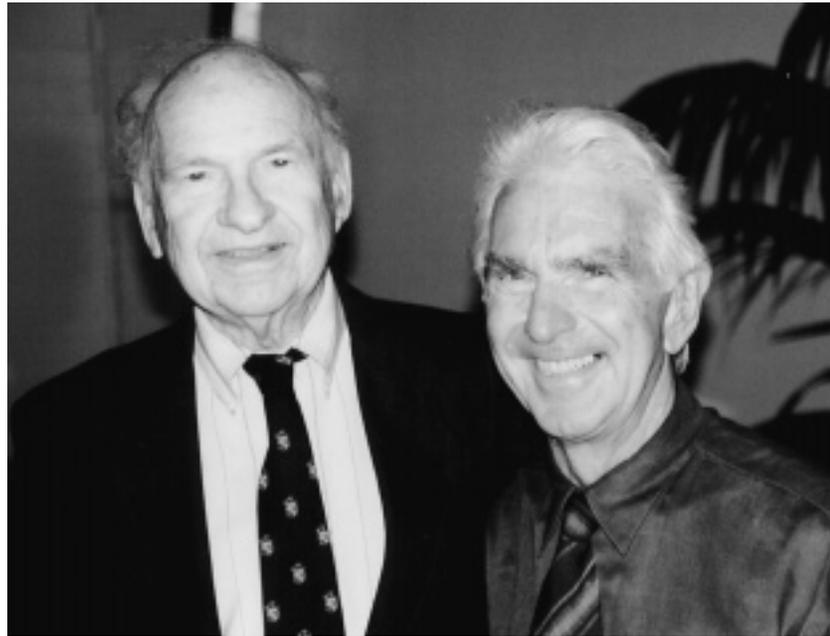# Selected Proceedings

1998 Annual Meeting: Leaders/Scholars Association

Meeting of the Minds—
*between those who study leadership
and those who practice it*

The James MacGregor Burns
ACADEMY OF LEADERSHIP

Cover photo: James MacGregor Burns (left), Senior Scholar at the James MacGregor Burns Academy of Leadership, and Warren Bennis, Founding Chairman of the Leadership Institute at the University of Southern California, at the Center for the Advanced Study of Leadership's November 1998 conference in Los Angeles, California.

Selected Proceedings

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Center for the Advanced Study of Leadership

THE JAMES MACGREGOR BURNS ACADEMY OF LEADERSHIP

Table of Contents

Introduction

Barbara Kellerman and Scott W. Webster

In 1994 the W.K. Kellogg Foundation decided to support a four-year initiative intended to create for the first time a community of scholars in the field of Leadership Studies. The goal of the Kellogg Leadership Studies Project (KLSP) was quite specific: to produce and disseminate knowledge that advanced leadership theory, education, and practice.

By most measures, KLSP was a considerable success. It produced a series of working papers written by some of the best scholars in the field. It brought together for four consecutive years a group of people who had finally found some like-minded colleagues. And it helped to legitimize an area of inquiry that had—despite its obvious importance to the course of human affairs—remained at the margins of the academy.

When the project was over the primary question was obvious: what would become of the group? How would the community of scholars dedicated to Leadership Studies continue to stay connected?

Enter the Center for the Advanced Study of Leadership (CASL). When CASL was established, in early 1998, these were among the first questions it sought to address. We were determined to hold on to, and indeed further to grow, the network of leadership scholars that had finally taken root.

And so it was clear from the start that CASL would sponsor some kind of leadership conference. It was also clear that this event would be dedicated at least in part to leadership scholarship. What kind of entity would host the conference, and indeed what kind of conference it would actually be, were less clear.

The strategy we settled on was to include in the conversation previously missing colleagues: practitioners. We sought to create a mix—a "meeting of the minds between those who study leadership and those who practice it."

The conference that was the result of this decision took place on November 13–15, 1998, at the University of Southern California. It was held under the auspices of the newly created Leaders/Scholars Association—a name obviously intended to reflect the two primary constituencies.

As the conference program included as an appendix indicates, the conference did indeed include a reasonably good mix of those who study leadership and those who practice it. For example, one of the keynote speakers was Kathryn Whitmire, five-

> *We sought to create a mix—a "meeting of the minds between those who study leadership and those who practice it."*

term mayor of Houston, Texas. And another was Warren Bennis, one of our most eminent leadership scholars.

Of course, this is not to say that all of the people were happy all of the time. In fact, conference evaluations indicated that some scholars wanted more information on the latest research, and some leaders and managers wanted a greater focus on leading and managing. But there did emerge from the meeting in Los Angeles a near consensus: By an overwhelming majority those present strongly supported the idea of an organization permanently committed to those with a professional interest in leadership.

The November conference stiffened spines. We decided to take a leap, to work on the assumption that the time was right for the establishment of an association designed to serve people with a professional interest in leadership. Thus was the International Leadership Association (ILA) born.

Beginning in 1999, the ILA will meet annually toward three primary ends: 1) to generate and disseminate cutting-edge work in theory and practice; 2) to strengthen ties among those who study, teach, and exercise leadership; and 3) to serve as an arena within which those with a professional interest in leadership can share research, resources, information and, above all, ideas. For further information on the ILA, see the back of this book. Here it will suffice to say that the conference that is reflected in these *Selected Proceedings* laid the groundwork for what we hope will be an inclusive and enduring network of leaders, managers, scholars, educators, community activists, consultants, trainers, and interested institutions.

As the conference program makes clear, those who attended the meeting in Los Angeles were not at a loss for something to do. The forty-eight-hour event was packed—arguably too packed!—with excellent speakers, panels, and roundtables. For example, as suggested above, the five keynote speakers, each of whom is represented in the pages that follow, covered a wide range of topics that reflected their own different training and experiences. Together they at least made a dent in the wall that, in general, still separates theoreticians from practitioners. (This divide is particularly apparent in the public sector.)

As the title of this publication indicates, the proceedings that follow are selective. Included are the five keynote speeches; and four papers that we consider to be of particular interest, in part because in one or another way they each mingle theory and

practice. We are pleased to add that six of the other presentations are also available—on the web site of the Center for the Advanced Study of Leadership at "http://casl.academy.umd.edu." The Leaders/Scholars Association conference was an experiment. We first wondered whether folks would even attend, and were astonished when our most optimistic attendance estimates were exceeded by a healthy number. We trust that the papers that follow testify to the vitality of leadership as an area of intellectual inquiry, and to the virtues of bringing those of us with a professional interest in leadership together on a regular basis. Leadership matters. But our work in the area is likely to yield more of consequence if the conversations among us are joined.

★★★★★

Conference attendees listen to Sunday morning comments.

PART I

KEYNOTE SPEECHES

Carmen Foster, John F. Kennedy School of Government, Harvard University, Cambridge, Massachusetts.

The End of Leadership

Warren Bennis

T hank you very much, Jim Burns. When Jim's book *Leadership* came out, in I think it was 1978, I don't think a conference such as this could have happened. I really don't.[1] I think that Jim's work has really legitimized for all of us the academic study of leadership.

I was amazed to hear [that Jim's concept of "transformational leadership" has spawned some] four hundred theses—but it's quite clear that his book on leadership is not only a classic in management schools, but also in a variety of other disciplines. So I think we really owe him such a tribute to make this meeting possible. Jim Burns's work has made it possible.

In my book *An Invented Life,* one of my tips to future leaders is to stalk mentors.[2] And I did stalk Jim Burns, but he was a willing stalkee, if that's the right word (*laughter*), and he has always been, no kidding, an inspiration.

Just a quick, personal anecdote. One reason, among others, that I got interested in leadership, was my experience teaching at MIT in the Sloan School of Management. And one of my classes consisted of a group of Sloan Fellows. These were, in those days, only men in their thirties, early forties, and I was doing my best to teach them something about leadership and management. But there was always a kind of undercurrent running through all of my classes. And the undercurrent rarely ever surfaced, but it went something like, "If you're so smart, why aren't you rich?" (*Laughter.*)

So I thought and I remembered that character in one of W.H. Auden's poems who lectured on navigation while the ship was going down. And I figured that I really ought to learn something more about [the practical side]. I actually applied for a university administrative job. In retrospect, I have my questions about the wisdom of doing this, but I did. And I was offered the post of provost at SUNY-Buffalo. I said, "Buffalo." Buffalo, New York. (*Laughter.*)

Remember that line in *A Chorus Line* where someone says to commit suicide in Buffalo is redundant? (*Laughter.*) I couldn't make up my mind about what to do: leave a comfortable, tenured position at MIT with a corner office overlooking the Charles River or go out to Buffalo. I went through a two-month [period of trying to decide]. A colleague of mine at the Harvard Business School is the world's leading theoretician on decision making. So I decided to have lunch with [him] and I asked, "Look, I'm in this sort of dilemma, could you apply one of your ideas or models to me?" He then looked at me rather wryly with a sort of late-November smile and said, "Hell, don't ask me. I was in exactly the same position you were. Last year I got a very attractive offer from Stanford. I didn't know what to do. I went to see my dean . . . and [he] said, 'Well, why don't you use one of your

models on yourself?' My friend said 'Yeah, but this is important!'" (*Laughter.*) Finally, I decided to go to Buffalo.

I think the best way I know of to rivet your attention is to give you a pop quiz. That's what I'm going to do now with the help of this overhead. It's a multiple choice. It's not that hard. And we'll get a sense of the collective IQ of those of you interested in leadership. Now, the first question is, Who painted the ceiling of the Sistine Chapel? The second question is, Who was the animating genius behind those marvelous animated films, *Bambi, Snow White, Fantasia, Pinocchio, The Jungle Book,* and all of those? And third, Who is regarded as the greatest twentieth-century painter?

Okay, let's take question one: Who painted the ceiling of the Sistine Chapel? Think about it. Can you imagine Michelangelo on a scaffold, by himself, painting the Sistine Chapel? In fact, yes, it was Michelangelo, [but also] thirteen artists, and a crew of 200. That's about the size of a Hollywood movie crew. Yet when we think of the Sistine Chapel our imagery runs to Charlton Heston on a scaffold. (*Laughter.*) Even Charlton Heston as Moses could not have done it by himself. It's just that kind of feat.

Second answer: How many of you would say, "Walt Disney?" Well, what's really fascinating is that the people who really are responsible—the animating geniuses, I should say—[were] nine men. And they were led by two guys in their twenties named Frank Thomas and Ollie Johnston. They were referred to always as "Frank and Ollie." And those two men, working with a crew, [did the work]. And yet we still think of the answer as Disney.

. . . The last question: Who is regarded as the greatest twentieth-century painter? How many of you said Picasso? Yeah. This perhaps is the most interesting of the three. What is interesting is this: Picasso and Georges Braque together really created what is known today as cubism. There was a recent show in Washington and New York of Picasso's work up until the age of twenty-five. And all the critics agreed that if Picasso had somehow stopped painting at that age he would not have been remembered. He would at most have gone down as a second- or third-tier painter in the pantheon of our painters worldwide. It was his meeting with this remarkable Frenchman [that helped his creative genius] . . . They worked together from 1906 almost to the beginning of World War I. Braque was drafted into the French Army. Picasso, being a Spaniard, wasn't. And they worked together. They dressed alike. Together they created cubism. Together. It would not have happened without their partnership.

It was an incredible relationship. Braque once described it as like two mountaineers roped together. It was that spiritual resolve of Braque and that incredible visceral energy of Picasso together that created cubism. They called themselves Orville and Wilbur.

They identified themselves with the Wright Brothers. And many of their pictures went unsigned. A lot of their friends could not tell you, unless they happened to know, whether [a particular painting] was a Braque or a Picasso.

This is getting to my point: Why are we clinging to the myth of the single individual? Why do we not recognize that partnership between Braque and Picasso? Why do we just assume that it was Walt Disney's genius? Certainly it was his idea originally, but the people who really animated, who translated the genius into reality, were Frank and Ollie and their staff of animators. Why is it that we cling to that myth? And I could give you example after example.

I guess if I have a thesis this evening [it's this]: there is an encompassing tendency that is based on a myth, especially in American culture, of the triumphant individual. It's a myth deeply ingrained—almost burned into our collective limbic zone. A student of mine wrote an essay a few years ago which went, "John Wayne rode through my childhood and shaped my dreams of power and authority." Or the Lone Ranger. Why do we forget Tonto? Why is it that we cling to this idea? Which is, I think, reinforced by the press, reinforced by the media, reinforced by writers of [leadership], and I am not myself immune from this deification of the Great Man. For many reasons, I want to argue this evening that that myth is obsolete, misleading, maladaptive, and possibly dangerous.

I'll tell you why some recent experiences have made me focus on and deepen and intensify my interest in this. I want to give you three recent examples. The first is a book that I co-authored with a colleague on the role of "number two" in an organization. We were interested in roles like vice-president, like the second in command. And we wanted to call it, out of vaudeville, *Second Banana*. We thought it was a kind of catchy title. We had some marvelous chapters in the book. We had one, for example, on—everyone knows Warren Buffett. Nobody knows Charles Munger. Charles Munger is his number two. He's a lawyer. He is the one who actually helps Warren Buffett suppress some of his enthusiasm by often questioning the kinds of choices Buffett is making. In fact, Charles Munger is called "The Abominable No-Man" because he's so often telling Buffett, "No, don't do that."

We also had a chapter called "Banana Splits," where it didn't work. Like Michael Ovitz and Michael Eisner [at Disney]. That [team] lasted less than a year.

My publisher called me and said, "Warren, forget it. Nobody in America wants to be number two. Nobody in life wants to be second banana." Then he quoted Leonard Bernstein, who once said: "The hardest instrument to play in a symphony orchestra is second fiddle." [So my colleague and I] re-titled the book *Co-Leaders. (Laughter.)* And we re-framed it and it's going to be in your bookstore sometime in late March.[3]

The reason I am telling you this story is that resistance to the idea of "number two" in an organization [is deep seated]. By the way, that same editor said to me, "Warren, what if you had entitled your book, *On Becoming A Follower* [or] *How to be a Superb Follower* [instead of *On Becoming a Leader*]? Well, it wouldn't have sold."[4] That's story one.

The second story [is from] last weekend. We were at a conference on the media and public leadership. There were a lot of media people there. And one of them, an editor of a business magazine, said, "We are now only putting individuals on the cover because we feel that that sells." And someone else said, "Well, that's like the '*People*-ification'[after *People* magazine] of America, isn't it?" I asked, "Why don't you on occasion have an ensemble on the cover?" He said, "No, that wouldn't work either." Deeply ingrained in our media is this idea of the individual.

Why are we clinging to the myth of the single individual?

Now I'll spend more time on the third anecdote with you. I was recently invited to the Harvard Business School, which was having a conference on "Leading Change." And they had about sixty people there, most of them academic, [but] not all. And with classic Harvard arrogance they decided to do a series of seven debates. And they asked me if I would [participate] and I reluctantly agreed to be in one debate. The resolution was that "Successful, enduring leadership can happen only if it's top-down." I was asked to take the other side of that. Now at any rate, it's ridiculous to make this argument: you know, top-down versus bottom-up. But that was the assignment. I reminded the professor from Harvard who [invited me] of the Harvard professor's prayer. [It] goes like this: "Dear Lord, please deliver us from the terrible sin of intellectual arrogance, which for your information means . . . " (*Laughter.*)

I said, "This is ridiculous, you know, the idea of taking top-down versus bottom-up." But I started my debate by saying, "There's an old *New Yorker* cartoon showing Charles Dickens in his publisher's office in London. And the publisher is looking at him rather sternly and saying, 'Look, Mr. Dickens, it's either the best of times or the worst of times, but it can't be both.'" (*Laughter.*) So I prepared for my fate by thinking about a montage, a different argument. Rather than trying to say bottom-up is better, I tried to show how—to repeat my words—"wrong," "obsolete," "misleading," "maladaptive," and "dangerous" the [imagery] of top-down leadership can be. So it was a montage.

And I started off with a poem by a Marxist playwright, Bertolt Brecht . . . .Brecht has a great poem called "Questions from the Workers." [This helped me demonstrate] the ridiculousness of the idea of top-down leadership as the only way to create enduring, successful change. And Brecht wrote in this poem: "Young Alexander conquered India, all by himself?/Caesar beat the Gauls, not even a cook to help him with his meals?/Philip of Spain wept aloud when his Armada went down, did no one else weep?/Frederick the Great won the Seven Years' War, who else was the winner?/On every page a triumph, who baked the victory cake?/In every decade a great man, who picked up the check?/So many reports, so many questions."

I want to repeat the argument to you, very quickly, that I made at the Harvard Business School this summer; then set forth after that what I consider to be some dimensions of the leader of the future. When Barbara [Kellerman] and I talked about a title I provocatively offered [the one I am using], and she [agreed] quickly, "Yes, call it 'The End of Leadership.'" And if I were to re-title it, I would use the following title, "Choosing and Using Our Heroes More Wisely."

I will end on a bit of a constructive note and talk about what I think are some of the dimensions of leadership that are important and that should be taken into account, given the kind of world we live in right now.

So I said, first of all, [that focusing on the individual as leader is] "wrong." It's wrong because we're living in a time that I need-n't really go into with you—but it's a time of unbelievable hyper-turbulence, volatility, complexity, uncertainty. All of those words fit the time we're living in. And I think we're also in an age of vulnerability.

The question isn't, What happens next? The question is, What happens after what happens next? We live in a very weird time. And this complexity makes it very difficult to know what's going on in organizations. There was a recent study that was very surprising to me. A global set of surveys went to global leaders on all continents. [Surveyors] asked, "Who will influence your organization in the next ten years?" What surprised me was . . . [that respondents] said, "A team of leaders" (61 percent). And only 14 percent said "one leader."

The point here is that none of us is as smart as all of us. And the idea, right now, that one person can do it [is outdated].

Let me give you another piece of my montage. This is a letter I received from a *Fortune* 100 CEO a couple of years ago. I had written an article in which I quoted one of favorite management philosophers, Wayne Gretzky, the hockey player. What he said was, "It's not where the puck is, it's where the puck will be." What I want to underline here is that in the last sentence of [the letter from the CEO] he says, "In plain English, we've got a bunch of people who want the world to be the way it used to be and are very disinclined to accept any alternative forecast for the future."

Now, here's the irony: this CEO, who recently retired, is one of the brightest, most innovative, most creative people in his industry, without question. And yet he couldn't get people to follow the direction that he was setting up for this company. And the reason—this relates to Kathy Whitmire's talk after lunch today—the reason is that there was almost zero trust in him. I talked with his [executives] when I was visiting this company, and the way they referred to him [was in negative terms]: "The Blade," Darth Vader. One of them called him a "revolving son of a bitch"—he was a son of a bitch from no matter what angle you looked at him. (*Laughter.*)

The one thing that all of us know about leadership . . . is that what . . . establishes leadership is willing followers—no matter how brilliant the one person is, and he was [brilliant]. That's what makes it so interesting . . . . Here's a case where the leader is brilliant, [has] terrific ideas, but no trust [exists among subordinates].

Now, I also said [that focusing on the individual, heroic leader] is "wrong" and "misleading." I want to tell you a story about a social movement. It's another piece of my montage. [Over the past thirty years] we have been learning about the group, the band of brothers and sisters, around Dr. Martin Luther King, Jr. This is an interesting story. All of you would be interested in John Lewis's recent book, *Walking with the Wind*. It's a marvelous book. And he talks about that great group of [people]: Diane Nash and Jesse Jackson [and others]. And it is clearly a group effort. Clearly a group effort. John Lewis's book makes this point brilliantly.[5]

Jim [Burns] said to be a little personal tonight and I will to this extent. I [knew] Dr. King's wife before they were married. Coretta Scott was a very gifted singer. She went to the New England Conservatory of Music on a scholarship. I went to MIT. And Martin [Luther King, Jr.] went to Boston University [for graduate work]. And when I was with them at parties I always thought that Coretta was the more charismatic one, that Martin seemed shy, somewhat bashful. John Lewis said Dr. King often joined demonstrations late and sometimes he ducked out early. He didn't say that in a critical way. I know many of you have read Garry Wills's book, *Certain Trumpets,* and in a remarkable passage which shows you something about the relationship, the symbiosis, the alliance, between the leaders and the led, Wills wrote, referring to Martin, "He tried to lift others up, and felt himself lifted up in the process. He literally talked himself into useful kinds of trouble." What a great [image]— "talked himself into useful kind of trouble."[6]

"King's oratory," Wills goes on, "urged others on to heroic tasks—and where they went he had to follow. Reluctant to go to jail, he was shamed into going there after so many young people responded to his speeches and found themselves in danger." But talk about that kind of interaction [between leaders and followers]!

Okay, I said [leadership that focuses on the "leader" is also] "maladaptive." Ron Heifetz (I don't think he's here tonight but he'll be here tomorrow) talks about "adaptive" problems and "technical" problems. "Technical" problems, they're the easy ones. They're the ones with quick solutions. "Adaptive" problems are technical, cultural, political, personal. That's the hard one. I suppose if you've got just technical problems, then perhaps one person can easily solve that kind of a problem. The problems that our society is facing are all, today, adaptive problems. They're complex. The cartography of stakeholders is bewildering. Change is taking place from month to month. Extraordinary.

I want to say something about danger. And I want to use for my [thesis that] top-down leadership is dangerous one of the

> *The point here is that none of us is as smart as all of us.*

books that I consider to be among the top ten or fifteen books on organizational leadership. And that's a book that I'm sure many of you have looked at, *The March of Folly* by Barbara Tuchman.[7] It's a remarkable book. We're using it in our class this year.

The title, *The March of Folly,* I think is brilliant. What Barbara Tuchman does is this. She defines folly as made up of two basic criteria: one is—and it's all about government—"when the government pursues policies contrary to the self-interest of a nation"; . . . and second, "when other options were clearly available" at the time. Not looking back . . . but at that time, there were other, more reasonable options. And she refracts through the prism of folly four events: 1) the Trojan horse inside the walls of Troy; 2) the Renaissance Popes and how that led, much more quickly than it probably would have to the Reformation; George III and the loss of the U.S. colonies; and finally, the Vietnam War. It's an amazing book. It talks about the danger of one person's [decision making].

Just read the first chapter on the Trojan horse; you'll be astonished as I was. They've been at war for years, the Trojans and the Greeks, right? And it's an impasse. So suddenly [a decision is made to open the gate] and there's this huge wooden horse . . . no Greeks around to be seen. Suddenly they have disappeared. Where have they gone? Overnight they have disappeared, it seems. And they could actually hear the armor clunking inside this weird wooden horse. They could hear things going on inside. [Troy's citizens were wondering whether the Greeks were hiding in the horse.] "I fear the Greeks, even when bringing gifts," [they said]. Now, think about the danger. Think about Stalin's communal farms. Think about Hitler's Holocaust. Think about Napoleon's Russian campaign. Think about Mao's Cultural Revolution. Think about Newt's obsession with Monica Lewinsky.

The last is even more interesting because it's such a recent event. All the polls showed that the public was fed up with [the Lewinsky/Clinton affair]. A recent issue of *Newsweek* [has an analysis] of clear wooden-headedness. And Barbara Tuchman writes, "Wooden-headedness, this quest for self-destruction, is a factor that plays a remarkably large role in individuals and institutions of all kinds. It consists in assessing a situation in terms of pre-conceived, fixed notions while ignoring or rejecting any contrary signs. It is acting according to wish, while not allowing oneself to be deflected by the facts . . . "

I should warn you that everybody has a take on leadership. Mine is thinking about [leadership in] post-bureaucratic organizations or those organizations that are going to be in the phone book in the year 2005. I'm not going to mention all of the things that I could say.

> *The leaders [for the future] I am talking about are going to be leaders who are interested in bringing out the ideas of others. Leaders and led are intimate allies: paradox and symbiosis.*

I don't think that these are necessarily going to strike you as "Wow!" but I want you to listen to some of the rationale behind this. First of all, I talked about leaders who understand the power of appreciation . . . . Let me just say a couple of things about that particular dimension of leadership. In most human organizations that I have followed and consulted with and researched, there's an amazing absence of appreciation and acknowledgement. I feel that a lot as an academic person, because when I send a book to my dean and to the president, I really want it to be acknowledged and understood. There's something so powerful about being known. It isn't just, "Thank you for your book; I'm going to take it with me on my next trip on the airplane . . ." What you really want is someone who actually understands and knows. There's a vacuum in that area in many of our institutions. It is very, very powerful.

One of the groups I have studied is the Manhattan Project. And I want to tell you that [chief scientist J. Robert] Oppenheimer was not considered to be the brightest or the best of that group, although I should add that he was a distinguished physicist. And he had working with him seven future Nobel laureates and one who already was a Nobel laureate, Niels Bohr. He was not threatened by hiring people more advanced in theoretical physics, nuclear physics, than he was.

Take Peter Schneider, who heads up the Disney feature animation studio: he is in charge of 1200 animators. He cannot draw. Bob Taylor at the Palo Alto Research Center, where the personal computer was invented, is not a computer scientist. Yet these men are able to understand and appreciate. To use Max De Pree's words, "They were able to abandon their ego to the talents of others."

My best example is a play about two remarkable Englishmen, who were heroic figures . . . of the nineteenth century: Mr. [William] Gladstone, who spent sixty-one years in public life; and Mr. [Benjamin] Disraeli, who was only prime minister for about eight years. And they were two remarkable men. And it is said that when you had dinner with Prime Minister Gladstone, you thought that *he was* the world's most provocative, most brilliant, wittiest conversationalist. And when you had dinner with Disraeli, you thought that *you were* the world's most provocative, most brilliant, wittiest conversationalist. What a profound difference.

The leaders [for the future] I am talking about are going to be leaders who are interested in bringing out the ideas of others. Leaders and led are intimate allies: paradox and symbiosis.

What happens in organizations—in all bureaucracies—is that there's a general tendency toward entropy when people have for-

gotten why they're there. If there's one notion I doubt that any-one here would argue with it is that people in leadership positions have to recognize that people work because they want to make a contribution. And I think this is true at every level of organization—not just breakthroughs, not just the Manhattan Project, not just the Disney feature animation studios.

There's an example from the Manhattan Project that I'll tell you about. One of the most irreverent, bright, remarkable men on that Project was a twenty-two-year-old named Richard Feynman. You may have read some of his work. He was at Cal Tech. A young, scrappy, irreverent twenty-one-year old. He won a Nobel Prize in 1969 for his work on sub-atomic particles. And on the Manhattan Project they began hiring a whole bunch of engineers from Cal Tech and Carnegie Tech and Illinois Tech and MIT. Brilliant, talented graduates. And they put them to work doing the most numbing, boring statistical work with primitive computers and calculators. And their morale was low because they didn't know why they were doing this monotonous work.

They had no idea the work was top secret. They were working in Los Alamos to create, in nineteen months, with incredible consequences, the first nuclear device. And Feynman kept [saying to his superiors], "Look, you've got to tell them why they're here . . . " For security purposes, Oppenheimer felt they couldn't. Well, he finally did. He gave a series of lectures on what they were doing and why they were doing it. And according to Feynman, they were transformed. They knew why they were there.

Look, I could go on, [but I won't]. I want to end my talk tonight with a couplet by an Italian writer and poet, Decrescenzo. The couplet goes like this, and I think it summarizes what I have tried to get across tonight:

We are all angels with only one wing.

We can fly only while embracing each other

That's what it's all about. Thank you very much.

Notes

1. James MacGregor Burns, *Leadership* (New York: Harper & Row, 1978).

2. Warren G. Bennis, *An Invented Life: Reflections on Leadership and Change* (Reading, MA: Addison-Wesley, 1993).

3. Warren G. Bennis and David A. Heenan, *Co-Leaders: The Power of Great Partnerships* (New York: John Wiley & Sons, 1999).

4. Warren G. Bennis, *On Becoming a Leader* (Reading, MA: Addison-Wesley, 1989).

5. John Lewis, *Walking with the Wind: A Memoir of the Movement* (New York: Simon & Schuster, 1998).

6. Garry Wills, *Certain Trumpets: The Call of Leaders* (New York: Simon & Schuster, 1994).

7. Barbara W. Tuchman, *The March of Folly: From Troy to Vietnam* (New York: Alfred A. Knopf, 1984).
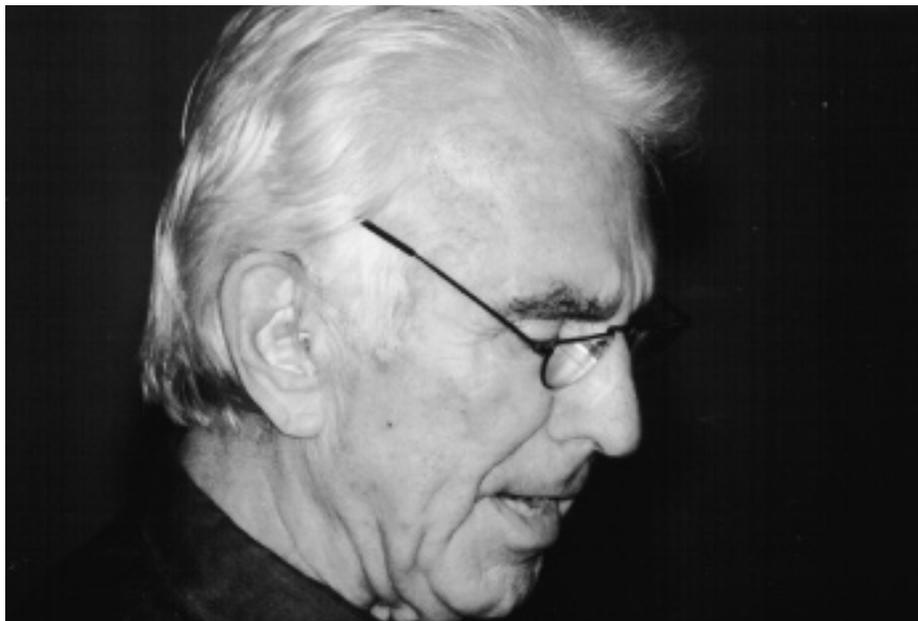
Warren Bennis, Leadership Institute, University of Southern California, Los Angeles, California.

Staying Alive

Ronald A. Heifetz

I t really was like driving down memory lane this morning—from coming in late last night and staying at my brother's house to driving down the freeways I used to drive down twice a week for these five-hour master classes on the campus here twenty-seven or twenty-eight years ago and just smelling the eucalyptus trees. So I'm sort of nostalgic this morning; and maybe that's fitting, because I wanted to speak more personally and less theoretically about leadership.[1] I want to talk about work that I'm currently engaged in which spills from the last chapter of *Leadership Without Easy Answers*.[2] It has to do with the management of oneself in the exercise of leadership, and in particular how to sustain oneself given the stresses and the dangers and the risks of leading.

But first I want to thank some of the teachers that are here, my teachers. The cello teacher with whom I studied is such a presence to me because I'm in the place where he was my mentor. He taught me so much. He taught me that if you study anything deeply enough, it connects with everything else.

But the way he taught me was quite frustrating. I went to him and said, "You know, I'm really dying to play a sonata by [Johannes] Brahms." And so he gave me this concerto written by a nineteenth-century composer that nobody had heard of, because it's such an awful concerto by a man who was a great cellist at the time, but wasn't such a great composer. His name was [Sigmund] Romberg.

And so he gave me this Romberg concerto and he said, "First master this concerto." And so I worked really hard for a couple of months learning this material. And then finally I came to him and I played the concerto. And he said, "Wonderful. Now you're ready to move on."

So he took the sheet music from my hand—and I'm all excited now because finally I'm going to get to play the Brahms sonata—and he crossed out "Romberg," and he wrote "Mozart." And he said, "Now, go play this concerto as if it were Mozart."

Well, Mozart is not Brahms, and, anyway, this is Romberg *(laughter)*.

So I spent another couple of months working on the concerto until I could do it as best as I could and I imagined it to be Mozart. After a few months I came to him and I said, "Okay." And I played.

And then he crossed out Mozart, and he wrote "Brahms." And he gave me back this Romberg concerto. And finally at the end

of this year, in the last months of the year, after having spent six out of eight months studying this Romberg concerto in its various imaginings, I got to play a Brahms sonata. He was a great teacher.

But there are other great teachers here I want to acknowledge; people upon whose shoulders so much of my work builds: Jim Burns for his work on normative conceptions of leadership; Barbara Kellerman, who in a way shepherded me through the major transition point in my career, when I went from being a psychiatrist to someone thinking about and teaching leadership. And she was right there at that critical juncture with extraordinary generosity in shepherding me through what felt like quite a frightening mountain pass. And there are others, friends, many of you, Joe, Kathy, Gill—

Now I want to talk about staying alive. I want to talk about it in two senses. One is staying alive in terms of your job or in terms of your life, because sometimes people actually get assassinated. And sometimes people simply experience character assassination, and sometimes they simply all of a sudden come to work and there's a pink slip on their desk. There are lots of forms that it takes. Sometimes people experience feeling marginalized or simply silenced. There are lots of different ways we have of taking others out of action.

But there's also a staying alive which is more personal; which is, I think, connected to keeping our spirit and our soul alive. And I would like to talk about that as well today. I want to be working on both of these levels.

> *But there's also a staying alive which is more personal; which is, I think, connected to keeping our spirit and our soul alive.*

Getting on the Balcony

In my work it seems to me that the most common reason why people get taken out of action is not that they take calculated risks and lose the bet. You have to take calculated risks if you're going to lead—because if you're going to lead you're frequently going to raise questions which people don't want to hear; you're going to be representing perspectives or values that challenge people's norms; you're going to be asking people to weed out what's most precious from what's less precious, and that's difficult for people to do—it generates internal conflict within people and conflict within their own sub-systems, their own communities, their own families.

So we have to take calculated risks, and sometimes we lose the bet. That comes with the territory. But that's probably not the

most common reason why people get taken out of action. I think the most common reason why people get taken out of action is that they don't even see the challenge coming. And they don't see it coming because they get swept up on the playing field, or what I call "the dance floor," where the music is pumping so fast that all they see and all they know is the person with whom they're dancing and a few people in their own environment. And so they get stuck. They get swept up in the music and swept up in their own environment, but they don't get a chance to get on the balcony from which they can look at the system as whole.

Now, when one steps back and looks at the system as a whole, one sees a larger system, a larger system in which there are various factions. Without stepping back, we often don't see the challenge, the current challenge, what I call "the adaptive challenge," the tough issues, the gap between the values people say they stand for and the way they're actually living.

Each sees it from a different perspective. In a business maybe it's marketing, finance, sales and operations. They see the challenge differently. In politics we think of factions all the time. It's the same in any organization. There are systems in which individuals represent, and have loyalties to, a particular faction.

From the balcony we can ask the critical, strategic questions: Who needs to learn what if we're going to make any progress here? What are the losses? What are the adjustments? What are the pains of change that my perspective is going to generate if people take it seriously?

And without taking into account the pains of change, without having a reverence for the adjustment you're asking people to entertain, you can't develop a strategy that takes all the adjustments into account in terms of your pacing and sequencing, coalition building, and so forth, of the issues and factions.

So from the balcony one can ask, "Who needs to learn what?" Because if one doesn't ask, "Who needs to learn what?" frequently we leave out critical factions in our thinking, in our strategy, and then they make end runs around us, or they sabotage us. But by taking these people into account, taking these factions into account, I don't mean that you agree with them. I simply mean that you take their pains into account.

Because most people feel most comfortable talking to the people who agree with them, we all tend to hang out with people who like what we have to say. And, of course, it's critically important to spend time developing your allies and strengthening your base.

But it's also incredibly important to pay attention to your enemies, because your enemies are those people who have the most to lose. In a sense they're the ones who deserve most of your attention, because they're the ones who are giving up the

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most. Your friends aren't giving up much—that's why they find it so easy to agree with you.

It's the people who are hostile who have the most to lose. For example, imagine a thirty-five-year-old man, John, who grew up in the South in a small town. When he was a little boy he used to sit on his father's and grandfather's laps; they would bounce him on their knees. And he loved these people. He loved his father and his grandfather.

And these people, his father and grandfather, taught him so many things through stories. And through these stories, along with the love, this man John grew up. And then finally, John is thirty-five years old, and somebody's telling him, some civil rights organizer, is telling John, "Some of those things your father and grandfather taught you were wrong. In fact, some of those things that they taught you are evil. You know you say you stand for equality and freedom, but look how you're living. Look who you're voting for."

Now John is not simply going through an attitudinal change. You know, this is not just a cognitive mental process: "Oh, now, I see. I'm not living according to my values, so I'm going to change." Really what you're asking John to do is incredibly difficult—the internal work of separating out what he is going to carry forward in the love and preciousness and stories and values and moral tales from his father and grandfather. What is he going to hold on to and what is he going to let go of?

We have really challenged him to be disloyal. Now, we can say, those of us who spend time, you know, in therapy or studying psychology, we can say, "Well, sure. That's the challenge of every growing person, to finally separate out what you are going to carry forth from your parents and what you are going to let go of."

But John didn't hire a therapist to help him work out some internal contradictions so that he can finally wade through the various lessons that he got growing up. This was a completely uninvited challenge brought into his living room on a television set one day when he was just watching a ball game.

So if we don't respect the pains of change, and if we hang out mostly with people who like us, then we set ourselves up, I think, for greater risk of being surprised by sabotage. [Former Israeli Prime Minister Yitzhak] Rabin spent a great deal more time with his "friendlies" than he did with the "unfriendlies." Indeed, he was so frustrated with the people who were against him in the last months, really in the last year, he just wrote them off. He was publicly contemptuous of them. Again, being respectful doesn't mean giving in to people. It simply means that you challenge people most effectively if you understand what you're asking them to do, the losses that you're asking them to sustain.

Partners

Nobody that I've ever met—not in the field of practice nor in the field of scholarship—is smart enough to move on his or her own from the dance floor of action to the balcony of reflection and then back to make mid-course corrections on the dance floor, make the next move, and then move back to reflect on the repercussions of that move, and then back to the floor to take the next corrective move. I don't know anybody who is smart enough to do that analytic work in real time as things are moving, in the complexity of political dynamics, by himself or herself. And yet, many of us still operate in leadership with the myth of the lone warrior, which I think is heroic suicide.

So I think we need partners to lead. And we need at least two kinds of partners: We need confidants and we need allies. Allies are people who share many of your values, or at least your strategy, but they operate across boundaries—or across some boundaries. And since they operate across a boundary, they cannot always be loyal to you, because they have other loyalties.

Sometimes we make the mistake of treating an ally like a confidant. And then we go into a meeting having poured our heart out to someone who is an ally, and we go to a meeting expecting that ally to back us up. And we go into that meeting, and, low and behold, the ally cuts us off at the ankles. How many of you have ever had that happen, being betrayed?

And then we do something that really, I think, is deeply unfair: We write off that person. We say, "Boy, I really thought I could trust Mary, and now look what she's done to me: She's used what I told her against me."

Why is it unfair? It's unfair because look at the position we put Mary in. Here's Mary, and here's you, and you tell Mary these things. And now Mary's there saying to herself, "Boy, on the one hand I'm glad you told me these things, because now I can do what I need to do for my people, because you've just given me intelligence on your plan."

On the other hand Mary is saying, "Well, wait a second. You're my friend, you know. Our kids play together; we spend time together; we hang out together. So look at the bind you put me in. I'd almost rather you had never given me this information because of the conflicting loyalties I'm now experiencing." So it isn't fair to treat an ally as if the ally were a confidant.

A confidant is someone who operates either very close within the boundaries, or so outside your organization, or so outside your unit, that there aren't any competing stakes. You really need both kinds of partners. You need people who can pull you by the collar up to the balcony and say, "You know, you're not paying attention to these other people over here. You're not learning much from your enemies. You're not engaging with them."

Confidants can do something that allies can't do. They can provide you with a place where you can say everything that's in your heart, everything that's on your mind, and it doesn't have to be pre-digested; it doesn't have to be well packaged. The emotions and the words can come out topsy-turvy, all together. And then once the whole mess is on the table, you can begin to pull the pieces back in and separate what is worth holding on to from what is simply ventilation.

Confidants can put you back together again at the end of the day when you feel like Humpty Dumpty, all broken to pieces. They can remind you why it's worth getting out there and taking risks in the first place, what issues are at stake.

And allies are critically important, because without allies we too frequently let ourselves become isolated. And the easiest way an organization can restore equilibrium—if you're the source of disequilibrium—is to neutralize you.

Role and Self

So if you're isolated, you are a much easier target. And therefore, we need allies so we don't go into these meetings alone.

One of the jobs of a partner is to help us distinguish our self from our role. For me, every day is a challenge, because I'm always taking things too personally. I first began to make this distinction between self and role when I began to have children. How many of you have kids?

Well, when I started having kids a friend of mine said to me, "You know, you'll really have made it as a parent when your kid says, 'I hate you, Daddy,' and you don't take it personally. And you won't figure it out until the second kid." Now I know that that's true. I have two children, and they're eight and ten. And I know how different I am when I'm at my best versus my worst.

When I'm at my best as a dad, my son, who's the older, takes me on in some way, you know, kind of says something that's disrespectful or nasty. And at my best I take a deep breath, and I then tell him what he said is inappropriate . . . And then there are some, you know, repercussions. I think everybody has his own style as to what the nature of the repercussions might be.

At my best, after I've corrected that particular behavior, I maintain a diagnostic mindset. And with a diagnostic mindset I keep thinking about and probing and trying to figure out, now what's really going on with him? This is a symptom, but what's the real problem?

So then I say, "Okay. Sit down, David. What's really bothering you?" And what does he say? Nothing, right? So you don't get the information easily. I mean, you need a CAT scan and an MRI to figure it out *(laughter)*.

But if you listen carefully, sometime over the course of the next day or two days, you'll begin to hear it. You'll be cooking together, or throwing a ball, or reading a bed-time story, and all of a sudden he'll start talking about doing badly on an exam, or getting into a fight with a friend, or a nasty thing a girl said to him.

And then, now that you know what the real problem is, you can address the real issue. In my role as a father, I can help him figure it out. "Okay. How can he do his adaptive work to learn to respond to that situation more effectively so he's not acting it out against me, and so forth?"

But that's at my best. Because when I'm at my worst, I take it personally. And what do I do when I take it personally? Well, at

my very worst, which has happened a few times over these ten years, I'll smack him, or I'll yell, and I'll just lose my temper in an outrageous way that I feel ashamed of and, in fact, I've done a lot of personal work to try to manage.

And then after yelling, I will withdraw, because I'm protecting myself, because if it's a personal attack, the natural thing to do is to protect yourself. So rather than maintain the diagnostic mindset where my attention stays with the issue, where I keep my eye on the ball, my attention is deflected to myself in a self-protective way, and I never discover what the issue is.

So it's important to distinguish role from self, so that we understand that most of what comes at us is not personal. That doesn't mean that there's not useful personal information in it, in regard to your style or your manner or your communication skills. But mostly what comes at you is a response to the content of what you represent.

How many of you have ever been accused of being abrasive, aggressive, obnoxious, bitchy, something like that? Raise your hand high *(laughter)*.

But has anybody ever criticized your personality when you're handing out good news or passing out checks? People don't seem to comment on your obnoxious style when you're giving them good news. It's usually when you're passing out bad news.

Now, we could all learn better styles of passing out bad news, but it's hard. It's really hard passing out bad news. It just really is. It's so much easier to say to somebody, "Here's a couple of dollars worth of penicillin. You'll be cured. Your grandfather would have died from this illness, but now for two bucks I can save you." It's so much harder to say, "I can't save you. I can't save you." It's so hard to deliver bad news.

So we all could take constructive criticism on how to do it better. But if we get deflected and turn our attention and let ourselves become the issue, then the issue, the real issue, gets swept off the table.

For example, in politics, when [Geraldine] Ferraro ran [for vice-president in 1984] and was attacked mercilessly, she held a massive news conference. Some of you will remember. She said, "I'll stand up here and answer every one of your questions until you're all finished, however long it takes, even if it takes all night." It lasted about two and a half, three hours.

Did it actually let her bring the attention back to the real issues? No. The public was pursuing a distraction because she was never the issue anyway. The issues she embodied were real issues. What does it mean for a woman to become vice-president? What does it mean for a woman to be powerful? What does it mean for a woman to be professional? These are very challenging questions to society at large. Hillary [Rodham Clinton] represents these same questions.

These questions we all live in our own lives, and we know that there is a lot of pain and frustration around these questions, in negotiating with marriages that sometimes can't be negotiated, in figuring out how to operate in a workforce when you're a man having to answer to a woman, or when you're the woman having to be in charge.

It's a whole new world. And these people were representing those issues. But could Ferraro speak to those issues? In fact, she was told not to, until the last days before the election, when they were desperate and thought maybe she could bring out the woman's vote. She was told by [Democratic presidential candidate Walter] Mondale's campaign people just to stick to international security, poverty, taxes, the budget, and so forth, but not to talk from a woman's perspective . . .

People don't love you and people don't hate you. Mostly they don't even know you.

So when we take it personally, we lose sight of the issues we represent to people. People don't love you and people don't hate you. Mostly they don't even know you. They love or hate positions you represent to them. We all know how quickly idealization turns into contempt when you're the idealized person and all of a sudden you disappoint someone and now he hates you. He doesn't even know you, but he hates you.

Why do you think Monica Lewinsky was drawn to Bill Clinton? If she had met him in a supermarket behind a shopping cart, he would just be another middle-aged guy getting fat eating McDonald's. It's because we have—we'll talk about that later *(laughter)*.

But the other reason why it's so important to distinguish role from self is so that when we get attacked or when we get idealized, we can distinguish it from our own self-value, our own worth.

When we confuse ourselves with our role, when we begin to think we really are this role, we really are this professor, we really are Madam Chairman, or we really are the vice-president, then when that role goes under, we go under. When that role gets buffeted, regardless of the reason—some global, economic crisis started in Malaysia—we lose too much.

No role is big enough for us as human beings. No role is big enough to express all of who we are as people. It seems to me that each role is a vehicle for expressing a different facet of the self. In the role of professional we express one aspect of our self. In the role of parent, or sister, or brother, or son, or daughter, we express a different facet of our self. In the role of friend or volunteer, or member of a congregation, we express still another facet of our self. And each role is simply a vehicle for expressing a different aspect our self. And no role is big enough.

Externalize the Conflict

When we distinguish role from self it helps us to do the next thing: It helps us depersonalize the conflict, externalize the con-

flict. Many times when we come up with a creative, innovative idea, and we, with banners flying, want to lead the charge, we let it get defined as a conflict between our point of view and everybody else's point of view. And a line gets drawn in the sand. And that is always a dangerous position, to personalize the conflict.

It's always safer, and indeed it is probably also truer, to be the namer or identifier of the conflict, to be the one who is surfacing a conflict that already exists between various factions in the community. Indeed, I think that's what the civil rights workers were trying to do all the time.

[Martin Luther] King, for example, in every speech, was trying to say, "This is not a conflict between me and you; this is not a conflict between black Americans and white Americans. This is a conflict between America's values and America's realities. Are we going to live up to our values?"

Externalizing the conflict promotes social learning, which is, I think, a critical part of progress-making or of doing adaptive work. It promotes it because people within a faction are much more likely to learn from one another than from somebody in a different faction. Like people are more likely to trust and learn from one another than from people who are totally unalike.

When the demonstrations in Selma generated TV images in 1965, there's John sitting in front of his television set after working hard all week long, just trying to kick up his heels and watch TV and relax. He has just come from church. And all of a sudden his daughter, Mary, runs into the room, and she says all agitated, "Oh, Daddy! Daddy! I just heard on the radio that there are men and women being beat up by police and troopers on horseback, tear gas. They said they're not allowed to vote. We've got to see this on the TV."

She walks up to the television, and he's watching the ball game, and she tries to change the channel. Back then TV's clicked *(laughter)*. And Daddy says, "Mary, this is my day of rest, child. I worked hard all week. I've just come home from church. This is my time to relax, so please go to your room."

Mary says, "But Daddy. You've got to see what's happening. We've got to see, you know, all that stuff you've been teaching about America and what we stand for, and the preacher this morning he was talking about how we're all children of God. We've got to take a look and see what's really happening."

And now Daddy is really upset. Daddy says, "Mary, I told you once, child, and I will not tell you again: Go to your room. This is my day of rest."

And so a fight breaks out. A fight breaks out in that family that lasts maybe six months, maybe six years; a fight in which Mary is challenging her dad, and her dad is challenging Mary. And they learn from each other. Mary learns something about tradeoffs in legislative politics: "We've got to have this dam in Hell's Canyon,

Most people who get taken out of action die with their mouths open. They don't listen.

because our senator had to trade off votes with these other senators so we could get our dam. Aren't you glad we got electricity, child?"

Mary is saying, "But, Dad, is it really worth it? I mean, God, aren't we selling our soul? I mean, what do we stand for? Is it really worth this kind of a tradeoff?" And so learning takes place.

Over the years John learns something. John learns things from his daughter that he's much less likely to learn from somebody lecturing to him from all the way across a boundary.

So that's the point of allies. You know, if you're over here and you can generate an ally in each of these factions, the allies can take on their own people. You've externalized the conflict, raising the conflict within the various factions in the community or the organization. Look at the case of Margaret Sanger and birth control—she got the doctors arguing with the doctors, and the clergy arguing with the clergy, and the men arguing with the men, and the women arguing with each other.

Nobody really wanted to pay attention to her, not the people she most wanted to challenge.

So we stay alive longer, I think, by externalizing the conflict, rather than becoming the embodiment of the conflict.

As soon as LBJ let [the conflict in Vietnam] get turned into "LBJ's War," he was dead meat. Whereas his brilliance in the civil rights days was in orchestrating the conflict, keeping his hands free to orchestrate the conflict.

Listening

Most people who get taken out of action die with their mouths open. They don't listen. They're not going under listening.

Now, why do people who see themselves as leaders talk so much? Well, mostly because we're all sort of programmed to look to our authorities to know the way. And authorities, people who take up positions of authority, easily get drawn into this vacuum where people kind of sit back and wait for guidance. And so authorities get reinforced to be the talkers.

Well, without listening real carefully, once again, you can't identify who needs to learn what. You can't do that diagnostic work if you're not listening for "What am I really challenging John to do?" or "How could you live this way?" But do you really know how much John would have to give up in terms of his love for his grandfather and how hard that work is for him?

So okay. Stare him in the face eyeball to eyeball and ask him to do that work, but at least know what you're trying to get him to do. And without listening carefully to the other side of the issues, you can't develop a proper strategy. Jimmy Carter made this mistake a lot. As an engineer he really preferred a well-argued, rational position; he didn't like messy processes where,

you know, the group would all be in the room arguing with each other.

So he'd have his various advisers write papers, position papers. And then he'd go to his study with his notebook, and in the privacy of his private quarters he'd read through these notebooks, and he'd then make a decision. And when you do things that way, you can't really sense what values are at stake, the passions, how much it matters to somebody.

You know, this fellow from the State Department can't say, "Listen, I've lost the last six arguments. If I lose the next argument, forget about the merits, I'm going to lose the loyalty of all my people." He can't say that in a memo. But he can communicate that in the music beneath the words—in feelings that are communicated beneath the words face to face.

So when we listen, we have to listen not just analytically, but we also have to listen musically, because it's in the heart that the sources of resistance exist. Because that's where the losses are felt. That's where the fears are felt. Let me give you an example:

Citibank is a great big bank—tens of millions of customers. Well, one of my colleagues has been consulting with the heads of Citibank, trying to convince them to become a billion-person bank. To go from tens of millions of customers to one billion customers—a billion customers is one-sixth of the world—requires a radically different approach to banking. It means lending Leah seventeen bucks, because as a poor person in Bangladesh that's all her income is for a year. As a banker you have to think through whether that's worth doing. Well, bankers are not inclined to lend poor people seventeen bucks who . . . don't have any credit record. And if you're going to lend to a billion people, you have to start thinking about whether it's worth lending to all those people who you've never lent to before.

There are studies in Bangladesh that show that poor people are great risks. They're great risks because they feel so honored that somebody is willing to lend them money that they are very conscientious about paying it back.

Now you can come with that example to Citibank and say, "Look at this. If you really succeed in becoming a billion-customer bank, won't that be wonderful?" Well, what does that really mean to John and Mary and Sally and Sue, who are sitting at their desks and are very happy with how their work is going? And they think they're stretching as far as they can possibly stretch.

Nothing that they've learned from their teachers and mentors has taught them anything about how to get wealth to poor people or how to open up a market in those places, in those towns. And so the list of great ideas to you really represents a fear of loss to them. And even though it might be a greener valley across that mountain pass, they know it's a high pass; some of them are not going to make it, some of them are going to get frostbite, and are you really sure there's a valley over there anyway? Maybe it's just another mountain range. And, of course, you don't really know for sure, because none us are prophets. We're just running experiments.

Managing our Hungers

It seems to me that to stay alive, in addition to listening, we need to manage our own hunger. We all have hungers. Human beings spent four million years living in small, hunter-and-gatherer communities with not more than fifteen or twenty members. For four million years, nearly all of our evolutionary lifetime, we have spent living in small face-to-face communities with lots of land around us and lots of resources.

Only for the last ten thousand years, since the advent of agriculture, have people begun to live in large groups; have they begun to stay in one place, build cities, communities, organizations. So even this scene right here is an unnatural human condition. For me, when a hundred people are looking at me, I'm really conducting more electricity than I am designed to conduct. It takes a lot of software, a lot of culture, a lot of upbringing to compensate for my hardware, which is telling me, "Get out of here; this is scary. I mean, my God, you can't possibly make all of these people feel good about you, you've got to leave." It's as if we put our fingers and our toes into these electric sockets and are conducting much higher voltages than we're designed to conduct. And so many of us short-circuit. And short-circuiting takes a whole variety of destructive and self-destructive forms.

For example, every human being has the need for power. I don't know any human being who likes to feel completely out of control of his or her life. Everyone wants to experience some sense of agency. We all have our unique tuning as a product of our upbringing, and yet some of us are tuned like the strings of a harp to be vulnerable to the need for power, the need for control.

And because we have a vulnerability to that, maybe because we grew up in an overly controlling household or maybe an overly chaotic household, we spend a lot of years getting really good at learning how to take charge and take control. So take somebody who's tuned that way, and plug him into an organizational circuit where people are experiencing high levels of dis-equilibrium because there's a lot of chaos and confusion, and now this person on his silver horse really appears as a godsend. And, and sure enough, lo and behold, he takes charge and restores order.

This might indeed be a blessing, because when people are overwhelmed you can't do a whole lot of productive social learning. Social learning requires keeping people within a productive range of dis-equilibrium. But the person who's got that vulnerability to control, who's hungry for that, will frequently lose sight of the work. Rather than saying to himself or herself, "Okay. Now I have succeeded in bringing the level of dis-equilibrium into a productive range, so now let's do the work of clarifying our orienting values; the work of bringing current reality and current capacity in line with those values." Rather than focusing on the work, he or she will simply try to maintain control, maintain order. This person who, for a period of time, seems to be doing a great job in bringing some order to a chaotic situation, then loses sight of what needs to be done, and order and control become

the name of the game. Some of us have that hunger, for which we need anchors, need compensating.

Another normal human hunger is for importance. Every human being wants to feel important. I don't know anybody who doesn't want to matter. Everybody wants to matter at least to somebody in life, but some of us are a little more vulnerable in our need to matter, our need for importance. This is my problem. I really love being needed. I mean, I really love feeling important. Now, take somebody like me who really needs to be needed—what do we do? Well, we spend our lives learning how to solve problems for people, because if you've got a problem, I've got a solution.

And we scan the horizon for people with the kinds of problems that we can solve so we can keep feeling needed. And sure enough, we do these good things for people. It's not bankrupt. I mean, we do actually serve people as a product of that need to feel important, to matter.

But sometimes we're a little vulnerable to that need—or a lot vulnerable. And that need to be needed generates the following dynamic: We're really good with coming up with answers for people. If you put somebody like me into some organization that's lost, bewildered, looking for answers, looking for direction, looking for a vision, lo and behold, somebody like me comes with the answers. And indeed maybe he's even right the first time or two. He pulls a first rabbit out of the hat. A second rabbit out of the hat. Wow. This man is really a blessing. By the third rabbit out of the hat people are in a state of dependency: "I'm uncritically expecting you to know the way." And, of course, because he needs to be needed, he wants to believe that he really does know the way. Before you know it, he begins to believe his own stuff, buy into his own stuff, losing his own capacity for doubt. And, of course, the people around him aren't questioning him because they're just gaga-eyed at how much he seems to know what he's doing.

So the need for importance turns into grandiosity. And then we have the blind leading the blind. We have many organizational and historical and political situations where the blind led the blind. In a sense that's one of the dangers of charismatic authority.

Another normal human need is the need for intimacy, the need to be held. Every human being needs intimacy, needs to be held: needs to be held physically, needs to be held tight. But now you take people who need that [intimacy], and they get really good at providing the holding environment, containing the tensions of an organizational process, a political process, a change process. And they're providing a key stay in that holding environment, exerting all of their emotional and mental effort to hold the process, the conflicting parties together.

It's kind of like the walls of a pressure cooker, where the lentils and the carrots and the beets are all mixing up together under pressure, mingling flavors and trying to learn from one another. But now the holder's arms are completely exhausted from doing all the holding. And who's holding that person? So, some of us do some destructive things through our own need to be held,

and we put ourselves into an organizational structure full of longing, full of emotional longing, and our own heartstrings of longing get plucked.

Some of us do self-destructive things in our sexual lives. Based on the experience I have had in talking with people and my own experience as a man, I'll make a rash generalization and say it seems like the dynamics of sex and authority are a little bit different for men than for women. So I will tell you what I know about men and women *(laughter)*. And then you can correct me. I have a lot to learn.

Sex for men means many different things, and sex for women can mean many different things. But when you're busy holding everybody, and you're a man, and everybody is looking to you to be special, sometimes it inflates not only your ego but your appetite—and your own neediness. So some men in their own neediness end up engaging in sexual activity that crosses boundaries that are inappropriate, doing damage to themselves and the workplace.

Of course, we can use Clinton as an example. He's actually a pretty good example in this regard, but he's not in any way unique. I think that's what makes the Starr Report so pathetic— just how human it is. So here's a man, and he's feeling at the very bottom of his political career. Gingrich is in office, taking over Congress. All of Clinton's hopes and dreams are nearly dashed. He's just trying to stay afloat a little bit. Under the water there's a little straw, acting as a snorkel.

Finally, eleven months into Gingrich's year, 1995, in a last-ditch strategy, an overwhelmingly risky strategy, he puts his final cards on the table. He closes down the government.

Now, try to put yourself in the shoes of somebody who is at the end of his rope, taking ultimate risks with a lot of people's welfare at stake. All of a sudden, as a side effect of [that decision] to close down government, all of the allies and confidants have disappeared because they can't work if they can't be paid. So the White House is down to a skeleton staff. There's nobody around, your anchors are missing—it's just you, holding this enterprise together in a time of great risk. And your wife, your most important confidant, is out of town.

It's not rare for women to be drawn to men in power. I think this era is an extraordinary moment in human history, now that women have begun to realize that their value has nothing to do with the man they're with. But it's not what women are socialized to know. Women are by and large, I think, in my experience, socialized to believe that their worth, their value, will be pegged to the man that they're with, so if they can get a good catch, that says something about their worth. And so it's not unusual for women to be drawn to men in power thinking that somehow it does something for their self-esteem, for their worth.

Of course, it's a mirage. But the temptations are there. In managing one's hunger one has to be aware of one's own vulnerabilities: vulnerabilities to being sexually aroused, and then behaving inappropriately; vulnerabilities to grandiosity; or vulnerabilities to power and control. The temptations will be there.

For women, as I understand it, the problem is a little bit different. Women may also find it sexually arousing to be the object of attention. And, indeed, men will be drawn to women in power at times and will make advances to women in power. But women have also been socialized to believe that if they let a man cross that boundary, that authority boundary, they risk being discredited, because in a primitive sense they let themselves be taken.

And if a woman is taken by a man, that man has leverage over her. And so women won't let that happen. Every day women spend a little bit of their consciousness, emotional energy, being cautious, a little bit wary, aware of who's coming at them, why, and managing that boundary.

In order to keep that boundary intact, keep their own feelings in check and manage those relationships so that they stay contained, women respond by sometimes desexualizing [themselves], by becoming a daughter or sister or mother figure, because that's safer than being a three-dimensional woman. So women have a different problem from men. Men often have the problem of being uncontained. We're incontinent, some of us. We just gush all over the place *(laughter)*.

Women have a different problem. They are sometimes over-contained. Because they spend a little bit of time all day long being wary, at the end of the day when it's time to peel the role off their skin and return to themselves, at least as I understand it, some women find it difficult to engage and to really let themselves flow in a sexual act. She has to open herself up; she has to allow herself to trust. It's a challenge to open yourself up to trust if you've just spent the whole day a little bit on guard. So many women find it difficult to let themselves get their needs properly met, to be restored to themselves.

Okay. I'm a doc. I'm supposed to have prescriptions.

I think we need anchors because we all have vulnerabilities. Power, importance, and the need for sexual gratification are simply three of the human hungers that can get us in trouble. We need anchors. And there are many different kinds of anchors.

Sanctuaries are one form of anchor. To imagine that one can lead without partners and a sanctuary is to imagine that one can survive Boston without a winter coat. We'd never move to Boston without a winter coat, yet countless people go into the practice of leadership without confidants and without sanctuaries. In fact, they're the first things to go, those structures in their lives where we can distinguish role from self, where we can get away from the music on the dance floor, where we can feel ourselves thinking clearly again.

I'm not peddling a particular sanctuary. It could be a jogging path. It could be a friend's kitchen table where you have tea. It could be a gym. It could be a room in your house where you sit

To imagine that one can lead without partners and a sanctuary is to imagine that one can survive Boston without a winter coat.

and meditate. It could be a religious institution or a chapel you go to. I don't really think it matters so much which one it is, as long as it's one that fits you, and one that you protect in a daily way. Once a week is not enough.

I want to tell you about one of my anchors. I discovered this anchor at the same time that I discovered my own insatiable hunger to be needed—right after my book came out. My book took ten years to write. It was a very hard book for me to do. I wrote two versions in the first five years, threw them away, and then started again after five years. It would have taken longer if my wife hadn't finally said, "Either that book leaves the house or you leave the house. Ten years is enough."

When a book comes out, what do you want to do? Well, you want people to read your book. You want people to think that you've said something worthwhile, so you get on the road. And you go around telling people how much they really need what you've got to say. That's what you do when you write a book. So I was teaching twice a week and flying out after class twice a week, flying around talking about my book, hoping it would take on a life of its own.

And after six months of doing this, one night when the kids were asleep, my wife Sousan filled up the bathtub and said, "Let's take a bath."

And I said, "Boy, that's a nice idea." The bathtub is just big enough for both of us. And then I realized, this was a meeting *(laughter)*!

We got in the bathtub, and she said to me, "Ronnie, you're losing yourself in this role—you're losing yourself. You know you get on this TV show and you complain about the TV shows you haven't gotten on. You get onto this radio program and you're not on another, and you get into this newspaper, and you're worried about the newspapers you haven't gotten in. You don't even seem to be happy. Furthermore, we've got two young kids. You travel all the time, and I'll never get to finish my Ph.D. dissertation. What's your life about, anyway? What really matters to you?"

I was really in a tough spot. Because after ten years, the phone is ringing, people say they really do need me, and I really want to be out there. People are even offering a lot of money to me. And I'm thinking, "Wow, I'm just on the brink of joining various academic steering groups and projects, and I'm really starting to be part of the enterprise." Meanwhile the water is getting cold (laughter). And into the second hour of this meeting I realize that she's telling me something—that I had this insatiability. And when I go into that insatiable place, nothing is ever enough. And I need something that is going to fish me out of that zone of insatiability.

So, for a variety of reasons . . . I started picking my children up from school every day. I resigned from various steering com-

mittees, including a committee I loved being on with Jim Burns and Barbara Kellerman—the Kellogg [Leadership Studies] Project, to pick up my kids every day. They get out at 3:30, except on Fridays, when they get out at 12:30. At that point they were only in first and second grade, and I found picking them up to be a very challenging experience.

I still do. When three o'clock comes around it's torture getting out of my office. There are all of these important calls left undone, wonderful projects to do that I can't get started on, money left on the table, and I'm supposed to leave. I never get out by three, but by 3:10, I'm out the door.

I run to my car. I drive like a madman. I get to their school. There's a long line of cars. You've got to wait in line and inch your way to the curb, where the kids get into the car. By the time I get to their school I'm always in the last third of the line. I'm the only man in any of these cars *(laughter)*. I mean it's a real education in the values of traditional motherhood, but it's also a challenge, you know—it's that loyalty, that identity challenge. And I'm fuming, I mean out of my ears. I bring my cell phone, my dictating machine, trying to make the most of every moment. I'm just raging in my head about all of the things I have left undone. And then finally I inch to the front of the line, I get to the curb, and I see their faces. I see these little round faces. I open the passenger window. They throw in their bags, and I say, "Anni get in first, and then David get in second," because that's how their seats are. And they never follow my instructions *(laughter)*. It's always helter-skelter, bags flying. And then out come the stories, stories I never used to hear at dinnertime, because I've discovered for myself that generally they only tell it once, and they tell it to whoever is there.

Sometimes if you're patient, you can get a repeat. Sometimes even a more embellished version, so all hope is not lost. And quite quickly, I'm amazed at my own transformation from being a raging lunatic to, wow, what another gorgeous source of meaning. It takes about three or four minutes—the smiles, the laughter, the problems.

Recently, they got in the car and my son, who's now in the fourth grade, said, "There's a girl in the class named Morganne, and Daddy, Morganne likes me, likes me." That's the new lingo. So I said, "Do you like her, like her?" So my kids are debating what he should say to her because she's declared her feelings, but he hasn't responded. So they're thinking through the options. Finally he says, "I think I'll write her a note saying 'I do, too.'" It's such an anchor against my own grandiosity, this other source of meaning.

I think we all need anchors. Maybe Bill Clinton should have been jogging twice a day *(laughter)*. It's a shame that all of the people who anchored him were away that week.

Purpose

And finally, to stay alive, to keep our souls alive, I think we need a sense of purpose. This is different from a particular purpose. We get meaning in life from the purposes that we join. But after working in a particular discipline or a particular field or a particular industry or a particular job, after twenty or thirty or forty years you begin to get wedded to that particular purpose, and then we lose that purpose.

Many of us shrivel up inside. We know lots of people who shrivel up inside at retirement because they can't redefine purposes in their life. They think they've lost their purpose. But really what they've lost is something that they had as teenagers. Teenagers have a sense of purpose. They have generativity. Teenagers generate purpose. You could give the yellow pages to teenagers, and they would identify ten different . . . ways to contribute. But we forget about that. We lose that playful, adventuresome, creative generativity by which we can ask ourselves what else might be worth doing.

Furthermore, we buy into the myth of measurement. Now measurement is an extraordinarily useful tool. Three quarters of the courses at my school are based on measurement: cost-benefit analysis, economic analyses; all that stuff. Very useful. You couldn't practice medicine without measurements. But it's also simply an artifice.

By the time we've been at a job for twenty or thirty years and we've become a big and important person, or have a big and important role, in terms of measurement, when we lose that role, we think the next thing has to be just as "big and important," otherwise, it isn't worth doing. Otherwise, we can't find ourselves. And we have bought into the myth of measurement: We can't define new modes of loving and caring and giving and contributing, unless it can be measured in the same terms of our previous work.

Ultimately, none of it can be measured. I think when we die, there's no angel who is going to be asking, "When you turned the lights on behind someone's eyes, did you do it for sixteen kids or twenty-four? Did you save sixteen lives or eighty-one? Did you create a thousand jobs? Why not fifteen hundred?" Because none of it can be measured. You can't measure goodness. You can't measure the good that we do.

I want to close by saying something about my father. My dad is considered one of the ten living masters of neurosurgery in the world. He has invented a lot of instruments that are used by neurosurgeons around the world. Directly or indirectly, he has probably saved thousands of lives.

One of the things that he always loved doing was stargazing, but he never liked any of the star-gazing books. So when he retired he decided he would write his own. It was so good that Cambridge University Press hired the best illustrator in the world to do the illustration. And now here's this book called *A Walk Through the Heavens*.[3] He really wrote this stargazing book for his grandchildren, and it's dedicated to all his grandchildren. He has seven of them. For ten dollars you can get this paperback—a lovely little book.

A couple of weeks ago, a music teacher who used to live with us as a student and help with the kids came over for Halloween. He's a real child at heart, even though he's twenty-seven. He loves going trick-or-treating, so he came in the full costume, full

regalia. He claims that even though he goes to Halloween Anonymous, he can't get trick-or-treating out of his system! So this beautiful guy Rick comes and trick-or-treats with our kids. It really added to the joy of the evening. It's a Saturday night, so the kids can stay up late. My parents are in town and they are part of the evening. At the end of the evening I give a copy of my dad's book to Rick as a gift. Rick opens it up and sees the dedication. He asks for a pen. But instead of asking my dad to autograph the book, he got down on his knees and asked my children to autograph the book underneath their names in the dedication.

Now, can you measure the worth of that against the worth of all the lives my dad touched in his career? There myriad ways to serve people, beyond measure. May the force be with us in all we do.

Notes

1. This talk is adapted from the forthcoming book by Ronald Heifetz and Marty Linsky, *Staying Alive: Inner Disciplines of Leadership.*

2. Ronald A. Heifetz, *Leadership Without Easy Answers* (Cambridge, MA: Belknap/Harvard University Press, 1994).

3. Milton D. Heifetz and Will Tirion, *A Walk Through the Heavens: A Guide to Stars and Constellations and Their Legends* (New York: Cambridge University Press, 1998).

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Leadership Lessons and Competencies: Learning from the Kellogg National Fellowship Program

Roger H. Sublett and John A. Beineke

Leadership is keenly sought and yet in short supply in today's world. This certitude was in the minds of those within the W.K. Kellogg Foundation (WKKF) when Foundation staff created the Kellogg National Fellowship Program (KNFP) to honor and perpetuate the Foundation's legacy of a half-century of leadership development and to expand the nation's pool of capable leaders.

After lengthy discussions, the KNFP leadership agreed that the following leadership definition would best fit the program's goals: "Leadership is the ability to get good things done with the help of others." That definition may be considered to be a bit "value laden" with the use of words like "good" and "help"; but it is significant that it also suggests the complexity of leadership development through the combination of vision, values, and abilities, with a focus on serving others. While not embracing one concept over another, KNFP has focused on "transforming" and "servant" leadership in the program design as those concepts most compatible with the values of the W.K. Kellogg Foundation.

As the leadership of the WKKF observed the tumultuous times of the late 1960s and 1970s, a stark mismatch emerged between the increasing complexity of challenges facing society and the trend toward narrowness and specialization within academia and the professions. While respecting all the benefits that come from intense focus and specialization, the Foundation leadership wanted to support future leaders in their efforts to broaden their perspectives and assist with their reaching out to one another across disciplinary boundaries. It was a vision fraught with uncertainty, but also with the courage to experiment.

From these discussions a program evolved which encouraged structure while embracing change and exploration. The Kellogg National Fellowship Program offered a select number of fellows the opportunity to engage in a three-year quest to broaden their intellectual horizons and bolster their capacities for leadership through self-directed experiential learning and group participation. At the time, a unique feature of the program was the provision of sufficient resources which freed individuals from a portion (25 percent) of their job responsibilities so that they could concentrate on enhancing their leadership capacities.

Beginning as an experimental program on a year-by-year basis, the program eventually became one of the signature programs operated by WKKF. As the pool of applicants expanded in the 1980s, the program gained a national reputation for excellence. In addition, the composition of the groups became increasingly more diverse. Women and members of historically underrepresented racial and ethnic groups came to prominent representation in KNFP. The results were much more apparent than mere numbers: The expansion, insight, and information on an array of issues, interests, and approaches to learning and leadership development influenced the program's direction and evolving structure. Physicians, lawyers, librarians, physicists, fire fighters, engineers, teachers, and community organizers came together in a variety of settings from the Rocky Mountains to the coal mines in southern Chile. They came together to learn from invited presenters; they appreciated a hands-on approach to leadership development; and they especially learned from one another. They challenged one another; they inspired one another; and they created a comprehensive network of leaders based on personal and professional relationships. In a very few years, the Foundation discovered the significance of relationships and processes in leadership development. People working together in the context of an evolving structure created a powerful model for fulfilling the Foundation's mission of "helping people help themselves through the practical application of knowledge."

Over the years, one of the most significant changes in the Kellogg National Leadership Program has been in the way that leadership development has become its core mission. With program components supporting that vision, KNFP's curriculum and practices evolved to reflect the changing understandings of leadership. Indeed, KNFP has not only reflected the changing understandings of leadership, it has also helped initiate them

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through program replication, seminars, workshops, and national forums.

The Kellogg National Fellowship Program experience then is a process as well as a program. It begins with a rigorous and carefully structured selection procedure from which emerges a group of women and men with both proven leadership ability and the potential for future growth within the program. The program components comprise a series of domestic seminars on specific topics and issues; an international seminar in a country or region within Latin America; an individual learning plan focusing on personal and general leadership development; travel funds to meet the learning-plan objectives; and small-group and family-related seminars and activities planned by fellows themselves.

Within these components of the Kellogg National Fellowship Program has been a solid structure. Significant financial resources have been invested in the program and the fellows to allow for these experiences, supported by a staff to provide continuity and connections among the program, the Foundation, and the fellows. In addition, the program incorporates a group of advisers for each Kellogg group—veteran leaders with diverse backgrounds and experiences—who serve as mentors to the Kellogg fellows. Closure at the end of the three-year experience finds a personal and professional network created over the span of the fellowship, an introduction to the programming priorities of the Kellogg Foundation, the groundwork in place for future leadership development, and potential for effecting social change.

While the assumptions upon which the program was built have remained constant, the elements of the program continue to evolve and change, shift and settle. As the average age of the emerging leaders has been in the mid-thirties, KNFP, in one sense, can be considered an adult education program. Adults learn best when they set their own agenda and are experientially oriented in their own learning. Additional key assumptions are that leadership is a learned art, that it is relational, and that it is a process. And the program has always assumed that the interdisciplinary function of leadership is to use a cross-disciplinary lens to view social issues. It is also understood that for leaders to truly bring about change, they must have a passion to make a difference and must learn to take risks. While leadership development can be considered an end in itself, the program also assures that leadership mean courage, action, involvement, and service.

KNFP has frequently asserted that the product of the program is the individual leaders. And yet, there is an imperative within the philanthropic world to organize and generate change on a larger societal scale. What better laboratory for examining leadership than the experience of the Kellogg fellows after almost two decades of operation? What has the program taught us about leadership and leadership development? What of substance and

What then does the KNFP experience offer to those who desire to learn about this phenomenon we call leadership?

significance can be shared with others who desire to learn more about leaders and how they grow and function in our society?

The scholarly and intentional study of leadership itself has grown exponentially over the life of the Kellogg National Fellowship Program. Beginning with James MacGregor Burns's seminal study *Leadership,*[1] the formal research and thought invested in the topic of leadership have been significant. Seminars, books, programs, initiatives, audio and visual materials, and broad-based discussions on leadership have proliferated. These works have taken the form of profession-specific leadership approaches to generic studies—as in business or education, for example—that take a broader look at leadership development. These studies seem to tell us that while leadership is yet to arrive as a full partner in the family of traditional disciplines, it has an expanding knowledge base and is an arena worthy of reflection and analysis.

What then does the KNFP experience offer to those who desire to learn about this phenomenon we call leadership? Such an analysis can be undertaken in three ways. First, a careful examination of a single group—a case study of a highly effective cadre—can provide insights into the personal attributes, characteristics, and dynamics of the group. Second, a broader net can be cast to seek more comprehensive lessons, ideas, and suggestions learned from the KNFP experience. And third, specific competencies can be suggested for future consideration.

I.

Selecting a single class from the fifteen groups that have comprised the KNFP program since its inception in 1980 is an assignment fraught with danger—both politically and methodologically. This program, like all good programs, has evolved and changed and looks much different from the way it did almost two decades ago. But a close review of the self-reporting data obtained from what will be called the Selected Group (SG) indicates that, to a high degree, this particular cohort viewed its experiences as extremely effective in developing and nurturing leadership abilities.

What within the individual and group profiles, fellowship experiences, and group dynamics made the Selected Group an effective cohort? Demographically, the SG reflected the national population as close as any of the other Kellogg groups in terms of race, ethnic derivation, and gender. The SG also included a broader representative sample than other KNFP groups in terms of their professions and educational disciplines. Diversity, then, appears to have enriched the overall experiences of both cadres and individuals.

A number of findings unique to the SG emerged. Evaluation surveys indicated that SG members *unanimously* viewed the fel-

lowship program as facilitating their personal development as leaders. There was also *unanimity* on the support the program provided individuals in building valuable networks and supporting networking opportunities. The data also revealed that more than eight of ten fellows related that new skills and competencies had been acquired and that a heightened sense of self-confidence and leadership efficacy had occurred. In addition, the SG's perspectives on human and social issues, in reference to international and intercultural topics, were broadened and through the fellowship their values and life priorities were profoundly influenced. While other Kellogg groups voiced strong support for the program's efficacy and strengths, the fellows from this particular SG were frequently unanimous in their positive view of how the program affected their lives, careers, and leadership capabilities.

Here are selected testimonials from the SG:

- "The fellowship allowed me to broaden my vision and life experiences. As a result, I published a book on youth leadership development. I've changed jobs; and when they hired me for my current position, they were looking for someone with the global perspective and global experience that my Kellogg fellowship provided."

- "My Kellogg fellowship helped me broaden my vision of what I could become. Itgave me a broader perspective on leadership in all disciplines. It gave me skills to serve as a leader."

- "KNFP got me thinking more about what's possible—what we can hope to accomplish—and that leadership, especially democratic leadership, can really change things for the better."

- "I now put more emphasis on serving. The message that KNFP promotes is really powerful. I set up a fellowship fund at my alma mater for interdisciplinary work with an emphasis on community service."

Specific characteristics drawn from individual profiles of the SG fellows suggest that certain tendencies seemed to make this particular cluster more effective. Characterized as an extroverted group, they were seen as having high levels of self-esteem, enthusiasm, and tolerance. A high degree of open-mindedness and flexibility was evident. Notable was the cognitive ability of the SG, in tandem with a willingness to apply collective findings to social problems. The organized learning experiences had a direct and measurable impact on this group. These fellows were interested in intellectual matters, able to benefit from formal academic presentations, and well informed regarding the issues of the day. Finally, from a psychological profile, the group was viewed as being personally stable, mature, and comfortable in positions of leadership and authority.

A few cautious generalizations regarding leadership development can then be drawn from this solitary profile. There is a close relationship between leadership development and leadership education. Leadership education in this context means the ability to profit from the intellectual foundations and literature of leadership and from formal as well as informal sources and settings. Those who gain the most from the leadership development process hold in common many of the characteristics of those who profit most from the learning process. The SG profile also

seems to suggest that a demographic balance of diverse voices facilitates interaction, learning, and growth in leadership. Finally, this particular SG displayed a psychological comfort with itself as a group and an apparent comfort with themselves as individuals. Openness to ideas and each other, the ability to reflect thoughtfully on issues and experiences, and the willingness to engage presenters and colleagues openly and honestly all enhanced the leadership development process within this particular group.

II.

Can broader, yet useful information and direction, be drawn from the KNFP experience? Through the use of formal evaluation, informal observations, and anecdotal episodes from the program itself, what has been learned from and about the program? From these multiple sources of information, lessons learned from the program do emerge. The term "lesson," as used here, is a carefully reasoned statement or proposition which relates directly to the world of practice. While not infallible, these lessons learned do allow for an ongoing process that tests their usefulness and application. Lessons are not Truth with a capital "T," but rather truisms with a small "t"—suggestions and applications transferable to other settings and other situations.

The substance of the following lessons is drawn from the formative and summative evaluations of the program as well as the experiences and observations of the program's staff. While not a blueprint for leadership development, it does suggest frameworks and approaches to the development of personal and collective leadership. And, it should be noted, KNFP has remained a personal leadership development program with distinct implications for organizations and society at large. Observations, analyses, and conclusions thus provide the following lessons learned:

1. The careful and conscious process of selecting leaders is essential. While it might seem that selecting strong leaders, or those with the potential to gain from the Kellogg experience, leaves little room for what might be termed the "value added" dimension of a program, the process of choosing capable individuals is essential. The KNFP experience has shown that the search process in business, education, and government can be enhanced by taking the selection process seriously and intentionally, making it a high priority. Investment at this stage of leadership development should be viewed as crucial and would include a carefully selected group of informed leaders who are provided with in-depth training in the selection process. This initial screening process is then followed by personal interviews to determine final selection.

2. Time and space for reflection are indispensable elements of leadership development. Craig Dykstra of the Lilly Endowment has used the phrase "hospitable space for disciplined reflection" to describe the need for leaders to step outside their normal day-to-day regimen for thoughtful deliberation and growth. This has clearly become a central component of the organizational learning movement. The ability of Kellogg fellows to extricate themselves from their personal and professional lives to devote specific time to the process of leadership development is essential for individual success. Leaders have indicated that the most important element in enhancing their

effectiveness and insight has been this dedicated time for professional and personal development.

3. Leadership development and leadership application must occur within a context. As we have learned from certain skill-based movements, to develop leadership skills and understandings, individuals must have a particular issue or body of knowledge with which to work. It is also true that leaders must have a context around which their development occurs. While leadership skills such as communication and other technical and personal competencies are important, leadership itself must function within a framework or context. The seminars of KNFP are committed to specific topics and issues directly and indirectly connected to Kellogg Foundation programming interests. Leadership takes on greater meaning when connected to various disciplinary and interdisciplinary topics and issues.

4. The interactive nature of cohort groups in leadership development is crucial. Leadership development does not take place within a vacuum. If leadership is truly relational, then its nurturing flourishes best within a group setting or even better, within a cohort group. Leadership involves trust, and trusting relationships do not manifest themselves without intentional time and space. One of the strongest elements within the Kellogg National Fellowship Program has been the group dynamics and interaction that occur within the created space of the three-year program. Bonds of trust between leaders and followers are essential to the formation of groups. Trust must be earned, and it must be freely given.

5. Moral, ethical, and spiritual dimensions are necessary to complete any leadership journey. It has become increasingly evident that leaders acknowledge the importance of a spiritual dimension within their leadership development. Spirituality, which often includes the moral and ethical components of a person's life, is viewed as crucial for effective leadership. The most difficult struggles, and the most important victories, are usually those that individuals win over themselves. By better understanding self, one becomes a more effective leader. Through the planning and utilization of small-group activities, Kellogg fellows have asserted repeatedly that spirituality and ethical issues are essential to their development as leaders. The Kellogg leadership journey is both an internal and external experience. In evaluation statements, fellows have clearly reported that the internal journey is the more difficult of the two but also the most life changing.

6. Leaders must have considerable knowledge of societal issues from an interdisciplinary perspective. The Kellogg fellowship program has always provided its fellows with the opportunity to experience and immerse themselves in the issues of their day. This operational precept has been based on the dictum that today's problems cannot be addressed, let alone solved, within any single discipline. To find potential answers and workable solutions to today's challenges, KNFP program components have provided fellows the opportunity to take an interdisciplinary approach to exploring current and controversial issues from an interdisciplinary approach. Leaders must know something in order to take action. The KNFP experiences have indicated that critical thinking skills are important leadership tools which can be taught and learned.

7. Experiences across social and economic lines and international boundaries provide perspective to emerging leaders. Historical commitments to Latin America and the Caribbean on the part of the W.K. Kellogg Foundation have led the fellowship program to include an international seminar in Latin America. The rich diversity of Central and South America has included a fertile environment for a variety of experiences as fellows became involved in learning about the challenges—political, social, economic, cultural, and spiritual—from the people of that region. The opportunity to observe and interact in diverse cultures has provided numerous opportunities for leaders to grow and learn.

8. Democratic principles of equality, respect for the individual, open-mindedness, and social justice are baseline beliefs for leaders to hold. KNFP is a "national" leadership program and therefore based on what is best within our democratic beliefs as a nation and a society. Democracy is defined beyond the narrow strictures of politics to include the ideals of freedom, justice, equity, and respect for the individual. Plainly stated, it is a continuous extension of common interests. Kellogg fellows in every group have demonstrated a deep commitment to the need for social justice, especially for those whose voices in our society have not been heard. These beliefs provide a fundamental basis upon which leaders act in order to build capacity—in themselves and in others.

9. Leadership by its nature changes people, situations, and relationships. The dynamics of leadership never leave a person, situation, or relationship the same. As James Kouzes has written, "Leaders get others to buy into their dreams by showing how all will be served by a common purpose."[2] Such a definition suggests the need to be highly involved, highly relational, and highly change-oriented. KNFP demonstrates this maxim not only through the shifts in professional positions that are often the result of the three-year experience, but through active community involvement in which fellows deeply believe. Since change is the only constant in our society, leaders must be prepared and ready to deal with an ever-shifting social, political, and economic landscape.

10. Leadership is a process based on productive relationships, trust, and honest interactions. Stating that leadership is relational means that leaders must make connections with those they lead on a personal level. Relationships in any environment are difficult to cultivate and even more difficult to develop into authentic work-

> *Kellogg fellows in every group have demonstrated a deep commitment to the need for social justice, especially for those whose voices in our society have not been heard.*

ing arrangements that lead to significant accomplishments. Trust becomes the single most important element in establishing such relationships. And it is often forgotten that the role of leader will at times become the role of follower. In implementing their individual leadership plans, fellows have reaffirmed that honesty and trust are bedrock elements for moving men and women in mutually agreed-upon directions.

11. Leaders must understand the complexity of diversity in our global society and the compelling need to develop community among diverse peoples. The diversity of the Kellogg fellows themselves is an acknowledgment of the importance of this determination. The perspectives of a widely diverse group—in terms of race, ethnicity, gender, belief systems, and professional backgrounds—provide inestimable richness to the dialogues that take place within the program. Becoming a community of learners is a difficult task and one with which the Kellogg fellows in each group have grappled. But they have grappled with it and have learned to value diversity; as leaders they understand that our society cannot ignore this leadership issue and successfully meet the challenges of this time and place.

12. Leaders thrive when they have mentors to guide, counsel, and direct them. An essential element of leadership development is the opportunity to have access to experienced leaders who have successfully undertaken their own journey and are able to communicate and help others grow. KNFP has provided this opportunity through a small and select group of veteran leaders drawn from a variety of disciplines, backgrounds, and experiences. Coupled with the KNFP staff and Kellogg Foundation program directors, these advisers provide fellows a framework for listening and for sharing ideas and counsel.

13. Affirmation enhances leadership effectiveness. Traditional positional leadership has been seen as the standard from which most leaders are identified and operate. The Kellogg experience has demonstrated that affirming leaders—whatever their status or position in an organization—enhances their leadership effectiveness. Holding a high position within a group or organization does not preclude leadership emerging from other levels of the organization. In fact it can, paradoxically, both inhibit and encourage leadership development. Data have shown that the affirmation of being a Kellogg fellow has done much to inspire and authenticate one's role as leader.

III.

In addition to these lessons drawn from the experience of KNFP, a number of what could be termed *leadership competencies* have also emerged. While embedded within the programmatic elements of KNFP, competencies, by their nature, are much more personalized—even skill or knowledge driven.

> *Whether labeled a skill or a system, a panacea or a phenomenon, the ability to use and understand technology is a necessity for leaders.*

Competency One—Self-Knowledge. Leaders must be aware of their strengths and be able to manage their weaknesses. The ability to become a leader and assume responsibility for decisions and actions is at the core of self-knowledge. If leaders do not know who they are, followers certainly will not know or trust them.

Competency Two—Interpersonal Effectiveness. Because much of leadership is relational, individuals must build and sustain relationships with others in order to be effective. The ability to resolve and manage conflicts, negotiate for workable solutions, and empower others are aspects of successful interpersonal leadership. Leadership requires a bone-deep respect for the individual and for the integrity of each person.

Competency Three—Flexibility and Adaptability. Leaders realize that change is inevitable. Addressing change calls on the leader to welcome rather than fear new situations, to handle novel and multiple tasks, and to be an interdisciplinary thinker. A willingness to be part of a team and a listening member of that team is essential in order to facilitate flexibility and adaptation to successfully confront complex problems. The flexibility to act on that knowledge is power; otherwise, leaders may often find themselves frozen by a fear of failure or inaction. Great leadership then is the visionary and wise use of power to achieve common goals while serving others.

Competency Four—Creative Thinking. In order to solve the ever-increasing problems that face our society, leaders must provide unconventional yet workable solutions. This calls for creativity. Creative leaders appreciate new ideas and approaches; they challenge conventional wisdom and current assumptions; they think conceptually; and they take risks. Leaders have the self-confidence to view issues and challenges through different lenses. Experiential learning opportunities provide a base for grounding knowledge; significant experiences enhance creative approaches to public service.

Competency Five—Commitment to Service. Service is seen more and more as a metaphor for leadership. Transforming leaders must draw their motivation from the need to serve and the ability to be sensitive to individual needs.

Competency Six—Technological Mastery. Whether labeled a skill or a system, a panacea or a phenomenon, the ability to use and understand technology is a necessity for leaders. Technology has become so deeply imbedded in the worlds of government, education, health, and business that a rigorous examination of the implications and competency in its application is essential.

Competency Seven—Public Policy. Regardless of political perspective, the role of public policy is an essential component of any leader's knowledge base. The systemic nature of our political institutions and the need to bring financial and programmatic influence to bear on the economic and social issues of the day

necessitate a working knowledge of policy. Having knowledge about and interest in the issues of the day is an important part of this domain. But creating new and unique partnerships among the many sectors of the public is the next necessary step.

IV.

The need to update and strategically change the program continually is a given in the Kellogg fellowship program.[3] In 1996 the board of the W.K. Kellogg Foundation approved substantive changes within the program, including a shift in name from the Kellogg National Fellowship Program to the Kellogg National Leadership Program. Other approved modifications include adding an applied action module to each fellow's individual learning plan (now called a leadership action plan); reshaping seminars as interactive, newly titled "Learning Laboratories"; expanding the breadth of the international experience to encompass Asia, Europe, and southern Africa; and placing special focus on the issues of technology, diversity, and public policy in leadership development. The intentional examination of leadership as a formal discipline of study and intellectual pursuit will also be undertaken. Finally, fewer fellows will be selected for each group, with the selection occurring every other year rather than annually, so that replication, dissemination, and alumni development can take place.

Today's need for leaders is as great as it was when the Kellogg National Fellowship Program was created in 1980. The continual re-examination of the program, testing and trying the lessons for validity and application, and the sustained commitment of one of the nation's largest foundations will assure that individual leadership development remain a worthy and viable pursuit within the world of philanthropy.

Notes

1. James MacGregor Burns, *Leadership* (New York: Harper & Row, 1978).

2. James M. Kouzes and Barry Z. Posner, *The Leadership Challenge: How to Get Extraordinary Things Done in Organizations* (San Francisco: Jossey-Bass, 1987), p. 10.

3. The authors wish to thank Dr. Greg Markus of the Institute for Social Research at the University of Michigan and Dr. Dennis Elsenrath of the University of Wisconsin at Stevens Point for their data, observations, and insights that contributed to this work.

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The Legitimacy to Lead

Ronald Walters

We must consider the fact that the presidency of Bill Clinton is illegitimate. Not for the revelation of a tryst with Monica Lewinsky, but because he was elected both times with votes from only one-quarter of the American population. This alone places in serious question the nature of his governing consensus and the nature of the mandate that he—or any other president in recent times—exercises. It could also be one of the reasons the Ross Perot revolt of 1992 succeeded in finding a constituency of twenty million voters who felt disconnected from the process of consent.

Both consensus and consent are the primary issues of leadership legitimacy, as is evident from the recent impeachment politics. In fact, there are two paradigms at work where the evaluation of President Clinton's leadership legitimacy is concerned. One of these is the personal dimension, and here, the American people have responded in opinion polls that they do not approve of his personal life style. However, the other dimension is the public category, and here they respond with substantial support for the job that he has done with regard to the promulgation of various policies—deserved or not. Thus, the evaluation of his leadership amidst the politics of impeachment must take into consideration these two dimensions that interact to provide Clinton "the legitimacy to lead."

Clinton derives the source of his authority to lead both from the Constitution and from the nature of his public consensus, and it is the dimensions of both that propel the politics presently at issue in the impeachment process. The constitutional issue compels us to ask: "Does lying under oath about consensual sexual contacts rise to the level of 'high crimes and misdemeanors' envisioned by the founding fathers?" There are strong opinions on both sides of this question, as we have seen. And the public dimension asks: "To what degree does the nature of his public consensus as determined by Clinton's favorable ratings play a role in influencing the politics of impeachment?" Beyond the opinion polls, the 1998 midterm elections (inasmuch as the Democratic Party won a significant number of seats, reducing the size of the political mandate of the Republicans in Congress and in many states) have resulted in an additional source of authority (or consensus) reaffirming the President's legitimacy to lead. Still, the basis of Clinton's "legitimacy to lead" is contested—and to such an extent that it has provoked a political crisis.

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Leadership and Legitimacy

There is in the Clinton saga the problem of leadership legitimacy that applies with equal vigor to non-governmental interest groups—in fact, to all leadership, especially where democratic leadership is at stake. There is strong emphasis in the leadership literature on the personal characteristics of individual leaders. Some nods to "followership" are also evident in the literature, but without fully exploring the nature of the mutual leader-follower obligations or specifying the sources of implied consent. Nevertheless, the Clinton crisis shows us that one of the most important evaluations of leadership is the crisis of legitimacy, or the issue of *by whose right or consent, does the leader lead:* by right of the political elite in power, or by a national consensus that is inclusive, even organic?

This question takes us into the murky waters of the sources of leadership legitimacy and in this, we are aided by Ronald Heifetz's construct of "leadership without authority,"[1] which I have called elsewhere "leadership from the bottom up." It is useful because it focuses on the inclusive dimension: upon the nature of the consent of those who would be led and how they evaluate leadership from the perspective of its objectives, style and accountability to their interests.

In addressing this issue, like Warren Bennis I want to question the notion of "followership" as a severely limited paradigm. It seems limited in light of the widely accepted view that the interaction between leader and constituent is captured perfectly well—that is, with emphasis on its systemic qualities and its process-not-position dimensions—in the concept of "leadership." The roles of "leader" and "follower" are too discrete, and ultimately artificial. In the first few pages of his examination of the politics of nonviolent leadership, Gene Sharp begins by asking the question, "Why do men obey?" To this he gives various answers, beginning with Thomas Hobbes's view that it is out of fear of the ruler's power. He continues with a retinue of reasons such as habit, moral obligation, self-interest, and others.[2] But it strikes me that this is an offensive question when measured against the pursuit of democratic leadership.

Rather, I believe with Arthur Bentley (whom James MacGregor Burns cites) that "all leadership is group leadership." This truism applies even to presidential leadership, though it appears that the individual in this role often has been portrayed as

isolated from collective forces.[3] As Heifetz has suggested, the critical difference in formal leadership is more often its greater scope. But still, even for the president, there exists an expectation of some level of communion with the "American people" through all sorts of group engagement, either indirectly in the realm of public policy or directly through personal contact and their involvement in the process of governing. Clinton, it should be observed, felt that he had to apologize to his personal staff as well as to the American people at large; thus, there was an explicit group process acknowledged in the pursuit of executive leadership. So, I want to impose a normative value on Leadership Studies which recognizes the various kinds of relationships between leaders and those who consent to their leadership—a normative value which distinguishes democratic followers from, for example, cult followers or followers of political authoritarian regimes, and which suggests that "good" leadership is substantially defined by its democratic characteristics.

An important consideration here is the nature of the relationship between those who hold power and those for whom power is held. The latter we might call "constituents," who are citizens involved in a dignified and organic relationship with leaders and who expect an empowering value in return for giving their consent to be led. This consent must be voluntary, it must be given with the expectation of reward, it must be based on a trust that the leadership will be faithful to the objectives and style of the collective, and it must be predicated on the understanding that participation and openness will be hallmarks of the governing process.[4] In this sense, we must regard leadership as a process rather than a person. And when we refer to leaders, especially heroic leaders, it may be more accurate to regard them as one of the factors involved in historical change, and therefore, as symbols of those eras of change, rather than as the makers of it altogether.

Legitimate Authority

One of the characteristics of democratic leadership is the issue of legitimacy that involves more than mere authority. Finite authority can be delegated, as indicated, by dint of the grant from superior sources of power such as the Constitution. Legitimacy, however, requires not only that a source of authority be obtained, but that trust in the use of that power is also present largely due to the mutual commitment of leader and constituent to a common set of norms. So, legitimacy involves both normative-and process-oriented values.

With respect to process, trust is important for at least two reasons. First, it is the glue that binds individuals together in a union of informal authority to mobilize interests. Second, it is the implicit quality which demands leadership accountability—namely, that leaders wield their power and authority in responsible ways that are consistent with the group's objectives and with its stylistic and tactical character.

The other aspect of legitimacy is that leadership take place, as Max Weber indicated, within the framework of a common set of norms, mores, customs, and objectives of living. It is useful to recognize that legitimacy is based upon norms that are socially valid and that are truthful and morally grounded to the condition of the group and its perspective.[5] Leaders are often regarded as legitimate if they operate within the context of a set of values that are supported by their community. Thus, autonomous actors, possessing a high degree of flexibility with respect to tactics and to the pace of their agenda's implementation, may often draw a "bye" on other elements of the democratic process because some members of the collective are more interested in different aspects of accountability. Leaders are most accountable when they act in the interest of the group from which they obtained their writ of legitimate authority, as well as when they employ democratic aspects of leadership, thereby increasing trust levels.

Still, there may be various forms of accountability, depending on the degree of the leader's independence and the rigor of the sector in which he works. Some leaders' lack of accountability may be a reflection of the fluidity of organizational circumstances. For others, lack of accountability may be symptomatic of the scarcity of resources or of the persistence of certain historical circumstances. Thus, the question often faced by black leaders—or by any ethnic or racial subgroup leadership—is that, without official state power through which leadership may be subject to the enforcement of rigorous standards of accountability, what methods of enforcement are available and how effective might they be?

> *In this sense, we must regard leadership as a process rather than a person. And when we refer to leaders, especially heroic leaders, it may be more accurate to regard them as one of the factors involved in historical change, and therefore, as symbols of those eras of change, rather than as the makers of it altogether.*

Very often, leaders act as though they had obtained a writ of formal authority that ordinarily would permit them to operate with the widest grant of legitimacy. According to Heifetz, though, they often run afoul because of the expectation that they will act in accord with the wishes of individuals and groups who are outside the zone of their immediate areas of legitimacy.

This "zone-of-consent" problem is important, since it arises in the context of the majoritarian decision-making requirements of democratic systems. Thus, when President Clinton attempted to foster a revolutionary vision of a national health policy it backfired because he extended his political mandate outside the zone of his actual legitimacy. In other words, this was an illegitimate political act. This lends credence to the notion that leaders are most effective when they operate according to—or within—the zone of the sources of their legitimacy. Thus, with respect to African American leadership, I have devised a racially based typology which suggests that there are at least four types of black leaders, according to whether the source of their legitimacy resides (1) within both the black and white communities, (2) within the white community largely, (3) within the black community largely, or (4) in neither community. By these criteria the leadership styles are listed below:

Style	*Example*
Consensus	Jesse Jackson
Paternalistic	Colin Powell
Autonomous	Louis Farrakhan
Self-appointed	Dick Gregory

The implication of this typology is that legitimacy is a resource that governs values and process, but as it is dependent upon external factors outside the group, it necessarily includes endorsement and other resource provision. This is a useful framework which helps to explain the dichotomous attitude toward some black leaders by both black and white communities.

Illegitimate Leadership

When leadership is not legitimate change values are engendered. In my book *Black Presidential Politics in America,*[6] I noted at the outset that there was a contradiction inherent in a society where the practice of racism was allowed and which also professed itself to be democratic. Racism violated the principle of consent.[7] Our national Constitution established a republican form of government based on a majoritarian system of politics, which means that the majority is expected to be victorious in the passage of legislation or in the election of individuals to office. But what, it may be asked, keeps those on the losing side from regularly exhibiting civil unrest regarding decisions made by the majority but seen by the minority as illegitimate? It is a revolving process of consent, in that those on the losing side today may be on the winning side tomorrow, and this expectation builds trust in the system as a fair process. However, what if

you knew that as a racial minority in a racially stratified white dominant social system, in many points of decision you would be on the losing side? This would tend to foment distrust, which would lead to unrest and upset the prospect of civil politics. So, trust is possible only in a system of governance—either at the formal level or the informal level—that is perceived to be fair, a circumstance which leads groups to give their support to leaders in informal systems.

But in fact, there is an element of coercion here. The French political philosopher Jean-Jacques Rousseau described this paradox of democracy in the following terms: "In order that the social compact should not be an empty formula, it tacitly includes the agreement, which alone gives force to the rest, that whoever refuses to obey the general will shall be compelled to do so by the whole body. That means nothing less than that he will be forced to be free."[8] So, distrust is engendered by the fact that those who are in the permanent minority are also forced to go along with the majority in a process that spoils their free will and thus their consent, making their view of the use of power illegitimate.

As I have suggested, the perception that illegitimate leadership is in power traditionally has set in motion efforts to effect political change by all sorts of groups in many societies. In fact, I would argue that in some way, it has also been responsible for the emergence in America of the conservative movement that conceives of itself as an historical corrective to the excesses of the earlier movements for social change. The pivotal point, however, is that the conservative movement, as a largely white movement, is not a permanent minority and indeed has gained majority status as the new politically legitimate ideology. And in this, there are several negative effects.

First, with respect to the relationship of this movement to black leadership, it should be understood that its endorsement of conservative black leaders reflects the work of some scholars who have concluded that "endorsement inhibits change-initiating action."[9] One implication of this is that external endorsement must either be paralleled or exceeded by internal endorsement for the values of change to emerge from the empirical condition of those who desire it. A more profound implication, however, is that the contribution of legitimate black leadership is repressed in favor of those new conservative organizations and spokespersons who represent the ideology of the dominant class. This sets up a politics of leadership legitimacy within the black community.

Second, the fact that minority groups who have a disadvantaged status are trapped in the paradox and suffer from its coercive effect represents a violation of democratic norms. For example, by what right is it legitimate for blacks and Hispanics, the most presumptive beneficiaries of affirmative action, to be deprived of it by the majority on the basis of majority rule? Also, it may be asked, is it legitimate for Hispanics, simply because of their ethnicity, to be deprived by the majority of language rights and immigration benefits on the basis of majority rule? In both cases, vital life objectives and strategies espoused by the leadership of minority groups are mitigated in the interests of the white majority in a ruthless, winner-take-all scenario which certainly

cannot be justified as the definition of an enlightened relationship between minority and majority leadership.

Multicultural Leadership

In the coming decades, democratic leadership increasingly will confront the notion of openness, accessibility and inclusion, or the notion of group agency and consent. As the country faces the fact that society is constructed not merely on the basis of individual existences or rights—except as a theoretical precept which distributes rights constitutionally—but also on a rich array of group structures through which individuals have mediated their interests, a deeper paradox appears. That paradox lies in the disturbing recognition that groups too play a role in the consent of the governed, and that a violation of this consent is the result of coercion.

There is also the irony that such undemocratic treatment of the political interests of the minority by the majority not only undermines the project of democracy for both groups, but is counter to the material self-interests of the majority. If, as Gene Sharp has suggested, self-interest is one of the reasons people obey leadership, then the issue that emerges is that the civil advance of the multicultural nature of America is the common self-interest of all Americans. Demographer William Frey has recently discovered that ten cities are the destination for 70 percent of the new mostly Latino and Asian immigrants to America. Since the white population is leaving most of these cities, the metropolitan areas are becoming the new multicultural melting pot, with blacks already there and some Native Americans also migrating.[10]

Meanwhile, Frey and others have found that the bulk of the black population is reconsolidating in the South and the white population is moving into the new cities of the West and Northwest.

Meanwhile, Frey and others have found that the bulk of the black population is reconsolidating in the South and the white population is moving into the new cities of the West and Northwest. It is wholly logical to suggest that the leadership patterns which will emerge in these areas will strongly reflect the multicultural character of the population. But will a struggle ensue over the issue of legitimacy in those areas as well? Most probably yes, because the bases of the policy objectives of the residual white suburban middle-class and the migrants and immigrants who have a much lower socioeconomic profile will be very different. Whites, having an older and more affluent socioeconomic status, will be more interested in such issues as social security and minimal government service delivery, while nonwhites will be more interested in expanded government services and access issues involving a range of opportunities. How will we resolve this political conflict that is occurring as we speak?

Democratic Leadership

I would like to return to my earlier observation about "democratic leadership" to affirm that the discussion about legitimacy is important in any political context. Thus, if one takes seriously the issues involved in national leadership, especially the struggle for its democratic character and the way in which the various elements in the relationship of national leadership to the people of this country have been elaborated by various thinkers as a participatory value, it strikes me that all leadership is a political system with these elements present or absent in relative degrees. An enhancement of this characteristic is the fact that democratic leadership implies a certain contractual relationship between agents of the constituents and the constituents themselves. Since "leaders" are often agents in a social process of commitment, they are the mechanism through which the citizenry's participation is brought to bear on the political system as a whole.

In the end, though, we must recognize that even though there may be some congruence between the democratic practice of an organization and the context of a democratic state, the immediate values pursued by each may be very different. For, as Kathryn Denhardt has inferred in her discussion of the ethics of public service, loyalty to an administrative system may not translate as loyalty to a given interest of the public.[11] So, with respect to values, the struggle continues to infuse in democratic practice the human content that is characteristic of what James MacGregor Burns called "good leadership."[12] In this regard Rousseau appropriately noted that "in a well-ordered city every man flies to the assemblies; under a bad government no one is interested in what happens there."[13] I suggest that one characteristic of "bad" governance is the absence of a democratic practice undergirded by the values of legitimacy, such as trust, accountability, and consent. But perhaps the summary character of this value was best expressed by the writer who noted that the use of authority as power-sharing for the pursuit of enlightened relationships is an expression of "love."[14] So be it.

Notes

1. Ronald A. Heifetz, *Leadership Without Easy Answers* (Boston: Belknap/Harvard University Press, 1994).
2. Gene Sharp, *The Politics of Nonviolent Action* (Boston: Sargent Publishers, 1973), pp. 19–25.
3. See Burns's discussion of Arthur Bentley in James MacGregor Burns, *Leadership* (New York: Harper & Row, 1978), pp. 302–303.
4. For more on consent, see Percy H. Partridge, *Consent and Consensus* (New York: Praeger Publishers, 1971).

5. For more on this point, see Berger and Luckman in J. David Knottnerus and Christopher Prendergast, *Recent Developments in the Theory of Social Structure* (Greenwich, CT: JAI Press, 1994), p. 129. See also David Dyzenhaus, *Legality and Legitimacy: Carl Schmitt, Hans Kelsen, and Hermann Heller in Weimar* (Oxford: Clarendon Press, 1997).

6. Ronald W. Walters, *Black Presidential Politics in America: A Strategic Approach* (Albany, NY: State University of New York Press, 1988).

7. See also Cynthia H. Enloe, *Ethnic Conflict and Political Development* (Boston: Little, Brown, & Co., 1972).

8. Jean Jacques Rousseau, *Social Contract,* I.7, p. 364, as cited in Marshall Berman, *The Politics of Authenticity: Radical Individualism and the Emergence of Modern Society* (New York: Atheneum, 1970), p. 212.

9. See the work of Thomas, Walker and Zelditch, as cited in Jacek Szmatka, John Skvoretz, and Joseph Berger, *Status, Network, and Structure: Theory Development in Group Process* (Stanford: Stanford University Press, 1997), p. 421.

10. William Frey, as cited in "New Demographic Divide in the U.S.: Immigrant and Domestic 'Migrant Magnets,'" *The Public Perspective* (June/July 1998), pp. 35–39.

11. Kathryn G. Denhardt, *The Ethics of Public Service: Resolving Moral Dilemmas in Public Organizations* (New York: Greenwood Press, 1988).

12. Burns, *Leadership.*

13. Rousseau, as cited in Berman, *The Politics of Authenticity.*

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Public Leadership: The Unanswered Questions— Do Leadership Scholars Have the Answers?

Kathryn J. Whitmire

I am very excited to be a part of the very beginning of this new program, the Center for the Advanced Study of Leadership, and this new Leaders/Scholars Association that will deal with the scholarly side of leadership and the practice of leadership at the same time. Today I will pose some "unanswered questions" concerning public leadership for which I believe leadership scholars may have some answers.

I hope that after I give you my list of unanswered questions about public leadership, some of you will tell me that they are not unanswered at all, that you know who has done the research to answer these questions, and that you know where the results of that research have been published. That is the first step toward putting the results of scholarly research to work to improve leadership in the public interest.

After serving fourteen years in elective office and many more years as a citizen dealing with public issues, I am convinced that people who are dedicated enough to do research on public leadership should see their results put into action. To do that, I hope that the questions I am raising today can serve as a framework for communication between public leaders and leadership scholars.

Having spent a few years working with scholars in the field of leadership, I know better than to start my presentation with a definition of leadership. But let me mention how I will use the term "public leadership." It is leadership to bring about action on issues that affect the public interest.

Who can provide public leadership? People who are elected or appointed to serve in government can certainly provide that leadership, and so can people who volunteer to lead non-governmental organizations. Certainly people who are hired to lead such organizations, people who organize movements, people who organize neighbors to deal with an issue can provide public leadership. And, people who are leaders in business or religion, or education, or healthcare, or philanthropy, or a wealth of other fields, who are willing to take responsibility for improving the circumstances in their community are public leaders in my view.

The questions I raise pertain to leadership in the public interest. Some of them pertain specifically to the government, and how we might better prepare leaders to deal with the issues that come before Congress or the city council. But I also want to explore how we might better prepare all citizens to take action in the public interest.

The public leadership questions on my mind today are as follows:

- Do legislative leadership roles require different leadership behaviors or characteristics from those needed for success in an executive role? How can aspiring public leaders prepare themselves for these different roles?

> *What are the best ways to nurture and empower new leaders in all sectors to take action on public issues?*

- What are the best ways to nurture and empower new leaders in all sectors to take action on public issues?

- How can public leaders get in touch with the personal values that drive their decisions and order their priorities? Does it matter whether their constituents share these values?

- Can a revolutionary leader also provide the leadership needed to produce practical results year in and year out? How can leaders make this transition?

- Should a public leader set his or her goals aside in the face of overwhelming constituent disagreement?

- On public policy issues, how can leaders judge when to strike a compromise for short-term, limited gains and when to continue advocating for larger, revolutionary change? How should success be measured by public leaders and by their constituents?

- How can public leaders bring people of very different backgrounds together around common goals? Can leaders take action to help build trust and respect between people whose culture and values are very different?

- To provide leadership in a diverse population, how important is it that the leaders themselves represent the ethnic, racial, religious, socioeconomic and gender diversity of the population? Is fairness of leadership more important than representation? Or are these two necessarily linked?

- With the increasing gap between the "haves" and "have-nots" (both globally and within communities), how can leaders inspire an attitude of reciprocal care and shared responsibility which respects the dignity of each individual?

- Is a charismatic personality important for success as a transforming public leader?

- Considering the level of cynicism that exists about leadership in the public arena today, how can a public leader build trust?

- How does our current electoral system in the United States either increase or decrease the possibility that ethical, transforming leaders will be elected?

- How can people who have assumed the responsibility to lead on public issues be expected to discharge these responsibilities, meet the needs of their families, maintain their own physical, spiritual, and emotional well-being, and still find time to study the leadership literature and learn from the work of leadership scholars?

My Public Leadership Journey

In my first career I worked in the business world as a CPA, and my training is in business and accounting. I really always wanted to be involved in politics. So, when there was a vacancy in the office of city controller, who is elected in Houston, I thought that I ought to have that position. My idea was to bring my experience from the business world into government so that people could, perhaps, get more of their money's worth for their tax dollars and be assured that their city was in sound financial condition.

I was fortunate to be able to win the office. I ran a very low-budget campaign with many volunteers who "came out of the woodwork," because it was the opportunity to elect the first woman to serve in any elected office in the government of Houston. Of course I did not mention gender as a campaign issue at all; it was obvious to those who were looking. I argued, instead, that a big city like Houston needed a CPA, someone with a professional background in the financial field, to handle the finances. And I think that did pretty well in helping me get elected. I have to admit that there had never been a CPA who held that position before, nor has there ever been since. But it seemed to be the right formula for the moment.

All terms of office are two years in Houston, because voters in that part of the country like to keep their elected officials on a short leash. After two two-year terms as controller, I was disappointed with the somewhat lackadaisical leadership that was being provided by the mayor at that time. I felt that I had a pretty good knowledge of how the city worked. I loved what I was doing as controller, and the mayor was a friend whom I had supported when he ran for election. However, I ultimately decided to run against him.

Running against the mayor was a very popular idea. He was involved in a number of scandals and was in a bit of trouble with voters; so, there were fourteen of us who ran against him. That meant I had thirteen other people to help me in my effort to unseat the incumbent mayor. And frankly, that's the reason that, again, with a relatively low-budget campaign, many volunteers,

and the opportunity to elect the first woman as mayor of Houston, I was able to win that election.

My idea was to use my business experience and my knowledge of the inner workings of city government to be a great chief executive officer for this big organization that we called "the City," and I was really looking forward to that.

It was challenging, certainly, to serve as chief executive of an organization with over 20,000 employees. And, over time I learned that there were more aspects to my job than I knew about initially. In fact, right after I was elected, a reporter came to my home to do what you might call a "personality piece" about me. He was asking a lot of personal questions, and I finally said, "You know, the voters have elected me to handle a very important job, and I really don't have time for your irrelevant questions, because, after all, I was not elected to provide public entertainment!"

I learned very quickly that "public entertainment" was part of my job.

Well, I was wrong. I learned very quickly that "public entertainment" *was* part of my job. In fact, after I took office and served my first two-year term and was up for re-election, a group of reporters confronting me after a city council meeting said, "Mayor, what do you have to say about Mr. Blackwell?"

I said, "I don't know. Who is he?" He is a fashion designer in California who publishes a list of the world's ten worst-dressed women. And you guessed it. I was on the list of the world's ten worst-dressed women. I was tied for tenth place with Dustin Hoffman in his role as "Tootsie." I would like to think that today I don't look a thing like Tootsie. But I can assure you in 1983 I looked exactly like the character in that movie. In fact, I had been very careful to wear large glasses and very conservative suits and to try very hard to present a professional image. Since I was fairly young, and also short and female, I was trying to make sure that people took me seriously. So that was the reason that I looked so much like Tootsie.

Since I was up for re-election, my opponent didn't hesitate to take advantage of the situation; he put out bumper stickers that read, "Toot, Toot, Tootsie Goodbye." But my campaign workers were resourceful as ever, and pretty soon we got things going our way, and we had a brown bumper sticker that read, "Tootsie's on a Roll!" And we handed out Tootsie Rolls at the polls. This bit of public entertainment worked well for us, and we won that election as well.

But then more problems came along—bigger ones than anyone could have foreseen. The price of oil had collapsed and our part of the country faced serious economic woes. Houston was facing a major recession.

One of the things I was trying to do in my second term was to market Houston nationally and internationally as a great place to do business. I was trying to get some positive publicity for Houston, but I had a very difficult time getting any positive coverage in *The Wall Street Journal*. They kept writing articles about

"see-through" office buildings and bad business conditions in Houston, and just how dismal everything was. I had gone to their local bureau chief, and then to New York to meet with *The Journal*'s editors there, but I was having no luck. And I was up for re-election yet again. (These two-year elections came up very quickly.)

That year I was actually in quite a bit of re-election trouble. One of my campaign advisers suggested that to regain my standing in the polls and win this election I really needed to change my image and quit looking like Tootsie. I decided I would do it. So I got a new hairstyle, and a complete makeover, which the press just loved. And sure enough, there it was on the front page of *The Wall Street Journal,* the positive article that I had been looking for—about Houston's mayor and her new hairstyle. It even had before-and-after drawings of the hairstyle.

Well that's what I learned about the job of mayor; that while being the CEO of the city organization might be challenging and exciting, it was a small part of my job. For example, in Houston, the mayor leads the city council, quite a difficult job for me. The council was a very independent group.

An even bigger job was providing community leadership for the entire metropolitan area (even beyond the city limits of the City of Houston), and marshalling the resources of the entire community to tackle the economic issues, the education issues, the issues of neighborhoods in trouble, of people who needed help, of problems with drugs and crime.

Marshalling the resources, encouraging and enlisting the people of a major metropolitan area to get things done turned out to be the most important and most challenging part of my job as mayor.

Do legislative leadership roles require different leadership behaviors and characteristics from those needed for success in an executive role? And if so, how can aspiring public leaders prepare themselves for these different roles?

I mentioned that providing leadership to our city council was difficult. Houston has a fourteen-member council, which includes nine members elected from individual districts and five elected "citywide." This structure was established through a compromise with the U.S. Justice Department in an effort to increase the diversity of our city council, make it more representative of our citizenry, and comply with the Voting Rights Act of 1965.

So we had a council that was trying to learn to work together. I came to it with no legislative experience at all. In Houston the mayor wears several hats. The mayor chairs the city council—and in fact, votes on every issue—as well as serving as the executive leader of the government. So my first challenge was to adjust to this legislative environment and establish a relationship with members of the council. Most of them had been serving on the council before I was elected mayor, and several of them had previously served in the Texas legislature. So they had a background of legislative experience.

As with most of my leadership challenges, I learned my lessons on this topic in the "school of hard knocks." Very early on,

I aligned myself with one of the council members who had served in the legislature for quite a while before coming to the city council. I enlisted his wise counsel in trying to get this diverse group of fourteen council members to go along with some of the things that I had in mind: in determining just how much attention they would need and how much compromising I would have to make to accomplish any of my goals.

While the city council was a challenge in itself, the work we needed to do with the Texas legislature was even more challenging. And I think I could sum that up by telling you briefly that while I was city controller, I had the grand idea that we needed to get state legislation passed that would put the city pension plans on sound financial footing.

For most people, this topic was quite boring, but I thought it was pretty important from a financial point of view. And I set out to pass some strong legislation that would get the job done. There was a long-term member of Houston's police department who served as the president of the Police Pension Board.

I can still remember the day he tried to get me to understand how the legislature really worked. He said, "You know, Kathy, there has never been a bill passed in the Texas legislature strictly on its merits." And that was the beginning of my education about the legislative process. That whole issue of legislative leadership is one that I believe needs much more attention. And I've spent many long hours trying to work with the Texas legislature.

I remember distinctly the day the Speaker of the House was telling me why he could not pass a particular bill that I was interested in. He said, "I think the biggest job I have as Speaker every year is to get an appropriations bill passed. I have to find something that this group will agree on so that we can appropriate the money to run the state. That's what my job is."

He measured his success as Speaker by whether he could get something—anything—passed. I found his definition of leadership success to be less than inspiring! So the question of defining and preparing for legislative leadership is one I would like to see addressed by leadership scholars.

What is the best way to nurture and empower new leaders in all sectors to take action on public issues?

I did mention that an even more challenging part of my role as mayor was serving as the leader of the broader community, bringing people from all walks of life together to try to get things done. And it was the downturn in the economy that caused me to focus more acutely on what was needed to develop leadership on broad-scale public issues. I quickly concluded that reviving our economy required the involvement of people throughout the community; neither I nor any of the other elected officials could assume the principal leadership roles on this issue.

When Houston started losing jobs and unemployment figures began to climb, as usual I was up for re-election. (You'll notice that re-election campaigns are a recurrent theme in my memories of being in public office.) My opponent had said my priorities were all wrong, because there were a variety of things that I wanted to work on, such as civil service reform and public trans-

portation. He said, "She's got her priorities all wrong—you're facing a serious economic crisis and she's providing no *leadership* on that issue." I have noticed that "leadership" is a word that people always use with elected officials when they're unhappy.

A reporter once asked me, "What about your leadership on economic development?" I was not prepared for that question, so off the top of my head I said, "Well, I really thought the chamber of commerce would be providing leadership on economic development."

That was clearly the wrong answer! I never said that again, although it was repeated back to me many, many times. Indeed, the chamber of commerce could not take the blame for what was wrong with the city. Most important, the chamber could not be held responsible for getting something done to solve the community's economic problems. After all, I was the one who had presented myself as a candidate and been elected by the people to serve as the leader of the community; therefore, I needed to take responsibility for what concerned people today. Although economic development had not been an issue in my campaign and was not in line with my personal priorities, I came to appreciate that it was my job to provide leadership on that issue.

Now, we all pointed fingers at each other for a while. Each of us blamed the other: city officials, the chamber of commerce, real estate developers, oil companies. We all could point to someone who had not done his or her job. We spent almost two years blaming each other until finally, we began to share responsibility. We began to come together around the issue of economic development and found that, indeed, there was a role for everyone in the community, not just business leaders, not just government leaders, but everyone, including people in nonprofit organizations and community groups. As we worked to advance the hospitality industry to help boost our economy, we found that almost everybody in the entire city was involved in planning some kind of meeting. I don't know how many of you attended a convention in Houston in the 1980s, but just about every organization you can think of—religious, charitable, nonprofit—held one in Houston that decade because people throughout our community stepped up to the plate and were willing to do their share.

All sectors joined in creating the Houston Economic Development Council, which ultimately merged with the chamber of commerce and the Houston World Trade Association to become the Greater Houston Partnership. I am glad to say it is still in business, combining the efforts of many citizens, including educators, religious leaders, not-for-profit organizations, business and government leaders, all working together to ensure the economic future of the city.

The connection between values and leadership has become very important to me, particularly in the years that I have had the privilege of spending some time with scholars and in the academic world.

In Houston, we faced a variety of other issues that required a community-wide response, more issues than I can begin to tell you. But one that stands out had to do with the AIDS epidemic that hit our city very hard in the 1980s. It was especially difficult to deal with because at that time many people were unwilling to face the fact that it might be a community-wide problem.

There were still a number of people who felt that AIDS was not their problem—it had to do with someone else and didn't affect them. This made it more difficult to develop leadership around the issue. It did require a coalition response from the various governmental agencies of the city and county, as well as the non-governmental organizations, the educators, the religious organizations, and everyone else we could find.

It was Betty Beene, then president of the United Way in Houston, who said, "You know, I don't mind being the out-front leader on this issue." She actually took responsibility for chairing our coalition, although she knew it was going to be controversial with her board of directors. But she also knew that it had to be done, and that she would have elected leaders and other people to work with when they understood the seriousness of the AIDS epidemic. And she was willing to step forward and take the leadership. As a community person, she began to tell people how serious the AIDS epidemic was for our community. I believe that the kind of leadership Betty showed on this issue is one reason that she is now president of United Way of America, because she would not back away from a tough issue.

So the question is: What are the best ways to nurture and empower leaders in every sector to take action on a public issue and not pretend that the government is going to figure out how to do the job by itself?

How can public leaders get in touch with the personal values that drive their decisions and order their priorities, and does it matter whether their constituents share these values?

The connection between values and leadership has become very important to me, particularly in the years that I have had the privilege of spending some time with scholars and in the academic world.

As I reflect on my years as mayor, I can see a pattern that flows through the whole period. I can begin to understand the values that were top priorities for me that brought about those recurrent themes in the way I wanted to spend my political capital and the things I wanted to talk the city council into doing that they found unpleasant. And I know that my priority values were not always the same priority values held by my constituents or the city council.

I sometimes tell our students that the reason you want to hold public office is so that you can set the priorities yourself. And if you get elected, you do get to decide how to spend your time and your energy and your political chits or capital, *e.g.,* the number of times you can ask somebody to help you with something or do something she doesn't want to do. Well, you do get that privilege when you run for office, whether or not your constituents agree with your values, and whether or not you put enough energy into dealing with issues that are their priorities.

My own priority values are centered on fairness and justice, and, also on the conservation of resources—financial resources, as well as natural resources and human resources. For example, my great concern with the Houston Police Department's bad reputation for misconduct and excessive force caused me to take some very unpopular stands on those issues in my push to bring about fairness.

Those were the battles that the city council was often dragged into kicking and screaming, because no one wanted to take on the police union. Once, we were trying to pass legislation to allow management more prerogatives to control the activities of law enforcement officers. That's a tough issue, but that was my core value, and that's why I often put the effort into it, even at the risk of making voters unsatisfied. I wanted to invest my political capital in the issues that align with my core values.

And I think that's the balance that we see all of our leaders seek. When you run for office, you want to put your energy and your work into what really matters to you. But, how many other things do you have to work on that are not part of your job priority list so that your constituents will allow you to do that?

Can a revolutionary leader also provide the leadership needed to bring practical results year in and year out? And how can leaders make this transition—if they can, at all?

Do we always have to go through some kind of a battle and then say, "Well, we had that revolution. That was fine, and now it's time to get back to day-to-day management to get results." I believe this is what we've just seen happening on the federal scene.

Since I am from Houston, I was fascinated that all of the leadership in Congress were challenged this year except for one person, the Majority Whip, a man named Tom DeLay, a congressman from my hometown of Houston. I've known Tom DeLay since he was serving in the Texas legislature and still running his pest-control business in Houston. I was surprised to see Tom move to his exalted position in the majority leadership.

But it was interesting to read this week's *Washington Post* account of why Tom was not challenged when everybody else in the leadership had to take the blame for what went wrong for Republicans in the election. *The Post* quoted members of Congress describing Tom DeLay as extraordinarily competent in understanding the system and using it. Now, we can look at Tom DeLay's leadership as Majority Whip and say it was transactional leadership at its best. Congress needs to pass appropriations to get things done. In the Appropriations Committee, DeLay has been getting things done for a lot of other members. But what really caught my attention was that other members said he was able to build trust because he delivered and kept his promises.

And the point is that people who didn't even agree with him on the issues, who didn't feel at all aligned with his fairly far-hard-right political views were willing to support him because they trusted him. This was because he took their input, made sure the leadership heard it, made sure their concerns were known, and kept his promises. Even though he participated in the failed coup against the Speaker last year, he was forgiven because he came forward and publicly admitted what he had done and apologized. It's amazing how forgiving people are when you admit what you have done and apologize.

Majority leader Dick Armey, who may yet manage to keep his position but is under some attack, hasn't done nearly as well with his colleagues. He encouraged that same coup, but when it failed, he denied his involvement. And that didn't compel his colleagues to trust him. So I think there are some lessons to be learned from watching what happened in Congress and who was held responsible; from watching what happens when a revolutionary leader steps forward and sets a direction that people follow when that person has delivered on the promises that he has made.

One has to wonder: If Newt Gingrich had had a team made up of entirely competent and trustworthy people, would he still be Speaker today? He didn't get to pick his leadership team—they were elected by the members. And that is one of the reasons people need special preparation for public leadership as it relates to the electoral process. You don't get to decide whom you're going to work with. It is whomever the public sends you.

I would wring my hands very regularly about the problems I had with our city council. I felt I couldn't get them to be responsible, to be statesmen and stateswomen and deal with the tough issues at hand. But they were the crew that the public sent me, and they were whom I needed to work with.

Should a public leader set his or her goals aside in the face of overwhelming constituent disagreement?

Now, here's a tough one for all of us who have served in public office. We all have things that drove us to seek elected positions, and we all have things that are very important to us. But

> *We all have things that drove us to seek elected positions, and we all have things that are very important to us. But what if the people we represent think we are wrong?*

what if the people we represent think we are wrong? Well, we certainly ought to be allowed to have our own policy priorities. But, on the other hand, what if our constituents think we are wrong?

We see this playing out in the Judiciary Committee. Many members there, including Chairman Henry Hyde, have strong feelings about having an impeachment resolution and about the importance of looking at the evidence and using that as the basis, rather than looking at the polls and then deciding what to do. However, I think right now they are listening to what the constituents have to say at the polls, and an exit strategy on impeachment seems to be the order of the day. We will have to see what happens when public leaders decide that they are out of touch with their constituents and therefore need to set their own goals aside.

How can leaders judge when to strike a compromise for short-term limited gains and when to continue advocating for a larger, revolutionary agenda of change? How should success be measured by public leaders and by their constituents?

This question finds its way into most public-policy decisions. I asked someone today about the newly elected governor of California and what he would be bringing to the job. And one of the answers I got was, "He knows how to strike a compromise and get on with business." That approach has a lot of merit and may be an example of what California needs today, and it may be exactly what Congress needs today.

But if you look at the revolutionary leaders who fought against apartheid in South Africa and against segregation in this country, and if you look at all the other really tough, intractable situations that have required revolutionary leadership, I think you will agree that the transforming leadership exhibited by these leaders is incompatible with leadership that looks for a quick compromise and gets on with business.

How can public leaders bring diverse people with very different backgrounds together around common goals? Can leaders take action to help build trust and respect between people whose culture and values are very different?

This is a tough issue. At the Burns Academy we did case studies of ten metropolitan urban communities and published the

The final decision rested between two individuals who were extremely well qualified, and I felt either one could do the job. One was African American, the other was white. In choosing the African American to lead the police department at that time, I felt we would begin the process that would bring about some real change and some healing. It was quite controversial.

results in a book titled *Boundary Crossers.*[1] In the *Boundary Crossers* study, we saw a couple of good examples of the kind of leadership that brings diverse people together to work on tough issues.

San Antonio, one of the case-study cities, is where Sister Consuelo Tovar, an organizer with the Industrial Areas Foundation, explained that groups without money or position can capture seats at the table and be heard through confrontation and exceptional organization. Henry Cisneros, mayor at the time, was willing to provide some of the leadership necessary to build a bridge between groups who never before had talked to each other.

In Atlanta it took years and two mayors to accomplish this goal. In our report, an Atlantan was quoted as saying Maynard Jackson, who was mayor in the 1970s, was the leader who brought the neighborhood groups to the table. But it took Mayor Andrew Young eight more years to bring business back to the same table. When neighborhood groups and business people worked together with elected leaders, they were able to bid successfully for the Olympic games because of the effective coalition they had established to promote the city of Atlanta.

To provide leadership in a diverse population, how important is it that the leaders themselves represent the ethnic, racial, religious, socioeconomic and gender diversity of the population? Is fairness of leadership more important than representation? Or are these two necessarily linked?

Houston has a very diverse population. In fact, there is no ethnic group that is in a majority in Houston right now. It was a great privilege to be mayor of a city with such rich diversity. Like other urban communities, Houston has spent many years trying to find a way to ensure that public leaders are dedicated to fairness and also are representative of the diverse populations they serve.

I mentioned my concerns about the police department. In my first term I had the responsibility to recruit a new police chief to deal with the police reforms that were needed. I was fortunate to have some outside help and to be able do a nationwide search. This allowed me to consider several very well-qualified candidates with excellent credentials. The final decision rested between two individuals who were extremely well qualified, and I felt either one could

do the job. One was African American, the other was white. In choosing the African American to lead the police department at that time, I felt we would begin the process that would bring about some real change and some healing. It was quite controversial.

When the day came for the council to vote on appointment of the new chief, the Ku Klux Klan marched outside the city council chambers. I was very lucky, because the chief I selected turned out to have extraordinary strengths and was very successful. He served eight years as the police chief, made major strides in bringing about a more professional tone, establishing neighborhood-oriented policing, and enlisting people from diverse backgrounds all over the city in supporting the work of the police. In fact, he was so successful that he also became the first African American mayor of the city and is mayor of Houston today. That's just one example of a decision for diverse leadership really working.

On quite a different subject, the Center for the American Woman and Politics at Rutgers University has done some very interesting research on the impact of women in leadership positions and the impact that women's leadership is having on the public-policy agenda. They found in their study of state legislatures across the country that increasing the number of women in legislative positions is actually changing the priorities the legislature addresses.

There is also some evidence of a changing agenda in Congress after the "Year of the Woman" in 1992 brought so many new women into Congress. After the 1992 election, we saw action on issues that were of specific concern to women, such as the Violence Against Women Act and the Family Leave Act. I doubt these issues would have advanced to the top of the priority agenda had it not been for the increasing diversity of Congress.

With the increasing gap between the "haves" and "have-nots" (both globally and within communities), how can leaders inspire an attitude of reciprocal care and shared responsibility that respects the dignity of each individual?

In our *Boundary Crossers* study of leadership in ten cities, we found few examples of strong, successful leadership in improving the lot of the urban poor and breaking up the pockets of intense poverty that exist within even the most successful metropolitan regions. I would suggest that this is one area in need of research in the future.

Is a charismatic personality important for success as a transforming public leader?

I know there has been some research done on this question. But today, we may want to look to the state of Minnesota and the new governor, Jesse "the Body" Ventura, to give us some ideas. And I understand he actually has changed his nickname—he is no longer "the Body." He is now Jesse "the Mind" Ventura. We will find out a bit more about personality and charisma and how they play into elected leadership as Governor Ventura's term in office unfolds.

Considering the level of cynicism that exists about leadership in the public arena today, how can a public leader build trust?

My experience is that people who are serving in public leadership positions have to address this issue one on one. For example, in the recent congressional elections, candidates tried to build trust with their constituents and distance themselves from Clinton or Gingrich, or whoever was receiving public criticism at the moment. People who take on leadership have to build trust in themselves rather than in the institutions of politics or Congress or political parties. Again, this is an area that needs more research to understand what causes people to trust individuals.

When I first ran for mayor I was seen as the reformer, the one who threw the bad guys out, and I enjoyed considerable public trust. No one was cynical about me, even if they were cynical about other people in public office. But after I had been in office for several terms, a reporter asked me about something he had heard I might have done wrong. When I said, "I don't know anything about that," he responded, "Well, I knew that was what you would say," suggesting that I could no longer be worthy of trust because I had been in office for a while. And I had to remind myself that this reporter was not even in town when I ran for office as the reformer, bringing the "bad guys" down, so how could I expect him to recognize me as someone who ought be trusted? I think individual public leaders must work constantly on building and rebuilding trust, because it is essential to getting anything done.

How does our current electoral system in the United States either increase or decrease the possibility that ethical, transforming leaders will be elected?

I believe we must examine the impact of the various campaign financing systems in national, state and local elections on the quality of our public leadership. We should also review the current practices of print and broadcast journalists to determine what approach could better inform the public about issues and leaders and whether public scrutiny discourages too many able leaders from seeking public office.

There are other variables in the election rules, such as term limits, single-member districts, and partisan nominating processes, which I believe may affect the leadership ultimately provided by those who win elections. I believe each of these variables should be examined through the lens of leadership theory as we continue to try to reform our electoral system.

How can people who assume the responsibility of leading on public issues be expected to discharge those responsibilities, meet the needs of their families, maintain their own physical, spiritual, and emotional well being, and still find time to study the leadership literature and learn from the work of leadership scholars?

This is an issue I am struggling with, and I believe it is more than just an issue of time. The U.S. Conference of Mayors has a program called the Mayors Leadership Institute. The Institute sessions I attended covered some very serious topics on inner-city development, strategies for improving bond ratings, privatization, and the like. But they did not include any discussion on the the-

ory and practice of leadership. And there were not any articles or presentations from leadership scholars at these sessions.

The orientation for new mayors held at the Kennedy School of Government at Harvard and the Kennedy School's executive development programs for state and local government officials focus on public issues much more than on public leadership. The Kennedy School is doing some new work in the theory and practice of leadership, but I believe there is still a hesitation to make leadership the subject of study for people who are leading on public issues.

In fact, the U.S. Conference of Mayors has even discussed renaming the Mayors Leadership Institute to take "leadership" out of the name. Why? Because we as mayors were concerned that our constituents might wonder why we should need to attend an institute to study leadership. After all, we had to be good leaders already, or we wouldn't have been elected. We agreed that we needed to study inner-city redevelopment and the other topics that I mentioned, but we were uncomfortable with the idea that leadership was something that we wanted to know more about.

This attitude reminds me of discussions I have heard on university campuses (even at the University of Maryland) in which faculty members have suggested that the study of leadership may not be substantive enough to be considered a part of the academic curriculum.

I believe that leadership scholars and practitioners have some work to do. There is a need for research, if it hasn't already been done, that will address all my unanswered questions and many more that I didn't have time to list. There is a need to find out how to communicate the results of that research in a way that is digestible to people who are in the thick of things, trying to deal with the most serious leadership challenges on the front lines. And there is a need for understanding that learning about leadership is a very honorable endeavor for all of us.

Thank you very, very much.

Notes

1. Neal Peirce and Curtis Johnson, *Boundary Crossers: Community Leadership for a Global Age* (College Park, MD: The Academy of Leadership Press, 1997).

Kathryn J. Whitmire, former mayor, Houston, Texas.

PART II

SELECTED PAPERS

Jay Conger (left) of the University of Southern California, Los Angeles, California, and Mike Morrison of Toyota University, Torrance, California.

To Give Their Gifts: The Innovative, Transforming Leadership of Adaptive Work

Richard A. Couto

"Leadership," Jacqueline Reed tells us, "sets up an opportunity for others to give their gift, for others to contribute to community." Reed directs the Westside Health Authority in Chicago, Illinois. This nonprofit, community-based organization is itself composed of several neighborhood programs and associations that train people to provide and to advocate for the resources and services they need to improve the quality of life in inner-city Chicago. Reed's succinct, profound view of leadership expresses the insights of people who are steeped in the difficult work of social change and reflection upon it.[1]

Like Reed, I have given some thought to the topic of leadership—recently, for instance, through my participation in the Kellogg Leadership Studies Project. Yet after several years of intense scholarly deliberations, many Project participants still returned to a fundamental question: What is the central problem with which leadership deals? Larraine R. Matusak, a former W.K. Kellogg Foundation program officer and Director of the Kellogg National Fellowship Program, lamented, "We keep coming back to the question, What? What is leadership for?" This paper provides one answer to that question. It develops a specific model of innovative, transforming leadership of adaptive work by drawing on the recent work of several prominent leadership scholars: Howard Gardner, James MacGregor Bums, and Ronald A. Heifetz.

Social capital is critical to adaptive work because it reduces social and economic disparities and extends and strengthens communal bonds. It is the moral resources and public goods that we invest in one another as members of a community. This paper proposes that the purpose—the "what"—of innovative, transforming leadership of adaptive work is to advocate and provide increased amounts and improved forms of social capital. Too, this paper uses the four-year effort of the Kellogg Leadership Studies Project to construct a framework to analyze leadership in a manner that incorporates the concise, cogent, and compelling insight of "Jackie" Reed.

Innovative, Transforming Leadership for Adaptive Work

The work of Howard Gardner provides us the "innovative" part of our leadership formulation. Gardner explains leadership across domains or fields, such as physics or art, and not within them. He concerns himself less with outstanding leaders and creative people in a particular field and more with leaders attempting to lead people in the general public in common efforts—leaders who cross the borders of domains and offer new human possibilities. Gardner couples this concern with his finding that we have "unschooled minds" that are developed by the age of five. By this age, we have well-established theories about the world, social relationship, and values. He holds that adults continue to theorize about the world with the simple truths they developed as children.[2] Leaders working with a broad and diverse array of people from the general public and leaders working in efforts to change some fundamental aspect of human relations and conduct have to accept this mind or try to change it. Storytelling provides the primary method of access to the unschooled minds and fundamental, childlike beliefs of followers.

Gardner then distinguishes leaders by the stories they relate, which involves embodying stories more than merely telling them.[3] An ordinary leader, for Gardner, "relates the traditional story of his or her group as effectively as possible." This story provides us with valuable insight into the taken-for-granted assumptions of the unschooled mind and unbroken connection of the childadult theoretical realm. Ordinary leaders reinforce the familiar. They do not provide an inkling of how a group will or must change. Innovative and visionary leaders, however, do. An innovative leader may bring new attention or a "fresh twist" to a familiar but ignored story and reassert traditional and familiar values. Margaret Thatcher and Ronald Reagan, for example, both did much to reinvigorate the values of market economies and limited government in the 1980s. A visionary leader creates a new story or stories that are familiar to only a few and succeeds in relating them effectively so that they reassemble parts of the unschooled mind and permit people to do new theory building about fundamental values and beliefs. Gardner cites as visionary leaders the great religious leaders of the past, Moses, Confucius, Jesus, Buddha, Mohammed, and more contemporary leaders such as Mahatma Gandhi and Jean Monnet, the champion of European unity.[4] Gardner's primary interest is in innovative and visionary leaders.

The borders of innovative stories meld with the boundaries of ordinary stories on one side and with those of visionary stories on the other. As innovative leaders, Reagan and Thatcher told ordinary stories extraordinarily well. They "put forth a simple nostalgic message in which they personally believed, one that they could articulate persuasively and one that, despite minor inconsistencies, they appeared to embody in their own lives."[5] Both "reactivated beliefs and values that had been dormant . . . for many years."[6] Both did so in a simplistic and divisive way that stressed differences among people and appealed to the childlike need to be better than "them." Both awakened new pride in old nationalism as well as fear of those with whom "we" differed.

Both excelled in telling stories and embodied the values they espoused with the apparent unshakable confidence of the five-year-old mind. As Gardner says of Thatcher, with equal applicability to Reagan, she saw "the world in stark black and white terms and could not tolerate ambiguity or subtlety."[7]

Our interest is in those innovative leaders at the other end of the spectrum, where innovative and visionary leaders bump into each other. Gardner's visionary leaders relate stories of common bonds among people that imply new forms of association and larger degrees of social responsibility. "The formidable challenge confronting the visionary leader is to offer a story, and an embodiment, that builds on the most credible of past syntheses, revisits them in the light of present concerns, leaves open a place for future events, and allows individual contributions by the persons in the group."[8]

Visionary leadership that transforms society occurs rarely. It occurs more frequently within a domain[9], such as community health, and in specific organizations, such as a community health program, because the range of truth and values is narrower, more developed, and more thoroughly shared. Leaders can access values and stories of people within a domain more easily than they can the values and stories of people from a wide array of domains/professions, countries, or socioeconomic backgrounds. Within their own programs and in terms of its values, some leaders indeed may be visionaries. We prefer, however, to leave the term "visionary leader" to such truly historic figures as Gardner cites. Instead, we wish to develop the concept of "innovative leaders" who embody old values, such as sharing, in new stories, such as poverty. The relevance of their stories and old values present "new truths" applicable to diverse domains. In this manner, they resemble visionary leaders.

The stories of these innovative leaders, like the stories of visionary leaders, tell of "potential life experiences" of groups marginalized by the current distribution of social, economic, and political resources.[10] These innovative stories and truths differ radically from those of Thatcher and Reagan, which diminished social responsibility by focusing on individual responsibility as the root cause of disparities in social, economic, and political resources. Despite this fundamental difference, the common elements of innovative leadership are the stories and values of the five-year-old mind that may be taken from one context and applied to many others. *Innovative leadership, for us, will refer to new stories that reinforce old values of social responsibility and the worth of all individuals and groups.*

James MacGregor Burns's lengthy and thorough study, *Leadership,* provides a foundation for a discussion of leadership in general and the meaning of "transforming" in our formulation of leadership. Bums distinguishes transforming from transactional leadership, which exchanges psychological, political, and economic things of value. Each party to the transaction knows the other and has sufficient sense of his or her motives and resources

to determine common purpose that can be advanced in a bargaining process. The bond of leader and follower is temporary and limited. Formal organizations, such as bureaucracies and groups, and established processes, such as voting, provide the context of transactional leadership.[11]

In contrast with transactional leadership, informal organizations and processes of change provide the context of transforming leadership. Transforming leadership "occurs when one or more persons *engage* with others in such a way that leaders and followers raise one another to higher levels of motivation and morality."[12] Transforming leadership fuses the common but initially separate purposes of leaders and followers into an enduring effort of mutual support. Burns offers as examples of transforming leadership the Founding Fathers and the drafting of the Constitution, political reform such as the New Deal, and the political revolutionary leadership of America, France, Russia, and China.

Although transforming leadership incorporates transactional leadership, Burns's readers have treated them as distinct and placed more emphasis on transforming than on transactional leadership. It is not enough, however, to have grand visions of transformation. Effective leadership gets things done, and that is largely the task of transactional leadership. Transforming and transactional leadership combine in "extended and complex structures of group relationships." In them, major transforming leaders, such as Lenin and Woodrow Wilson, lead and are led by less well-known men and women. The relationship of these primary, secondary and tertiary figures makes up a "crucial component of transactional leadership."[13]

Here we find parallels between Gardner's visionary leader and Burns's transforming leader. Gardner's innovative leader achieves some measure of success by conveying new stories to others and learning new stories from others as well. Burns's transforming leader has a vision of a new state of human affairs and works with others to reach it. Innovative leadership, like transforming leadership, extends from old to new truths; from familiar to unfamiliar stories; and from exchanges of mutual benefit that further common interests to the successful call for sacrifice to further an uncommon state of affairs.

Transforming leadership exceeds transactional leadership primarily because "it raises the level of human conduct and ethical aspiration of both leader and led, and thus it has a transforming effect on both."[14] Burns, just like Gardner, offers as the best modem example of transforming leadership Mahatma Gandhi, "who aroused and elevated the hopes and demands of millions of Indians and whose life and personality were enhanced in the process."[15]

Burns gives us the central idea that leadership entails a group: change *within* the group, and/or change by the group. "The leader's fundamental act is to induce people to be aware or conscious of what they feel to feel their true needs so strongly, to

> *Visionary leadership that transforms society occurs rarely.*

define their values so meaningfully, that they can move to purposeful action."[16] The transforming leader shapes, alters, and elevates the motives and values and goals of followers into "significant change."[17]

"Significant change" entails the abolition of some castelike restriction that impairs the recognition of the human worth of a group of people and the public expression of their values and needs. Here we find a parallel between Burns's transforming leader and Gardner's visionary leader. Significant change begins with new stories that express new or neglected values of human worth. Burns is concerned with the social, political, and economic circumstances and nature of significant changes as well as their psychological character. He points out that transforming leadership more likely comes from outside formal organizations and institutions, entails involuntary changes of an organization, and depends on causal factors and conditions that transforming leaders do not create or control. Burns deals with leadership within social movements and politics; revolutionary leadership where politics and social movements overlap. *Transforming leadership helps a group move from one stage of development to a higher one and in doing so addresses and fulfills better a human need and possibility.*

Ronald Heifetz provides us the final element of our leadership formulation—adaptive work. Heifetz defines leadership as the activity of *adaptive work of a group that attempts to reduce the gap between its values and its practice.*[18] Implicitly, the gap between values and practice is a problem, and the task of leadership is to raise practice to the level of values. Heifetz distinguishes adaptive work from technical work in a way that distinguishes leadership from expertise.

Conveniently, given our central concern with community health, Heifetz uses the relation of physician and patient to explain the difference between adaptive and technical work. The symptoms and signs of illness that a patient presents may provide the physician a clear definition of the problem and the appropriate treatment. The physician may take care of the problem with little effort on the part of the patient beyond applying an ointment or taking the appropriate medicine. Other symptoms and signs of illness may provide the physician a clear definition of the problem, but the appropriate treatment will entail more effort from the patient. Diabetes and heart conditions require behavioral changes of life style—diet, exercise, smoking and drinking, for example—as well as medication. Part of the solution is mechanical and technical, but part of the solution is also the adaptive work of the patient to narrow the gap between the value of increased health and the practices that can improve or imperil health. In some cases, such as advanced breast cancer, the

Even the toughest individual tends to avoid realities that require adaptive work, searching instead for an authority, a physician, to provide the way out.

symptoms and signs of illness signal an unclear problem for which there is no mechanical and technical answer. The illness signals the problem of death, which is the real problem. Dealing with the illness may impede the patient's adaptive work "of facing and making adjustments to harsh realities that go beyond the health condition and that include several possible problems"[19]: making the most out of life, providing for children, completing professional tasks, and preparing loved ones. Both patients and physicians have adaptive work in this case. The practice of medicine may impede the human value of preparing for death.

Clear problems and solutions call for technical answers of experts. Unclear problems and solutions call for leadership and a willingness to act in the face of doubt. For Heifetz, part of leadership requires the ability to tell when adaptive work and not technical answers are needed. This is an early and difficult task for leadership.

Even the toughest individual tends to avoid realities that require adaptive work, searching instead for an authority, a physician, to provide the way out. And doctors, wanting deeply to fulfill the yearning for remedy, too often respond willingly to the pressures we place on them to focus narrowly on technical answers.[20]

It is not difficult to equate Heifetz's patient-physician relationship with Gardner's child–adult relationship. Avoiding the requirement of adaptive work mirrors the five-year-old mind's seeking refuge in the assurance of an adult, the ordinary innovative leader, that the world is black and white, that all questions have answers, and all problems have satisfactory solutions that may be imposed by those in authority. In summary, Gardner, Burns, and Heifetz permit us to understand that *innovative, transforming leadership of adaptive work entails new stories about the nature of problems and solutions that permit people to conduct the tasks of significant change.*

Social Capital—The "What" of Innovative, Transforming Leadership of Adaptive Work

The work of Gardner, Burns, and Heifetz makes problems and problem solving central to leadership. But what is the problem? How can we tell if a solution is "significant change"? Gardner and Burns implicitly and explicitly make the problem of leadership a problem of morality. The highest forms of innovative and transforming leadership, which we are tracing here, attempt to bring individuals and groups to a higher and better level of human existence. Innovative, transforming leadership has the task to see and to say the potential life experiences and human dignity of groups of people who are denied them by others. It solves problems of the social, economic, and political practices of organ-

izations and institutions that restrict or distort that potential life experience and human dignity of some people and groups to a degree that compromises and contradicts democratic values of equality and responsibility. Heifetz's idea of adaptive work incorporates these values and others. For Heifetz however, adaptive work clarifies and tests values. It does not presuppose one set of values over another.

Even if we accept, as we do, that democratic values are the values of leadership, we still have a problem. Which democratic values are we discussing? Margaret Thatcher and Ronald Reagan did adaptive work just as surely as Martin Luther King, Jr. and Lyndon Baines Johnson. According to Gardner, however, Thatcher and Reagan fall on the innovative/ordinary end of the spectrum and King and Johnson on the innovative/visionary side. Within a democracy, we find tensions and paradoxes, if not contradictions, of competing values: majority rule and minority rights; individual rights and common responsibilities; liberty and equality; and freedom from and freedom through collective action, including government. We also find competing patterns of representation and participation. Even the five-year-old unschooled mind has a theory of democracy beset with contradictions. "What's mine is mine and what's yours is yours" bumps into "All for one and one for all." Likewise, the special individual worth a child feels has to be moderated with concern for the welfare and feelings of other children. The adaptive work of innovative, transforming leadership, for us, sees, speaks to, and solves problems of equity, human needs, human dignity, and social responsibility. It falls on minority rights, common responsibilities, equality, and freedom through the collective-action side of the democratic constellation of values. It falls on the "all-for-one-and-one-for-all" concern for side of the proto-theory of democracy in the five-year-old mind.

Put in simplest terms, the adaptive work of innovative, transforming leadership, as we are dealing with it, relates directly to increasing the amounts and improving the forms of social capital. Social capital produces and reproduces people in community through the public provision of goods, such as health, housing, and education, and moral resources, such as charity, trust, and cooperation. Social capital promotes social and economic equality and communal bonds. Democracy requires that some people provide, directly and indirectly, as well as advocate for the public provision of new forms and increased amounts of social capital. Without innovative, transforming leadership for the adaptive work of increased amounts and new forms of social capital, democratic practice risks contracting to an illusion covering the undemocratic realities of oligarchy and rigid and increasing economic divisions and their social correlates.

An innovative leader who established services for victims of domestic violence has explained the idea of social capital in practical terms. The speaker recounted how economic decline and increased unemployment in a local steel plant had strained the resources of families and contributed to increased acts of violence towards women and children. She reported turning an unused inner-city church rectory into a shelter for women and children who were no longer safe in their own homes and had no other place to go. After securing this space, she and her colleagues found beds, furniture, and volunteers to repair and paint the shelter. They also found other volunteers to staff the shelter and provide counseling and referrals to the women and children who found refuge there.

Somewhere in the middle of this account, the speaker observed, "We didn't go about this in a very businesslike way." In fact, she and her colleagues had been very businesslike. They had found a market in which a new demand for services had an inadequate supply of providers. They accumulated resources to meet that demand and instituted services. Only lack of a profit motive distinguishes their efforts from those of a "business." Their domestic violence shelter had little chance to make a profit and to offer a financial reward to those who instituted it. Risking the time and effort to uncover resources to invest in people without money to pay for the shelter's services distinguished the shelter from "business." The distinction was particularly sharp at the time. It was the 1980s, the greed-is-good era.

Human capital resides in people; social capital resides in the relations among them.

The leadership behind this domestic violence shelter was unbusinesslike only in that it was not tied to profit making. Ordinarily, social capital is spent to produce and reproduce people as a labor force or human capital. James Coleman, a prominent sociologist who provides a social science A narrative of social capital, distinguishes social capital from three other forms of capital: financial, physical, and human. Monetary wealth comprises financial capital. Physical capital entails tools, machinery, and other productive equipment. Human capital is made up of people in the production process. Social capital is in the relationship among persons involved in the production process. Social capital functions as the aspects of social structure valuable to entrepreneurs who can use them as resources to realize their interests.[21] These four forms of capital are related to each other, most obviously in a business organization created by owners of financial capital to earn a profit. Financial capital entrepreneurs turn financial capital into physical capital in the forms of tools and buildings. They produce human capital by recruiting or training people with the knowledge and skills required in production. They produce social capital by investing in the design of obligations and expectations, responsibility and authority, and norms and sanctions among the people within the organization in order to achieve effectiveness and efficiency.[22] Human capital resides in people; social capital resides in the relations among them.[23]

The ties between social and human capital mean a strong emphasis on the private provision of social capital. We look to the laborer's wage as the first and primary source of the goods and resources that people need to produce and continue community. We look to the employer as the secondary source of social capital. Public provision of social capital, such as education, is linked to the needs of local employers and the local economy. We spend most social capital to produce and reproduce people as a labor force and smaller amounts on people as citizens, parents, community members, or other public roles. Our public policies also depend upon work-related social capital—primarily the wage to, provide the financial means to get housing, transportation, and cultural and recreational opportunities. Health care insurance is another work-related form of social capital dependent upon a person's place in the economy.

When a group of people have a subordinate role in the economy, the social capital invested in them is modest. When people have no role in the economy, social capital may not be invested in them at all. Low-wage, low-skill workers or large populations of surplus labor in inner cities and rural areas have less social capital because of their low value as human capital. Areas of high unemployment and low income generally have low amounts and poor forms of social capital: health care, leisure, housing, educational services, the goods and moral resources that we depend upon to support communities.

Appalachia illustrates clearly the history, rise and fall, and ordinary ties of social capital to financial, physical, and human capital. The coal, steel, and textile towns that dot the map of Appalachia graphically depict the relation of social capital and the work place. For the first half of this century, private capital produced and reproduced a work force for the industries it created through social capital investment.[24] When the need for this labor force diminished, social capital dried up and coal towns began a decline that is apparent in the region. Steel towns[25] and some textile towns have followed that decline. Where the demand for a skilled labor force declines, so does incentive to invest social capital.

The forms and amounts of social capital vary from place to place at the same time and from time to time in the same place.[26] American forms of social capital invest public goods and moral resources to produce and sustain people as laborers, primarily. This limits the community that is produced to the labor force. The innovative/ordinary leadership of Ronald Reagan and Margaret Thatcher emphasized this value. Since 1980, American policy makers have argued over whether the sources of the few forms and limited amounts of social capital, such as job training or welfare and health care for children in poverty, should be public or private. Less often, we argue about the adequacy of the size and forms of social capital. The welfare reform measures of 1996 indicated that American workers and low-income family members need to face new and larger social and economic problems with fewer forms and smaller amounts of public social capital. In this context, community becomes an indirect consequence of public policies and financial capital to shape a work force and to minimize the costs of human and social capital. Coleman's social capital disappears without work.

Inadequate services for victims of domestic violence, problems of homelessness, inadequate health care, poor schools, environmental degradation, and areas of chronic poverty, such as Appalachia, may be understood as the consequence of inadequate amounts of social capital. This single issue has two sides: first, increased amounts of social capital—more housing, health care, educational services—and new forms of social capital—investments of goods and services in people separate from their market value as human capital. This is the "what" of the adaptive work of innovative, transforming leadership: provision and advocacy of increased amounts and new forms of social capital that decrease social and economic disparities and increase and improve communal bonds. The first problem for innovative, transforming leadership is to increase the amounts and improve the forms of social capital to see, say, and solve the general problem of reducing human and social problems to economics and the inevitable, absolute values driven by extra-human forces of the market. Social capital, the goods and moral resources that produce people in community, permits us a measure for Burns's "purposeful action" and "significant change." Social capital, in its broadest forms, also helps us to understand Gardner's innovative leadership. The increase and improvement of social capital embody the narratives of innovative/visionary leadership. Finally, we use the increase and improvement of social capital as the central element of adaptive work . . . .

The "How" of Innovative, Transforming Leadership of Adaptive Work

Identifying the adaptive work of innovative, transforming leadership as increased amounts and improved forms of social capital leaves us with other questions of how leaders go about this work. This leads us to the question of how leaders go about any work. After almost five years of discussions and written work on this last question, the members of the Kellogg Leadership Studies Project identified some promising avenues for answers. In his work with this group, Burns revisited his original work on leadership. He conceived leadership anew as interactive networks that empower their members, in the sense of transferring tangible resources and increasing moral resources, to achieve, by the most democratic means feasible, an improved expression of human values and conditions. Burns emerged from the Kellogg Project with a new perspective on leadership—as initiative for change through empowerment.[27]

Burns turned his attention to values and initiative. Leadership entails conflict over the human and social consequences of putting one set of values into practice rather than another. Burns's transforming leaders conflict over what adaptive work to do, what old or new truths to innovate. He is concerned also with a leader who gets things done: "the special kind of initiator, the *innovator* who not only proposes a change to meet a need but a means of realizing it."[28] Values help explain the initiative of innovative, transforming leaders and their adaptive work. Values also distinguish their inclusiveness and creativity. Successful innovative, transforming leaders do adaptive work that includes those neglected or injured by current practices.

They recognize differences among people, search the differences out, and include people with differences in their organizations and processes. This marks the fundamental difference between ordinary and visionary leaders. Ordinary leaders narrate stories that extol old truths of human differences as the basis of practices of exclusion. Visionary leaders narrate stories that offer new truths of human bonds as a basis of practices of inclusion. This work requires the creativity to express the fundamental, five-year-old's values of caring, equity, and justice. The values of a leader or of a context of leadership—political, business, or community—spill over into where they take initiative; whom they include in the purpose and process of their work; and the distinguishing criteria of their creativity. Thus we assume all leadership has values that affect directly its initiative, inclusiveness, and creativity.

The three other common elements of leadership that the Kellogg Leadership Studies Project identified are change, conflict, and collaboration.

1. **Change** - Leaders take initiative as "the first step toward change." Burns presumes that change means moving from one state in the web of relations to another. But this change may be to formalize and activate an informal web or it may be to energize a formal web that has ossified.[29]

2. **Conflict** - If change is the lure of leadership, conflict is the companion of change. Conflict is also the avenue to see clearly the values of an individual as well as a web of relations. It makes the unspecified and perhaps even unintended consequences of a set of actions clearer.

3. **Collaboration** - Power is central to leadership and shared power is central to collaboration. Collaboration imparts a sense of agency, of being an agent of history, a person and group capable of improving events, circumstances, and conditions.

Change entails conflict and collaboration. Change also implies values. Subsuming change under values, however, obscures the central point that there are conflicting values contested in change efforts and that collaboration requires working together because of similar values or despite conflicting values. By separating the value-related distinguishing characteristics of leadership from the change-related tasks common to leadership, we construct an analytical framework of all leadership, including one that is helpful to analyze innovative, transforming leadership of adaptive work.

The "Why" of Innovative, Transforming Leadership of Adaptive Work

These two dimensions—values and change and their related factors—permit us to describe further the innovative, transforming leadership of adaptive work in terms of new forms and increased amounts of social capital.

The forms and amount of social capital support the initiative of some people to undertake innovative, transforming leadership. A sense of responsibility for the depletion of the moral resources and public goods that sustain people in community causes them to act. They draw attention to externalities, such as the consequences of market transactions that are subsidized at the expense of community. Toxic wastes, for example, subtract from the minimal environmental quality required to sustain community. Dumping them in a manner that threatens a community subsidizes fundamental capital at a cost to social capital. The public learns of these subsidies and externalities through the conflictive and collaborative efforts of innovative, transforming leaders and other organizations and institutions. Innovative, transforming leaders are also moved to action by important omissions in the provision of social capital. Security from physical harm, for example, seems a primary prerequisite to community. Yet, many women and their children did not have this security until others took initiative to provide safe spaces for them. An expanded realm of human rights, inclusiveness and values is the girder for this call to action to expand and increase social capital. A sense of responsibility to redress inadequate social capital springs from a sense that human services like health care and the other factors that support community, *i.e.,* environmental quality, are human rights. This sense of responsibility is conveyed in embodied narratives (see Table III, Creativity) about how the market failed by either producing the poor health or poor environment or by not improving the condition. Therefore, the conditions of our communities fall within the realm of individual and social responsibility and ability and not within the suprahuman external forces of the market.

Obviously, acting to improve and increase forms of social capital means change. Innovative, transforming leaders do their adaptive work by providing new forms of social capital as well as new amounts. They bring children's services where there were none and incorporate in them development strategies for the children and their parents. The human needs they address take place in a context, and innovative, transforming leaders follow those needs to their causes and consequences and deal with them there, if possible. If a child's success in school depends upon parental involvement with homework and schoolwork, then parents must be qualified for their role. Improving children's chances of success in school may require formal preparation for their parents and classes to provide high school equivalency diplomas. The adaptive work of innovative, transforming leaders takes the context of a human need and problem into account. Their change efforts take a system of organizations and institutions into account. They often describe their efforts as holistic.

As change agents of adaptive work, innovative, transforming leaders become alternative sources of social capital, but only after they develop sources of alternative social capital. They not only provide social capital, such as shelter services, but they acquire financial and physical capital that supports their services. This means that they cajole and convince organizations and institutions, such as banks, to do things they would not ordinarily do, such as provide loans for low-cost housing. In conducting this work, they secure "risk" social capital to invest in new ideas premised on new or existing social values.

The adaptive work of innovative, transforming leaders deals with inter-and intrapersonal change as well as with the practices

of organizations and institutions. Often we find the deliberate attempt to break down interpersonal barriers, real and perceived, of race, ethnicity, gender, class, physical ability, and other human differences that transmute into social divisions. The adaptive work of organizations and programs of innovative, transforming leaders includes different people in the provision and eligibility for services. Differences among people with disabilities are set aside to realize and assert what they have in common. Such personal changes bring on forms of empowerment. The transformation of social capital goes beyond the empowerment that instills new attitudes or behaviors. The empowerment of innovative, transforming leaders transfers resources to an individual or a group that enable them to change their condition as well as to deal with it. The holistic and systemic approach implies changing the practices of organizations and institutions, not learning to cope with them.

Coping, however, is part of the adaptive work of innovative, transforming leaders. Successful change comes about because they can combine a sense of what is necessary with a sense of what is possible. Curiously, successful change comes when leaders take to heart the lessons about the limits and problems of local organizing from their own efforts or those of others. The patience to cope, the courage to change, and the wisdom to tell which is appropriate at the time works in change efforts on the individual and organizational level.

Change will bring on conflict, as will the implicit or explicit criticism of existing practices of organizations and institutions that stimulates innovative, transforming leaders. The gap between values and practices may not be obvious to everyone. Likewise, those with different values, who prize individual liberty over social equality, may find no gap in such practices as income redistribution to the wealthy through tax reform. Market failures resulting from benefits to one group, such as saved costs, prompts them to continue negative externalities or the underproduction of social capital. Redressing a market failure entails conflicting with someone's profitable practice—and that is likely to create conflict. Is there a gap between practice and values? What values are at stake? How can practices be changed to benefit some and to cut the losses of others? The closer we approach visionary leadership, the clearer conflicting values emerge and the more likely power and violence will protect existing practices.

The conflict is not entirely external. Groups differ over how much change is needed and what is the best way to achieve it. Differences over strategies and tactics will divide people who share a common goal. The ordinary work of innovative, transforming leaders entails holding a group together despite differences and resolving differences and conflicts over group values and practices. Acting on new values and in contrast with existing practices means internal personal conflict as well as internal group conflict. To some degree, innovative, transforming leaders share the values they oppose and have been socialized to accept the practices they seek to change. This may raise grave self-doubt within individuals about whether they are right and whether they have the right to change the practices with which they disagree. These doubts will arise within the organization of innovative, transforming leaders. The effort to increase social bonds and to include different groups in the organization inevitably runs into resistance, and group cohesion becomes threatened by inclusion and participating in broad networks of new people and unfamiliar and unpopular groups. Innovative, transforming leaders have adaptive work within their own groups to bring the values of inclusiveness into line with practices of exclusion premised on prejudice towards those perceived as different.

Collaboration solves some of the conflicts within change efforts of innovative, transforming leadership of adaptive work. Groups find threats to their cohesion when they are unable to set priorities and to agree on strategies and tactics. Collaboration increases cohesion by forging agreement for group action including conflict. Collaboration does not eliminate conflict. It resolves and manages conflict within groups; that permits them more cohesion for united action in conflict or cooperation with others.

Collaboration entails networks. In some cases, innovative, transforming leadership conducts its adaptive work by establishing new networks through chapters of its organization. In the case of smaller organization, it uses networks of committees and small groups. In both instances, innovative, transforming leadership does the adaptive work of developing the leadership potential of other members within the group. This action promotes effectiveness but not efficiency. Emerging leaders present the possibility of conflict over priorities, strategies, and tactics. Apart from working within its group, innovative, transforming leadership for adaptive work also forms coalitions with groups that have common programs or problems. Again, especially at first, this form of collaboration may promote effectiveness and inefficiency as well. As these coalitions and associations become more formal and effective, the tension between group cohesion and network participation diminishes. Again, conflict and collaboration relate to each other.

Networks inevitably mean new forms of collaboration. Innovative, transforming leadership requires assistance for its adaptive work. Those who are successful in dealing with conflict; in fostering inclusiveness and dealing with prejudice and discrimination within their program; in finding and providing alternative social capital; and in the host of other adaptive tasks of innovative, transforming leadership, may be called upon to help others deal with those tasks. Networks of innovative, transforming leadership for adaptive work create markets for collaborative assistance.

Not all forms of innovative, transforming leadership for adaptive work are equally successful. It succeeds most often when social capital combines private and public resources and has market and government sources. Housing, for example, has ties to public regulation of lending, government programs such as Farmers Home Administration and Section 8 Public Housing, and the private market. Innovative, transforming leadership of adaptive work succeeds best when different streams of resources are available from which to find sources of social capital . . . .

Notes

1. This paper is part of research supported by the Robert Wood Johnson Foundation. It is part of a work in progress titled, *To Give Their Gifts: Leadership, Community, and Health*. Some research assistance was provided by Stephanie Eken.

2. Howard Gardner, *Leading Minds: An Anatomy of Leadership* (New York: Basic Books, 1995), pp. ix–x.

3. *Ibid.,* p. 9.

4. *Ibid.,* pp. 9–11.

5. *Ibid.,* p. 235.

6. *Ibid.,* p. 241.

7. *Ibid.,* p. 237.

8. *Ibid.,* p. 56.

9. *Ibid.,* p. 11

10. *Ibid.,* p. 223.

11. James MacGregor Burns, *Leadership* (New York: Harper & Row, 1978), p. 19ff.

12. *Ibid.,* p. 20.

13. *Ibid.,* p. 289.

14. *Ibid.,* p. 20.

15. *Ibid.,* p. 20.

16. *Ibid.,* p. 44.

17. *Ibid.,* p. 425.

18. Ronald A. Heifetz, *Leadership Without Easy Answers* (Cambridge, MA: Belknap/Harvard University Press, 1994), pp. 19–27.

19. *Ibid.,* p. 76.

20. *Ibid.,* p. 76.

21. James William Coleman and Donald R. Cressey, *Social Problems* (New York: Harper and Row, 1990), p. 305.

22. *Ibid.,* p. 313.

23. *Ibid.,* p. 304.

24. See, for example, Crandall A. Shifflet, *Coal Towns: Life, Work, and Culture in Company Towns of Southern Appalachia, 1880–1960* (Knoxville, TN: University of Tennessee Press, 1991); and William Serrin, *Homestead: The Glory and Tragedy of an American Steel Town* (New York: Vintage Press, 1993).

25. Serrin, *Homestead* (1993).

26. Hirofumi Uzawa, *Preference, Production, and Capital: Selected Papers of Hirofumi Uzawa* (New York: Cambridge University Press, 1988), p. 341.

27. James MacGregor Burns, "Empowerment for Change," *Rethinking Leadership* (College Park, MD: The Academy of Leadership Press, 1998).

28. *Ibid.,* p. 28.

29. *Ibid.*

30. Taken from Richard A. Couto, *Making Democracy Work Better: Mediating Structures, Social Capital, and the Democratic Prospect* (Chapel Hill: University of North Carolina Press, 1999).

Table I
Lessons of Innovative, Transforming Leadership for Adaptive Work[30]

Change	*Conflict*	*Collaboration*
• Transformative democratic achievements took place, in part, because of the lessons on the limits and problems of local organizing	• Group cohesion may be threatened by a group's inability to select one or a few clear threats to social capital on which to focus	• Leadership successfully creates increased cohesion by establishing new networks through chapters or among groups with common programs or problems
• Testing new ideas and providing risk social capital	• The democratic task of increasing social bonds, promoting equality, and extending communal ties to new groups may also threaten group cohesion	• Most success in those areas of social capital that are mixed between market and public goods: housing, health care, and culture
• Psychosymbolic and psychopolitical empowerment	• Mitigating the social consequences of market failures	• Meeting the unique market demands of other community-based organizations
• Viewing human needs and services as a right and not a commodity	• An early warning system of the depletion of social capital	• Coalitions and associations reduce the tensions between group cohesion and network participation
• Deliberate means to intentional breakdown of interpersonal barriers, real and perceived, of race, gender, and class	• Warning of important omissions in the provision of social capital	
• External threats to social capital that create human needs and the urgency of responding to them	• Deliberate means to intentional breakdown of interpersonal barriers, real and perceived, of race, gender, and class	
• Providing new forms of social capital, not merely new amounts	• Quarrels about leverage points in networks robbed the group of its cohesion	
• Alternative sources of social capital and sources of alternative social capital		

Table II
The Common Tasks and Distinguishing Elements of Innovative, Transforming Leadership—Values

Distinguishing Elements   *Common Tasks*

Values	*Change*	*Conflict*	*Collaboration*
All people have intrinsic value worthy of investment.	Change is not a value by and in itself, but a value as a means to other values.	Worthwhile conflict occurs over values. It pushes up the dysfunctional practices and issues of a system.	Collaboration has value as the expression of relationships that constitute social reality and the prospects for social change.
Cultural diversity is a strength.	The pursuit of these fundamental values requires change and leadership.	Conflict comes from the initial statement that there is adaptive work to be done—practices that must be changed to serve better values or to better serve the same values.	Collaboration supports change in programs and practices that build a better future.
People have the right to self-determination in their own communities.	Change may be personal, institutional, and within organizations.		Collaboration provides a legacy of value for others in the fruits of its actions but collaboration, as process, provides a valuable legacy for others.
Mutuality and interdependency are valued over individualism.	Change may be both incremental and quantum. Both are judged by their relation to the advancement of values of social and economic justice.	Conflict occurs internally, among competing values, within a person.	Collaboration entails the continuation of past values that others acted on previously.
Participation in the governmental process is a responsibility of a healthy community.			
Community education and employment are major preventive health measures.			

Table III
The Common Tasks of Leadership and the Distinguishing Elements of Innovative, Transforming Leadership—Creativity

Distinguishing Elements   *Common Tasks*

Creativity	*Change*	*Conflict*	*Collaboration*
• Vision • Imagination • Reflective practice • Critical thinking	Greatest success in areas of public and private mix in the provision of social capital—health care, housing, and artistic expression	Conflict may occur over what targets to select for social capital investment.	Chances for collaboration increase with a shared vision of expanded social capital.
	Transforming change may occur within limited opportunities and because of the limits to change learned in previous change efforts.	Creativity reduces dissipating conflicts within a group and chooses wisely the conflict between and among groups.	Seeing new roles for institutions in the provision of new amounts and improved forms of social capital.
	Reflection upon mistakes in past practices permits improvement in later practices.	Creativity resolves conflicts.	Seeing past the obstacles to change and to follow new opportunities.
		Creative use of networks may reduce the conflict inherent in leaders' participation in networks and away from groups	To recognize the relevance of other successful efforts to one's own adaptive work.
			Coalitions and associations may increase group cohesion, if done creatively.
			To share with others the lessons acquired in successful and unsuccessful adaptive work.

Table IV
The Common Tasks and Distinguishing Elements of Innovative, Transforming Leadership—Inclusiveness

Distinguishing Elements	*Common Tasks*		
Inclusiveness	*Change*	*Conflict*	*Collaboration*

Inclusiveness

All people have intrinsic value worthy of social capital investment.

Cultural diversity contributes to social capital by increasing the forms of community and exemplifying the variety of means that people use to sustain themselves in community.

People have the right to be included in decisions about resources in their own communities.

Mutuality and interdependency are valued over individualism.

Change

Economic, social, and technologic changes affect the factors to produce and sustain people in community.

Change should be in the direction of increased amounts and new forms of social capital.

New forms and increased amounts of social capital decrease social and economic disparities and increase and improve communal bonds.

Change in social capital begins with establishing personal relationships with other members of disinvested communities.

Conflict

Worthwhile conflict entails fighting for increased amounts and improved forms of social capital and against changes that deplete stocks of social capital.

Financial capital and public policy will minimize the forms of social capital and limit them to people as members of a need labor force rather than as members of a broader community.

Conflict is often required to gain inclusion for groups with too little social capital into the decision-making process about it.

Inclusiveness may entail internal, personal conflict between self-esteem and the depreciating judgments of others that are internalized.

Conflict, when successful, may be a prelude to collaboration.

Collaboration

Collaboration has value as horizontal and vertical networks.

Collaboration increases moral resources of trust, cooperation, honesty, integrity.

Collaboration provides a foundation of moral resources for later inclusive change efforts.

The moral resources of collaboration are a starting point for the acquisition of new and improved forms of social capital.

Moral resources are not the sum total of social capital, but a means to its provision as well.

Table V
The Common Tasks and Distinguishing Elements of Innovative, Transforming Leadership—Initiative

Distinguishing Elements	*Common Tasks*		
Initiative	*Change*	*Conflict*	*Collaboration*

Initiative

Initiative comes from meeting one's own needs and learning of the public nature of one's apparently individual, private problem.

Initiative stems from a sense of calling often reluctantly accepted or related to an involuntarily imposed condition, e.g., a disabling injury inflicted by violence.

Change

Some threat to existing forms and amounts of social capital appears.

Some change is required to increase the amount and to improve the forms of social capital to a point to meet some basic needs of groups of people.

A vision of the achievement of some services ordinarily available to the general public but withheld from an "extraordinary" group spurs determined resistance to the practices of exclusion.

Impatience and frustration with the thought of a future without changes in insufficient amounts and inappropriate forms of social capital.

Hopes for change are tempered by one's own and others' experience.

Conflict

Conflict to stimulate the social imagination about forms and amounts of social capital and its public provision.

Conflict over economic, social, and political practices that diminish social capital or ignore its provision.

Defense of one neglected set of democratic values.

Collaboration

A heavy emphasis on process and the development of people in the process of making change.

Emphasis on shared and familiar values.

Building on legacies that are common or that provide an analogy for current efforts.

Self-consciously building a legacy for continued initiatives for change.

An Ethical Challenge for Leaders and Scholars: What Do People Really Need?

Douglas A. Hicks & Terry L. Price

Preface, *Douglas A. Hicks*

I n our papers, Terry Price and I take up what we consider to be a critical question in ethics and leadership: *What do people really need?* To be sure, such a question about people's needs—and the various desires, cravings, and wants that may or may not be genuine needs—has engaged philosophers and theologians, ethicists and existentialists for centuries. For our part, we draw from our different but related areas of research to shed fuller light on the question of "what people really need." In particular, we attempt to show the importance of that question and our proposals for fruitful study and practice of leadership.

Another significant question has threatened to monopolize and even paralyze Leadership Studies: What is leadership? Yet most would agree that leadership is some sort of process in and through which leaders and followers move together towards certain goals and objectives. Sometimes the goals are stated explicitly and carefully; other times they are understood implicitly by the parties involved. James MacGregor Burns asserts that in a transforming process, leaders' and followers' purposes become fused—and presumably also clarified.[1] Yet, of course, there are instances when leaders and followers do not come to agree about the proper goals and objectives—even after conscious deliberation and engagement.

In our view Leadership Studies in general could benefit from focusing more explicitly on the question of needs. Are genuine needs sometimes obvious to leaders and followers? Do leaders learn from followers what is needed or do they merely retain their own conception? How do various factors of context—including social customs, mores, and media—communicate to persons what they supposedly need? Are such needs genuine or false needs? Clearly the answers to these questions involve both careful analysis and normative evaluation.

> *In our view Leadership Studies in general could benefit from focusing more explicitly on the question of needs. Are genuine needs sometimes obvious to leaders and followers? Do leaders learn from followers what is needed or do they merely retain their own conception?*

Seen in a narrow way, effective leadership involves meeting the goals agreed upon or consented to by leaders and followers. But seen in a wider light, persons interested in both the effectiveness and the morality of a leadership process have to ask the next question: *Does a particular leadership process contribute to meeting the genuine needs of people?* Terry Price and I assert that a leadership process that is good (both in terms of being effective and being moral, in Joanne Ciulla's helpful schema[2]) must contribute to meeting the genuine needs of people.

This claim, to be sure, needs to be specified further. The needs of which persons should be addressed in leadership? All persons? Persons in need? All leaders and followers? A majority of them? Another question is this: Are genuine needs to be met by the *outcomes* of the leadership process or through the *process* itself? We do not provide definitive answers to these questions, but rather we propose that they are the kinds of questions persons interested in effective and moral leadership must ask.

Terry Price considers the philosophical issues related to the human *limits* that we as leaders and followers face in determining our genuine needs. Given the "epistemic limits," as he explains, of what human persons can know, he goes on to outline his own conception of how best to proceed in determining our needs and then addressing them. My remarks focus on questions related to the wide *context* in which leadership takes place. Specifically, I consider the social and moral issues of living in a society in which need-satisfaction is often characterized by "keeping up with the Joneses." How should we think about the social and relative factors? What challenges do severe forms of inequality pose for good leadership?

Towards a Conception of Transpositional Leadership

Terry L. Price

Good leadership works in the service of the needs of group members.[3] Generally stated, this claim is uncontentious enough. In fact, in recent times, some such statement has been understood as central to the very concept of leadership. James MacGregor Burns, for example, defines leadership "as leaders inducing followers to act for certain goals that represent the values and motivations—the wants and needs, the aspirations and expectations—of both leaders and followers."[4] I believe that this newfound focus upon needs in the study of leadership reflects genuine progress on moral fronts. Nevertheless, a central difficulty remains. How do we—as scholars and practitioners—specify what it is that people really need? Clearly, almost any attempt to answer this question will give rise to more than enough contention to go around. I should say at the outset that it is not my aim in this paper to offer a specification of genuine human needs. Rather, I want to suggest that there is good reason for disagreement about the nature of our needs and that the reasoning behind our disagreements comes to bear on our understanding of good leadership itself. If I am right, good leadership takes the disagreements about needs seriously. Specifically, it facilitates a process of collective reflection about these matters in order that we might achieve some clarity about what people really need.

Contention over the appropriate understanding of our needs is to be expected, given the epistemic limits faced by both followers and leaders. These are the barriers to knowledge that we all confront by virtue of being human. My argument starts from two assumptions about the epistemic limits of human beings. First, we can be mistaken about matters of fact and about matters of morality. That is, we can be mistaken about the way the world works as well as about the way the world should be. For the purposes of this session, we might focus simply upon the ways in which followers and leaders can be mistaken about the nature of both their own needs and the needs of others. These sorts of mistakes come in both factual and moral varieties. We can be mistaken about what people really need as well as about the place of any particular need in the relative hierarchy of needs. The second assumption about epistemic limits is that we can be mistaken even though we are doing the best that we can with the beliefs that

we have. In other words, our mistakes cannot in every case be attributed to our own culpability with respect to the acquisition and maintenance of our beliefs. This second assumption, when applied to our beliefs about the nature of our own needs and the needs of others, implies that we can be *faultlessly* mistaken about the factual and moral status of our needs.

These two assumptions, I think, have important consequences for our conception of good leadership. In this paper, I begin by considering what implications the epistemic limits of humans have for standard understandings of leadership. I go on to develop the beginnings of a supplementary normative conception of leadership, what I call *transpositional leadership*. This conception of leadership builds on Burns's notion of transforming leadership, and I suggest that it serves as a response to the epistemic limits of leadership.

First, we can be mistaken about matters of fact and about matters of morality. That is, we can be mistaken about the way the world works as well as about the way the world should be.

Transactional Leadership

Burns describes transactional leadership in the following way. "Such leadership occurs," he says, "when one person takes the initiative in making contact with others for the purpose of an exchange of valued things. The exchange could be economic or political or psychological in nature: a swap of goods or of one good for money; a trading of votes between candidate and citizen or between legislators; hospitality to another person in exchange for willingness to listen to one's troubles."[5] What is distinctive of any particular instance of transactional leadership, Burns thinks, is that "[the exchange] was not one that binds the leader and follower together in a mutual and continuing pursuit of a higher purpose."[6] This characterization of transactional leadership marks a morally significant kind of transience. The *relationships* upon which such exchanges are based can be fleeting, thin, and superficial. It is in light of this feature that one might be tempted to say that transactional leadership fails to make a direct contribution to what is richest and most meaningful about human experience.

In addition to the transience of the relationships to which transactional leadership sometimes gives rise, this form of leadership is characterized by a different—but perhaps related—kind of transience. This is the transience of the "needs" upon which such exchanges are based. Here, what is of moral significance is that transactional leadership understands our needs simply as given. In other words, this form of leadership respects our desires and preferences, no matter how fleeting, thin, or superficial particular *desires and preferences* might be. In so doing, transactional leadership ignores the fact that we can be mistaken about what it is we really need. A simple way to put this point is to say that our needs are not always tracked by our desires and preferences. But, if our

needs are not always transparent to us, then we sometimes have reason to question the validity of the *epistemic position* from which we view our own needs.

This point appears in standard criticisms of market exchanges. Critics of the market, following Karl Marx, charge that consumers are led to develop, and then, to satisfy desires and preferences that are alienated from their own true needs. In fact, as Doug Hicks points out in his contribution to this session, it is possible that the market system is ultimately supported by factual mistakes about the connection between acquisitiveness and happiness. Of course, this need not lead us to reject capitalism. Market structures may well be justified because we hold the belief, as did John Stuart Mill, that individuals are *generally* in the best position to recognize their own good and that they generally have the greatest incentive to respect their own interests. However, regardless of what we think of the fact that it is our (perhaps uninformed) desires and preferences that guide markets, we expect—with good reason—that our leaders do more in *particular* cases than simply respect what we say we want. In fact, we justifiably hold our leaders blameworthy when they pander to our baser motivations, *e.g.,* when they appeal to our greed, our racism, or our cowardice. Good leadership thus implies a moral responsibility to look beyond the uninformed preferences and desires of followers.

Transforming Leadership

This way of understanding the moral weaknesses of transactional leadership is consistent with what Burns offers as a morally superior form of leadership. Transforming leadership occurs, Burns tells us, "when one or more persons *engage* in such a way that leaders and followers raise one another to higher levels of motivation and morality."[7] This conception of leadership asks what people could be motivated by over and above their occurrent desires and preferences. As Burns puts it, "The transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower."[8] Transforming leadership has as its "essence . . . the recognition of *real* need . . ."[9] and takes as its "fundamental act . . . to induce people to be aware or conscious of what they feel—to feel their *true* needs so strongly, to define their values so meaningfully, that they can be moved to purposeful action."[10] In fact, according to Burns, this is what makes transforming leadership decidedly moral: "the ultimate test of moral leadership is its

In fact, we justifiably hold our leaders blameworthy when they pander to our baser motivations, e.g., when they appeal to our greed, our racism, or our cowardice. Good leadership thus implies a moral responsibility to look beyond the uninformed preferences and desires of followers.

capacity to transcend the claims of the multiplicity of *everyday* wants and needs and expectations."[11]

Transforming leadership is certainly a moral improvement on transactional leadership. Transforming leadership acknowledges that followers can be mistaken in their occurrent desires and preferences, and, accordingly, it moves beyond the potentially suspect motivational states of followers. Unfortunately, the same epistemic concerns we have about the notion of transactional leadership come to bear on our understandings of transforming leadership. According to the first epistemic assumption above, human beings can be mistaken about matters of fact and matters of morality. But, if this is true, then leaders (in addition to followers) can be mistaken about the factual as well as the moral status of our needs. Here, my point is importantly different from the claim that transforming leadership is potentially paternalistic. To criticize a decision, action, or policy on paternalistic grounds is to say that the decision, action, or policy is unjustified despite the fact that it actually serves the best interests of followers. My suggestion contrasts with the paternalistic critique in the following respect: I hold that we cannot assume that transforming leaders have a correct understanding of our interests. They can be mistaken, that is, about what it is we really need.

Perhaps leaders with mistaken understandings of our needs aren't transforming after all. Bernard Bass distinguishes between *transformational* and *pseudotransformational* leadership. He tells us that

Leaders are truly transformational when they increase awareness of what is right, good, important, beautiful; when they help to elevate followers' needs for achievement and self-actualization; when they foster in followers higher moral maturity; and when they move followers to go beyond their self-interest for the good of their group, organization, or society. Pseudo-transformational leaders may also motivate and transform their followers, but in doing so they arouse support for special interests at the expense of others rather than what's good for the collectivity.[12]

Bass's distinction assumes that we *know* (or *can* know) which leaders should be characterized as transformational and which should be characterized as pseudotransformational. The problem, however, is that we are often unable reliably to tell the two apart. Admittedly, an appeal to formal features of a leader's agenda, *e.g.,* to the particularity of her concerns, might well lead us to identify her as pseudotransformational. But such formal criteria will ultimately leave us with an overly inclu-

sive class of potentially transformational leaders. This is because the apparent nobility of one's inclusive and other-regarding aims does not make one immune to factual and moral mistakes. One can be mistaken, for example, about how to achieve what is in fact worth achieving as well as about the actual worth of what it is that one hopes to achieve. This is true regardless of whether (and sometimes *because*) leaders have as their aims "*end values such as order (or security), liberty, equality, justice, and commu-nity . . .* "[13]

My argument here follows directly from the second epistemic point above, *viz.,* that we can be factually and morally mistaken even though *we are doing the best that we can with the beliefs that we have.* Leaders can be *faultlessly* mistaken, that is, about the factual as well as the moral status of our needs. This implies that apparently transforming leaders with the *best of intentions* can transform followers in ways that do not reflect their true needs. So, not only will we often be unable to distinguish the transformational lead-ers from the pseudotransformational leaders; it also true the lead-ers themselves will often be unable to tell whether they are trans-formational or pseudotransformational! Given that our needs can be opaque to leaders in just this fashion, we have reason to ques-tion the validity of the *epistemic* position from which leaders view our needs. The upshot of all of this, then, is that we—as follow-ers—must be wary of the extent to which we give ourselves over fully to others. An equally important conclusion, though, is that we—as leaders—must be wary of the extent to which we allow others to give themselves over fully to us.

Transpositional Leadership

The epistemic limits that human beings face come to bear on our understanding of good leadership. If we can question the epistemic positions from which both followers and leaders view our needs, then we have reason—in some cases at least—to ques-tion the moral authority of the *aims* of both followers and lead-ers. What we need, then, is a normative conception of leadership according to which the epistemic limits of human beings are taken seriously. Put another way, our conception of good leader-ship must respond to the fact that both followers and leaders can be mistaken about the factual as well as the moral status of our needs. In this section, I offer the beginnings of just such a con-ception. If I am right, good leadership must be *transpositional.* It must move beyond the *uni*-positional interpretations of our needs that plagued the above characterizations of transactional and transforming leadership. Nevertheless, rather than displacing what have come to be standard understandings of leadership, transposi-tional leadership builds upon these conceptions. As we shall see, transpositional leadership may well get at some of the more important aspects of what Burns seems to have in mind for trans-forming leadership.

Transpositional leadership makes *moral discourse* an integral part of the very practice of good leadership. If particular individuals—whether followers or leaders—can be mistaken about the factual and moral status of our needs, then an adequate understanding of what people really need is contingent upon serious dialogue with

those from different and, especially, contrary epistemic positions. Moral discourse about what people really need has as its aim the specification and articulation of our basic needs, of the place each need has in the relative hierarchy of needs, and of the appropriate means of achieving their satisfaction. Of course, moral discourse will not always guarantee progress toward these ends. In fact, it will sometimes lead to more confusion. However, transpositional leadership is offered as an improvement on uni-positional under-standings of leadership, not—that is—as a failsafe solution to the problem of discerning what it is that people really need. More important perhaps, it is less than clear what other options there are to which we might appeal in response to the epistemic limits of leadership. Once we recognize that our own epistemic positions might well be flawed, we—as followers and leaders—can only look to others for help. This means that good leadership requires real *engagement* between leaders and followers. As Hicks has impressed upon me, this is one sense in which transpositional leadership has the potential to be truly transforming.

In addition, transpositional leadership aims to engage leaders and followers not only *within* discrete, identifiable groups, but also *between* groups. For, if this understanding of leadership is to respond to our epistemic limits, then it cannot rely simply upon the epistemic positions of group members. We cannot assume, that is, that the entire group is not entirely mistaken in its under-standings of its members' needs. Thus, it seems that transpositional leaders must do more than "*exploit conflict and tension within per-sons' value structures.*"[14] For, there are several ways in which incon-sistent value sets might be made *consistent,* but far fewer ways in which they might be made *correct.* One might try, for example, to rid group members of their peripheral beliefs in order to achieve consistency. But this strategy assumes a problematic understand-ing of our needs, an understanding very similar to the one on the basis of which we criticized transactional leadership. Simply put, the strategy privileges a potentially mistaken core set of values. However, the most obvious alternative tack lends itself to manip-ulation of the group members' value sets. If leaders take it upon themselves to decide which values to "exploit," then they run the risk of making the kinds of mistakes of which I warned in my analysis of transforming leadership. Given the failings of each of these strategies, transpositional leadership must be *externalist* in its understanding of our needs. If both followers and leaders can be faultlessly mistaken, then there may well be cases in which both are mistaken about what it is that we really need. Therefore, as Hicks will tell us, transpositional leadership calls for conversations across sectors.

Transpositional leadership, in its focus on the place of moral discourse both within and between groups, is thus *process-oriented.* This feature of the conception comes to bear on the criteria we use to evaluate leaders. Good leadership does not require that leaders always get things right (*e.g.,* that they always bring about good outcomes), or even that they are able fully to characterize what would constitute a good outcome. Given the epistemic lim-its of human beings, a success-based criteria of blameworthiness of this sort would expect too much of our leaders. Rather, good leadership fosters a process in which members of the group move

outside of the epistemic positions from which they view their own needs. Leaders thus elude attributions of blameworthiness to the extent that their leadership is transpositional. If leaders check their own fallibility against the epistemic positions of others, then it is hard to see on what basis we might hold them blameworthy when they do get things wrong. This is a second respect in which transpositional leadership can be transforming. Transpositional leadership builds criteria of evaluation of leaders on those aspects of social life that are largely within their control. In so doing, we can say that it "may convert *leaders* into moral agents."[15]

My final point is that transpositional leadership aims also to convert *followers* into moral agents. Here, the crucial feature of transpositional leadership is that it focuses our attention on a particular set of higher-order needs, what we might call *responsibil-ity-needs*. These are those individual needs that must be met for responsible agency. For example, individuals need knowledge of both the factual and moral status of their (lower-order) needs if they are to act as responsible agents with respect to the satisfaction of these (lower-order) needs. The argument is this: Faultless mistakes of fact and faultless mistakes of morality undermine agent voluntariness. But voluntariness is necessary for attributions of responsibility (*i.e.,* for attributions of blameworthiness and praiseworthiness). So, if we are to hold followers responsible for their actions, then they must have a correct understanding of our needs—or else be reckless or negligent with respect to their understandings. The best way to get at a correct understanding of our needs, I have argued, is through a transpositional conception of leadership.

Inequalities, Needs, and Leadership

Douglas A. Hicks

Terry Price has thoughtfully shown that the question of "what people really need" is made more complex by the epistemic factors, or problems of knowledge and belief, as leaders and followers seek to understand their needs. The question is complicated in a different way as we consider persons' various contexts—economic, cultural, and social. If no one is an island, so also no one's genuine needs are constructed in isolation. But how do we adequately account for relative deprivation and relative satisfaction as we discuss genuine needs? To answer that question is one central aim of this paper. To that end, I will explore the various ways that relational and relative factors affect the understanding of persons' genuine needs. The second aim is to discuss the challenges that relative factors—particularly forms of social and economic inequality—present for scholars and practitioners of leadership. I will pursue these aims by drawing on perspectives on "needs" from economics, political philosophy, and leadership studies. Pursuing these two aims together highlights the importance for leaders and scholars to focus more carefully on the role that inequalities play in citizens' lives.

On the Socioeconomic Context: Current Trends in Inequality

It is important to begin this discussion with the basic socioeconomic context that thrusts the question of relative deprivation into public view. Economists, policymakers, and various public intellectuals have reached a broad consensus that inequalities of income and wealth in the United States have increased significantly over the past twenty-five years. While the fifties and sixties could be characterized by "a rising tide lifting all boats," the more recent period is better characterized, literally, by the production of larger and larger private yachts. There remains some discussion among economists about the details and significance of the increase in inequality, but it is now beyond dispute that something significant has happened. Overall, from the late sixties to the mid-nineties, income inequality, measured by the standard indicator called the Gini coefficient, increased by over 20 percent for families, and by almost 20 percent for households. Seen another way—in terms of quintiles of the U.S. population—the top 20 percent of our income distribution now receives almost half of total national income. This is a greater share than the middle 60 percent earns and thirteen times the share of the poorest 20 percent.[16] The United States has the dubious distinction of having the highest levels of economic inequality of any developed nation in the world.

When one considers the causes of widening economic gulfs, of course, the disputes heat up. Yet there is concurrence over the list of factors that have had some impact. Various economic and political factors are on the list, including rapid technological advances, a structural shift from manufacturing to service sectors, globalization, demographic factors including women entering the workforce, the rise of so-called "winner-take-all" markets, and public policies favoring the wealthiest (particularly but not exclusively in the 1980s).

An important caveat to this overview of inequality trends is the open question of whether these economic gulfs have begun to narrow. While it is too soon to tell if a new trend is emerging, recent data suggest that the rate of the gap's widening has slowed or even stopped, but that the level of inequality has not yet significantly shifted downwards.

At the international level, global inequality has also widened drastically in the past three decades. A striking 1998 calculation by the United Nations Development Programme must suffice as illustrative of this growing inequality: The world's 225 billionaires had a net worth that exceeded the annual income of the world's 2.5 billion poorest people. That is, the wealth of the 225 richest people, on one hand, exceeded the annual income of 47 percent of the world's population, on the other.[17]

This overview paints the broad strokes of a leadership challenge to be faced by various persons, groups, and sectors of society. The complexity and sheer magnitude of problems at local, national, or wider levels can be paralyzing as much as motivating. Some persons rightly point out that inequality is just one problem that must be seen alongside other economic, social, and cultural "signs of the times." I would concur fully and would add, emphatically, that to address the challenge of inequality would shed light on many current issues that challenge Leadership Studies, including diversity in the workplace and public life, welfare and education policy, healthcare reform, and globalization.

"Situating" Persons and Genuine Needs

The task at hand is to focus on a more foundational issue—understanding what people genuinely need. Precisely how does inequality relate to genuine needs? To be sure, it depends on what conception of needs is operating (a discussion which Terry Price has furthered with his paper; I will address some implications of his framework, below).

A crucial point is this: If needs are somehow conceived of as being independent of one's culture and society and in this sense absolute, then inequality would almost by definition be of little direct relevance to needs-determination. Rather than speak in relational or relative terms of "inequality," it would be better to speak in terms of absolute deprivation or absolute poverty. Let us consider one important school of thought in development economics—the "basic needs" approach.[18] In this framework, basic needs are most simply conceived of as the needs that can be met with a particular basket of commodities, including foodstuffs, clothing, and materials for adequate shelter. Here some conception of "absolute poverty" and its removal is at work. No comparison of who has what in society is required—only the notion that marginalized persons receive a set of supposedly "basic" goods that will satisfy their "basic needs." Thus in this view, relative deprivation and inequality are not directly in play.[19]

A more fundamental constraint on inequality's relevance for the determination of persons' needs is encountered in the narrow interpretation of neoclassical economic theory in which each person's so-called tastes and preferences are given and stable.[20] In the strictest interpretation, these tastes and preferences are fixed (and the economist does not focus on where they came from); stable preferences are not shaped or developed, either through media advertising or through the virtuous formation of character within moral communities (whether an Aristotelian polis, a Wesleyan prayer group, or in a more recent formulation, a Putnamian bowling league).[21] Economic theory can be expanded and modified, to be sure, to incorporate relational and formational factors (including envy!) into the persons' preferences and needs—though the resulting conception of persons (and their wants/needs) remains strikingly, and ironically, individualist.

In contrast with the neoclassical economic view, many social scientists, political philosophers, or leadership scholars have incorporated *relational* factors into the conception of persons'

needs. A motley chorus of theorists has noted the social-relational nature of "personhood" as well as the needs that such persons have. As just one example, consider political scientist Seyla Benhabib's very helpful book, *Situating the Self.* As the title suggests, she challenges those political theories that place priority on the individual who can be easily abstracted from her or his social and cultural environment. She offers her position in response to scholars (of political liberalism, for instance) who at least implicitly conceive the rational human actor as an isolated, autonomous, adult individual more comfortable in a state of nature than with communal "ties that bind." Benhabib states:

> . . . I assume that the subject of reason is a human infant whose body can only be kept alive, whose needs can only be satisfied, and whose self can only develop within the human community into which it is born.[22]

In relation to genuine needs, what is at stake in this discussion? While it is not often acknowledged explicitly, at work in most conceptions of persons' needs is a working anthropology—a theory of who the human person is and how she or he functions well in society. Indeed, conceptions of genuine needs entail moral (and even theological) assumptions about what persons genuinely need in order to have a flourishing life, or wholeness, or some related conception of, literally, full-fill-ment.[23]

Relative Needs and the Value of Social Participation

Thus far, then, I have emphasized that human beings are social and relational, and properly so; but it is a further step of reasoning to say that a person's needs are in some ways relative. A focus on this relative dimension and its implications comprises the remainder of this paper.

Relative need is not a new conception for Leadership Studies. For instance, discussions of motivation in the workplace have highlighted the fact that a person's sense of fairness or equity depends not on her absolute contribution or outcomes, but on her situation relative to others' ratio of contribution to outcomes.[24] In such equity theories there is a need for rough equality, and it is predicated on a desert-based conception of workplace reward; nonetheless, it is one particular manifestation of relative-needs theorizing. More generally, attention to situational or contextual factors in Leadership Studies has opened up space to consider the relative dimensions of the needs of leaders and followers.

It is useful to take a wider view of social theories in which relative needs factor significantly. The great moral philosopher and proto-economist Adam Smith noted that the ability of persons to appear in public without shame, for example, requires that they have the accepted clothing and accessories for that particular society. Smith suggested that for his period, a linen shirt was needed.

Social and economic goods convey social meanings; the relevant point is that goods can enable persons to engage in the life of their society. While such an insight is evident in Adam Smith's work, it has been more fully developed in contemporary schol-

arship by anthropologist Mary Douglas[25] and sociologist Lee Rainwater.[26] One critical implication of their insights is that relative lack or deprivation of important social or economic goods can prohibit persons from engaging as full participants in their society.[27]

Various scholars in ethics and leadership have emphasized that the social inclusion and participation of all persons is an important goal. The recent and forthcoming work of Richard Couto, for example, builds on writings by James MacGregor Burns and Howard Gardner to emphasize that innovative, transforming leadership must contribute to the increase of community-expanding social capital. This is accomplished, in Couto's words following Burns, by significant social change "entail[ing] the abolition of some caste-like restriction that impairs the recognition of the human worth of a group of people and the public expression of their values and needs."[28] To the extent that relative social and/or economic deprivation impairs the recognition of persons' human worth, it should be seen as a challenge for leadership to overcome.

Certainly more work needs to be done, from a variety of normative perspectives, on just how relative factors affect our own genuine needs and more generally, our own well-being. The basic claim, which I hope will contribute to leadership studies, is that persons' genuine needs are affected (and properly so) by their relative position in society with respect to various important social, economic, and other goods. If social participation is a goal of good leadership, inequality can be a serious obstacle. Particularly when the level of disparity is great, attention to inequalities and their impacts should be carefully considered by leaders and scholars.

Keeping up Discourse with the Joneses

This raises a number of questions, the first of which is this: How do specific leaders and followers consider the relative dimension of needs? This question becomes even more stark in light of Terry Price's point on the epistemic difficulties in determining needs—even without specific focus on relative factors. I will consider some practical challenges and implications, below. But I want to consider first one other question—which could lead to a possible objection to my call to attend carefully to relative factors.

That question could be formulated as follows: If persons are properly seen as relational creatures for whom relative factors matter, can't such a view be employed to legitimize or justify the acquisitive impulse that James Duesenberry labeled "keeping up with the Joneses"?[29] Shouldn't people just chase their neighbors and their goods? To be sure, keeping up with the Joneses is a phenomenon in which relative comparisons are held to be important. While this is an important question, it would be exactly the wrong interpretation of my normative view.

The crucial point of my response is to ask, "Comparisons of what?" The pursuit of the Joneses most often concerns a quest for desired goods like the latest generation of Nike Air basketball shoes or the "scarcest" Beanie Baby. The trouble with these forms of "keeping up" is not only that such supposed "needs" continually escalate, but more important, that these goods do not ultimately satisfy. Economist Juliet Schor's recent book, *The Overspent American,* addresses the problem of what she calls "the new consumerism," which creates pressures on lower- and middle-class citizens to seek unreachable goals—to the detriment of valuable social ends like savings and the provision of public goods.[30]

I would add the importance of specifying normative views of society and leadership in which the pursuit of Air Jordans and Beanie Babies is completely different from say, the quest of people in public housing for a middle-class home like the one their friends the Joneses just bought. My own normative perspective would critique the first type of "keeping up," but it would seek to make the second kind of "keeping up" possible. To do so would require social changes brought about by transforming (or possibly transpositional) leadership.

This point brings me to a few concluding comments—and in what remains I will also note how my work either fits with or extends the framework that Terry Price offers as transpositional leadership. My perspective shares with transpositional leadership an emphasis on the importance of the leadership process itself for determining persons' genuine needs. To allow for relative factors, various contextual factors—society-wide and local—must be taken into account by leaders and followers, as they seek to determine the genuine needs of all parties in any particular leadership situation. My work emphasizes that social communication is taking place all the time among persons—and that persons' holdings of various goods is a principal form of this communication. In addition, advertising in the media is an outside, nearly ubiquitous force that seeks to shape persons' conception of their supposed needs. An emphasis on such social communication only adds gravity to the call for conscious, deliberate, engaged, *moral discourse* about the appropriate and genuine needs of persons.

> *If social participation is a goal of good leadership, inequality can be a serious obstacle. Particularly when the level of disparity is great, attention to inequalities and their impacts should be carefully considered by leaders and scholars.*

This leads to a point about what Price calls responsible agency. While I would concur with him that persons have some genuine need to exercise responsibility, I would also want to emphasize that no persons are ever fully able to escape—or even fully able to recognize—the various social and cultural forces on their lives. Attention to the impacts of inequality and relative deprivation only complicates the task of determining—empirically and morally—what genuine needs are. But there is hope in this regard. As Juliet Schor notes in her work, surveys of American "happiness" show that while persons have generally sought some degree of satisfaction through more material goods, overall happiness has decreased over the past forty years despite a more than doubling of annual material production over that time period.[31] In Price's framework, such a finding highlights a factual error in the view that more material goods necessarily can buy happiness. Further, it also raises the wider moral question of what goods—material and otherwise—should be pursued in quest of the well-lived life.

The complexity and magnitude of inequality and related factors show the difficulty that any particular set of leaders and followers faces in addressing persons' genuine needs. Social and economic inequality presents a leadership challenge that requires wider social and moral discourse among leaders and followers in a variety of sectors: business, politics, nonprofit, and even the academy. This "transpositional" point emphasizes that the process of moral discourse matters immensely in addressing inequality.

But so also do the outcomes of leadership processes matter. A current project of mine is to develop an argument, building on the work of Richard Couto, about the forms of social capital that would help transform the lives of persons at the bottom of the socio-economic distribution. Both in economic-based market terms of social costs, and in community-oriented moral terms such as ruptures in solidarity, more work can be done to show that meeting the genuine needs of the least well off is in the genuine interest of all citizens. There is a reinforcing circle of social solidarity and moral discourse that can lead to positive leadership outcomes. More troubling is the converse point that in a society of significant inequality, genuine solidarity and the moral discourse that is needed among equal citizens are imperiled. Leadership scholars and practitioners: Let us face this challenge of understanding inequality and needs and forming a constructive circle of social solidarity and moral discourse. We will need to get more specific: How much inequality (and which forms) is tolerable and acceptable? To acknowledge the importance of such questions, of course, will signal that moral discourse has begun. That is a task that leaders and scholars should undertake.

Conclusion, *by Terry L. Price*

By way of conclusion, allow me to point out some implications of our analyses. One implication of our analyses is that the role of the leader is of a kind with that of the scholar. Leadership scholars study the good-making features of leadership: in Joanne Ciulla's terms—both what is "morally good and [what is] technically good or effective."[32] If our contributions are correct, leaders face the same challenge. They must facilitate knowledge of the way the world *is* as well as knowledge of the way the world *ought* to be. For neither factual nor moral knowledge is transparent to followers or to leaders. I pointed out that this is a straightforward implication of the epistemic limits faced by humans. Hicks gave substance to these limits by appeal to the ways in which economic, cultural, and social structures come to bear on our understandings of our own needs. If we are right, one very important leadership challenge—as Hicks puts it—is the facilitation of "wider social and moral discourse among leaders and followers in a variety of sectors: business, politics, nonprofit, and even the academy."[33]

A second implication of our analyses is that the ends of good leadership are really up for debate. We cannot simply take our goals and aims as given. For our ends cannot be fully specified until we understand what it is that people really need. Despite appearances to the contrary, both Hicks and I entered into this substantive debate with partial conceptions of genuine human needs. Hicks argued that peoples' needs are relative, not just absolute. What one needs in any particular instance will depend upon what others within one's society have, for example, as a matter of course. My paper offered a notion of responsibility-needs, those things that individuals must have in order to act as responsible agents. Specifically, I suggested that responsible agency requires that we have knowledge of both the factual and moral status of our actions—or else, that we be reckless or negligent with respect to the acquisition and maintenance of the relevant beliefs about our actions. At this point, however, I should say that our substantive remarks on genuine human needs are not unrelated. Given the epistemic limits of leadership, an adequate understanding of the needs on which our (potentially responsible) actions are based calls for the participation of individuals from all levels of society. If participation of this sort is to be realized, then Hicks may well have greater reason to say that relative deprivation and its problems should be taken seriously by both leaders and scholars.

A final implication of our analyses is that we ourselves (Hicks and I) face certain epistemic limits. Thus, it would create a great tension in our work if we were to continue dominating the conversation about the nature of our needs. In that spirit, we turn to you for comments, suggestions, and criticisms. We turn, that is, to thoughts from your distinctive epistemic positions and relative socioeconomic locations.

Notes

1. James MacGregor Burns, *Leadership* (New York: Harper & Row, 1978).

2. Joanne B. Ciulla, "Leadership Ethics: Mapping the Territory," in Joanne B. Ciulla, ed., *Ethics: The Heart of Leadership* (Westport, CT: Praeger, 1998).

3. I wish to thank Joanne B. Ciulla, J. Thomas Wren and, especially, Douglas A. Hicks for helpful comments on an earlier version of this paper.

4. Burns, *Leadership,* p. 19.

5. *Ibid.*

6. *Ibid.,* p. 20.

7. *Ibid.*

8. *Ibid.,* p. 4.

9. *Ibid.,* p. 43. Emphasis added.

10. *Ibid.,* p. 44. Emphasis added.

11. *Ibid.,* p. 46. Emphasis added.

12. Bernard Bass, "The Ethics of Transformational Leadership," in Ciulla, ed., *Ethics,* p.171.

13. James MacGregor Burns, "Foreword," Ciulla, ed., *Ethics,* p.x.

14. Burns, *Leadership,* p. 42. Emphasis in original.

15. *Ibid.,* p. 4. Emphasis added.

16. Daniel H. Weinberg, "A Brief Look at Postwar U.S. Income Inequality," *Current Population Reports—Household Economic Studies* P60–191, U.S. Census Bureau, 1996, p. 1, based on Census Bureau data.

17. United Nations Development Programme, *Human Development Report 1998* (New York: Oxford University Press), p. 30.

18. An important articulation of this approach is found in Paul Streeten, *et al., First Things First: Meeting Basic Human Needs in the Developing Countries* (Oxford: Oxford University Press, 1981).

19. See *First Things First.* Paul Streeten and others who embrace the basic needs approach insist that this framework can be expanded to include attention to relative factors. I do not object to this point but instead would promote an approach that more readily admits relative, contextual factors into the conception of genuine needs.

20. One central statement of the assumptions of "the economic approach to human behavior" is articulated by Nobel laureate Gary Becker, in his book, *The Economic Approach to Human Behavior,* p. 5.

21. It should be no surprise that this neoclassical economic conception relates to James MacGregor Burns's account of *transactional* leadership, a form which centrally entails a market-like exchange of goods, services, or favors, with little engagement or relational impact on the leaders and followers involved. See Burns, *Leadership* (New York: Harper & Row, 1978), pp. 19–20.

22. Seyla Benhabib, *Situating the Self: Gender, Community, and Postmodernism in Contemporary Ethics* (New York: Routledge, 1992), p. 5.

23. Note that the language of "psychological theories" of needs that has been employed in Leadership Studies—language such as self-actualization needs, esteem needs, and growth needs—has been appropriated by New Age and self-help movements as quasi-religious concepts. It should also be noted that this paper does not engage the psychological literature on needs—not because it is not significant. Rather, given limited space, the task of this paper is to consider the normative implications of other social-scientific theories for the relationship of inequality and needs. A potentially fruitful task of further research will be to be explore the normative implications of psychological theories of need and the relation to forms of social inequality.

24. See, for instance, J.S. Adams, "Towards an understanding of Inequity," *Journal of Abnormal and Social Psychology* 67 (1963), pp. 422–36, and R.P. Vecchio, "Predicting Worker Performance in Inequitable Settings," *Academy of Management Review* 7 (1982), pp. 103–110, as quoted in R.L. Hughes, R.C. Ginnett, and G.S. Curphy, *Leadership: Enhancing the Lessons of Experience* (New York: Richard D. Irwin, 1993).

25. Mary Douglas and Baron Isherwood, *The World of Goods: Towards an Anthropology of Consumption* (New York: Basic Books, 1979).

26. Lee Rainwater, *What Money Buys: Inequality and the Social Meaning of Income* (New York: Basic Books, 1974).

27. An extreme outcome of significant relative deprivation can be violence. In the classic work of political scientist Ted Robert Gurr, one very possible outcome of relative deprivation is political rebellion or revolution. Indeed, in some warped way one could call such revolts an ultimate form of social participation (and not the lack thereof), but most leadership scholars and practitioners would have to agree that such participation is not desirable. See Gurr, *Why Men Rebel* (Princeton, NJ: Princeton, 1970).

28. Richard A. Couto, "Social Capital and Leadership," *Transformational Leadership Working Papers,* Kellogg Leadership Studies Project (College Park, MD: Academy of Leadership Press, 1997), p. 153.

29. James Duesenberry, *Income, Saving, and the Theory of Consumer Behavior* (Cambridge, MA: Harvard University Press, 1949).

30. Juliet Schor, *The Overspent American: Upscaling, Downshifting, and the New Consumer* (New York: Basic Books, 1998).

31. Juliet Schor, *The Overworked American: The Unexpected Decline of Leisure* (New York: Basic Books, 1992), p. 115.

32. Ciulla, "Leadership Ethics," in Ciulla, ed., *Ethics,* p.13.

33. See Douglas A. Hicks, "Inequalities, Needs, and Leadership."

Leadership, Leaders, and Sin

Joseph C. Rost

The Clinton situation in 1998 is an important case study of the ethics or morals of leadership. By that statement, I mean that we have before us a person who has been, by almost all accounts, very effective in doing leadership (by whatever definition of leadership one wants to use). Yet, in his personal behavior he has engaged in activities that many people (including me) judge to be morally unacceptable. When they were secret or unknown to the public, these immoral activities did not affect Clinton's leadership abilities or his accomplishments. When they were known but not verified by Clinton, they seemed to be a distraction to the leadership activities of Clinton but not a lethal problem. When Clinton admitted these immoral activities and when a second problem about the possibility of his lying under oath to a grand jury and on television to the people became significant issues, both the original and subsequent activities became insurmountable obstacles to the probability of leadership happening. Thus, it seems clear that the public revelation of Clinton's immoral activities affected Clinton's leadership abilities and accomplishments. Concomitantly, these revelations seem to have had an impact on the abilities of our elected representatives in Congress to engage in leadership as well. This impact on Congress is not the primary subject of this article, but it remains a lively subtext throughout the article.

Even more basic, these immoral activities, and the responses of Congress and the media to them, seem to stop people in responsible positions in the United States Government from accomplishing the normal operations of the federal government. Many people, both scholars and practitioners, view these normal activities as management, not leadership. While the importance of the impact of the Clinton situation on the normal operations of the government—its management—cannot be overemphasized, I need to state that this issue is not the subject of this article. Increasingly, many people have come to the understanding that leadership is not the same as management; they are both necessary and important, but they are not the same processes. I subscribe to that view. As a result, I want the reader to know that I am not discussing the morality of management in this paper. That topic demands an entirely different article from this one.

What is crucial about the above statements regarding the Clinton situation is the impact of the secrecy or public knowledge of the immoral activities on the leadership abilities and accomplishments of the leader. It is very clear that the immoral activities themselves did not impede the leadership of the leader. We have mountains of evidence from history, as well as the present events, that the immoral activities of actual leaders, past and present, did not lessen the leadership effectiveness of those leaders. That kind of continued leader effectiveness was possible because these immoral activities were kept secret or were known to only a very few insiders who assiduously kept the immoral activities from becoming public knowledge. Despite what moralists, do-gooders and other character-formation educators might want to tell us, people who have character flaws and who act immorally have as much ability and an equal likelihood of doing leadership, even phenomenally great and morally good leadership, as those who have upstanding characters and who live impeccably moral lives.

Thus, we have to focus on the fact that it is the public knowledge of the immoral activities that impedes the leadership of the leader. This conclusion is very clear from an analysis of the Clinton situation. It is even more clear from an analysis of many other leaders who got into trouble as effective leaders when revelations were made regarding their past immoral behaviors. Nothing proves the point better than the Robert Livingston affair in the United States House of Representatives. Livingston was doing perfectly well as a leader and was even elected by his Republican colleagues to be Speaker-Elect in late 1998. Then Larry Flynt revealed that Livingston had multiple extramarital affairs within the last decade, and Livingston's leadership ability left him, as if some magic voodoo transmuted him into an ineffective nincompoop. After the revelations, Livingston resigned not only his Speaker-Elect position but also his elected position as a United States representative. In one day, Livingston went from very effective leader to totally ineffective leader because of the public knowledge of his immoral activities.

Mind you, Livingston provided very effective leadership, although in his heart and soul he knew that he had done these immoral activities for years. The immoral activities did not have any impact on the effectiveness of his leadership. It was only when they became public information that the immoral activities had an impact on his leadership ability and accomplishments.

I am not writing here about public approval. I am writing about the actual ability of a person to do leadership in an organization. Clinton's public approval rating was very high at the end of 1998. His ability to do leadership was very low at the end of 1998. Livingston's effectiveness as a leader was very high in early

> *It is very clear that the immoral activities themselves did not impede the leadership of the leader.*

December 1998. One day later, his leadership effectiveness was very low. The public had no time to approve or disapprove of him as Speaker-Elect, as he resigned so quickly.

Public approval and leadership accomplishments are not the same thing. Leadership scholars and practitioners have known that a long time, but we have rarely been willing to admit it. The Clinton situation has hit us over the head with a hammer, shouting, "Leadership is a process involving people in a relationship." Secret information, including that about character flaws and immoral activities, cannot affect leadership as a relationship because the information, being secret, does not affect the relationship. People cannot act upon that which they do not know. Public information about character flaws and immoral activity can affect leadership as a relationship because relationships are built on other factors than just those facts that relate to the issue upon which the people doing leadership are acting.

Finally, the Clinton situation calls into question the old, traditional view of leadership (that leadership is one person doing great things to accomplish marvelous results in an organization) and shows how dysfunctional that view of leadership is as we close out the twentieth century. What would the people of the United States, our elected representatives, media persons, and numerous expert commentators have done differently in the Clinton situation if they viewed leadership as a collaborative relationship of many leaders and collaborators instead of a single person who is single-handedly responsible for leadership? The answers are mind-boggling and demonstrate how desperately we need a new paradigm of leadership for the twenty-first century.

Concepts of Leadership and Immoral Behaviors

Is leadership a great man or woman who does wonderful things that produce great results in the organization the leader leads? In other words, is leadership a great leader accomplishing great things?

If so, what happens when that great woman or man does something really bad, commits major sins, or otherwise fails to fulfill our expectations that she/he should be a deeply moral person with few, if any, character flaws?

Or is leadership a relationship of leaders and collaborators who together try to accomplish significant, substantive changes that reflect their mutual purposes?

If so, what happens when some people in the leadership relationship do something really bad, commit major sins, or otherwise fail to fulfill our expectations that they should be deeply moral persons with few, if any, character flaws?

This complicated mess is the subject of this paper. I have written on the morality and/or ethics of leadership twice.[1] These have been some of the most controversial papers I have written and published. As a result, they have also been among the most thought provoking of my published works. The topic of this paper is clearly connected to the larger issue of the morality and ethics of leadership, and it deserves careful thought and analysis.

The impact of immoral activities of leaders, as a topic for thoughtful analysis and discussion, has become more important because of the Clinton situation and the fallout from the Clinton situation. This fallout is constitutional (the impeachment vote in the House of Representatives and trial in the Senate, which has not been completed as of this writing). The fallout has affected the entire federal government, which has virtually shut down as a result of the Clinton situation. That fallout has had a profound effect on the public's attitude toward and respect for our representative government as well as the public's trust in the effectiveness of our democratic institutions of governance. In a very real sense, our two-hundred-year-old concepts of democracy have been examined and found wanting. And finally, the fallout has caused deliberative and reflective soul-searching (and some not so meditative) about the concept and practice of leadership in the United States. In various ways, the Clinton situation calls into question many of the cherished, traditional views about the nature of leadership that we have had for the past century in the United States; not the least of which is the view that only persons who are self-actualized, emotionally mature, and morally responsible are able to do leadership. The Clinton situation blasts that fairy tale to smithereens.

With all of those fallout issues in mind, let us look at immoral failures through the industrial and postindustrial lenses of leadership.

Immoral Failures Viewed through the Lenses of the Traditional, Industrial Leadership Paradigm

If leadership is what the leader does, what happens to leadership when the leader does something that is morally wrong?

The logical answer is that when a leader does something morally wrong, her/his leadership becomes immoral leadership. This conclusion would be logical only if leadership were viewed as something that can be immoral. However, many scholars and practitioners do not view leadership as something that can be immoral. As I said in my book *Leadership for the Twenty-First Century,* the predominant view of leadership in the industrial paradigm is "Leadership is good management.[2] While I did not define the word *good* as moral, many people do.

Many leadership scholars and practitioners believe that leadership, by its very nature, must be moral. If that is the case, then when a leader does immoral actions (in the process of doing leadership, if that is a consideration, which often it is *not*), his/her leadership ceases to exist. Her/His activities are no longer leadership activities. Thus, leadership is not happening when a reputed leader commits immoral or unethical actions. In effect, the leader would no longer be a leader since leadership resides in the leader (according to this concept of leadership), and conversely one can't be a leader if one doesn't do leadership.

Based on the two scenarios above, and assuming that leadership resides in the leader (a basic tenet of the traditional leadership paradigm), one can arrive at two very different judgments regarding Clinton's leadership, depending on whether one sees

leadership as essentially good, morally speaking. In the first scenario, if Clinton were to have sex with Lewinsky while president of the United States, his leadership would be judged as immoral, as his adulterous affair is not what we, the followers of our leader Clinton, expect of him as a moral agent in the office of the president of the United States. The conclusion is that his activities are leadership activities, but they are immoral leadership activities.

In the second scenario, Clinton's having sex with Lewinsky while president of the United States would be judged as an act of nonleadership (not an act of leadership), since an adulterous affair is morally wrong—a major sin. Because leadership is, by its nature, morally good, Clinton could not be doing leadership while he was having a sexual affair with Lewinsky, since such an affair is clearly not a morally good activity. The final judgment here is clear: Clinton ceases to be a leader because of his immoral activities. An immoral person cannot be a leader because immoral activities are antithetical to leadership, which is always morally good.

As the reader can see, the two moral assessments are totally inadequate. They don't connect with the reality of leadership as we know it, either from our own personal experience or from serious investigations of leadership available in the leadership literature.

A third judgment is possible under the traditional theory of leadership, but it is not very probable. Why? Because it is not consistent with the major tenets of the industrial paradigm of leadership. Let's discuss it anyway.

If leadership is viewed as episodic, that is, if leaders are not doing leadership every moment of their waking day, then one could judge certain activities as leadership activities and others as activities that do not involve leadership.

Conversely, those who believe strongly in traditional models of leadership (although these beliefs may be a result of very deeply held background-implicit assumptions) hold fast to the concept that since leadership resides in the person of the leader, everything a leader does from the time he/she wakes up in the morning until the time she/he goes to sleep that night is considered to be an act of leadership done by the leader. So, traditional models of leadership do not include a concept of leadership as an episodic affair.

However, when the absurdity of such all-inclusive views of leadership becomes explicit, people who hold traditional views of leadership back off and admit that probably there are activities that a leader does during her/his daily life that are not leadership activities. If that is the case, then we have to make judgments

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about which are and which aren't, and it requires formulating criteria to make such judgments. When all that happens, people with traditional views about leadership move ever so slightly (aided and abetted by some kicking and screaming) to a concept of leadership as an episodic affair.

If that is the case, what are the criteria for judging whether some activity is leadership and another activity is not? One criterion might be that the actions have to have some relevance to the job or position that the leader has in the organization. If that were a criterion, then taking a cab or a subway train home from work would not be an act of leadership. As a result, if the leader picked up a person and had sex with that person in the cab on the way home, we would *not* consider that to be an act of leadership because that activity would not be relevant to the person's job or position. Or alternatively, if the leader pushed an old lady out of the way in a crowded subway car to get a seat and rest his/her arthritic knees on the long ride home, this activity would not be an act of leadership either, since it would not be relevant to the leader's job or position.

Based on this third alternative scenario, Clinton's sexual affair with Lewinsky could be considered a private matter between the two people engaged in illicit sex. After the affair became public, it could have been considered a private matter between Clinton and Hilary Rodham Clinton since it was an adulterous affair. As a private affair, it had nothing to do with his job or position as president of the United States, so it would not be considered an act of leadership. It is not leadership, since leadership is viewed as an episodic activity that relates to a person's job or position in an organization. He is not effective or ineffective in his position as president based on whether or not he has sex with a woman who is not his wife, even if the woman is in his employ.

Alternatively, since the illicit sex occurred, at least some of the time, in the offices of the White House, and the president does his business as president in those offices, one could say that such activities are inherently connected to his position as president. Therefore, these activities are, indeed, leadership activities. The fact that Lewinsky was an employee of the White House also adds weight to this argument. In this analysis, the criteria become the place of the activities and the person(s) with whom the activities were done. Since leadership is usually done in the organization's offices and since it is usually done with people employed in that organization, the fact that Clinton had sex in the White House offices with an employee becomes highly relevant to what activities of a leader are considered leadership. Using these same

criteria, if Clinton had sex with Lewinsky in a hotel room after normal business hours, these circumstances might change the analyst's view as to whether these activities are leadership activities. The criteria mentioned are not the only criteria that could be used. Other criteria are mentioned later in this article.

The question is not whether the activities were immoral. From my point of view, at least, they undeniably were. Instead, the question is this: Are these activities immoral leadership activities? Thus, the episodic concept of leadership brings us to the point where we have to distinguish between the immoral activities of a person who may be a leader at certain times in his daily existence and the immoral activities of a person who does leadership while doing these activities. In effect, this one *simple* reality check—the episodic nature of leadership rather than the silly notion that a leader does leadership all the time—becomes a powerful analytical tool to make judgments about the morality of leadership. In summary, this episodic view of leadership makes it clear that the morality of the leader is not the same as the morality of leadership. As leadership does not reside in the person of the leader, so the morality of leadership does not reside in the morality of the person of the leader.

The problem with this third alternative, of course, is that the old, traditional, industrial view of leadership dominates the discussion of the Clinton situation, and this view does not admit of any episodic concept of leadership. The dominant view of leadership allows for only black and white conclusions, all or nothing convictions (judgments).

Because the media are totally imbued with traditional leadership models, all of the discussion in newspapers, magazines, and on television has focused on the morality of the person of the leader; the assumption is that if the leader is immoral, his leadership is immoral.

Congress, too, is permeated with traditional leadership models and buys into the same assumptions. Its members make the constitutional leap that any and all immoral activities on the part of the president, especially if they were done in the White House and on company time, are "high crimes and misdemeanors." The only alternatives for punishing such immoral leadership activities are impeachment or resignation (for instance, in Livingston's case).

On the other hand, a strong majority of people of the United States consistently has held more enlightened views of leadership in the Clinton situation. Even after being called stupid, unconcerned, inattentive, and bad citizens by the media and Congress, they insist on articulating a view, based on some practical, innate sense, that there is a difference between leadership and the human condition. They have overwhelmingly rated Clinton's leadership as good to excellent while they have deplored his sinful character flaws. They have separated the leader from his leadership, and they have indicated strongly that they can live with that, even if the all-knowing media and Congress "just don't get it." Theirs is a concept of leadership that is episodic. They no longer need to believe in the old, traditional, great man/woman theory of leadership. And they don't have a problem with that, even though the old-fashioned media and Congress do.

The traditional model of leadership is caught up in black and white judgments about the morality of leadership. If leadership resides in the leader, and if the leader does immoral things and these activities become public, the tendency is for the leader to be thrown out of office, disgraced, humiliated, and blamed for bad leadership. The good leader wears the white hat and the bad leader wears the black hat. We learned from the old western movies that the guy with the black hat gets killed in the end.

This view of leadership as superhuman, characteristic of the traditional, industrial paradigm of leadership, is fraught with danger for the leader. In effect, anything a leader does any time of the day can be viewed as unacceptable, bad, immoral, unethical, or improper (use any other adjective that comes to mind) by followers. It can be used against the leader (1) to decrease the leader's effectiveness to do great things; (2) to question the character of his/her leadership; (3) to revolt against her/his leadership; and (4) to oust the leader from his/her leadership position.

It is also bad public policy for both private and public organizations for the following reasons: (1) we decrease dramatically the potential leader pool because the vast majority of people are sinners, having done something immoral during their lives; (2) we lose the talents and creative energies of many people with skeletons in their closets; (3) we face the very real possibility of "big brother surveillance activities" by public and private organizations; and (4) we will make mountains out of molehills. Having mountainous obstacles in the way of organizational leadership is not good for organizational effectiveness. That conclusion is plainly obvious in the Clinton situation.

Another point should be made. Our bases for judging what is moral and immoral are not all that clear. Many people believe that gay sexual activities are immoral. Others don't. Many people believe that sexual intercourse outside of marriage is immoral. Others don't. Many people believe that polluting rivers and oceans with human or industrial wastes is immoral. Others don't. Many people believe that smoking pot is immoral. Others don't. Many people believe that capital punishment is immoral. Others don't. Many people believe that cheating, lying, and stealing are immoral. Others don't. I can go on and on, but I hope the reader gets the picture.

Because what is moral or immoral is not exactly clear to everyone in the United States (or in other countries, for that matter), such ambiguity makes it even harder for a leader to do leadership under the old, traditional paradigm. Since a series of activities by a leader may be considered moral by some people and immoral by others; since everything a leader does during her/his waking hours is viewed as leadership; and since the media, paparazzi, or security organizations make it a point to know what a leader does all day, it should come as no surprise that many qualified people are not interested in doing leadership by becoming leaders!

Finally, there is the problem of how long an immoral action disqualifies a reputed leader's activities from being leadership. As an example, if Clinton had his sexual affair in 1997, are all his activities as president of the United States in 1998, 1999 and early

2000 disqualified from being leadership or good leadership? Or, are his immoral activities in 1997 divorced from his activities in 1998 and 1999 so that these more recent activities, if they are moral, can be considered leadership activities? If so, when does this divorce take place? If not, is he condemned to nonleadership for the rest of his life?

These questions sound silly, but they are, unfortunately, at the forefront of our national debate regarding Clinton right now! The impeachment trial is about whether Clinton will serve as one of the principal leaders of our country in 1999. The impeachment trial is about whether Clinton can serve the United States in other leadership positions after he leaves the presidency. Similar questions are at stake when any leader, public or private, is punished for immoral activities she/he did in the past.

In Richard North Patterson's best-selling novel *No Safe Place,* Senator Kerry Kilcannon is a candidate for president of the United States against the sitting vice-president of his own party.[3] The race is down to the wire in the California primary election when the editors of a national weekly newsmagazine obtain testimony from a counselor about Kilcannon's adulterous affair, two years earlier, with a female reporter working for *The New York Times.* The sexual affair ended when the reporter became pregnant and had an abortion, despite Kilcannon's opposition. The plot thickens, but I can stop here.

This novel's central character is a prototype of a leader (portrayed, by the way, as a really good person) who is involved in an immoral activity (a sexual affair) and is a party to what many in our society view as another (abortion), although he tries to stop it. This leader is running on an ambiguous platform of right to life *and* freedom of choice, and he is about to be "outed" by a newsmagazine as a leader who did these immoral activities in the past.

If Kilcannon's adulterous affair is made public, then the whole issue of leadership will become a national debate. Can Kilcannon do leadership if he had an adulterous affair two years prior to becoming president? If Kilcannon fails to win the presidency, can he do leadership as a senator in the remaining years of his term of office when he had an adulterous affair two years earlier while he was a senator? Or is he condemned to nonleadership during this term of office as president (if he wins) or senator (if he loses)? Since he was only forty-five during the affair, will all his attempts to do leadership for the rest of his life be judged as bad or immoral leadership because he had an adulterous affair some years earlier? Will he be unable to do leadership activities for the rest of his life because he had an adulterous affair when he was forty-five years old? Does he wear a capital "A" sewn on his shirt so that he is known as an adulterer and therefore unable to do leadership any more?

The issue is this: What happens to the morality of the leadership relationship when the moral failures of some people in the group are revealed and made public?

Or will the third scenario kick in, in which people understand that leadership is episodic and allows for the possibility that leaders can do immoral actions at one time and still do leadership activities at another time?

These are serious issues to consider for those who promote traditional leadership models. Unfortunately, these issues are neither written about nor talked about. Instead, we continue to be bombarded with books and articles describing a great man or woman who accomplishes great things in an organization by being a great leader. It seems that none of these great men or women in the leadership literature do any immoral activities during their lives, so we never have to face the sin issue when reading the hundreds of books that have been published about leadership.

Immoral Failures Viewed through the Lenses Of the Emerging, Postindustrial Leadership Paradigm

What if leadership were a relationship of leaders and collaborators who together try to accomplish significant, substantive organizational changes that reflect their mutual purposes? What if leadership were not about a great woman or man doing great things, but about more or less ordinary women and men united in a relationship dedicated to a common purpose to institute major changes in an organization?

If so, what happens when some people in the leadership relationship do something really bad, commit major sins, or otherwise fail to fulfill our expectations that they should be deeply moral persons with few, if any, character flaws?

Or, here is still another scenario: What happens when some people in a leadership relationship develop a common purpose dedicated to changing the organization in certain ways that other people in the organization believe are morally offensive and oppose by forming a group of their own to prevent the initiating group from achieving the changes it proposed?

Let's return to the first situation, where some members of the leadership dynamic are behaving badly while others are not. The issue here is not the success or failure of the leadership activity. Nor is the issue the morality of the mutual purpose of the people in the leadership relationship. The issue is this: What happens to the morality of the leadership relationship when the moral failures of some people in the group are revealed and made public? When the behaviors of certain members of the leadership group are viewed as immoral by other members of the group or by some members of the organization who are not in the group? These behaviors are not directly relevant to the leadership dynamic. These behaviors are personal moral failures that

occurred some time in the near or distant past. Most of them happened outside the organization's offices.

Again, for the purpose of discussion, let's say that there are 150 people in this leadership relationship. Some of these members may be involved in sexual affairs with other people in the organization; some may not go to church and even articulate atheistic beliefs that translate into amoral activities both on and off the job; some may get drunk regularly at home and be affected by their alcoholism; some may live openly gay lives and live with a partner in a same-sex marriage; some may smoke pot or ingest other illegal drugs; some may be very authoritarian and try to push their weight around with unacceptable power plays and dishonest behind-the-scenes activities; and some may lie and steal on and off the job to support a high-flying lifestyle.

Others in the leadership relationship have not engaged in any publicly known immoral behavior; they are reputed to live decent, moral lives, both on and off the job.

So, how do we determine if moral or immoral leadership is happening when this diverse group of moral and immoral people unites in a relationship to propose and make a policy that will significantly change the organization?

First, it is obvious that a whole new repertoire of judgmental models is needed when there is no one leader leading the charge for this change, with everyone else following that one leader. Those in the organization assessing the morality of the leadership involved in this situation have no leader to praise or blame, no great woman or man on which to focus to determine the morality of this leadership dynamic.

Second, it would be nearly impossible, even in a small to medium-sized organization, for any one person to know the behavior characteristics of every person in a group of 150 people. A person would be hard pressed to know if a majority of people in the leadership relationship engaged in immoral behaviors. Even a small group of rumormongers would find it difficult to obtain that kind of information. As a result, using the majority-rule dictum would not work as a way to evaluate the morality of the leadership activities of this group. We cannot count noses to determine how many people are moral and how many are immoral and then base our judgment about the morality of this leadership initiative on a final nose count. Besides being impractical, such a moral judgmental process makes no sense as a method of making a moral evaluation.

Third, since the immoral activities are not related to the organizational changes that the people in the leadership relationship are proposing, it is not possible to make a decision on the morality of the group's leadership activities based on whether the change is moral or immoral.

Left without any of the traditional means of making moral evaluations, the people in the organization would probably focus more on the processes used by the leadership group to obtain approval for its change proposal, and make some judgment about the morality of the leadership activities by evaluating the morality of the leadership process. They would use some procedural ethics principles, such as making sure the process follows the rules of fair play, allowing people in the policy-making process to have input and some ability to help make the decision, being honest, open and above board, and using no dirty tricks.

Also, there would be a strong tendency to divorce the leadership dynamic from the lives of the people in the relationship because the people in this organization would view leadership as an episodic process, a key tenet of the emerging leadership paradigm. People would judge the morality of leadership by what happened during the change process. They would not focus on whether the people in the relationship lived adulterous lives or drank liquor or were gay or didn't go to church and believe in God. They would focus on the morality of the leadership activities of the people in the leadership relationship, that is, how morally the people in the leadership relationship acted in their efforts to obtain organizational approval for their proposed changes.

Thus, using the emerging leadership paradigm, people viewing a leadership process done by a group of people in a leadership dynamic would not judge their leadership moral or immoral on the basis of their good or bad lives. Rather they would base their judgment on their behaviors and activities during the leadership process.

That brings us to the second scenario. The changes that the 150 people in this particular leadership relationship propose are highly controversial, creating an opposing group of people who try to stop the proposed changes from becoming the official policy of the organization. The debate surrounding the changes is not just about (1) what happens to the quarterly financial report; (2) what impact these changes will have on morale, employees' salaries or working conditions, and the number of employees hired or fired; and (3) what effect the changes will have on the organization's products and services. The debate centers on such moral issues as (1) discrimination against certain ethnic or racial groups; (2) justice or equity towards those affected by the change; (3) cheating customers; (4) inaccurate advertising or descriptions of products and services; (5) excessive profits; and (6) bad effects on the community in which the organization is located or bad effects on the environment in general. (These are examples, not a list of the full range of possible moral issues that may be relevant to leadership activities.)

The question regarding the morality of leadership in this kind of situation is complicated. When the morality of changes proposed by leaders and collaborators in a leadership relationship is seriously questioned or debated by an opposing group of people, how do we evaluate the morality of leadership in that situation?

Would we focus on a single leader in the leadership dynamic and find out if she/he were in an adulterous affair or abused children or in other ways committed immoral actions? I doubt it, as those actions don't seem germane to the issue.

Would we pay attention to and determine how many people in the leadership dynamic were living immoral lives or committed sins on or off the job? I doubt it because, as described above, such information would be extremely difficult, if not impossible to obtain. Moreover, these data do not seem germane to the issue.

Would we examine the actions of the people in the leadership dynamic and evaluate whether they were coercive or not, whether they were devious or above board, whether they were honest or lying, and whether they played fair or used unfair tactics? My view is that yes, we would look at the process of leadership and make some judgment about the behaviors and activities of those in the leadership dynamic. But, in the end, that would not be persuasive in the heated, controversial situation described in this scenario.

Would we look at the issue itself and use our moral or ethical principles to make some judgment as to whether the proposed changes were consistent with those principles or violated them? Yes, I think we would, and this kind of moral evaluation would be most important to determine the morality of leadership in this kind of scenario.

Is this kind of judgment difficult? Yes, it certainly is.

Is this kind of judgment impossible for a specific group of people? No, it is not, because like-minded people may come together to propose such changes and like-minded people may come together to oppose those same changes.

Is it possible for everyone in an organization to reach consensus on the morality of controversial changes that have obvious moral implications? It may be, but human beings in diverse, individualistic and democratic cultures have not been and are not now very good at arriving at such consensus. Nor have academics and practitioners of leadership (or, for that matter, those in theology, ethics, or ministry) been very helpful in developing models and evaluation practices that would assist people to come to such consensus.

Thus, we are left with the very real possibility that the two opposing groups may not agree about the morality of proposed changes in an organization. How then can we evaluate whether leadership is happening in such a situation? If we decide that leadership is happening, how then can we evaluate whether the leadership dynamic is moral or immoral?

The answer to the first question is relatively easy, assuming some clear criteria as to what leadership is and is not under the emerging paradigm. Rost's definition of leadership has clear criteria that allow people to make such a distinction (see Table A). Applying those criteria to the scenarios given above, the answer is that leadership is happening in both scenarios, assuming a process free of coercion. There is no criterion in the leadership definition requiring that the proposed changes be ethically or morally acceptable to all the people in an organization.

The answer to the second question may vary depending on a person's or a group's ethical and moral principles. Some persons and some groups may evaluate the leadership dynamic as moral leadership; other persons and groups may evaluate the leadership

Is it possible for everyone in an organization to reach consensus on the morality of controversial changes that have obvious moral implications?

dynamic as immoral leadership. These judgments would be made based on the moral principles they hold dear. In some situations, the two groups, through intense, sincere, prolonged but empathic interactions that are aimed at learning rather than indoctrination, may come to a consensus that would probably require some amendments to the original change proposal. As a result, both sides could evaluate the revised change proposal as moral.

In other situations, such consensus may not be reached, and a decision about the change proposals probably would be made according to some form of majority-rule process. That leaves both sides disagreeing on the morality of the enacted or defeated changes. It also leaves both sides evaluating the leadership dynamic differently, one side proclaiming it as moral leadership and the other side proclaiming it as immoral leadership.

So be it. At least in the emerging paradigm we have progressed to the point where judgments about the morality of leadership are based on evaluating the morality of *both* the process used by those in the leadership relationship *and* the content of the proposed changes. Under the emerging paradigm, we will no longer judge the morality of leadership based on the morality of the leader, leaders, or the group of leaders and collaborators involved in the leadership dynamic.

I view these kinds of moral judgments as an enormous improvement over the kinds of moral judgments we have been making about leadership in the traditional, industrial paradigm.

If the media and Congress had been using such moral evaluation criteria and methods in evaluating the Clinton situation, their moral conclusions would have been totally different from those that they have been making. Their behaviors—individual and collective—would have reflected a much more reasoned, fair, judicious and careful approach to the morality of leadership controversy with which the Clinton situation confronted them. They would, in fact, have reflected the thoughts and behaviors of the people of the United States, the people whom they are supposed to be informing (in the case of the media) and representing (in the case of the Congress).

Conclusion

The key to making accurate judgments about the morality of leadership is to understand leadership as an episodic affair, a discrete series of activities that involve proposing and making significant changes in organizations.

When people see leadership as an episodic affair, they tend to evaluate the morality of any episodic leadership dynamic based on the morality of the leadership process and the content of the

changes proposed. They also tend *not* to evaluate the morality of any episodic leadership dynamic based on the personal morality of the people involved in the leadership relationship because it no longer makes sense to do that. Certainly, they do not evaluate the morality of leadership activities proposing organizational changes based on the personal morality of a great man or woman.

So, whether a person had a sexual affair five months before an episodic leadership dynamic takes place in an organization isn't relevant to whether the present leadership dynamic is moral or immoral.

In the end, a specific, episodic leadership dynamic is moral or immoral if this specific, episodic leadership process and the proposed changes are moral or immoral. The leadership dynamic is not moral or immoral because there are moral or immoral people involved in the leadership process proposing significant changes in the organization.

According to the old principle, good people sometimes do bad things and bad people sometimes do good things. Of course, the contrary principle may also be true: Good people sometimes do good things and bad people sometimes do bad things. The important judgment process point to be made here is not to judge the morality of the thing (in this case, leadership) by judging the morality of the person (in this case, the leader).

Another evaluation process point comes from the story of Jesus and the adulterous woman. When asked by the Pharisees what punishment should be meted out to a woman who had committed adultery, Christ said, very simply: "Let those who have never sinned throw the first stone." Both the media and Congress should have applied this principle to the Clinton situation. If they had shown such prudence, they wouldn't be in the great trouble they have gotten themselves into at the beginning of 1999.

Let's hope that people living in our communities and working in our organizations in the twenty-first century will have the wisdom and prudence to develop and practice a postindustrial paradigm of leadership. This emerging paradigm of leadership would allow for more careful and sensible moral judgments regarding the human condition and the leadership relationships in both our public and private organizations. The lessons learned from the 1998 Clinton situation demand that we actively promote a massive paradigm shift in our concept and practice of leadership in the twenty-first century.

Notes

1. Joseph C. Rost, *Leadership for the Twenty-First Century* (Westport, CT: Praeger, 1993); and Joseph C. Rost, "Leadership: A Discussion About Ethics," *Business Ethics Quarterly,* Vol. 5, No. 1 (1995), pp. 129–142.

2. Rost, *Leadership for the Twenty-First Century,* p. 94.

3. Richard North Patterson, *No Safe Place* (New York: Alfred A. Knopf, 1998).

4. Updated from Rost, *Leadership for the Twenty-First Century.*

Table I
Postindustrial Leadership[4]

Definition of Leadership

   Leadership is an influence relationship among leaders and collaborators who intend real changes that reflect their mutual purposes.

Essential Elements of Leadership

   From this definition, there are four essential elements that must be present if leadership is happening. All four must be happening.

1. The leaders–collaborators relationship is based on influence.	**2. Leaders and collaborators are the people in this relationship.**	**3. The leaders and collaborators intend real changes.**	**4. The leaders and collaborators develop mutual purposes.**
• The influence relationship is multidirectional. • The influence behaviors are non-coercive.	• The collaborators are active. • There must be more than one collaborator and there is typically more than one leader in the relationship. • The relationship is inherently unequal because the influence patterns are unequal.	• *Intend* means that the leaders and their collaborators purposefully desire certain changes. • *Real* means that the changes the leaders and their collaborators intend must be substantive or transforming. • The leaders and collaborators do not have to produce changes to do leadership. They intend changes in the present; the changes take place in the future if they take place at all. • Leaders and their collaborators intend several changes at once.	• The mutuality of these purposes is forged in the non-coercive influence relationship. • The leaders and collaborators develop purposes, not goals. • The changes reflect the mutual purposes of the leaders and collaborators. • The mutual purposes become common purposes.

Leadership in International Organizations: Lessons Learned Through the International Monetary Fund

I. Marlene Thorn and Ginette Prosper

T his paper briefly describes research identifying emerging findings on the current and future qualities and attributes of leaders of international organizations. The paper is a partial, not exhaustive, review of some of the preliminary findings of the research. The paper will describe the ways in which the international leaders' development was influenced, the qualities they consider to be most important for success for their organization today, and the leadership attributes needed to meet the challenges of the future. The paper will compare the research findings with the management development competencies at the International Monetary Fund (IMF), identify the "leadership development gaps" between the current and future qualities of leaders, and recommend human resource programs to close those "leadership development gaps." The paper is divided into the following five sections: (1) research background and methodology; (2) preliminary findings; (3) comparison of findings with the IMF management competencies; (4) leadership development programs and services; and (5) conclusions and recommendations.

Background

Much leadership research, including international leadership research, has been conducted in the private, public, education, and political sectors. However, a review of the literature reveals very little research on leaders of international institutions. Leaders of all sectors are being challenged to lead globally now and in the future. Therefore, it seems timely to examine current leaders of international organizations who by the very nature of their organizations have always been required to lead globally. What can we learn from these experienced global leaders? What influenced their leadership development and why did they choose to lead in a global institution? What motivates them to leave their own national boundaries and become a "global citizen" leader? Are there lessons to be learned from these international organization leaders that can both help others become more successful global leaders and develop more successful global leaders for the future?

The international leaders interviewed for this research identified the following future challenges and opportunities for global leaders:

1. Become a more generous (caring) global society with moral obligations to all world societies.

2. Cope with the speed of inter-related international events and crises, including the speed of technology.

3. Manage and lead in the growing complexity of a global society.

4. Manage the instability and gap between world poverty and the rich.

5. Become more adaptable and flexible in creating, accepting and adapting to change.

6. Maintain a vision that incorporates people from different cultures.

7. Recognize the decline of nation states/boundaries.

8. Work with the decline of cultural divergence for future generations through education and technology.

Methodology

This research was conducted by interviewing twelve leaders from four international financial and development institutions: the International Monetary Fund (IMF); the World Bank; the Inter-American Development Bank, and the Inter-American Investment Corporation. Interview questions were organized under the following four categories:

1. Leadership development

   Personal development

   Motivation

   Values/conflicts

   Style

2. Global leadership and culture

3. International leader and the organization

4. Leadership development for the future

Audio tapes of the interviews were transcribed and two individuals analyzed and coded responses to some of the questions from the IMF's management development competencies. Interview responses were analyzed for frequency of similar responses and placed in priority ranking by frequency. Currently no analysis has been done to determine differences in the responses based on demographic data.

The IMF's five broad management development competencies and key behaviors are described as follows; a more detailed definition of each is found in Table I:

Leadership

   –Analytical thinking and decisive judgment

   –Strategic vision

Work program management

    –Planning and organizing

    –Drive for results

    –Adaptability

People management

    –Motivating performance

Communication

    –Oral presentation

    –Creating open communication

    –Written communication

Interpersonal skills

    –Building relationships

    –Country/client relations

    –Negotiating and influencing

    –Delegating

    –Fostering teamwork

    –Appraising and developing staff

Preliminary Findings

This section will provide information and data analysis on the preliminary findings of the leader interviews and will include leader demographic data, leader development, motivation and values, global leadership motivation and qualities for future global leaders.

Leader Profile

Following is a brief demographic profile of the twelve leaders (ten men and two women) interviewed for this research. The age range of the leaders was thirty-nine to sixty-six, with an average age of fifty-one. The nationality distribution is as follows: U.S. , four; Japan, two; Canada, one; Colombia, one; Cote D'Ivoire, one; France, one; India, one; New Zealand, one.

The leaders' educational profiles reflected multiple degrees and consisted of five Ph.D.'s, ten M.A./M.B.A.'s, and two J.D.'s in the following fields of study: economics, business administration, international finance, applied mathematics and law.

All leaders have lived or worked in at least two countries, with some having lived and worked in at least four. All have traveled extensively to many countries as part of their work experience. All the leaders spoke two or more languages.

Leader Development, Motivation and Values

Leaders were asked about their development, their motivation to lead, and the important values and behaviors for leading.

Analysis of the interview data yielded the following common factors that influenced the development of the leaders interviewed:

- Early international background and experience prior to work experience;

- Family influence;

- Key events that shaped the value of the need for honesty and building trust;

- Key events that shaped the importance of being flexible and adapting to the environment;

- Early role models that reinforced the importance of maintaining and following through on principles and beliefs and being fair and consistent.

Leaders described their motivation to lead as follows: making an impact and a contribution; contributing to progress and change; seeking opportunities for challenges and learning.

Analysis of the leader interviews yielded the following common key values for leading as coded to the IMF management development competencies:

- Strategic vision

- Adaptability

- Drive for results

- Fostering teamwork

- Building relationships

Other values cited frequently but which did not code directly to the IMF management competencies include honesty/integrity, commitment to the success of the organization goals, continuous learning, and humility and generosity (defined as caring and giving service).

Global Leadership

These leaders were motivated not only to become leaders but to become global leaders. Their stated motivations included the importance of making a global contribution and impact; the desire to help people of the world through international public service; and the belief that the openness and larger boundaries to international work were more challenging, interesting and energizing than merely leading within one's own national boundary.

Qualities for Future Leaders of International Organizations

Leaders were asked what qualities would be important for future leaders of international organizations, given the global challenges and opportunities. The qualities, coded to the management development competencies, included the following:

- Strategic vision

- Adaptability

- Fostering teamwork

- Creating open communications
- Building relationships

Other values and qualities frequently cited which did not code directly to the IMF management development competencies included:

- Continuous learning
- People skills of higher priority than academic qualifications
- Language skills, including exposure to multiple cultures and experiences in other countries
- Multidisciplinary experience
- Integrity
- Humility
- Patience

Comparison of Findings with IMF Management Development Competencies

This section will briefly describe the IMF's management development strategy and the emerging evaluation results of the fifteen management development competencies being used to train future leaders, and compare the IMF findings with what the current leaders express as important qualities and competencies for future leaders of international organizations.

Starting in 1994, the IMF designed a management development strategy articulated around four main points:

1. Definition of fifteen managerial competencies and behaviors;

2. Implementation of programs and activities such as the Supervisory Feedback Exercises (360 feedback) and the Management Development Center (assessment center) which allow for a diagnostic appraisal of the managerial profile of the organization and its managers;

3. Availability of developmental alternatives such as managerial training, coaching, and on-the-job development assignments;

4. Creation of an environment that fosters, recognizes, and rewards good management practices.

These programs and activities focus mostly on developing managerial and leadership skills throughout a staff member's career. Four main target populations were identified at different levels; programs and initiatives were designed to meet specific challenges at each of these levels.

Initial evaluations of the management development strategy and the management development competencies are currently being conducted. One finding is that the IMF environment seems to favor the development of the following competencies: strategic vision, communication, and building relationships. Other competencies such as those falling under people management (motivating performance, delegating, fostering teamwork, and appraising and developing staff) are less commonly mastered.

A comparison of what the current leaders indicate as key qualities for future leaders with the IMF's current findings shows that there is agreement and support for the development of the competencies of strategic vision, communication, and building relationships. However, a "leadership development gap" exists regarding the two competencies of adaptability and fostering teamwork. This "gap" should be reviewed further and confirmed by the IMF's ongoing evaluations. At present it would seem important not only to address environment support for the these two competencies but also to emphasize training and development efforts around the two competencies to close the "leadership development gap."

In addition to enhancing development efforts around the competencies of strategic vision, communication, building relationships, adaptability, and fostering teamwork, it would also seem important to expand the definition of the leadership competency to include such factors as honesty/integrity, continuous learning, humility and generosity, multidiscipline or breadth of experience, and commitment to the success of the organization.

Leadership Development Program and Services

This research has implications for human resource programs and services to support leadership development of future global leaders along four areas: (1) the organization; (2) recruitment; (3) development; and (4) selection and promotion.

The information gathered from the interviews of twelve global leaders indicates that organizations can foster global leadership development in their environments as follows:

- Communicate explicit organizational leadership values;
- Model and reinforce the leadership values;
- Include values in work operation discussions and work processes;
- Develop loyalty and commitment to organizations;
- Develop and encourage risk-taking environments.

In the recruitment area, organizations should consider establishing selection factors that incorporate demographic characteristics similar to those of current global leaders. For example, recruitment should screen candidates for previous life, education, or work experiences in different countries, including knowledge of a second language. During the interview process additional consideration should be given to "people skills" along with academic qualifications and broad multidiscipline experience. If a new recruit does not have previous experience in different countries, this experience should become part of the employee's development plan early in his or her career.

Based on recommendations from the interviews with current global leaders, in addition to ongoing management development and training, programs targeted for the development of leaders need to include the following:

- Assignments with responsibility and authority;
- Assignments and travel to different countries;

- Broad leadership education and training outside the organization (*e.g.,* other disciplines, other sectors);

- Rotational assignments to other organizations;

- Sabbaticals every ten years for continuous learning and perspective;

- Opportunities to work with and "shadow leaders";

- Assignments to action learning/risk-taking teams.

For the selection and promotion of future global leaders, organizations should review their current management competencies and consider expanding the competency definition to include leadership and the future global leadership qualities.

Conclusion and Recommendations

This research describes the views of international leaders on future global leaders' qualities/competencies. It also compares leader interview findings with one international organization's management development competencies. The research recommends that international organizations review their current management development programs and competencies against what the current leaders consider as important global leadership attributes for the future and adjust their competencies and human resource programs and services to accommodate the necessary future global leadership development qualities.

Given increasing globalization, it is clear that more research is needed regarding international organizations and their "global public service" leaders in order to learn more about global leadership and to encourage the promotion of excellence in global leadership development.

Table I

International Monetary Fund Managerial Competencies and Key Behaviors

Leadership	Work Program Management	People Management	Communication	Interpersonal Skills
Analytical thinking and decisive judgment	Planning and organizing	Motivating performance	Oral presentation	Building relationships
Strategic vision	Drive for results	Delegating	Creating open communication	Country/client relations
	Adaptability	Fostering teamwork	Written communication	Negotiating and influencing
		Appraising and developing staff		

Analytical thinking and decisive judgment: Analyzes issues and problems in a thorough, systematic manner; makes well-reasoned, timely, and tough decisions.

- Gathers and integrates relevant information from many perspectives and people to understand problems

- Grasps complex problems and zeroes in on the critical issues.

- Perceives relationships among problems and devises solutions that address multiple issues.

- Attends to important details.

- Generates alternative solutions and viewpoints, demonstrating creativity as appropriate.

Planning and organizing: Plans, prioritizes, and effectively manages the work of the division.

- Sequences and prioritizes work activities to achieve broader goals and objectives.

- Forecasts and plans to ensure satisfactory levels of staffing and other resources.

- Anticipates obstacles and develops contingency plans to address them.

- Establishes transparent methods for measuring progress, *e.g.,* deliverables, deadlines, checkpoints, etc.

- Tracks progress to ensure that time and quality targets are met.

Motivating performance: Motivates high individual and team performance by communicating a clear sense of purpose and direction, building consensus, and delivering reinforcements.

- Establishes challenging goals that inspire others to put forward their best effort.

- Involves others in shaping the plans and decisions that affect them.

- Discerns the needs and goals of individuals and adopts motivational strategies accordingly.

- Links individual aspirations to the goals of the organization, division, and team.

- Structures work and removes obstacles to

Oral presentation: Speaks clearly, articulately, and persuasively to command attention; establishes credibility and gains influence.

- Speaks clearly and concisely.

- Adjusts the format, language, style, and content of presentations according to audience needs and interests.

- Delivers well-organized, logical, and convincing formal presentations.

- Handles informal speaking situations effectively, *e.g.,* handles questions and answers articulately and with confidence.

Creating open communication: Listens and promotes a free flow of information and communication inside and outside the Fund.

Building relationships: Cultivates an active network of relationships inside and outside the organization; builds relationships with colleagues and coworkers at all levels of the institution based on mutual respect and trust.

- Develops a broad network inside and outside the organization to exchange ideas and gain support.

- Demonstrates sensitivity to the different perspectives, sensitivities, and customs, *e.g.,* gender, culture of others.

- Promotes fairness and consistent treatment through policy and action; confronts discrimination within work unit.

Leadership

- Considers tradeoffs and future implications of various alternatives.
- Demonstrates sound logic in arriving at a solution.
- Makes timely decisions; reaches closure despite uncertainty.

Strategic vision: Initiates programs of research and work that are consistent with the Fund's mission and broader departmental strategies; ensures that work in the short term achieves longer-term objectives.

- Identifies systemic issues and trends occurring on a global or regional basis; recognizes the impact on specific countries or clients.
- Translates vision into specific strategies, goals, and work programs of the Division.
- Recognizes when it is time to shift short-term tactics and activities to realign the work with longer-term objectives.
- Foresees future obstacles and opportunities.

Work Program

- Designs efficient work processes and methods; improves current processes and methods.
- Runs efficient and effective meetings, *e.g.,* prepares specific objectives and agendas and manages meetings to achieve them.

Drive for results: Drives for closure, results, and success; persists when faced with obstacles and challenges.

- Manages own time productively and efficiently.
- Negotiates commitments within own ability to deliver.
- Shows persistence and encourages others to persist when faced with difficult problems or challenges.
- Fulfills commitments once they are made.
- Goes beyond set goals and accepts new challenges and responsibilities.
- Demonstrates good timing in bringing discussion and analysis to a close and initiates action.
- Ensures the completion of priority tasks and activities.

Adaptability: Demonstrates openness and flexibility when faced with change; copes effectively with pressure and adversity

- Changes gears rapidly to meet shifting and competing work priorities.
- Responds quickly to crises and problems with a proposed course of action.
- Adapts to changes within the Fund and its operational methods
- Makes adjustments in response to feedback; accepts criticism constructively.

People Management

- Encourages and reinforces the effort and performance that lead to productive outcomes.
- Provides praise, encouragement, and recognition of achievements.
- Shares credit and gives opportunity for visibility.

Delegating effectively: Matches people with tasks; assigns clear accountabilities and authority; adjusts directions and support to the needs of the situation.

- Assigns tasks and accountabilities that match individuals' experience and skill.
- Distributes work among staff equitably and according to priorities and individuals' existing workload.
- Adjusts direction and support to suit individual and situational needs.
- Ensures that others have sufficient resources, authority, and support to succeed.
- Is accessible and provides assistance as necessary.
- Monitors progress and redirects staff when goals are not being met.

Fostering teamwork: Promotes collaboration and teamwork within the work unit and across departments and organization lines.

- Serves as a role model for teamwork by working collaboratively with colleagues inside and outside the organization.
- Builds consensus for and commitment to the team's mission and key goals.
- Draws on and integrates the contributions and comparative strengths of individuals.

Communication

- Listens attentively to others' positions or ideas without interrupting and before drawing firm conclusions.
- Summarizes and asks questions to clarify and gain a deeper understanding.
- Encourages others to stand up for their views and raise contrary arguments.
- Informs others within own work unit and across the organization on matters that affect them.
- Maintains a dialogue with external parties with legitimate interests in the work of the Fund, *e.g.,* other professionals, institutions, or stakeholders.

Written communication: Uses written documents and reports to communicate in an influential and effective manner.

- Writes clearly and concisely.
- Conveys complex technical concepts and policies in a straightforward series of written arguments.
- Uses effective written communications when documenting plans and actions on missions, *e.g.,* briefing, back-to-office report.
- Enhances readability and clarity of documents by using graphs, tables, and similar tools when appropriate.
- Tailors language, tone, style, and formats to match audience needs and Fund standards.

Interpersonal Skills

- Recognizes and responds to the needs and concerns of others.
- Earns trust by behaving in accord with expressed beliefs and commitments.

Country/client relations: Conducts self and leads others in ways that maximize effectiveness with country representatives or internal clients.

- Communicates, interacts, and negotiates in ways that demonstrate a clear understanding of the country or client, *e.g.,* needs, circumstances, style, culture.
- Gains commitment to and ownership of objectives or action steps through collaboration and influence.
- Delivers difficult messages and expresses disagreement effectively, *e.g.,* provides a full explanation of positions, issues, tradeoffs, and benefits.
- Makes full use of the strengths and expertise of own team to provide maximum benefits to the country or client.
- Builds consensus and resolves differences among team members and between the team and country representatives or clients.
- Seeks feedback and synthesizes key learning to shape future programs and goals and improve relations.

Leadership	Work Program	People Management	Communication	Interpersonal Skills
(See previous page)	• Learns from mistakes and pursues opportunities to improve and develop. • Supports, encourages, and demonstrates openness to innovations.	• Reinforces team accomplishments • Encourages open sharing and discussion among team members and with other groups. *Appraising and developing staff: Accurately appraises skills and expertise of staff members and recruits; guides, supports, and gives constructive feedback to enable staff to develop.* • Accurately and objectively identifies individuals' strengths and development needs. • Provides frequent, continuous feedback. • Praises success and achievements. • Addresses performance problems early, candidly, and constructively. • Provides assignments and rotations that maximize individual growth and development. • Provides on-the-job coaching and training as needed.	(See previous page)	*Negotiating and influencing: Gains support and commitment from others; resolves differences through discussing needs and proposing mutually beneficial solutions.* • Adjusts approach appropriately to others' language, culture, norms, position, title. • Prepares and rehearses positions and arguments in anticipation of and response to the positions of others. • Encourages a focus on issues, not on persons or positions. • Helps clarify underlying interests and needs. • Explains how ideas and proposals meet others' needs and concerns. • Expresses disagreement effectively; fully explains problematic issues and concerns. • Strikes a balance between asserting own position and compromising based on the needs of the situation. • Finds areas of agreement and leverages them to achieve consensus. • Works toward a solution that addresses key needs of all parties.

APPENDICES

Mark Kushner, Leadership High School, San Francisco, California.

Appendix A

INTERNATIONAL LEADERSHIP ASSOCIATION
Serving Those with a Professional Interest in Leadership

History

In November 1998 the Center for the Advanced Study of Leadership organized a conference of the Leaders/Scholars Association in Los Angeles, California. The response to the conference was so positive, and the need for an umbrella organization that serves all those with a professional interest in leadership was made so clear, that the decision was made to expand the organization even further. The Leaders/Scholars Association has metamorphosed into the INTERNATIONAL LEADERSHIP ASSOCIATION.

Preamble

When a profession reaches a certain level of maturity, it typically organizes itself into a group of like-minded colleagues. Individuals with a professional interest in leadership have not had the benefits of such a community. The International Leadership Association is designed to respond to this need.

Mission

The International Leadership Association (ILA) serves as a global network for all those with a professional interest in leadership. The ILA constituency includes, among others, leaders, managers, scholars, educators, community activists, consultants, trainers, and institutions. The ILA cuts across disciplines, sectors (private, public, not-for-profit), nations, and cultures.

Like other major professional and academic associations, the ILA is an umbrella organization that encourages the formation of subsections such as those dedicated to:

- Leadership Scholarship
- Leadership Education
- Multicultural Leadership
- Community Organizing
- Leadership Training

The ILA will meet annually toward three primary ends: *1) to generate and disseminate cutting-edge work in theory and practice; 2) to strengthen ties among those who study, teach, and exercise leadership; and 3) to serve as an arena within which those with a professional interest in leadership can share research, resources, information and, above all, ideas.*

Administration

The International Leadership Association (ILA) is administered by the Center for the Advanced Study of Leadership at the James MacGregor Burns Academy for Leadership at the University of Maryland. In the future the ILA's independent Board—to be established in the coming months—will be charged with making all decisions on matters of governance.

March 1999

INTERNATIONAL LEADERSHIP ASSOCIATION
Serving Those with a Professional Interest in Leadership

1999 Annual Meeting

Renaissance Waverly Hotel

Atlanta, Georgia

October 22-24, 1999

Call for Papers

The Center for the Advanced Study of Leadership welcomes proposals for papers, panels, workshops, and roundtables. Proposals should include: (1) a 200-word abstract that provides a clear indication of both substance and format; and (2) the full name, professional affiliation, complete mailing address, phone, fax, and e-mail address for each participant. All proposals must be postmarked by **June 1, 1999.**

Papers: Papers are written products documenting research undertaken, or arguing a particular point of view. At the conference organizers' discretion, a single paper may comprise an entire session or may be assigned to a panel with other papers.

Panels: Panels are sessions that involve the presentation of several different papers by several different authors. Panel papers should generally cohere around a particular theme.

Workshops: Workshops are sessions that involve a demonstration, application, and/or significant audience participation.

Roundtables: Roundtables are discussions among persons of contrasting and complementary points of view.

Send Proposals To:

ILA Annual Meeting, 1999
Center for the Advanced Study of Leadership
c/o The James MacGregor Burns Academy of Leadership
University of Maryland
College Park, MD 20742-7715
301/405-7920, voice
301/405-6402, fax

casl@academy.umd.edu
http://casl.academy.umd.edu

Appendix B

Additional Conference Proceedings

*The Center for the Advanced Study of Leadership's web site (*http://casl.academy.umd.edu*) contains several papers and transcripts of panel sessions from the November 1998 conference that are not included in these* Selected Proceedings. *In addition to electronic versions of the articles and keynote addresses already printed in this document, the site contains:*

"Bridge Leaders: The Impact of Cross Cultural Experiences on a Leader's Moral Repertoire"

Joanne B. Ciulla, Coston Family Chair in Leadership & Ethics, Jepson School of Leadership Studies, University of Richmond

"Leadership in the Clinton Presidency"

James MacGregor Burns, Senior Scholar, Burns Academy of Leadership, University of Maryland; Georgia J. Sorenson, Founding Director, Burns Academy of Leadership; and Scott W. Webster, Program Director, Center for the Advanced Study of Leadership, University of Maryland

"Leadership Development in Organizations"

Richard R. Brydges, Senior Associate, Institute for the Advancement of Leadership (IAL), San Diego, California; William C. Howe, Associate, IAL; Joseph C. Rost, Executive Director, IAL; and Carolyn F. Salerno, Senior Associate, IAL

"Leadership, God, and the Devil"

Patrick McDonough, Professor, Department of Theatre, California State University at Long Beach

"The Leadership of Hindu Gurus: Its Meaning and Implications for Practice"

Pearl Anjanee Gyan, Teacher, Forestburg School, Forestburg, Alberta, Canada

"The Transforming Leader: A Meta–Ethnographic Analysis"

Dean Pielstick, Business Program Coordinator, Northern Arizona University at Thatcher

Scott W. Webster (left), James MacGregor Burns (center), and Georgia J. Sorenson, all of the James MacGregor Burns Academy of Leadership, University of Maryland, College Park, Maryland.

Appendix C

1998 Conference Program

Friday, November, 13 1998

11:45 am–1:00 pm   LUNCH
(Vineyard Dining Room)

1:15 pm–1:30 pm   WELCOME
(Embassy Room)

Barbara Kellerman, *Director, Center for the Advanced Study of Leadership, Burns Academy of Leadership*

1:30 pm–2:30 pm   KEYNOTE ADDRESS
(Embassy Room)

"Public Leadership: The Unanswered Questions–Do Leadership Scholars Have the Answers?"

The Honorable Kathryn J. Whitmire
Former Mayor, Houston, Texas

2:45 pm–3:45 pm   BREAKOUT SESSIONS

(Embassy Room, Gold Room, Club Room A, Club Room B, Cardinal Room, California Room, Alumni Room)

3:45 pm–4:15 pm   BREAK

4:15 pm–5:45 pm   CONCURRENT SESSIONS

"Leadership Challenges in the New Russia"
(Club Room A)

Jan Secor, *doctoral candidate, Seattle University*
Marina V. Tyasto, *International Relations Director, Siberian Academy for Public Administration*

"Leadership in International Organizations: Lessons Learned"
(Club Room B)

Ginette Prosper, *Personnel Officer, Staff Development Division, International Monetary Fund (IMF)*
Marlene Thorn, *Deputy Division Chief, Staff Development Division, IMF*

"To Give Their Gifts: Leadership and Community Health"
(Cardinal Room)

Richard A. Couto, *Professor, Jepson School of Leadership Studies, University of Richmond*

"The Transforming Leader: A Meta–Ethnographic Analysis"
(Gold Room)

Dean Pielstick, *Business Program Coordinator, Northern Arizona University at Thatcher*

"The Woman Leader"
(Embassy Room)

Barbara Kaufman, *President, ROI Consulting Group*
Elizabeth Lang Miers, *Attorney at Locke Purnell Rain Harrell, President of Dallas Bar Association*

Marian Ruderman, *Research Scientist, Center for Creative Leadership*
Dana Williams, *Senior Director of Integrated Marketing, Southwest Airlines*

Moderator: Rose Lyn Zanville, *President, Lyn Zanville, Inc.*

6:30 pm–9:00 pm   RECEPTION AND DINNER
(Town & Gown Dining Room)

8:00 pm–9:00 pm   DINNER ADDRESS
(Town & Gown Dining Room)

"The End of Leadership"

Warren Bennis, *Founding Chairman, Leadership Institute, University of Southern California*

Saturday, November 14, 1998

7:00 am–8:15 am   CONTINENTAL BREAKFAST
(Vineyard Dining Room)

8:30 am–10:00 am   KEYNOTE ADDRESS
(Embassy Room)

"Staying Alive"

Ronald A. Heifetz, *Director, Leadership Education Project, John F. Kennedy School of Government, Harvard University*

10:00 am–10:30 am   BREAK

10:30 am–12:00 pm   CONCURRENT SESSIONS

"Bridge Leaders: The Impact of Cross Cultural Experiences on a Leader's Moral Repertoire"
(Club Room B)

Joanne B. Ciulla, *Coston Family Chair in Leadership and Ethics, Jepson School of Leadership Studies, University of Richmond*

"Empirical Explorations of a Typology of Leadership"
(Club Room A)

Henry P. Sims, *Jr., Professor, College of Business and Management, University of Maryland*
Craig L. Pearce, *Assistant Professor, University of North Carolina at Charlotte*

Collaborative Leadership
(Gold Room)

"Leadership and Collaboration: Balancing Organizational Leadership and Participation"

Nicole Oriana Singer, *Santa Barbara, California*

"Games Leaders Play-Using Process Simulations to Develop Collaborative Leadership Practices for a Knowledge-Based Society"

John P. Dentico, *President and Founder, LeadSimm*

A Good, Stumbly Run: Leadership and Moral Choices

(Cardinal Room)

"Leadership, God, and the Devil"
Patrick McDonough, *Professor, California State University at Long Beach*

"Leadership, People, and Relationships"
Joseph C. Rost, *Executive Director, Institute for the Advancement of Leadership*

"Leadership, Politics, and Where the Bodies are Buried"

The Honorable Kathryn J. Whitmire, *Former Mayor, Houston, Texas*

12:00 pm–1:15 pm	LUNCH (Vineyard Dining Room)
12:45 pm–1:15 pm	LUNCHEON ADDRESS **(Vineyard Dining Room)** **"Thinking About Leadership–Developing Leaders: The Kellogg National Leadership Journey"** Roger H. Sublett, *Director, Kellogg National Leadership Program, W.K. Kellogg Foundation*
1:45 pm–2:30 pm	KEYNOTE ADDRESS (Embassy Room) **"The Legitimacy to Lead"** Ronald Walters, *Senior Scholar and Director, African American Leadership Program, Burns Academy of Leadership*
2:45 pm–3:45 pm	BREAKOUT SESSIONS (Embassy Room, Gold Room, Club Room A, Club Room B, Cardinal Room, California Room, Alumni Room)
3:45 pm–4:15 pm	BREAK
4:15 pm–5:45 pm	CONCURRENT SESSIONS **"An Ethical Challenge for Leaders and Scholars: What Do People Really Need?"** (Cardinal Room) Douglas A. Hicks, *Assistant Professor of Leadership Studies and Religion, Jepson School of Leadership Studies, University of Richmond* Terry L. Price, *Assistant Professor of Leadership Studies, Jepson School of Leadership Studies, University of Richmond* **"From Theory to Practice: The Challenge of Developing Real Leaders"** (Embassy Room) Karen Arden, *Associate Dean, Executive and Leadership Development, Toyota University* Jay A. Conger, *Director of Research, Leadership Institute, University of Southern California*

Mike Morrison, *Dean, Toyota University*

"Leadership Development in Organizations"
(Gold Room)

Richard R. Brydges, *Senior Associate, Institute for the Advancement of Leadership (IAL)*
William C. Howe, *Associate, IAL*
Joseph C. Rost, *Executive Director, IAL*
Carolyn F. Salerno, *Senior Associate, IAL*

"The Leadership of Hindu Gurus: Its Meaning and Implications for Practice"
(Club Room A)

Pearl Anjanee Gyan, *Teacher, Forestburg School, Forestburg, Alberta, Canada*

"Leading Your Own Ship"
(Club Room B)

Sherry M. Bell, *CEO, Centre of the Future*
Marilyn E. Harris, *Vice-President for Research and Development, Centre of the Future*
Geraldine Kisiel, *Associate, Centre of the Future*
Debra Smerigan, *Director of Communications and Web Marketing, Centre of the Future*

6:30 pm	DINNER IN SANTA MONICA (on your own) Vans depart from Radisson Hotel Figueroa for Santa Monica 9:30 pm

Sunday, November 15, 1998

7:15 am–8:00 am	CONTINENTAL BREAKFAST (Vineyard Dining Room)
8:15 am–9:30 am	DISCUSSION (Embassy Room) **Leaders/Scholars Association: Prospects and Plans** Moderators: Barbara Kellerman, *Director, Center for the Advanced Study of Leadership, Burns Academy of Leadership;* Cynthia Cherrey, *Asst. Vice-President for Student Affairs, University of Southern California*
9:45 am–11:00 am	ROUNDTABLE (Embassy Room) **"Leadership in the Clinton Presidency"** James MacGregor Burns, *Senior Scholar, Burns Academy of Leadership, University of Maryland* Georgia J. Sorenson, *Founding Director, Burns Academy of Leadership* Scott W. Webster, *Program Director, Center for the Advanced Study of Leadership, Burns Academy of Leadership*
11:15 am–11:30 am	CONCLUSIONS (Embassy Room)
11:45 am–1:00 pm	LUNCH (Vineyard Dining Room)

Appendix D

Contributors

John A. Beineke serves as Associate Director of the Kellogg National Leadership Program at the W.K. Kellogg Foundation. Previously, he was dean of the School of Education at Kennesaw State University in Marietta, Georgia.

Warren Bennis is Founding Chairman of the Leadership Institute at the University of Southern California. His most recent book is *Co-Leaders: The Power of Great Partnerships* (John Wiley & Sons, 1999), with David A. Heenan.

Richard A. Couto is Professor of Leadership Studies at the Jepson School of Leadership Studies at the University of Richmond. His publications on community and social movement leadership include *Lifting the Veil: A Political History of Struggles for Emancipation* (University of Tennessee Press, 1993).

Ronald A. Heifetz serves as Director of the Leadership Education Project at Harvard University's John F. Kennedy School of Government. Heifetz is author of *Leadership Without Easy Answers* (Belknap/Harvard University Press, 1994) and, along with Marty Linsky, of the forthcoming *Staying Alive: Inner Disciplines of Leadership.*

Douglas A. Hicks is Assistant Professor of Leadership Studies and Religion at the Jepson School of Leadership Studies at the University of Richmond. His latest manuscript, *Inequality and Christian Ethics,* is under review by Cambridge University Press.

Barbara Kellerman is Director of the Center for the Advanced Study of Leadership at the James MacGregor Burns Academy of Leadership at the University of Maryland. Her most recent book is *Reinventing Leadership: Making the Connection Between Politics and Business* (State University of New York Press, 1999).

Terry L. Price is Assistant Professor of Leadership Studies at the Jepson School of Leadership Studies at the University of Richmond. He has published articles in *Philosophical Studies* and *Criminal Justice Ethics.*

Marie G. Prosper serves as Personnel Officer at the International Monetary Fund in Washington, D.C. Fluent in English, French, and Spanish, she has worked with multidisciplinary and international groups in France, Haiti, and the United States.

Joseph C. Rost is Executive Director of the Institute for the Advancement of Leadership in San Diego, California. Professor Emeritus in the School of Education at the University of San Diego, he is the author of *Leadership for the Twenty-First Century* (Praeger, 1991).

Roger H. Sublett serves as Director of the Kellogg National Leadership Program at the W.K. Kellogg Foundation. Prior to joining the Kellogg Foundation, he was associate vice-president for academic affairs at the University of Evansville, Indiana.

I. Marlene Thorn is Deputy Division Chief of the Staff Development Division at the International Monetary Fund in Washington, D.C. She has published articles in the area of human resource development and management.

Ronald Walters is Senior Scholar at the James MacGregor Burns Academy of Leadership at the University of Maryland, where he also serves as Director of the African American Leadership Program. He is author, with Robert C. Smith, most recently, of *Black Leadership: Theory, Research, and Praxis* (State University of New York Press, 1999).

Scott W. Webster serves as Program Director of the Center for the Advanced Study of Leadership at the James MacGregor Burns Academy of Leadership at the University of Maryland. He is author, with James MacGregor Burns, *et al.,* of the forthcoming *Dead Center: Clinton-Gore Leadership and the Perils of Moderation* (Scribner, 1999).

Kathryn J. Whitmire is Senior Fellow at the James MacGregor Burns Academy of Leadership at the University of Maryland. A member of the Board of Directors of the New York Stock Exchange since 1995, she served as mayor of Houston, Texas from 1982-1991.

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