values and needs; then **working through** what needs to be done and **channeling** the employee's actions toward job accomplishment. (1:24)

Smith offers some indirect ways in which leaders teach. They instruct on their organization, its customs, and its mission and its importance. They can plant ideas in the minds of their subordinates on ways to do things better or projects which might be successfully pursued -- all to stimulate initiative on the part of the subordinate. They can also be effective teachers by sharing what they have learned in the reading they do. (25:145-146)

Leaders must also encourage individuals to get education and training which will improve their job performance and provide them opportunities for advancement. Leaders should periodically review their immediate

subordinates' plans for education and training to ensure the plans are appropriate in terms of timing and content.

As leaders move to more senior positions in their organizations, their teaching responsibilities become more complex since their subordinates themselves are supervisors -- leaders. The senior leader's job is then to develop effective leadership in these supervisors. Franco notes recent studies which indicate the need for better first-line supervisors -- those he believes are key to high productivity and stability in organizations. He emphasizes corporate leadership's responsibility to take "an active, supportive role in shaping the supervisory function" and "recognize that supervisory skills are not innate abilities." He offers six skills his studies indicate are essential for first-line supervisors which the senior leader should help develop: "planning, assigning and monitoring work, setting standards, problem solving, giving feedback, and handling performance problems." (8:59,63) Senior leaders must also train those under them to do the senior leader's job to ensure continuity in the organization. The most effective leaders are those who not only teach others, but who do not stand in the way of the development of others. (7:15) While the argument may sound circular, senior leaders must begin to develop in their junior leaders the traits and skills of The Prescriptive Approach.

The teaching a leader does is invaluable and should be

enjoyable, since the long-term growth of others is one of the effective leader's primary concerns. As Smith says, "If a leader is spending a great deal of his time teaching, and only a modest amount of time problem solving and deciding, the leader probably has the priorities straight." (25:150)

Goal Setting

Long-term growth in individuals is also achieved by goal setting. Teaching can accomplish this, but can only be effective if it is directed toward goals -- goals of the organization and goals of the individual. The importance of goal setting and the leader's role in it are consistently found in the current literature. This reached its zenith in Blanchard and Johnson's The One Minute Manager. Their advice for goal setting is much the same as found in other books discussing the process.

1. Having discussed the elements and nuances of the job (see "Teaching"), the leader and the subordinate agree on the goals: what is to be achieved in terms of the organization and the individual.
2. The leader and the subordinate then define what "good performance" is to serve as a benchmark against which actual performance is measured.
3. The goals should be written, in most cases not more than 250 words for each.
4. Each goal should be read, taking not more than a minute for each; Blanchard and Johnson suggest reading them "every so often," but every day is better.
5. The subordinate should take time daily to evaluate performance.
6. The subordinate should determine how performance compares to the goals. (5:34; 4:11)

Several points bear emphasis with respect to the goal setting process. First of all, the leader and the

subordinate meet to discuss the job and agree on goals and performance baselines. Lee Iacocca believes this is the critical step in the process because it forces a dialogue between leaders and subordinates. With subordinates becoming an active part of establishing their goals, they are more accountable to themselves rather than feeling their performance goals were set for them. In addition, the role of the leader can shift from authority figure to advisor and teacher. (11:47:48) He also sees these sessions as accomplishing three other objectives:

1. Allows subordinates to be their own bosses by setting their own goals.
2. Makes them more productive and gets them motivated on their own.
3. Helps new ideas to bubble to the top. (11:47)

Second, writing down the goals cannot be over-emphasized; and leaders must insist on this -- not just for their subordinates, but in their own goal setting, too! Iacocca says "the discipline of writing something down is the first step toward making it happen ... that forces you to get down to specifics ... it's harder to deceive yourself." (11:47) As Blanchard and Johnson mention, goals should be terse to facilitate their being read -- every day. Goals should stress the positive -- **doing** something, as opposed to the negative -- **not doing** something. They should be observable, measurable, and attainable; only in this way can the subordinate and the leader make an objective evaluation of performance. This becomes very

difficult in some jobs, but concerted efforts should be made to minimize goals which cannot be observed or measured. Goals should be action-oriented with an emphasis on achievement so the subordinates can visualize reaching goals even before they are reached -- they have a clear, vivid picture of where they are headed.

Finally, an important, but subtle point which Garfield makes about peak performers is crucial to goal setting. He makes a distinction between mission-orientation and results-orientation. (10:271) Subordinates can have lots of goals and tick off results and achievements every day. Leaders have lists of things to do which they check off daily. However, if those goals and tasks don't have an underlying orientation toward the mission -- the mission of the organization and the needs and values of the individual -- then they are misplaced. Goal setting should always take into account the mission of the organization and, to the extent possible, the goals that the individual wishes to achieve. Otherwise, goal setting -- and goal achievement -- become an exercise without purpose or motivation.

Counseling

With teaching and goal setting understood as an essential part of leadership development and as on-going activities for the effective leader, the next important Helping Skill to be applied in the interaction with individuals is counseling. Counseling sessions can have

many purposes, but for the leader they are the primary vehicle for providing feedback to individual subordinates on job performance and to determine subsequent courses of action with respect to that performance. Counseling sessions can be held on an ad hoc basis, but they are best done formally and periodically -- and not just when written performance appraisals are due. The first "key to management" Lee Iacocca mentions in his book -- and he'll be forgiven for using the term "management" here -- is the **quarterly** review with immediate subordinates. (11:47)

These sessions can have several formats, but they should include both positives and negatives -- stated in terms of "well done's" and "opportunities for improvement." Performance counseling should include feedback from the individual, feedback from the leader, and feedback to the leader. Feedback from the individual should include a self-evaluation of performance for the period, as well as the individual's proposed actions for performance improvement, if necessary. (1:25)

The leader's feedback is equally important and should concentrate on describing the performance situation, describing the leader's reaction to it, and explaining what the leader wants. Describing the performance should be specific, observable, and qualified appropriately. (27:14)

As mentioned before, counseling should concentrate on positives in a sincere way, as well as negative in a

constructive manner. In dealing with the latter, the leader and the individual should mutually agree on the cause of sub-optimal performance, understand what the impact of this performance on the organization is in terms of morale and output, and agree on a course of action to improve the performance. Leaders should always keep such counseling in as positive a context as possible. Even in cases where performance is very bad, leaders should help the individual search for potential options, even if that involves alternate employment.

Blanchard and Johnson also emphasize the need for more immediate positive and negative feedback because they believe, when it is handled in this way, more positive results accrue. (5:44,59) This can be accomplished very successfully using Peters and Waterman's precept of "management by walking around." (21:122)

Leaders should also be sensitive to the causes, both within and outside the organization, which may be influencing performance in subordinates. Environmental problems within the organization and over which subordinates have no control may be the cause. Leaders must be sure in their counseling they are able to differentiate those problems within the organization subordinates have control over and those they do not. Problems a subordinate is having outside the organization -- financial or with family, for example -- may effect job performance and eventually an

the organization. Again, leaders must use performance counseling to isolate such problems and be the agent for their solution. (16:42,44)

Feedback to the leader can be very helpful to leader/subordinate relationships and the development of subordinates as successful contributors in their jobs. Allenbaugh stresses the risks of seeking such feedback are minimal but can yield benefits of improved leadership performance, trust, individual job performance, and working environment. (1:26)

Counseling sessions may result in establishing new goals, deleting some, or altering others. The bottom line, however, is the counseling session ends with a better understanding by both leaders and subordinates of what is required to improve performance -- in such a way to achieve organizational and individual goals.

The most effective leadership development programs must prepare prospective leaders with requisite counseling skills. These skills are essential to effective leader/subordinate interactions -- and organizational success.

Motivating Individuals

"When it comes to making a place run, motivation is everything." Perhaps the most difficult of the helping skills required of effective leaders and leadership development in The Prescriptive Approach is "motivating."

No one would doubt the necessity of having the skill, and one could argue that it **precedes** those skills already discussed in this chapter. The Prescriptive Approach recognizes the motivating skill **after** these others because teaching, goal setting, and counseling **done well** provide considerable motivation to subordinates. Any "techniques" of motivating are, therefore, additional to them.

In his small study of motivation techniques, Miller notes the technique which was consistently effective met the affiliation, power, and achievement needs of the individual. (18:48) The leader, as keeper of the organization's vision, must translate that vision into meaning and purpose for each individual in the organization and relating that purpose to the individual's needs and goals. Iacocca says, "I've found that the best way to motivate them is to let them know the game plan so they can all be part of it." (11:55) In this way, leaders create the sense of affiliation.

Bennis and Nanus believe the best leaders induce their own positive self-regard into "other-regard" of their subordinates by creating in them a sense of independence, high expectations, and self-confidence, using something akin to the "Pygmalion effect." (3:59) By giving subordinates the independence of mutually determining their goals with their leaders and of how their jobs will be done, leaders transfer a certain power to their subordinates -- they

"empower" them. This independence and power are effective motivators for the subordinates.

High expectations and self-confidence play to the achievement part of the Miller's findings. When leaders have high expectations, orally expressed, which are based on a realistic assessment of a subordinate's abilities -- they create an element of self-confidence. The second element of self-confidence comes from the positive reinforcement discussed in the Counseling section of this chapter. Peters and Waterman are categorical when they discuss the importance of positive reinforcement to individual motivation and organizational success. They note that, unlike negative reinforcement which can produce unpredictable behavioral changes, positive reinforcement shapes behavior in intended ways while also teaching and enhancing self-image. They stress specific and immediate positive reinforcement, which rewards small victories "after the fact," not just the big ones. They also suggest the intangible and unconventional rewards often have greater power to motivate than the tangible, conventional ones.

(20:11)

Active communication with individual subordinates cannot be over-emphasized in this context. Those individual skills discussed in Chapter 5 must be brought fully to bear in motivating individuals. The independence, high expectations, and self-confidence leaders instill in their

subordinates are a direct function of how well they communicate the vision, the purposes, the goals, the expectations, and positive reinforcement to them.

Batten believes that "literally millions of people are leaving their jobs every evening with much of their energy and productivity still unused" to be applied to other activities with enthusiasm which the leadership has left untapped. (2:11) Leaders have the responsibility to tap that energy and productivity. Productive performance is the result of leaders linking goals with needs and the application of rewards for achievement as have been discussed in these past four sections.

Power

No discussion of interpersonal interactions and the skills in the context of leadership development and the essence of leadership would be complete without exploring power. While it is not strictly a "helping skill," it is a critical skill for the leader in dealing with other individuals and a bridge into the discussion of group dynamics skills, discussed in the next chapter, where this skill applies just as equally.

Perhaps no word in the English language evokes so many different and diametrically opposed emotions as "power," yet is so important to the effective exercise of leadership. In religion, it has a very positive connotation, as in "the power of the Spirit"; while in the realm of government,

power is often negatively associated with those who force their wills and views on the "helpless multitudes." As Galbraith points out, "a reference to power is rarely neutral." (9:11)

However, Galbraith also goes on to point out that "the exercise of power, the submission of some to the will of others, is inevitable in modern society; nothing whatever is accomplished without it." (9:13) Quite simply, he has captured exactly why the effective leader, in developing his helping and group dynamics skills, needs to understand power fully: its sources and its instruments. Since Machiavelli's superb treatise *The Prince*, his attempt to educate a monarch in effective rule in order to achieve a centralized Italy, the literature has teemed with advice on the subject. (1)

By considering the definitions offered for power, we might get a sense of its importance to the development of leadership skills which become more apparent. Elementary physics defines power as "work applied over a distance per unit time," a definition of the power of a power for all its uses. In terms of management science, Kotter has defined it as "the degree of a person's potential to get others to do what he or she wants them to do, as well as the responsibility others bear to do what he or she does not want them to." (2) In terms of self-image psychology, we have previously noted that "ultimate power is the ability to

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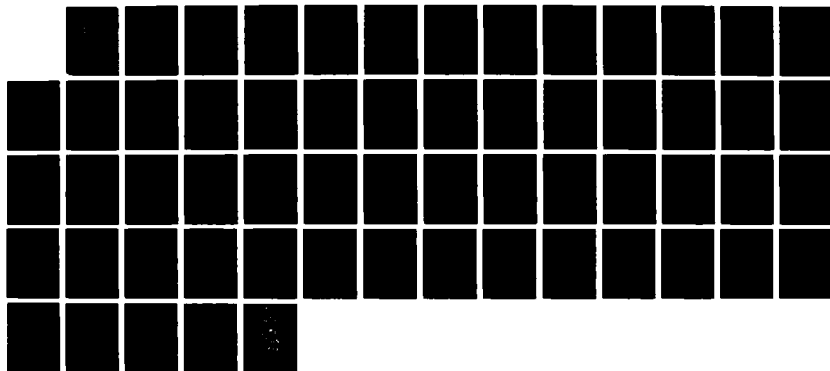
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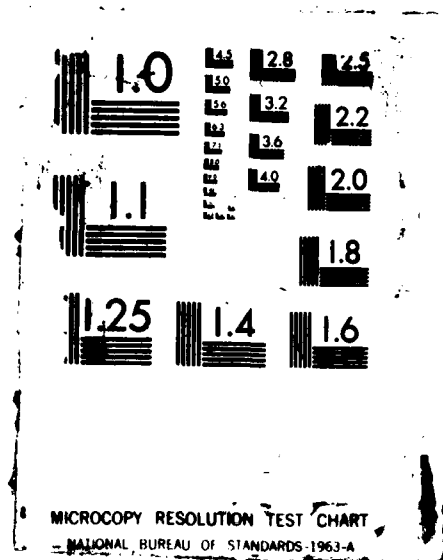
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produce results you desire most and create value for others in the process." (23:2)

Kotter points out that organizations today which are responsible for the conduct of all facets of society are characterized by diversity and interdependence and these very characteristics potentially lead to conflicts.

(13:31-32) In order for these organizations to be successful in achieving their goals and the goals of their employees, these conflicts must be effectively resolved. He correctly believes that an understanding and application of what he terms "power dynamics" within an organization is essential to such resolutions.

Effective leadership requires the use of this power dynamics in order to achieve the goals of the organization. The more complex the organization and its interdependent relationships, the more important its use becomes. In his book Power in Management Kotter delineated four important characteristics influential leaders possess in this context:

1. They are sensitive to what others consider to be legitimate behavior in using power.
2. They have a good intuitive understanding of the various ways to use power.
3. They tend to use all the influence methods.
4. They use all these methods to help them manage upward, downward, and laterally. (14:49-50)

Kotter notes the most effective leaders are the ones with these characteristics and who use power dynamics in managing all the diverse, interdependent relationships common to today's complex organizations.

While the purpose of this paper is not to provide an indepth study of power dynamics and its techniques, enumeration of the sources of power is useful in elucidating the power skills with which the effective leader must be armed. These sources of power are:

1. Associative Power: having close relationships with others who are perceived as having power.
2. Coercive Power: the potential threat of force or employment of sanctions to gain compliance.
3. Expert Power: recognition by others of superior expertise in a given area.
4. Information Power: having important information which can influence people or events.
5. Legitimate Power: use of formal, legal authority vested by the organization.
6. Referent Power: the personal identification -- affection, loyalty, admiration -- which others have for the leader.
7. Reward Power: the potential tangible benefits which can be offered to gain compliance. (17)

With these sources Kotter has enumerated three critical skills required in using them:

These skills include the cognitive ability to diagnose correctly who really has power that is relevant to any particular issue, to assess the differences among people and their roots, and to identify directions of mutual interest. They include the interpersonal skills associated with building good working relationships with many different kinds of people and maintaining those relationships despite physical separation, limited face-to-face interaction, and the normal stresses and strains of modern life. They also include a wide variety of influence skills -- skills associated with knowing precisely how to use information and relationships and formal authority and other power sources in a specific situation. And they include a wide variety of technical skills associated with the particular business or department involved. (13:41)

This statement is important in two respects. First, it illustrates that the skills required are themselves a source

of power. Understanding the various sources in themselves does not confer power; only by combining them with the above skills can effective leadership begin to result. Second, and a much more subtle point, Kotter has provided yet another distinction between leadership and management. The "technical skills" he discusses, and which were discussed in the last chapter, are the stock-and-trade of the manager, whereas such skills are only a part, albeit an important part, of the total package of skills required of the best leaders. Only by developing all of these skills can one continue the journey toward mature leadership.

Before leaving this discussion, it is critical to note once again that personal integrity is as essential to the use of power as any necessary skill in leadership. Kotter states "integrity clearly is an important factor that links power-oriented behavior and organizational behavior."

(14:77)

Helping Skills are the first element in the other-directed skills of The Prescriptive Approach. Prospective leaders should get as much instruction and practical training as possible to refine the teaching, goal setting, counseling, and motivating skills. Their intimate understanding of power dynamics should include instruction as well as self-evaluation of power motives to make them as sensitive as possible to the use of power dynamics in leadership roles. Such preparation is important to the

prospective leader in the development of the Group Dynamics Skills discussed in the next chapter.

CHAPTER 7

Group Dynamics Skills

"Leadership is interaction among people." (15:148)

Very briefly, Prentice has captured the next dimension of The Prescriptive Approach. Having advocated Individual Traits, Professional Skills, and Helping Skills, The Prescriptive Approach for effective leadership also calls for those skills required in most all leadership roles: working with groups of people -- "Group Dynamics Skills," which is illustrated by the next tier in Figure 10.

Peters and Waterman have called these skills "coalition building." (14:15) Turcotte believes an effective strategy in leading large organizations requires "insight into the dynamics of formal groups, into the strengths and raison d'etre of informal groups, as well as the motivation ... of these groups. He also believes a "conceptual grasp of the problems and opportunities of group problem solving" is necessary. (17:32) Both viewpoints support the fact that leaders in concert with the individuals composing their organizations achieve the organizations' and those individuals' goals.

What are these Group Dynamics Skills? They are very closely allied with the Helping Skills of The Prescriptive Approach. In fact, nowhere is the interlocking nature of the tiers of The Prescriptive Approach more evident than

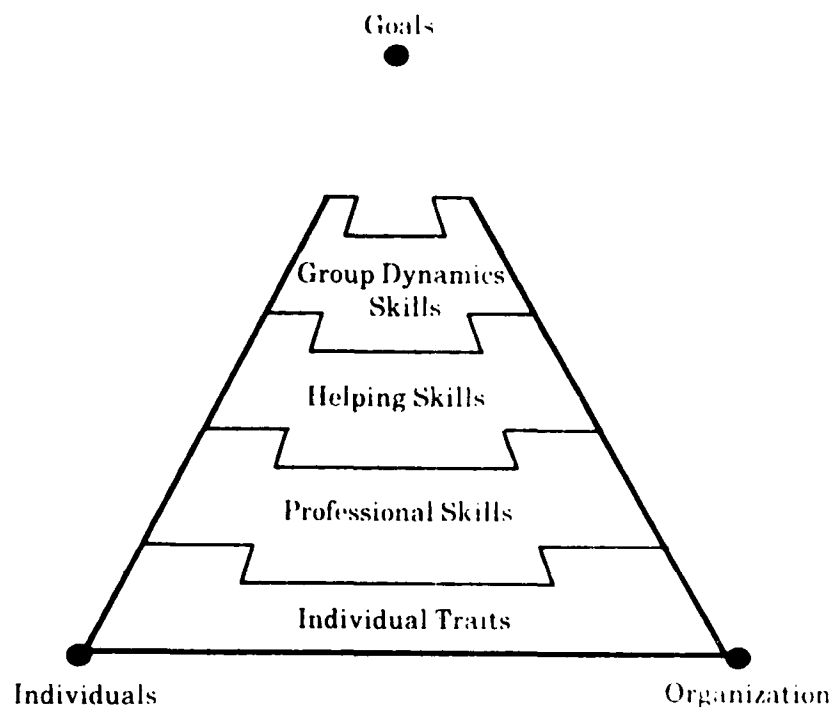


Figure 10. The Group Dynamics Skills Tier

between the Helping and Group Dynamics Skills. The four essential Group Dynamics Skills are:

1. Delegating
2. Organizational Goal Setting
3. Problem Solving -- or Situation Resolution
4. Motivating Groups and Organizations

As with the Helping Skills, Group Dynamics Skills are quite interrelated and the effectiveness in one can influence effectiveness in another.

Delegating

While a case can be made that delegating is done primarily to individuals within an organization and, therefore, should be included in the previous chapter. The Prescriptive Approach recognizes delegating as a Group Dynamics Skill because it is usually done in an organizational context to many individuals and to groups. Let no one be misled, though; delegating can be an effective tool in helping individuals grow and in motivating them.

Delegating has been called "the most important -- and most elusive -- management tool." (8:25) It is a useful skills beyond those already encompassed in the jobs of those working for the leader. Additional tasks frequently come to leaders for which they neither have the time nor the expertise to complete themselves. The art and discipline of effective delegation then becomes paramount. This effective delegation involves four steps:

1. Planning
2. Assessing subordinates' abilities

3. Assigning the task
4. Creating a feedback mechanism

Planning for delegation is often overlooked, but is the simple process of determining what will and will not be delegated. Simple lists of all the leader's tasks are the best starting point. Often delegating those tasks which leaders are best equiped to train someone else to do or involve the lowest risk should problems arise is the best place to begin. (4:76)

Assessing subordinates' abilities means understanding what individuals can do and have the potential to do. Leaders who know their people well can make such evaluations and so determine those tasks which can be appropriately delegated to which individuals. It also means trusting. Leaders must trust their subordinates to do what has been delegated to them and to inform their leaders of progress and problems. Leaders help build the self-confidence of their subordinates by giving them tasks which challenge their potential -- not just the routine tasks which may be burdening the leaders. In so doing, both leaders and subordinates grow in their respective roles. (11:60,61)

Assigning the task involves several steps. First, the task must be explained in detail. Leaders often overlook the fact that they are much more familiar with a task than their subordinates, so they must not assume anything and give the subordinates as much information about the task as possible. Leaders must also be sure to emphasize **what** is

to be done, not **how** it is to be done. Giving subordinates the freedom and authority to do the job and to make decisions along the way to get it done are equally important. Next, leaders must set the goals or standards for the outcome of the task in terms of both results and time for completion. The best leaders learn to make their expectations in this respect as challenging as possible without being unreasonable. The subordinate should also be encouraged to consider using any available resources -- material, other people, the leadership -- to accomplish the task. Finally, leaders must ensure all these steps have been effectively communicated to their subordinates by seeking feedback on their understanding of what is required, any questions they have about the task, and ideas or concerns which might exist. (8:27; 4:75,77; 11:60,61)

Creating a feedback mechanism is essential to the delegation process. While leaders delegate the authority to accomplish tasks, they do not delegate the ultimate responsibility for accomplishment. Therefore, a careful balance between the subordinate's freedom and the leader's control is important. (11:59) Agreement between the leader and the subordinate on the nature of that feedback mechanism helps maintain that balance and also avoids the impression the leader is "checking up" on the subordinate. This control can be accomplished most easily by progress reports, either verbal or written, either being effective because

they promote those Professional Skills of Speaking and Writing discussed in Chapter 5.

Feedback is a two-way process. Leaders must also provide feedback to the employees on how well they have accomplished tasks and what might be improved in the future. This type of feedback was discussed more extensively in Chapter 6 in Counseling.

Delegating to groups involves essentially the same steps, except it requires the recognition by leaders that a given task is one which must be accomplished by a group consisting of individuals each with expertise in a particular area. Establishing effective criteria for results, time for completion, and specific feedback mechanisms for group tasks are especially important since they can stray from initial purposes or have an inertia, any of which make task accomplishment more difficult.

In summary, learning to delegate is important in leadership development and to effective leadership. Delegation clearly involves risks, giving up control of territory; but even when mistakes occur, leaders are able to apply their other skills, such as Teaching, to improve such situations. (8:26; 11:60,61) Delegating is also important to time management because it frees leaders from tasks others can do and focuses their energies on the critical tasks which cannot be delegated. It is an equally important development tool because it gives subordinates the

opportunity to learn and assume more authority, as well as providing time for the leader to develop additional leadership skills. (4:74)

Organizational Goal Setting

Lack of clear direction for an organization has been termed one of the "seven deadly sins" to be laid at the door of an organization's leadership. Such lack of direction is the result of lack of understanding of and commitment to the basic mission of the organization. (10:39) Goals and objectives are, according to Weihrich, the "fundamental and essential feature of all organized group activities." He goes farther by saying an understanding of these objectives is necessary so they can be communicated to the individuals in the organization, whose commitment to and contribution toward those goals will ensure their achievement. (18:47) Furthermore, the more closely these individuals perceive their personal goals and the organization's goals to be aligned, and their personal goals being attained by working toward the organization's goals, the more effective the organization is likely to be. (7:126)

Learning to develop goals and objectives to satisfy the organization's mission and its individuals' goals, together with articulating them and gaining a commitment to them, is an essential skill for leaders at every level of organization. Hersey and Blanchard note such a job of integration of goals and objectives is not easy, but can be

satisfied by using the process of "management by objectives" at the organizational level. (7:127) The broad mission of the organization must be translated into the goals and objectives for subordinate units. These goals and objectives, says Weihrich, must form not only this "vertical hierarchy," but a horizontal network that spreads across organizational units to ensure continuity and compatibility of goals and objectives. In addition, individual goals and objectives, as discussed in Chapter 6, must be established within each of these units to achieve the overall integration of organizational and individual goals and objectives.

Several approaches to the development of goals and objectives exist. Both top-down and bottom-up approaches have been found successful, but each needs to consider both long- and short-term orientations. Weihrich offers a top-down approach where the development of long-range strategic goals are translated into long-, medium-, and short-term objectives in "key result areas," such as products and services, innovation and research, productivity, financial/physical/human resources, and social responsiveness. With these objectives developed, "derivative" objectives can be developed for the subordinate organizational units, keeping in mind the same guidelines for objectives noted in Chapter 6: observable, measurable,

and attainable in terms of organizational productivity and individual growth and morale.

Kingsley asserts the goals and objectives process is best when it is a bottom-up, radical planning process. Leaders at every level must be "centers of planning" who can transform the organization. By concentrating on issues and actions, rather than merely on numbers associated with output, and developing associated goals and objectives with organizational teams rather than for organizational units, effective plans can be developed. (9:10) The sense of goal ownership felt by lower tier leaders and subordinates can yield effective results using this approach.

The bottom-up approach involves three steps. First, major opportunities and challenges over a period of months, eighteen or twenty-four, for example, must be carefully defined and given a priority. Next, the unit team develops specific programs of action to take advantage of the high-priority opportunities and to solve the high-priority problems. Last, a set of controls is established to provide for periodic review of progress to keep programs focused toward achievement. (9:12)

Two essential elements of organizational goal setting must be clearly understood. First, involving subordinate leadership and individuals in the process is critical, regardless of the goal setting approach. Second, appropriate feedback mechanisms must be established, just as

in individual goal setting, to ensure progress in meeting organizational and individual goals.

If prospective leaders learn the process involved in developing appropriate organizational goals using these approaches, then when they become practicing leaders, they are more likely to create conditions where people feel empowered to use all of their skills to achieve those goals.

Problem Solving -- or Situation Resolution

Problem Solving as a requisite leadership skill extends well beyond the boundaries of what is defined as a "problem" and the boundaries of the "process" of problem solving learned in introductory science or management courses. The words "problem solving" in the context of The Prescriptive Approach have been chosen for their familiarity, not for their descriptive nature. In the leadership role and the leadership development process, skills in "problem solving" must encompass more than just problems. Instead, this broader perspective includes opportunities, problems, challenges, and crises, each of which may require similar processes in solution, but different approaches by the leader. Opportunities are not obstacles. Rather, they are situations which, if taken advantage of, might result in enhanced organizational success. On the other hand, problems are those fairly routine obstacles which occur every day in an organization. Challenges represent those more significant problems which are not routine, are more

serious in their potential consequences for the organization or its individuals, and require concerted efforts to solve. Crises are like challenges, except they have an urgency attached to them that demands immediate attention.

In his book Taking Charge, Smith quickly points out leaders are rarely problem solvers, but rather are "facilitators" of problem solving, relying on subordinates to solve the actual problems. If leaders are problem solvers, they are problem solvers of "last resort." (16:4) In this role as facilitator the leader must develop additional skills to move from the familiar "subordinate role" of individual problem solver to the "leadership role" of collective problem solver to meet the demands of opportunities, problems, challenges, and crises. (6:181)

The first of these skills is "defining the problem." the leader's most essential function is indentifying the problem -- knowing what the question is, not the answer. (5:353) This identification includes a differentiation -- is the situation an opportunity, a problem, a challenge, or a crisis? This allows the leader to pace the action for the situation to its demand -- problems often require less leader's time, expenditure of effort, or concern for timeliness than do crises which are at the other end of the spectrum of importance and urgency. (3:28)

Focusing on the situation and its potential causes, rather than concentrating on blame, is equally important.

(6:88) As mentioned in Chapter 6, effective leaders also realize organizational and both internal and external environmental factors, as well as people, may be the cause of situations requiring resolution. Cohen offers four simple questions for dealing with crises which can be expanded to deal with the broader spectrum of situations discussed here:

1. Is this situation an opportunity, a problem, a challenge, or a crisis?
 2. Is action required now?
 3. If action is required, when should it be taken?
 4. If action is required, who should be involved?
- (3:29)

Question 1 has been discussed. Question 2 implies action is not always required. Cohen recommends delaying action if leaders sense the situation may abate or they have intuitive doubts about dealing with the situation immediately. When leaders do decide to act, they should act in relation to the demand of the situation, taking into account all their priorities. Cohen also emphasizes, when action is taken, it must be done so wholeheartedly.

(3:37-38)

The final question relates to what has been termed the "ownership" of the situation. This ownership depends on the type of situation and will influence who resolves it. The lower the level of the situations, the more leaders should expect their subordinates to handle them -- problems by individuals and small groups, opportunities and challenges

by larger groups with some leader involvement, and crises by groups with significant leader involvement or occasionally by leaders acting alone. The perception of the situation's unacceptability can also determine ownership -- who resolves it -- and, according to Hersey and Blanchard, should dictate the leadership style employed. Briefly, they have identified four different perceptions with one of the four leadership styles discussed in Chapter 1 associated with each. If the situation is acceptable to both the leader and the subordinates, no action is necessary; a low task/low relationship style is appropriate. This is clear recognition in some situations that no action is the best alternative. If the situation is acceptable to the leader but unacceptable to the subordinates, the subordinates "own" the situation and a supportive low task/high relationship style, typified by "active listening," is best. On the other hand, if the leader finds the situation unacceptable and subordinates do not, a high task/low relationship style may be required in order to clarify role definition, goals, or procedures/instructions. Finally, if a situation is unacceptable to both, a high task/high relationship style will facilitate an effective resolution. (7:174-175)

Oncken also provides important advice with respect to the ownership of problems -- situations. He emphasizes, as already mentioned in Chapter 5 in Time Management, most situations which arise or are brought to leaders by their

subordinates are legitimately "owned" by the subordinates. Leaders must diligently ensure the ownership remains with the subordinates -- either individually or collectively as subordinate groups. (13:136-138)

Finally, understanding that most situations call for collective resolution, effective leadership development and leadership practice will stress skill at building strong situation-resolution teams. Garfield notes peak performing leaders, recognizing they can't get everything done themselves, "align with the available forces -- the job, the people, and the organizational environment" -- to resolve situations. (6:175) He suggests the best leadership collects those who are not afraid of risks, contribute solutions, and are capable of taking action independently. (6:188) Kingsley supports this by recommending Kanter's advice of "connecting people in new ways, across segment boundaries" to take advantage of the wide variety of expertise and potential innovation which may be available throughout an organization. (9:12)

Effective leadership development programs must emphasize two things. Leaders are not only adept at dealing with situations that arise and plan for them as part of their organizational operation, but they also understand that creating them can be the mechanism for constructive change within the organization. (3:40) Finally, leaders frequently use teams because they tap the best resources of

the organization to deal with complex situations, free them to deal with those situations with high priorities requiring their involvement, and provide for the development of the subordinates within the organization, both as effective individuals and productive teams.

Motivating Groups and Organizations

As noted in Motivating Individuals in Chapter 6, all those Group Dynamics Skills developed in prospective leaders and employed by effective practicing leaders which have been discussed thus far are effective in motivating the groups of individuals composing the organizational unit. As with Helping Skills, the preceding Group Dynamics Skills **done well** will have a significant, positive influence on the organization. Those skills for Motivating Individuals discussed in Chapter 6 can be applied equally in motivating groups.

Just as with individuals, it is important for leaders to recognize the character of the organization and its units in developing a motivating approach. In motivating either the large organization or its respective units, leaders must again create a "climate" where the groups are united and trusting, focused on and contributing to the goals, and sensitive and supportive of the individuals in the groups. But, as the Mescons point out, this is only one dimension of the leaders' efforts; they must also maintain, multiply, and

strengthen this climate. (12:34) This requires attention to both intrinsic and extrinsic motivators.

The intrinsic motivators are often expressed as those internal needs of individuals, aligned with Maslow's hierarchy of needs, such as security, belonging, recognition, and actualization through the opportunity for growth. These are the "higher needs" which must be met in the workplace today if higher levels of motivation and productivity are to be achieved. (6:176) The extrinsic motivators are those organizational tools which can be used to meet these intrinsic needs. Extrinsic motivators include compensation, retirement plans, systems of expectations and values associated with tasks, social organizations, incentive compensation, titles, service awards, development programs, and promotions. (2:61-62)

Bell has provides a superb model for motivation to match the organizational, extrinsic motivators with the intrinsic motivators. He presents his model with the individuals in the organization between the organizational goals and the organizational output (productivity). In order to achieve high levels of output -- that is, meet the goals as closely as possible -- leaders have several important functions to employ which influence the group's motivation. The first set of these functions deals with the goals themselves. Leaders must clearly communicate the tasks to be completed by the group -- what the goals are and

how their achievement will be measured. They must also develop a commitment to these goals; and this is accomplished, as mentioned in the section on Goal Setting, by involving the group in the development of the goals, by creating a sense of shared responsibility for completing the group's tasks. Finally, leaders reduce goal conflicts by ensuring each goal has a priority so that the group's efforts can be appropriately directed. (1:48)

The second set of functions deal with the group's work on the tasks themselves. Leaders do their best to match individuals within the group to the various tasks to be completed. They also ensure appropriate training and development programs are available to achieve the maximum effectiveness and efficiency for all individuals performing their tasks. Leaders must develop a set of rewards for task completion and communicate to the group the relationship between meeting the organizational goals and obtaining the rewards. Finally, as with reducing goal conflicts, leaders must be sensitive to conditions which obstruct task completion and reduce obstacles such as bureaucratic procedures, inadequate work environments, insufficient human/fiscal/financial resources, or inadequate authority. (1:48-49)

The third and final set of functions relate to the feedback which is an essential motivational element in organizational, as well as individual, settings. Bell notes

"feedback not only measures output, but stimulates ... the worker to expend ever greater energy toward ... output."

(1:49) Clear and immediate feedback, as discussed earlier, gives the group a sense of where they are and that their efforts are achieving something. Furthermore, this frequent feedback is necessary for them to continue to understand the significance and value of the work they are doing. In addition, the amount of freedom leaders give to their groups to complete tasks creates an immense amount of motivation, and this motivation can be in direct proportion to how much authority they get as opposed to how much they use. Finally, the reward system, the most extrinsic feature of the feedback system, influences motivation in two ways. The group is influenced by what they perceive to be the available rewards and also by the number of rewards actually received. (1:49-51) A subtle, but powerful distinction exists here and must be clearly understood. Many available and no received awards are just as demotivating as many rewards given to everyone; so a careful balance between the extremes must be made to ensure the meaningfulness and significance of the work -- two of the most powerful of all motivators.

The effective development of leaders will ensure these functions are understood in providing the maximum motivation in the group situation.

Group Dynamics Skills are those which are essential to

the most visible part of the leaders role in organizations -- coalition building and the integration of organizational goals with those of the individuals and groups within the organization. The skills recommended by The Prescriptive Approach are those which are essential to the effectiveness of the organization. These are the skills which require the attention, not just of practicing leaders, but the leadership development program. With the traits and skills discussed thus far, the effective leadership development program and the effective practicing leader have one tier left in The Prescriptive Approach -- putting it all together, which leads to Chapter 8.

CHAPTER 8

Leadership: The Sigma Factor

The final tier of The Prescriptive Approach is termed the "Sigma Factor" because it is perhaps the most elusive in character. It is the combination of all the previous traits and skills in such a way that the whole -- **leadership** -- is greater than the sum of the individual parts. As shown in Figure 11, this synergism is the last interlocking tier and (1) provides the final connection among individuals, their organization, and collective goals and (2) coalesces all the traits and skills of the underlying tiers into total leadership.

In previous chapters, many citations have noted "leadership is **this**," or "the main job of the leader is **that**," or "the crucial task of leadership is **this**," or "the most effective leader does **that**." Having seen all these admonitions, one wonders which is most important. The salient point is, however, that while they are all important, the real task is to put them together into leadership development program -- and to apply them together effectively as a leader. Bennis and Nanus point out that "leaders need not be exceptional in every way." (1:59) This in another way of saying the most effective leaders are those who put together skillfully the traits and skills discussed in Chapters 4-7. And it follows that effective

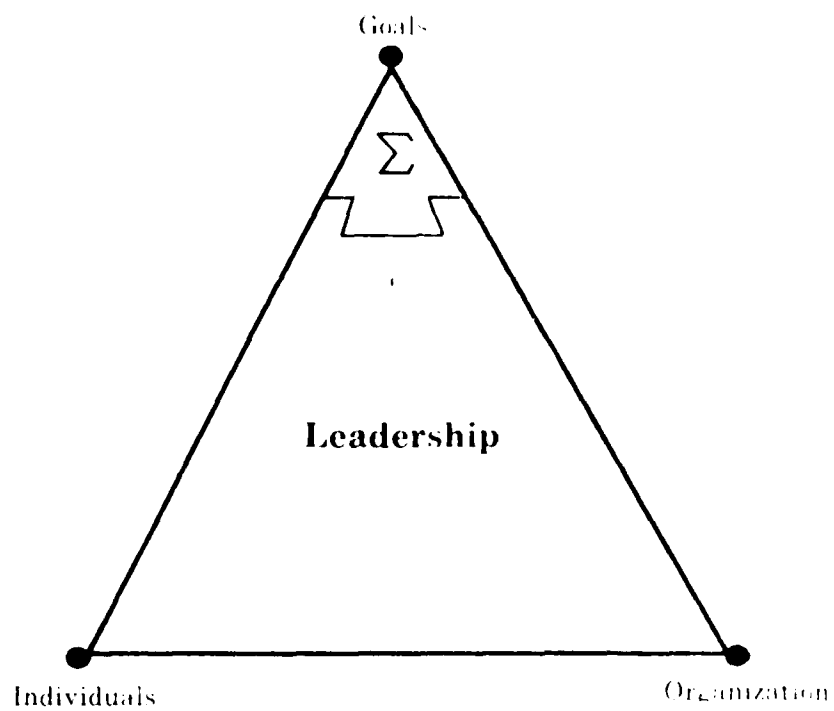


Figure 11. The "Sigma Factor":
Integration of the Elements
of the Prescriptive Approach
into Total Leadership

leadership development involves equally skillful synergy of these traits and skills in the prospective leader.

Sigma Factor synergism is accomplished in three ways by both leaders and leadership development programs. First, the most serious commitment to leadership -- **to leadership itself** -- is required. Often leadership is sought for reasons other than effecting the goals of an organization and its individuals; and this is fine, as long as it does not lead one away from a commitment to achieve those more paramount ends of goal achievement. Leadership development requires an equally serious commitment because, far too often, training programs are more committed to a single skill or set of skills rather than to a broad, integrated, synergistic effort like The Prescriptive Approach.

The second requirement is for self-observation and assessment. Garfield has observed that peak performers are those who have the capacity to stop frequently, stand back and observe what they are doing and where they are going, and assess themselves for "course corrections." (2:54) Only in this way can leaders reflect on their own performance and determine those elements of The Prescriptive Approach which need more work. Likewise, development programs require observation and assessment against The Prescriptive Approach to determine additions, deletions, or changes of emphasis to make the program more viable, to

reflect the practical and synergistic effects of each element of The Prescriptive Approach.

Finally, leadership must be recognized as a continuing "process," not as an "end" in itself. The synergism required in this process is achieved by understanding the hierarchical, yet interactive character of each tier of The Prescriptive Approach. Each tier builds on the previous one. Good, effective leadership is founded on the bedrock of Individual Traits of the first tier. The Professional Skills aid in the development of the Helping Skills and so forth. Each tier, however, plays back on the others. For example, good decision making reinforces the values the leader espouses; thoughtful delegation influences the level of trust and self-confidence developed in subordinates; use of teams in situation resolution positively effects a leader's power sources; and delegation helps in the leader's time management. All these traits and skills play together interactively.

The Prescriptive Approach is the beginning of the process and requires the mental, physical, emotional, and spiritual efforts of everyone involved in the process. It is a fundamental learning process. Again, as Garfield notes, peak performers never stop learning. (2:54) The learning also takes place in an interactive manner -- concentrating on moving up the tiers of The Prescriptive

Approach and, in so doing, playing new skills back into previous ones. In this way, true synergism occurs.

Before leaving this section, it is important to note four precepts which help ensure the effectiveness of The Prescriptive Approach in the work environment: knowledge, interest, presence, and example. Knowledge and interest have been covered in The Prescriptive Approach in Chapter 5 and Chapters 6 and 7, respectively. Presence and example are two ways in which to put them to work synergistically. Presence means simply "being there." Strozier, in his article on applying to executive leadership the principles used by military generals, says, "Leadership -- being there -- is what it's all about." (3:60) Subordinates, as well as superiors, are keen observers of the presence of their leaders. Effective leaders are always present at the appropriate times: when things are going well and when they are going poorly -- to help deal with each; early or late -- as situations dictate; when they are needed and when they are not -- and know the difference. In the final analysis, "being present" creates a special kind of "presence," and which has a significant, positive effect on the organization. This positive effect is amplified when presence is accompanied by example. In its most effective manifestation, example is a modelling by leaders of the kinds of behavior they seek in their subordinates. This

behavior would include the subordinates' efforts in task completion, as well as growth into good leaders themselves.

The synergy involved in combining the elements of The Prescriptive Approach into **good, effective leadership** is, therefore, not an accidental process. Leaders, as well as leadership development programs, must be sensitive to the powerful effect of all these elements taken together. Their efforts must be directed toward the skillful cultivation and incisive understanding of these elements. Putting them together synergistically provides the best means of meeting the needs and goals of individuals as they come together in organizations to achieve collective goals. This is the approach for which prospective leaders, as well as practicing leaders, must strive.

PART III

USING THE PRESCRIPTIVE APPROACH

CHAPTER 9

Identifying and Teaching Leaders

Several of the citations made thus far have decried the lack of education of leaders; and yet most have offered little in the way of an integrated, prescriptive solution, other than recommending following the sometimes narrow descriptive approaches of their own treatises. As noted in Chapter 2, fundamental and integral to The Prescriptive Approach offered in Chapters 4-9 is its use. The Prescriptive Approach in its entirety is a Leadership Development Program. This program is founded on three pillars: identifying and selecting prospective leaders, teaching leadership, and assessing leadership. This chapter and the one which follows will address these important aspects of leadership development.

Identifying Propsective Leaders

Perhaps the most difficult task in leadership development is the identification of those who have the potential for leadership. No one doubts its difficulty. As Lloyd Reuss of General Motors said, "there's our deep national commitment to egalitarianism: we Americans want leaders -- but we **don't** want them to lead by fiat or to flaunt ... power." (8:174) Selecting people for leadership development always runs the risk of elitism or special treatment. As Zaleznik notes, however, we have to realize

that this "elitism arises out of a desire to identify talent and other qualities suggestive of the ability to lead and not simply to manage." [Emphasis added.]

(11:136) The point is, however, the potential must be recognized and developed because the pace, diversity, and complexity of today's social order will not permit us to wait on the "right" leader to happen by or, as Drucker points out, depend on the current, miserable success rate of selecting leaders in the corporate world. (4:57)

How do we do it? First we have to screw up our courage and make the choices. We must recognize the need for leaders now and in the future is so pervasive that to leave the choice of tomorrow's leaders to some capricious process is tantamount to abrogating our responsibilities as leaders and citizens of today. These must be informed choices, as well. Zaleznik states:

Managers, teachers, and people in responsible positions in society can recognize potential more easily when they understand that freely developed personal relationships between supervisors and subordinates can benefit the culture of the group, that questions and challenges can yield results, and that encouraging experimentation can produce a more dynamic environment where latent talent can grow. (12:93)

The elements of The Prescriptive Approach offers a template which we can employ in selecting those who appear to have the most potential for leadership. We must understand, of course, that no process will be perfect. As Pogue points out in his biography of General George Marshall, the

temptation is "all but irresistible to find the lineament of greatness already configured in the child." (7:17)

Zaleznik also reminds us of General Dwight Eisenhower's rather lackluster school record. (11:134) These admonitions aside, some selectiveness must be accomplished along the way with young people who demonstrate maturity in the lower tier traits and skills presented in The Prescriptive Approach.

Drucker offers an approach for selecting people for promotions and staff positions which can be effectively translated for our purposes here. (4:57-58) First, the nature of the leadership task must be well understood. This can be done only in the most generic sense because, as Benton points out, the exact future leadership requirements cannot be determined with any certainty. (3:86) Drucker recommends cultivating leaders of all types, and this is just what The Prescriptive Approach is designed to do.

Next, a large number of potential candidates must be considered and then a very hard look taken at this large group to select those for specific leadership development. Selecting small group for development from among this large group of potential leaders helps ensure, in most cases, the most promising will be selected. Roskill notes that fundamental traits of character develop early. (9:21) These traits represent the foundation of The Prescriptive Approach and can be used as one benchmark for selection.

Making the selection process as rigorous as possible cannot be overemphasized. This emphasis would include the opinions of several in the process, not just on the basis of one or two individuals.

Finally, establishing the commitment to leadership, as discussed in Chapter 8, among those selected for leadership development is critical. Only when prospective leaders understand the crucial nature of the leadership role and the importance of intense preparation can they be expected to give the fullest measure of the dedication to the development task.

Two considerations are important. First, this selection process should begin early, in middle and high schools, because of the nature of the development of Individual Traits. Second, and once again, The Prescriptive Approach is a process and an evolutionary one; and those potential leaders not involved in the front end, but who show maturity in the traits and skills of the lower tiers at a later time, can always be introduced into the program at advanced tiers, as required. These considerations are not meant to imply that The Prescriptive Approach is designed solely for authoritarian, bureaucratic organizations or that prospective leaders will always be selected by "authorities." Certain organizations -- for example, those in the political, associational, and religious areas -- often surface leaders in an informal way. Nonetheless,

their need for those skilled in the leadership -- the elements of The Prescriptive Approach -- are no less than the bureaucratic organization's. The Prescriptive Approach offers an avenue for leadership development for all these organizations. However, the essential point is that attention must be given, on faith if necessary, to the selection of people of potential for specific, intense development in the traits and skills of **leadership**. In the optimum, this selection process would concentrate on young people.

Teaching Leaders

Leadership development is the heart of the matter and is why The Prescriptive Approach has been formulated. As Bennis and Nanus have observed, "'management education' is, unfortunately, the appropriate description" for what goes on at our colleges and universities and that the "gap between management education and the reality of leadership in the workplace is disturbing." (2:219) They point out most management education programs make assumptions regarding the realities of the workplace that are "dangerous," for example, "goals are clear, alternatives known, ... consequences certain, and perfect information is available." (2:21) Along with Sergiovanni, they emphasize the need for quality education -- **leadership** education, not **management** education. (10:330; 2:20) In addition to inadequate programs, timing is often inappropriate. Josefowitz notes

management trainees "often show up at training programs, to which they have usually been sent because, after a promotion, they have demonstrated little managerial ability and are seen as rigid, with little understanding of human problems." (6:49)

The Prescriptive Approach is designed to address these deficiencies with its Leadership Development Program as opposed to "education" programs at business schools or late "development" programs in the business world. Recall that while The Prescriptive Approach has been offered as a long-term leadership development approach to begin at an early age, it can be effectively instituted in whole or in part at later stages. With a serious commitment on the part of a participant, any trait or skills in The Prescriptive Approach can be enhanced or developed -- perhaps not without difficulty, but it can be done.

Therefore, the second feature of The Prescriptive Approach's Leadership Development Program is teaching leaders, which includes both education and training. The traits and skills discussed in Chapters 4-8, have an intellectual quality to them which can be studied and learned. As mentioned previously, for example, values education is effective in developing traits of character. The California public school system has instituted an important, albeit somewhat controversial, "values education" program -- an excellent step necessary in the development of

potential leaders. (5:61) However, the educational program has to be greater in both scope and depth. Leadership development must give those involved the philosophical and psychological background, as well as the fundamental precepts. Again, such a program ideally would start at the middle or high school level and with the base tier of The Prescriptive Approach. The Individual Skills and some Disciplinary Skills in the Professional Skills tier must also be emphasized at an early stage. Adler is particularly dismayed that the nation's educational system emphasizes, in decreasing order, reading, writing, speaking, and listening -- the latter two getting very little notice despite their more critical importance in the adult lives of the nation's citizens. (1:5) Education in speaking and listening must continue in more depth and those higher tier skills must be introduced at the college level in all disciplines, not just the business curricula, lest we forget James McGregor Burns admonition of the pervasive need for leadership in all walks of life.

The Prescriptive Approach Leadership Development Program takes one crucial step beyond the education so fervently advocated by others. Education often is of little value without the practical application of the principles studied in the classroom. Practical application allows for the testing of the principles and subsequent reflection on the assumptions and conditions of their application. So The

Prescriptive Approach calls for "training," as well as "education." Training would be conducted in "leadership laboratories." These laboratories would not be limited to case studies, but would involve actual experience in leadership roles appropriate to the maturity level of the participants. The educational institutions would establish these laboratories as part of the Leadership Development Program. Such laboratories could involve tasks as simple as directing janitorial services to the most difficult task of leading a task force for resolving selected challenges and opportunities at the educational institution or local business. The essential point is that the experience be real, "hands-on" experience in which prospective leaders get the sense of the ambiguities, complexities, diversity, and stress of the leadership role.

Only by taking The Prescriptive Approach and combining it with a carefully administered selection process and an intense development program can more effective leaders emerge from our current system. The degree of success of The Prescriptive Approach will be the vigor with which educational institutions embrace its features in their programs -- or promulgate new ones to initiate The Prescriptive Approach.

CHAPTER 10

Assessing Leadership

The final application of The Prescriptive Approach is the assessment of both the quality of leadership and the progress made in the leadership development process. As mentioned previously, Garfield emphasizes that "peak performers inventory themselves." (2:149-150) Bennis and Nanus point to the same thing in the leaders they studied. The "positive self-regard" they observed was partly the result of the ability of leaders to recognize strengths and compensate for weaknesses. (1:59-60)

The elements of The Prescriptive Approach provide benchmarks against which both leaders and those charged with leadership development can measure performance or development. Committed leaders and developers are the ones who will take appropriate actions to improve those areas where they assess shortfalls. Prospective leaders enrolled in The Prescriptive Approach's Leadership Development Program would also be encouraged to make self-assessments of their progress. The Leadership Development Program would then respond to these individual needs with appropriate emphasis on given elements of the Prescriptive Approach.

More than this, however, The Prescriptive Approach can also be effective in the external measurement of the progress of these prospective leaders. This measurement

would necessarily be both objective and subjective. A set of validated instruments could be developed to accomplish this task; with the material available today this should not be difficult. Subjective measurements would be accomplished by a small panel of highly respected leaders from business, government, and academe in the local area, selected carefully on the basis of their abilities vis-a-vis The Prescriptive Approach.

Assessments of the prospective leaders would, therefore, be three-fold: self-assessments, validated instruments, and independent panels, all using the elements of The Prescriptive Approach as the standard. Feedback from each source would be used to make adjustments in each prospective leader's development program.

The independent panel could also be used to determine the effectiveness of the Leadership Development Program. It could be particularly helpful in offering suggestions for additions, deletions, and changes to the training portion of the program, as well as offering potential laboratories for the prospective leaders.

Assessing progress is just as essential in leadership development as it is for leaders themselves. The Prescriptive Approach offers an effective tool to accomplish this. The success with which prospective leaders learn about, inculcate in themselves, and practice the traits and

skills in The Prescriptive Approach will be the measure of how effective it is.

PART IV

SUMMARY

CHAPTER 11

Summary

The Prescriptive Approach offers a new perspective on leadership, not from the threadbare descriptive view for the "already leaders," but a prescriptive perspective with a two-pronged attack. First, The Prescriptive Approach provides the **know-how**, the traits and skills which are fundamental to leadership in the context of any organizational setting. Second, it provides for a Leadership Development Program directed toward the identification and selection of prospective leaders, their education and training in the know-how, and the assessment of progress in the development program.

In a recent speech, Robert Ruess of General Motors said:

Now we're asking whether our American heritage -- the individualism and entrepreneurial spirit of a heterogeneous society -- can be the source of even more brilliant achievements. Well, I obviously think it can -- and that the catalyst is **leadership** (3:176)

As the Time study on leadership noted, "Leadership in the U.S. is not a matter of scores of key individuals," but is "a matter of tens of thousands, even hundreds of thousands, of influential men and women...." (2:35) Hersey and Blanchard have suggested, as well, that effective leadership involves the capability of adapting to countless situations. (1:130) Therefore, the catalyst is

leadership. It must be leadership which not only pervades society, but is broadly based in its traits and skills to grapple with the increasing complexity and diversity of interdependent organizations which characterize society today. The Prescriptive Approach offers a great avenue through which to produce such leaders. Its prescription will produce leaders founded in character with the energy and vision to mold groups of individuals into effective and efficiently operating entities to achieve progress in a broad range of societal enterprises.

The Prescriptive Approach is sensitive to Henri Peyre's admonition offered at the beginning of this study. If the nation needs leaders, if the nation wishes leaders, it must make the commitment to produce them. The Prescriptive Approach offers great hope for achieving that goal.

EPILOGUE

After completing this study, one thing jumps off the pages at me: we have not been doing a good job educating leaders in this country. Generally, becoming a leader is something that happens to you after one gets a leadership job. The popular press is clogged with descriptive treatises for some who is now in a leadership job after years of being a specialist or a manager of specialists. The ranks of leaders are filled with often "arbitrary" choices, not those who have been selected on the basis of a careful development process that begins with very critical character traits. The "accidents" in leadership are in evidence everywhere as a result -- in government, in industry, in the military.

Educating leaders must become a very high priority in our society and begin very early in life. This, in turn, means those young people with the most solid foundation will have to be selected for fundamental leadership training in our public and private schools. I realize that such a "selection process" smacks of "elitism," which is anathema in our democratic society today. However, I believe the founding fathers envisioned a meritocracy: those who show the most promise are those who lead and provide for those who are less endowed. We hear no arguments against honors classes in our schools where we recognize those who are

scholastically advanced. Such a program is also needed to educate those who show promise as leaders -- and give them experience in its practice, as well.

This nation will not continue to grow -- note I do not say "rise again" because I do not believe America is in decline, perhaps at a plateau, a crossroad -- unless we are willing to commit ourselves to innovation on all fronts. We have never lacked the ability for innovation on technological fronts; we must now do it on the leadership front. Everywhere we hear the cry "where are the leaders." The problems we face in the future will be very small indeed compared to those of today, and the pace of world society is so fast we have not the time to hope that a Churchill or a King or a Gandhi will spring forward. The best way to get leaders is to recognize that leaders are not born -- they are born to be nurtured, educated, trained -- developed.

The Prescriptive Model for Leadership is one recommended means for accomplishing this development. It should be seriously considered by our government leadership and professional educators for implementation on the broadest possible scale.

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