

Date: November 7, 2006

To: Professional Development Series Participant



From: Harry Hellenbrand
Provost and Vice President for Academic Affairs

Subject: November 27, 2006 Session on Leadership

Please join me at the fourth session in the Provost's Professional Development Series, where we will be discussing *Leadership*.

I am enclosing a set of notes I would like you to read in advance of the meeting. The session will take place on Monday, November 27, 2006, from 9:00 a.m. to 1:00 p.m., in the University Student Union, Grand Salon. A continental breakfast and lunch will be provided.

I hope you will take the opportunity to join your colleagues in this fourth session of our series. Your active participation is essential to our success. **Please RSVP to Jean Porter, Academic Resources, x3735, email: jean.porter@csun.edu no later than Friday, November 17, 2006.**

HH/jp
Enclosures

**ADVANCE NOTES
for
November 27, 2006
Professional Development Session**

***GETTING THE BEST FROM THE BEST II:
LEADERSHIP***

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FOREWORD

This session in the Provost's Professional Development Series is entitled "Getting the Best from the Best II: Leadership." Dr. Rex Mitchell, Chair of the Department of Management, graciously agreed to prepare these notes to help orient participants to the literature on leadership before our next session. In these notes you will find references to some of the best thinking about leadership that is available today. (Even those of you who are "well versed" in the literature on leadership could use a review once in a while.)

So, I ask you to set aside some time between now and our meeting on November 27th to read these materials.

We will have the opportunity to discuss leadership in our own roles at our upcoming session. But, keep in mind that leadership is not a role. Titles do not make leaders. We exhibit effective leadership characteristics through our actions. Leadership is personal.

Interestingly, the literature continues to debate several aspects of leadership, and Dr. Mitchell does a good job of describing some of these issues. For example, how do we contrast management and leadership? Are leaders born or can we train folks in leadership skills?

At the session itself, President Koester and I will give you our thoughts on leading at CSUN. You will also be doing a group exercise that will be facilitated by Dr. Rick Castallo, Chair of the Department of Educational Leadership and Policy Studies and Dr. Mitchell. You will have the opportunity to work in groups with colleagues from throughout the division—so come prepared to share and network!

Regards,



Harry Hellenbrand
Provost and Vice President for Academic Affairs

LEADERSHIP

The future has no shelf life. - Warren Bennis, 2001

One cannot manage change. One can only be ahead of it, or as close to this as possible. Therefore, leader-managers need to develop an orientation and necessary skills to stay up with the next waves. – Peter Drucker

Leadership has been of interest since ancient times and a topic of endless writings by many people; for example, a Google search on the word brings up nearly 19 million items. Many definitions of leadership and various theories and paradigms about leadership and leaders have been proposed. These notes are intended to provide a review of some important concepts from the field, charting a centrist course that is representative of theories that have wide support.

WHAT IS LEADERSHIP?

The second edition of the most widely published book on leadership in history (Kouzes & Posner, 1995, p.30) offered this definition:

Leadership is the art of mobilizing others to want to struggle for shared aspirations.

Note the important words, *mobilizing others, want to, shared*. Effective leadership produces commitment, rather than compliance. “Excellence rises from within; it can't be imposed from without.” The unique role of leaders is to “venture into unexplored territory and guide us to new and unfamiliar destinations.” It has been said that a leader is someone we will follow to places we would not, perhaps could not, go by ourselves (Kouzes & Posner, 1995, 2002). They also believe that “leadership is a relationship”—between those who aspire to lead and those who choose to follow. “The first responsibility of a leader is to define reality. The last is to say thank you. In between, the leader is a servant.” (DePree, 2003, p.9)

Further, they believe that the domain of leaders is the future: “The most significant contribution leaders make is not simply to today's bottom line; it is to the long-term development of people and institutions so they can adapt, change, prosper,

and grow” (p.20). The opening quote by Bennis emphasizes the increasing uncertainty in the future and the associated challenges for leaders.

What if Warren Bennis is right, that the future has no shelf life? What if what worked yesterday will no longer work tomorrow-what can we do? Some are likely to respond with paralysis. Others... view this inevitability as a challenge—an opportunity for personal and organizational growth and change—engaging our imaginations and getting our creative juices flowing. Those who can foresee these challenges and respond to them confidently and creatively will have a huge competitive advantage over those who hide their heads in the sand or remain indifferent (Spreitzer & Cummings, 2001, p.241).

Leaders and Managers

Much has been written about distinctions between leaders and managers. Although some argue that it is not useful to view this as a dichotomy, it can be instructive to emphasize the contrast for heuristic purposes. Bennis (1989, p. 45) offers the following:

- The manager surrenders to the context, the leader masters it.
- The manager administers; the leader innovates.
- The manager is a copy; the leader is an original.
- The manager maintains; the leader develops.
- The manager focuses on systems and structure; the leader focuses on people.
- The manager relies on control; the leader inspires trust.
- The manager has a short-range view; the leader has a long-range perspective.
- The manager asks how and when; the leader asks what and why.
- The manager has an eye on the bottom line; the leader has an eye on the horizon.
- The manager imitates; the leader originates.
- The manager accepts the status quo; the leader challenges it.
- The manager is the classic good soldier; the leader is his/her own person.
- The manager does things right; the leader does the right thing.

Bennis goes on to contrast education and training:

<i>Education</i>	<i>Training</i>
inductive	deductive
tentative	firm
dynamic	static
understanding	memorizing
ideas	facts
broad	narrow
deep	surface

experiential	rote
active	passive
questions	answers
process	content
strategy	tactics
alternatives	goal
exploration	prediction
discovery	dogma
active	reactive
initiative	direction
whole brain	left brain
life	job
long-term	short-term
change	stability
content	form
flexible	rigid
risk	rules
synthesis	thesis
open	closed
imagination	common sense
THE SUM: <i>LEADER</i>	<i>MANAGER</i>

Bennis editorializes that much of education emphasizes the list on the right, “And that’s unfortunate. Training is good for dogs, because we require obedience from them. In people, all it does is orient them toward the bottom line.” As Tom Peters advocates, “leaders don’t create followers, they create more leaders.”

Are Leaders Born or Made?

This core question in the leadership field has spawned much debate over the relative importance of individual traits and the environment and experiences. There is good evidence that both individual qualities and environmental factors are important, as concluded by many experts in the field, e.g., Manning & Curtis, 2007, Hughes, Ginnett, & Curphy (2006), Lussier & Achua (2004), and Kouzes & Posner, 2002:

It’s our collective task to liberate the leader within each and every one of us. Rather than view leadership as an innate set of character traits—a self-fulfilling prophecy that dooms society to having only a few good leaders—it’s far healthier and more productive to assume that it’s possible for *everyone* to learn to lead. (p.387)

It is also clear that cultural factors (Bass & Stogdill, 1990) and contingency factors (Dubrin 2004) affect leadership. The same individual may exercise effective leadership in one time, place, and situation and not in another.

Despite contingency effects, there seems to be a fair degree of consensus on characteristics we look for and admire in leaders. Kouzes & Posner (2002, p.25) reported results from over 75,000 individuals (the numerical column gives the percentage of respondents selecting that characteristic as one of their top seven):

Honest	88
Forward-looking	71
Inspiring	66
Competent	65
Intelligent	47
Fair-minded	42
Broad-minded	40
Supportive	35
Straightforward	34
Dependable	33
Cooperative	28
Determined	24
Imaginative	23
Ambitious	21
Courageous	20
Caring	20
Mature	17
Loyal	14
Self-controlled	8
Independent	6

They found that this selection of top characteristics of admired leaders was very consistent over two decades of time and across many countries in six continents. Note that these characteristics are observed and experienced through behaviors of leaders, rather than being inherent traits.

CREDIBILITY AND INTEGRITY

*Leadership is not by itself good or desirable.
Leadership is a means. Leadership to what
end is thus the crucial question.*
- Peter Drucker

Three of the top four characteristics in the preceding list - honest, inspiring, competent - are a pretty good set of components of *credibility*, which Kouzes & Posner believe is “the foundation of leadership” (2002, p.32).

Above all else, we must be able to believe in our leaders. We must believe that their word can be trusted, that they’ll do what they say, that they’re personally excited and enthusiastic about the direction in which we’re headed, and that they have the knowledge and skill to lead. ...If you don’t believe in the messenger, you won’t believe the message.

Bennis (1989, p.160) talks about the importance of trust in both getting people on your side and having them stay there. He identifies four ingredients leaders have that generate and sustain trust: constancy, congruity, reliability, and integrity. He maintains that “these are things that can’t be taught; they can only be learned.”

Kouzes & Posner (2002, p.37) offer another straightforward prescription for leaders who want to establish credibility: DWYSYWD (Do What You Say You Will Do).

Credibility is hard to earn and sustain; this takes continual effort over an extended period of time. In contrast, credibility is easy to lose--this can happen with a single action—and is almost impossible to regain.

We are willing to follow credible leaders, to a considerable extent because of how they make us feel when working with them. Kouzes & Posner (2003) analyzed the themes that were expressed in over 400 case examples of admired leaders. The ten words used most frequently were:

valued
motivated
enthusiastic
challenged
inspired
capable
supported
powerful
respected
proud

It would be interesting to compare this list with how you have felt when working with some of your most admired leaders. It could be sobering to introspect honestly on how well and often we create such feelings in those we lead.

Bennis (1989) stresses the importance of *integrity*, as a basic ingredient of leadership, and identifies three essential parts of integrity: self-knowledge, candor, and maturity.

"Know thyself," was the inscription over the Oracle at Delphi. And it is still the most difficult task any of us faces. But until you truly know yourself, strengths and weaknesses, know what you want to do and why you want to do it, you cannot succeed in any but the most superficial sense of the word... Candor is the key to self-knowledge. Candor is based in honesty of thought and action, a steadfast devotion to principle, and a fundamental soundness and wholeness....

Integrity is the basis of *trust*, which is not as much an ingredient of leadership as it is a product. It is the one quality that cannot be acquired, but must be earned. It is given by co-workers and followers, and without it, the leader can't function. (p.40-41)

In a wonderful article, "The Insufficiency of Honesty," Stephen Carter (1996) argued convincingly that honesty is necessary, but not sufficient, for integrity. He identified three additional components necessary for integrity:

- Discerning what is right and what is wrong
- Acting on what you have discerned, even at personal cost
- Doing no harm

The first additional component adds a requirement for careful evaluation and moral reflection. A racist may "honestly" state what he believes, but this does not measure up to integrity. The second brings in the need for courage and willingness to subordinate one's self-interests for greater good; it includes keeping one's commitments. The third component extends the second and reminds us to use discernment and discretion; telling everything you know indiscriminately may harm someone else, even if this is not your intention. "Honesty is most laudable when we risk harm to ourselves; it becomes a good deal less so if we instead risk harm to others when there is no gain to anyone other than ourselves." Taken together, these mean that "a person of integrity can be trusted."

Bennis (2003) maintains: "The integrity of trusted leaders is unquestionable. We tend to trust leaders who stand for a higher moral order and who demonstrate their ethics and values through actions we can observe." (p.145)

POWER

Power and, especially, “politics” are often viewed as inherently negative and to be avoided. It is much more appropriate to view power as “the potential ability to influence behavior, to change the course of events, to overcome resistance, and to get people to do things that they would not otherwise do” and politics and influence as the processes, the actions, the behaviors through which this potential power is utilized and realized (Pfeffer, 1994, p.30). Without power, leaders could not mobilize others to want to struggle for shared aspirations, (which was our working definition of leadership earlier).

Certainly power can be abused; however, a leader acting with integrity will avoid this assiduously. It is interesting that when we use power ourselves, we see it as a good force and wish we had more. When others use it against us, particularly when it is used to thwart our goals or ambitions, we see it as an evil. A more sophisticated and realistic view would see it for what it is - an important social process that is often required to get things accomplished in interdependent systems. (Pfeffer, 1994, p.16)

Sources of Power

Much has been written about the various sources of power and influence. Many lists and taxonomies have been suggested since the five sources in the classic paper by French & Raven fifty years ago. Listed below are five power source categories that are a reasonable synthesis of those in the current literature:

- *Formal authority*: that vested by position in an organization or society
- *Resources*: control, acquisition, and creation—giving ability to reward and punish
- *System connections & positioning*: centrality, political access, visibility, relevance (alignment), criticality, discretion, non-substitutability
- *Expertise*: including information, performance, professional credibility, and fit with situational/organizational requirements
- *Personal*: charisma, attractiveness, personal reputation, energy, stamina, focus, determination, communication skills, flexibility, willing and able to engage and confront, willing to let others get credit

Effective leaders make use of multiple sources of power, and do not rely overly on formal authority. “Institutional processes place individuals ‘in power.’ This does not mean they really have it, but, rather, that they have a license to take it” (Berle, 1969, p.54). Effective leaders understand the relative advantages and disadvantages of the different power sources, and they selectively emphasize one or a combination in a given

situation, depending on the characteristics of that situation and their particular objectives.

Leaders in well-functioning organizations have strong influence over their subordinates, but they are also open to being influenced by them. High degrees of reciprocal influence between leaders and followers characterize the most effective organizations.

Leaders vary in the extent to which they share power with subordinates. Some leaders seem to view their power as a fixed resource that, when shared with others, reduces their own portion; they see power in zero-sum terms. Other leaders see power as an expandable pie; they see the possibility of increasing a subordinate's power without reducing their own. There is good reason to believe that power is not a zero-sum entity, and to agree with Berle's (1969) conclusion that leaders can increase their power through appropriate delegation of power to others.

DEVELOPING LEADERSHIP SKILLS

A very practical framework for thinking about and developing improved leadership skills is offered by Kouzes & Posner (2002), organized around the following five leadership Practices, each of which involves two leadership Commitments. How can I use these to work on my leadership skills? I could use these authors' LPI survey to get 360-degree feedback on my relative use of each of these five Practices, then create and implement a development plan to work on one of the least-developed Practices. More simply, I could use some other way to identify one of the Practices for initial work, even just using my own intuition to select a Practice for focused attention. Some examples of actions for each of these ten Commitments follow the initial list.

Model the Way

1. Find your voice by clarifying your personal values.
2. Set the example by aligning actions with shared values.

Inspire a Shared Vision

3. Envision the future by imagining exciting and ennobling possibilities.
4. Enlist others in a common vision by appealing to shared aspirations.

Challenge the Process

5. Search for opportunities by seeking innovative ways to change, grow, and improve.

6. Experiment and take risks by constantly generating small wins and learning from mistakes

Enable Others to Act

7. Foster collaboration by promoting cooperative goals and building trust.
8. Strengthen others by sharing power and discretion.

Encourage the Heart

9. Recognize contributions by showing appreciation for individual excellence.
10. Celebrate the values and victories by creating a spirit of community.

Some Actions to Develop Skill in and Implement Each of These Ten Commitments

Commitment 1: Find Your Voice by Clarifying Your Personal Values

- Look in the mirror
- Take time for contemplation
- Write a tribute to yourself
- Record the lessons from the leaders you admire
- Write your credo and engage in a credo dialogue and assessment
- Collect stories that teach values

Commitment 2: Set the Example by Aligning Actions with Shared Values

- Create alignment around your key values
- Speak about shared values with enthusiasm and confidence - even drama
- Teach and reinforce through symbols and artifacts
- Lead by storytelling, and put storytelling on your meeting agendas
- Keep score and do a personal audit

Commitment 3: Envision the Future by Imagining Exciting And Ennobling Possibilities

- Read a biography of a visionary leader
- Think about your past
- Determine the "something" you want to do
- Write an article about how you've made a difference
- Write your vision statement
- Become a futurist
- Test your assumptions
- Rehearse with visualizations and affirmations

Commitment 4: Enlist Others in a Common Vision by Appealing to Shared Aspirations

- Get to know your constituents
- Find the common ground
- Draft a collective vision statement
- Expand your communication skills
- Breathe life into your vision

- Speak from the heart
- Listen first—and often
- Hang out

Commitment 5: Search for Opportunities by Seeking Innovative Ways to Change, Grow, and Improve

- Treat every job as an adventure
- Seek meaningful challenges for yourself
- Find and create meaningful challenges for others
- Add fun to everyone's work
- Question the status quo
- Renew your teams
- Create an open-source approach to searching for opportunities
- Send everyone shopping for ideas

Commitment 6: Experiment and Take Risks by Constantly Generating Small Wins and Learning from Mistakes

- Set up little experiments and develop models
- Make it safe for others to experiment
- Break mindsets
- Give people choices
- Look for reasons to say “yes”
- Admit your mistakes
- Conduct pre- and postmortems for every project

Commitment 7: Foster Collaboration by Promoting Cooperative Goals and Building Trust

- Conduct a collaboration audit
- Be the first to trust
- Ask questions, listen, and take advice
- Always say we
- Create jigsaw groups
- Focus on gains, not losses
- Make a list of alternative currencies
- Take a lot of human moments
- Create places and opportunities for informal interactions

Commitment 8: Strengthen Others by Sharing Power and Discretion

- Offer visible support
- Assign critical tasks
- Enrich people's jobs
- Use modeling to develop competencies
- Stop talking and start building at staff meetings

- Enlarge people's spheres of influence
- Educate, educate, educate
- Create a learning climate

Commitment 9: Recognize Contributions by Showing Appreciation for Individual Excellence

- Be creative about rewards
- Make recognition public and make the recognition presentation meaningful
- Provide feedback en route
- Be a Pygmalion
- Foster positive expectations
- Find people who are doing things right
- Don't be stingy about saying "thank you"

Commitment 10: Celebrate the Values and Victories by Creating a Spirit of Community

- Schedule celebrations
- Install a public "Bragging Board"
- Create a commemorative award honoring exemplary actions
- Demonstrate caring by walking around
- Show passion and compassion
- Be a cheerleader - your way
- Have fun
- Set the example - plan a celebration right now

A leader is best when people barely know he exists. Not so good when people obey and acclaim him. Worse when they despise him. "Fail to honor people, they fail to honor you;" But of a good leader, who talks little, when his work is done, his aim fulfilled, they will say, "We did this ourselves." - Lao-tse, Tao Te Ching

LEADERSHIP DEVELOPMENT IS SELF-DEVELOPMENT

We must become the change we wish to see in the world. - Mahatma Gandhi

*It's not so much what we **do** as what we **are** that counts.* - Richard Farson

The title of this section is taken from the last chapter of Kouzes & Posner (2002).

They elaborate on this thesis:

Leaders have only themselves. ...The instrument of leadership is the self, and mastery of the art of leadership comes from mastery of the self. Self-development is not about stuffing in a whole bunch of new information or trying out the latest technique. It's about leading out of what is already in your soul. It's about liberating the leader within you. ...The quest for leadership is first an inner quest to discover who you are. Through self-development comes the confidence needed to lead. (p.380)

They offered a complementary framing in an earlier (1999) book:

Leadership doesn't depend on mystical qualities or inborn gifts but rather on the capacity of individuals to know themselves, their strengths, and their weaknesses, and to learn from the feedback they get in their daily lives—in short, their capacity for self-improvement. (p.33)

The following remarks from two Kouzes & Posner books are particularly worth contemplative reflection and application:

Encouraging the Heart is ultimately about keeping hope alive. Leaders keep hope alive when they set high standards and genuinely express optimism about an individual's capacity to achieve them. They keep hope alive when they give feedback and publicly recognize a job well done. They keep hope alive when they give their constituents the internal support that all human beings need to feel that they and their work are important and have meaning. They keep hope alive when they train and coach people to exceed their current capacities. Most important, leaders keep hope alive when they set an example. There really is nothing more encouraging than to see our leaders practice what they preach. (1999, p. xx)

The secret to success in life is love. The best-kept secret of successful leaders is love: staying in love with leading, with the people who do the work, with what their organizations produce, and with those who honor the organization by using its work. Leadership is not an affair of the head. ***Leadership is an affair of the heart.*** (2002, p.399)

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