DISCOVERING THE LEADER WITHIN:

LEARNING LEADERSHIP THROUGH SERVICE

~ Second Edition ~

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Table of Contents

Strategic Planning

The Purpose of this Workbook

Discovering the Leader Within: Learning Leadership through Service (2nd edition) is intended to be resource guide for students participating in a service-learning course in leadership studies. More precisely this workbook is designed to enhance the reflection and assessment components of students' service-learning projects. Students will be challenged to develop in all aspects of human development: _cognitive_, _behavioral_ and _affective_ domains. Students will be challenged _cognitively_ in exploring the capacities of being knowledgeable about the leadership process; _behaviorally_ in making use of new skills to demonstrate their leadership abilities; and _affectively_ in examining one's own attitudes and self-efficacy in affecting positive change for the common good.

This workbook contains three primary sections. Section One delves into an examination of service-learning as teaching and learning model. It addresses the basic questions of who, what, where, when and why of service-learning as a pedagogical model. Further, this section will provide tools to assist students to engage in reflective practice in order to unpack important lessons learned from the service experience.

Section Two reviews theories and behaviors associated with leadership processes. It includes overviews of the major traditions of leadership theory. Additionally, it offers several skills and behaviors commonly associated with the leadership process.

Section Three provides a detailed framework for strategic planning. This section includes tools to first examine the nature of community problems and understand their root causes. Further it will assist students in creating effective vision and mission statements for their identified community need as well as to developing appropriate objectives and action steps aimed at addressing the community needs. This section also includes several practical examples from previous LDRS 310 projects.

What is Service-Learning?

Service-learning is a method of teaching and learning that integrates community service into academic curricula that expands the learning of students from the classroom to the community (Fort Hays State University, 2007). The Fort Hays State University defines service- learning as a method of teaching and learning that integrates community service activities into academic curricula and expands the learning of students from the classroom to the community (FHSU, 2007).

As stated in your course syllabus, this is an academic service-learning course which is a culmination the Leadership Studies certificate. Service-learning is not merely providing service to others. It is a unique learning experience in which the learning is reciprocated during the service. The four basic components of any service-learning project are *Preparation*, *Action*, *Reflection* and *Assessment*.

Preparation

Prior to entering into the main interaction with community members to address the social need, students must prepare by becoming mindful of several important elements. First, it is important to contemplate the nature of the social problem and how it impacts community members. It is also important for students to identify with individuals who experience the social problem and ponder the capacities they possess that could be leveraged to effect social change.

Action

Action refers to the actual interaction or service performed by students. In some classes, the service experience may be brief (e.g., for several hours) while in other classes, it may include a semester-long project. The service experience in the LDRS 310: Fieldwork in Leadership Studies is an example of what is expected to be a semester-long service project.

Reflection

Reflection is a defining feature of service-learning and what differentiates it from volunteerism or community service. For service-learning to be effective and achieve deep learning, students must reflect critically on their attitudes and experiences. Reflection can be written (journals or essays), oral (small group or class discussion) or a combination of written and oral.

More information about reflection and how it can be used within the context of the LDRS 310: Fieldwork in Leadership Studies course will be provided in the following section, entitled *Reflective Practice*.

Assessment

Assessment is "the process of gathering information in order to make an evaluation. An evaluation is a decision or judgment about whether an effort is successful and to what extent that effort has or has not met a goal" (Campus Compact). Within the context of service-learning, assessment is classified in two general categories: 1) assessment prior to completing the service project ("assessment of assets and needs"); and 2) assessment after completing the service experience ("assessment of impact") (FHSU, 2007).

Assessment of Assets and Needs (before service)

- What are the community's assets and needs?

- What are a particular agency's assets and needs?

- What are your assets and needs as a learner in this course?

- What are your assets and needs as a member of society?

Assessment of Impact (after service)

- Did you and the agency meet the goals for the project?

- Did you learn what you set out to learn?

- Did your attitudes, beliefs, or values shift in any way?

Classifying assessment activities into categories such as *before* and *after* can be somewhat misleading. Some may find themselves reevaluating assets and needs during the Action phase of the service experience when students increased involved leads to increased understanding of self, others or the social issues.

Preparation for the Service-Learning Experience

Prior to entering into the main activities of the service experience, we invite students to contemplate and respond to important questions about one's self, others, and the social issues.

Questions to be answered as you start the Fieldwork course

- □ What is service-learning? How is it different form volunteerism?

- □ How do you think service-learning contributes to the learning process?

- □ Why is service-learning a good fit for a leadership class?

- □ Why do you serve?

- □ What do you want to gain from this service-learning experience?

Questions to be answered as you identify the context of the service project and social issue to be addressed through the service project

- □ What are the community's assets and needs?

- □ What are a particular agency's assets and needs?

- □ What are your assets and needs as a learner in this course?

- □ What are your assets and needs as a member of society?

Reflective Practice

Recall from our understanding of service-learning. Service-learning is "a method of teaching and learning that integrates community service activities into academic curricula and expands the learning of students from the classroom to the community" (FHSU, 2018). Service- learning is the intersection of an academic experience with service activities which promote personal growth and development (see Figure: Service-Learning Learning Goal Categories).
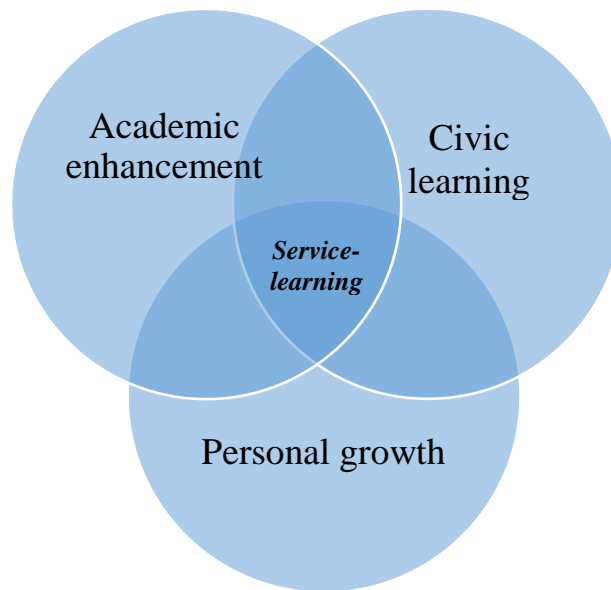
Figure: Service-Learning Learning Goal

Reflection is an essential part of the service-learning experience. Reflection is defined as "the process whereby we construct and making meaning of our experiences" (Guthrie & Jenkins, 2018, p. 205). Similarly, Schon (1983) emphasizes the link between reflection and action as he defines reflection as "a continual interweaving of thinking and doing" (p, 281). In essence, reflection is the process of critically thinking about our behaviors, attitudes, beliefs and values (Roberts, 2008) and is used as a way to integrate theory to practice, as well as stimulate insight and new discoveries about ourselves (Mezirow, 1998). Therefore for reflection to achieve the deep learning, it must make interconnections between academic concepts, the service experience and one's self.
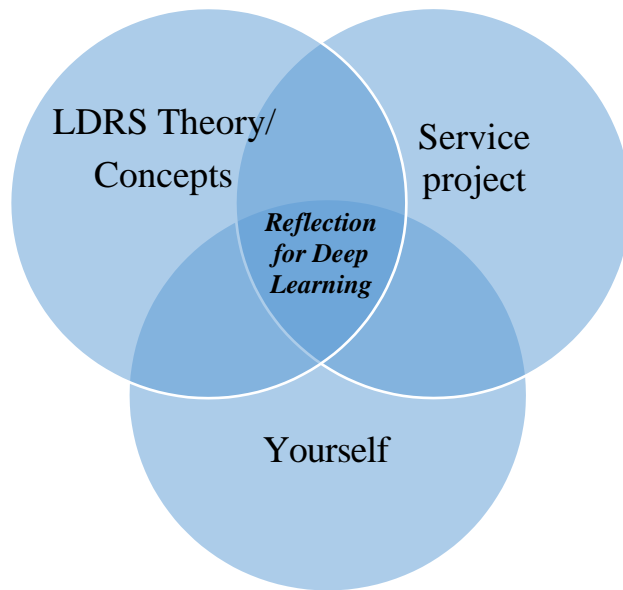
Reflection typically is a continuous process that occurs *before*, *during* and *after* the service experience. Reflecting *before* the experience students may consider questions such as "Why did you choose this service project?" or "What do you expect from the service experience?" *During* the service activity students can document their experiences and contemplating the connections between leadership concepts and the project as well as to explore their own feelings and attitudes regarding the service experience. *After* the service activity is an excellent time for students to respond to their earlier reflections and compare their initial expectations and the actual experience. Additionally, it is important for students to explore personal changes they intend to make or how they will handle things differently when encountering similar situations.

Perhaps the most helpful model for reflection that has been used across a wide variety of service-learning experiences is the DEAL model (Ash & Clayton, 2009). DEAL consists of three sequential steps:

☐ **D**escription of experiences in an objective and detailed manner

☐ **E**xamination of those experiences in light of specific learning goals

☐ **A**rticulation of **L**earning which describes goals for future action that can be taken forward into the next experience.

The first step in the DEAL model is to develop an objective and detailed description of a critical incident from the service experience. "Critical" simply refers to something that was crucial or significant to you. The next step, Examination, requires one to move beyond the simple summary of the experience by expressing the critical incident in reference to important learning objectives. The third step helps individuals capture their learnings in order to improve the quality of their learning and future actions. This final step typically consists of four prompts: 1) What did I learn?; 2) How did I learn it?; 3) Why does it matter?; and 4) What will I do in light of it?

Description
Think of a critical incident from the project experience to this point of the semester. Describe the situation. What happened?

Examine
What assumptions or expectations did I bring to the situation? How did they affect what I did or didn't think, feel, decide or do? To what extend did they prove true? If they did not prove true, why was there a discrepancy?
How did this experience make me feel (positively and/or negatively)? How did I handle my emotional reactions? Should I have felt differently? Why or why not?
How did I interpret the thoughts, feelings, decisions, and/or behaviors of others? What evidence do I have that my interpretations were or were not accurate?
In what ways did I succeed or do well in this situation (e.g., interacting with others, accomplishing tasks, handling difficulties) and what personal characteristics helped me to be successful (e.g., skills, abilities perspectives, attitudes, tendencies, knowledge)? In what ways did I experience difficulties (e.g., interacting with others, accomplishing tasks) and what personal characteristics contributed to the difficulties (e.g., skills, abilities, perspectives, attitudes, tendencies, knowledge)? • *Consider relevant leadership concepts (LDRS 300) and/or behaviors (LDRS 302)to inform how you interacted within the situation.*
How did this situation challenge or reinforce my values, beliefs, convictions (e.g., my sense of right and wrong, my priorities, my judgments)? My sense of personal identity (e.g., how I think of myself in terms of gender, socioeconomic status, age, education level, ethnicity, etc.)?

Adapted from Ash & Clayton (2009) Critical Reflection and Applied Learning (p. 44)

Articulation of **L**earning
What did I learn?   • Identify and explain (so that someone who doesn't know you can understand it) a personal characteristics that you are beginning to understand better.   • Express the learning in general terms, not just in the context of the experience, so that it can be applied more broadly to other areas of your life (personally or professionally) and help you in your ongoing personal growth process.   • Introduce a judgment regarding whether the characteristic serve you well (and thus needs to be capitalized on) or poorly (and thus needs to be changed) – or both.
How did I learn it?   • Clearly connect the learning to your specific applied learning activities so that someone who was not involved would understand, including discussion of the positive and negative impacts of the personal characteristic.
Why does it matter?   • Consider how the learning has value over the short and long term, both in terms of your applied learning activities and in terms of your life more generally.
What will I do in light of it?   • Set specific goals and assessable goals (that you could come back to and check on to see if they are being met) relative to this learning over the short and long-term.   • Consider the benefits and challenges associated with fulfilling these goals, especially in light of the sources of or reasons for the characteristic.

Adapted from Ash & Clayton (2009) Critical Reflection and Applied Learning (p. 46)

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Leadership Theories:

A Review of LDRS 300
Introduction to Leadership Concepts

The Study of Leadership

Throughout history, people have worked to change the world in meaningful ways. Significant change, though, rarely happens through the hands of the individual, but rather through the work of groups of people (Malott, 2015). These meaningful changes that have occurred are a byproduct of leadership. The study of leadership has evolved through the course of history. Many studies of leadership dating back to the late nineteenth and early twentieth centuries focused more on what the leaders did than on the process of leadership (Crawford, Brungardt, & Maughan, 2005). Through time and the evolution of understanding of human behavior, the study of leadership has evolved as well. Contemporary scholars in the academic discipline of leadership studies have asserted that leadership is much more of a relationship and process that occurs between leaders and followers as opposed to simply the acts or condition of a single person (Blanchard & Miller, 2009; Kotter, 2012; Kouzes & Posner, 2007; Northouse, 2013; The Arbinger Institute, 2010).

Joseph Rost (1993) defined leadership in his book *Leadership for the Twenty-First Century* as "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (p. 102). This definition has been the backbone for the study of leadership in the Department of Leadership Studies at Fort Hays State University. The study of leadership has identified a multitude of traits and behaviors involved in leadership that are deemed as essential under varying circumstances. This being stated, there has not yet been any set of traits or behaviors that are considered universally essential simply due to the situational nature of leadership (Crawford, et. al., 2005).

Leadership has rivaled in age the emergence of humankind. Even in the most primitive societies leadership occurred in some capacity. Through the course of history and evolution of humanity, the nature and construct of leadership has changed significantly. The history of leadership is segmented into different eras. These eras are representative of human behavior and interaction in their respective times.

The earliest era of leadership is known as the *Tribal Era of Leadership*. Tribal Leadership is thought of as beginning with the dawn of man and extending to roughly Old Testament times. In this era of leadership, leaders were thought of as being skilled experts in some facet. Usually those who were the strongest and most skilled at survival were considered to be the best fit for the role of leadership.

The *Pre-Classical Era of Leadership* began during biblical times and progressed through what is referred to as the enlightenment (1600's-1700's). Leadership during this era was primarily concerned with management of fear of the unknown. Simply surviving was not enough; during this period, thoughts of the afterlife and what awaited man after earth were paramount. Chiefs, priests, and kings who were said to "have an ear of the Gods" were given substantial power. This idea, known as 'divine right' was a major factor in the Pre-Classical Era of Leadership.

The era of *Classical Leadership* begins with the enlightenment and moves to the early to mid-19 th Century . A shift from surviving, or simply managing fear of the unknown, to a focus on production, and efficiency characterize this era. Classical leadership is directed at creating stability at all costs. Change is the enemy in this era; leaders existed as figureheads who increased production regardless of human cost. Classical leaders believed heartily that workers, if left to their own devices would do nothing. If it were not for leaders to take charge, impose structure, and stabilize organizations, nothing would be accomplished.

Beginning in the late 19th century and extending through the early 2000's the *Progressive Era of Leadership* came to be. In this era, people and organizations began to see that the only way to stay current was to exist in a constant state of change. This idea, which was once feared, was the hallmark of this era. Effective leaders in the Progressive Era were known for their vision and adaptability to circumstances beyond control. Organizations capable of transforming were the ones that survived; this became exceedingly relevant with the increased globalization that occurred with the advent of the internet.

Current times are known as the *Post Progressive Leadership Era*. Leadership today is seen as having more utility than simply in a business or production context. The idea of leadership as a social change construct emerged through this era. Literature views the process of leaders and followers working together to address communal issues as the driving purpose of the leadership relationship.

Leadership and Management

Historically, in the development of management theory, leadership was commonly perceived as a subset of management activity (Mintzberg, 1973). However, other scholars disputed and elevated the importance of leadership by persuasively describing leadership and management as distinct and separate activities. Kotter (1990) established a framework demonstrating the differences between leadership and management.

	Leadership	Management
Agenda Building	• Establishes direction • Develops a vision • Develops strategies for achievement • Gather broad range of data and look for patterns, relationships and linkages	• Planning and Budgeting; • Establishes steps and timelines; • Allocates resources
Networking	• Aligns people • Communicates direction; • Creates team and coalitions; • Fosters and grows the vision	• Organizes and staffs • Establishes structures and benchmarks • Delegates elements of projects • Develops policy • Monitors relationships
Execution	• Motivates and inspires • Energizes people • Finds ways to overcome barriers • Support employee efforts to realize the vision • Good leaders recognize and reward success	• Controls and solves problems • Monitors results • Fixes problems • Control mechanisms compare system behavior with the plan and take action when a deviation is detected
Outcomes	• Productive, useful, innovative change • Motivation and inspiration	• Stability, efficiency, predictability and order • Consistent results for stakeholders

Trait Theories

Assuming that 'great leaders' were born with certain qualities, trait theory sought to identify characteristics (i.e., traits) of individuals better suited for leadership. While trait theory provided some insight regarding important qualities associated with effective leadership scholars examining trait theory failed to produce a singular set of traits that were universally effective in all leadership contexts. The trait theories identified here provide a summary of several key studies.

Stogdill's Studies

Stogdill (1948) reviewed all research examining the qualities of individuals who have ascended to 'leadership positions.' This review yielded six general categories of traits:

Capacity: includes personal traits such as intelligence, communication skills, alertness, and judgment

Achievement: includes qualities such as scholarship and knowledge

Responsibility: includes traits such as dependability, initiative, persistence, self- confidence, and desire to excel

Participation: includes characteristics such as activity, sociability, cooperation, adaptability, and humor

Status: includes qualities such as socio-economic position and popularity

Situation: includes aspects such as mental level, status, skills, interests and needs of followers, and objectives to be achieved

Stogdill (1974) again reviewed the research that had been conducted since the earlier review. This review identified a further list of 'leader' qualities: adaptable to situations, alert to social environment, ambitious, assertive, cooperative, decisive, dependable, dominant (power motivation), energetic, persistent, self-confident, tolerant of stress, willing to assume responsibility, clever (intelligent), conceptually skilled, creative, diplomatic, fluent in speaking, knowledgeable about the work, organized, persuasive, and socially skilled.

Emotional Intelligence (EQ)

More recently, scholars have examined a variety of additional personal characteristics and qualities that may be associated with effective leadership. Emotional Intelligence (EQ) is one such contemporary trait approach to understanding leadership processes (Goleman, 1995). EQ refers to the ability to relate interpersonally to one another. This research has yielded five elements that comprise the notion of Emotional Intelligence (Goleman, 2004):

Self-Awareness: being aware of and in touch with your own feelings and emotions

Self-Regulation: being able to manage various emotions and moods without denying or suppressing them

Self-Motivation: being able to remain positive and optimistic

Empathy for Others: being able to read others' emotions accurately and putting yourself in their place

Interpersonal and Social Skills: having the skills to build and maintain positive relationships with others.

Behavioral Theories

Behavioral theories of leadership focused primarily on the behaviors of leaders. Early studies examining leader behaviors identified three primary categories: autocratic, democratic and laissez-faire styles (Lewin & Lippitt, 1938). *Autocratic* leaders use formal rules and regulations to control activities. *Democratic* leaders use a style that involves employee participation in the decision-making process. *Laissez-faire* leaders generally do not intervene unless invited to do so.

The 'Ohio State Studies' (Fleishman, 1953; Halpin & Winer, 1957) identified two major dimensions of leader behaviors: consideration and initiating structure. *Consideration* refers the degree to which a leader is considered friendly and supportive towards his/her direct reports. *Initiating structure* refers to the degree the leader defines structure, planning, scheduling, and encouraging performance standards.

The 'Michigan Studies' principally under the direction of Rensis Likert (Likert, 1961, 1967) examined patterns of manager behaviors and identified four patterns of leadership.

System 1: Exploitative Authoritative: This leadership style assumes that responsibility resides in the people holding positions of authority at the higher levels of the organizational hierarchy. Managers have little trust or confidence in employees. Teamwork and communication is very limited and motivation is primarily based on threats.

System 2: Benevolent Authoritative: This leadership style uses less control over employees compared to the Exploitative Authoritative system, but employees are still motivated by rewards and punishments. Lower level employees have limited involvement in decision making processes, but still controlled largely by upper management. Communication is primarily downward as employees do not feel free to discuss issues with their managers.

System 3: Consultative: Compared to the first two systems, employees feel greater freedom to communicate with management. Employees experience greater freedom to make specific decisions that directly affect their work. Employees are motivated to a lesser extent by punishments, but experience greater motivation through rewards. Communication flows both downward and upward directions, which fosters an atmosphere of teamwork.

System 4: Participative: This style of leadership represents authentic participation in organizational decisions. Managers exhibit strong confidence in employees and motivate them through rewards and participation in goal setting. All members share equally in communication whereby it flows upward and downward throughout the organization. There is a high level of trust and teamwork within the organization.

McGregor (1960) articulated two alternative views of human motivation: Theory X and Theory Y. *Theory X* presumes employees are generally lazy and passive, have little ambition, resist change, and prefer to be led. *Theory Y* proposes that the "essential task of management is to arrange organizational conditions so that people can achieve their own goals best by directing their efforts toward organizational rewards" (McGregor, 1960, p. 61).

Blake and Mouton (1964) extended the work from the Ohio State studies and identified two primary dimensions of managerial behavior: concern for production and concern for people. While an individual may find that he or she scores anywhere along the continuum for each dimension, Blake and Mouton delineated five general combinations of the two dimensions. *Impoverished Management*: leader demonstrates low concern for production and low concern for people. *Authority-obedience*: leader demonstrates high concern for production but low concern for people. *Organization Man Management*: middle-of-the-road concern for both production and people. *Country Club Management*: leader demonstrates high concern for people but low concern for production. *Team Management*: leader is highly involved and demonstrates high concern for production and high concern for people.

Managerial (Leadership) Grid

1,9 **Country Club Management** Focus almost exclusively on creating a friendly work environment with minimal concern for productivity.		**9,9** **Team Management** Optimum balance of concern for productivity and people. Work accomplished through committed people which have high trust and respect in leader.
	5,5 **Middle-of-the-Road** Organizational performance achieved at acceptable levels while still maintaining a satisfactory level of morale with people.	
1,1 **Impoverished Management** Leader is essentially absent. Minimal effort focused on production or relationships.		**9,1** **Authority-Obedience** Focus almost exclusively on production and operations without concern for relationships.

(Concern for People — vertical axis, values 9, 5, 1; Concern for Production — horizontal axis, values 1, 5, 9)

Adapted from Blake & Mouton (1964)

Contingency and Situational Leadership Theories

There are several situational characteristics that impact leader effectiveness: 1) personal characteristics of follower; 2) task factors; and 3) organizational factors (Crawford, Brungardt & Maughan, 2005). Several of the first leadership models that examined the interplay of leaders and aspects of the context that impact leader effectiveness include Fiedler's Contingency model, House's Path Goal theory, and Hersey and Blanchard's Situational Leadership model.

Fiedler's Contingency Model

Fiedler (1967) and his colleagues developed the contingency model of leadership which postulated an eight-octant continuum of situational favorableness. Postulating that a leader's style remains relatively static and unchanging, they viewed that one's leadership style resides along a single continuum from task-orientation at one end and relational-orientation at the other. The leader's style is determined by their score on the Least-Preferred Co-worker scale (LPC). Individuals with a high score possess a strong orientation for relational-leadership, whereas individuals with a low score are task-oriented leaders.

Fiedler and his colleagues asserted that leaders will be effective only if their leadership style 'matches' the given situation. Task-oriented leaders are likely to be effective in highly favorable and extremely unfavorable situations, whereas relational-oriented leaders are likely to be effective in situations that are generally unfavorable. Three variables combine to define situational favorableness: _leader-member relations_, _task structure_ and _position power_. These three variables play an unequal role in determining situational favorableness: the quality of leader-member relationships is the most important factor whereas the position power of the leader is the least.

Variables that Determine the Level of Situational Favorableness							
Leader-Member Relations	Good				Poor			
Task Structure	Structured		Unstructured		Structured		Unstructured	
Position Power	Strong	Weak	Strong	Weak	Strong	Weak	Strong	Weak
	Very Favorable						Very Unfavorable	
Octant	1	2	3	4	5	6	7	8
Effective Leader	Low LPC	Low LPC	Low LPC	Low LPC	High LPC	High LPC	High LPC	Low LPC

Adapted from Fiedler (1967)

Path-Goal Leadership Theory

House (1971) created the Path-Goal Leadership Theory to explain how leaders increase follower motivation and ensure desired rewards for goal attainment by selecting the style appropriate for the given situation. House theorized determinants of the situation included *Employee Characteristics* (e.g., ability, need for achievement, need for affiliation, need for control) along with *Task Characteristics* (e.g., structure, complexity, role clarity, autonomy). Based on these factors, leaders must determine the appropriate leadership style to be used in order to increase follower motivation.

Path-goal theory identifies four primary leader styles to increase follower motivation. *Directive* leader behaviors are aimed at clarifying expectations and providing structure for followers. *Supportive* leader behaviors involve activities intended to create a friendly and psychologically supportive work environment. *Participative* leader behaviors are designed to encourage follower involvement in decision making processes and work operations. *Achievement-oriented* leader behaviors are meant to set challenging, yet attainable, goals and performance expectations.

Figure: Path Goal Leadership Theory
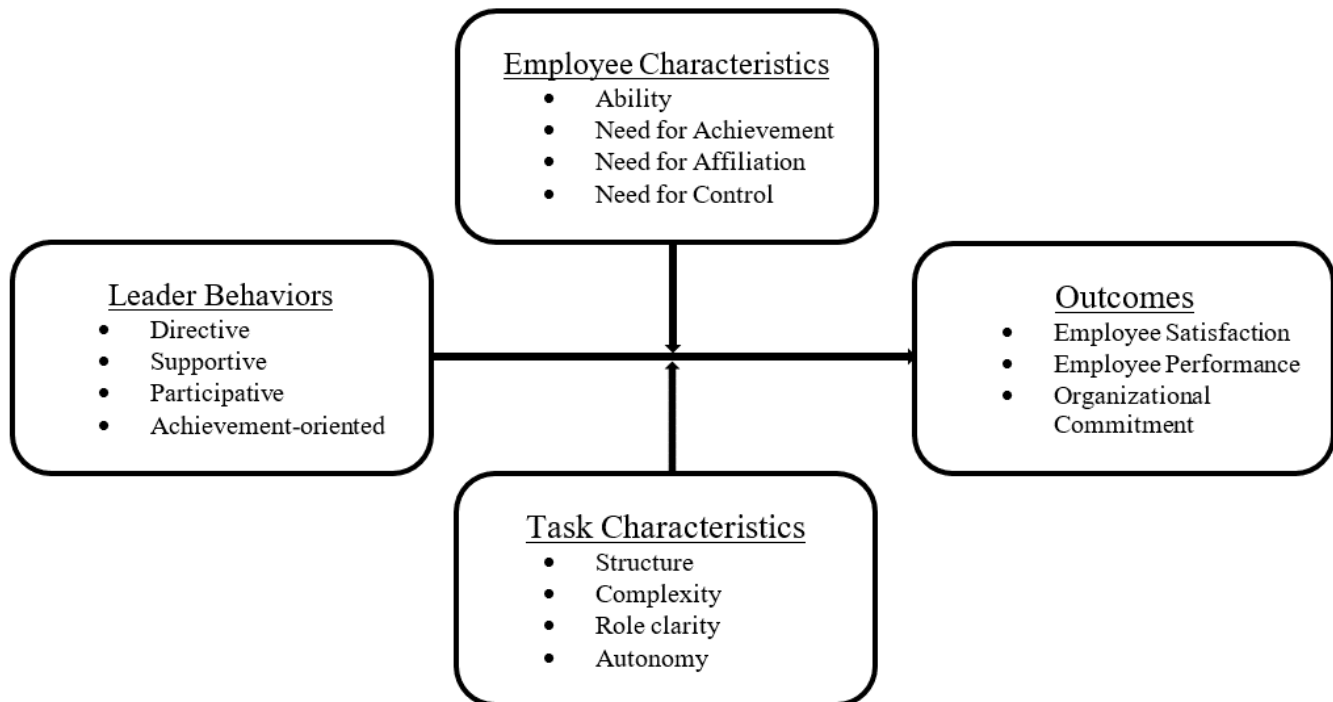
Situational Leadership II

Hersey and Blanchard (1969, 1977, 1993) developed the Situational Leadership Model based on principles from Blake and Mouton's (1964) Managerial Grid conceiving that leader activities are based on a combination of task- and relational-oriented behaviors. According Hersey and Blanchard, leaders select the appropriate behavior based on 'follower developmental level' regarding an assigned task. Follower developmental level is a composite variable of psychological maturity and job maturity. Situations that involve a low level of 'follower development' require leader-directed behaviors that focus primarily on task-related activities.

Situation s with a high level of 'follower maturity' require more follower-directed behaviors that focus more on relationship-oriented activities. For instance, a leader who is assigning a task to an employee who lacks confidence in his/her abilities and has never before completed a similar task (D1: Enthusiastic Beginner) should use a highly directive (S1: Directing) leadership style focusing on clear guidance and instruction. However, a leader assigning a project to an employee possessing strong confidence in their abilities and are familiar with similar projects (D4: Self-Reliant Achiever) should simply assign the project and allow the follower the freedom to perform (S4: Delegating).

STYLE OF LEADER

HIGH	MODERATE		LOW
D4	D3	D2	D1

DEVELOPMENTAL LEVEL OF FOLLOWER
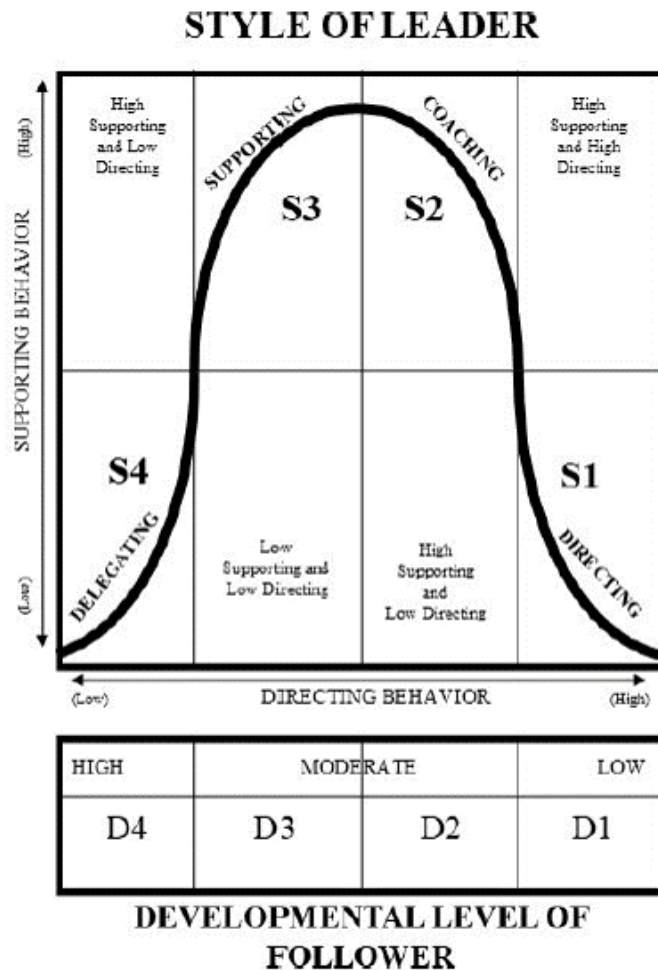
Leader behavior appropriate for various developmental levels

Developmental Level	Appropriate Leader Behavior

D1: Enthusiastic Beginner
 	
    Low competence but high commitment
	S1: Directing
	
	        High directing and low supporting behavior

D2: Disillusioned Learner
    Some competence but may have experienced some frustration; commitment is relatively low
	S2: Coaching
	
	        High directing and high supporting behaviors

D3: Capable but cautious performer
    Growing competence, but commitment may be varied
	S3: Supporting
	        Low on directing and high on supporting behaviors

D4: Self-Reliant Achiever
 	
    High competence and commitment
	S4: Delegating
	
	        Low on directing and supporting behaviors

Adapted from Blanchard, Zigarmi, & Nelson, 1993

Transformational Leadership Theory

Transformational leadership is about creating more than just minor or incremental changes. It is about creating a fundamental shift in an organization that will push it to new levels.

Transforming Leadership

Burns (1978) is often credited with revolutionizing our understanding of leadership and described that *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" (p. 20). Burns' perspective of leadership involves several key aspects of transformational change:

- Transforming leadership is collective rather than focused on the leader personally.
- Transforming leadership is dissensual and promotes change as a rule rather than simply status quo inaction.
- Transforming leadership is causative rather than reactive or inactive.
- Transforming leadership is morally purposeful.
- Transforming leadership is elevating.

Transformational Leadership

Bass (1985, 1996) revised and expanded upon Burns' (1978) conception of transforming leadership and developed "transformational leadership" theory. According to Bass (1985) transformational leaders are able to achieve three things: (1) make followers aware of the importance of task outcomes, (2) induce followers to transcend personal interest for the sake of the team or organization, and (3) move followers toward higher-order needs. It is commonly accepted that transformational leader behaviors are comprised of four categories of leader behavior: *idealized influence*, *individualized consideration*, *inspirational motivation*, and *intellectual stimulation* (Bass, 1997).

Transactional and Non-Leadership

Transactional leadership behaviors refer to activities that help clarify expectations, help others achieve desired rewards and avoid punishments, and help facilitate desired outcomes (Avolio & Bass, 1988). Transactional leader behaviors are commonly comprised of three categories: *contingent reward*, *management-by-exception active*, and *management-by-exception passive*. Another category of leadership behavior essentially involves *non-leadership* whereby the leader is "hands-off" or abdicates responsibility, delays decisions, provides no feedback and makes little effort to satisfy followers' needs. This is described as *Laissez-faire leadership.* Together, Transformational, Transactional, and Non-Leadership represent the Full Range Leadership model.

Full Range Leadership model

Transformational leadership	
Idealized influence	Leaders serve as outstanding role models for their followers. They display conviction emphasizing important personal values and connect those values with organizational goals and ethical consequences of decisions.
Inspirational motivation	Leaders articulate an appealing vision of the future and challenge followers' high standards and high expectations. Leaders provide encouragement, optimism, and purpose for what needs to be done.
Intellectual stimulation	Leaders question old assumptions and stimulate new perspectives and innovative ways of doing things. They encourage followers to think creatively to address current and future challenges.
Individualized consideration	Leaders provide a supportive environment and carefully listen to followers' needs. Leaders also advise, teach, or coach their followers with the intention of advancing follower development.
Transactional leadership	
Contingent reward	Leaders offer followers rewards in exchange for desired efforts. Behaviors in this category revolve around clarifying expectations and exchanging promises.
Management by exception-active	Leaders observe follower behavior and take corrective action when followers deviate from expected performance.
Management by exception-passive	Leaders choose not to, or fail to, intervene until a problem becomes serious. In essence, leaders do not intervene until a problem is brought to their attention.
Laissez-faire leadership (Non-Leadership)	
Laissez-faire leadership	Leaders avoid accepting responsibility and delay or even fail to follow-up on requests. This type of leader behavior also includes little or no effort to address followers' needs. It is essentially an absence of leadership.

Adapted from Bass (1997) and Northouse (2019)

Authentic Leadership

Authenticity is a process of constructing a core sense of self that is consistent over time and across contexts (Avolio & Gardner, 2005). Authentic leaders act consistently with deep personal values and convictions, build credibility and win the respect of followers, encourage diverse viewpoints, and build collaborative networks with followers (Walumbwa, Avolio, Gardner, Wernsing, & Peterson, 2008). There are four elements that comprise authentic leadership: _self-awareness_, _relational transparency_, _balanced processing_, and _internalized moral perspective_.

Self-Awareness	Understanding of how one makes meaning of the world and how that meaning impacts the way one views himself or herself; showing an understanding of one's strengths and weaknesses and the impact they have on others; possessing a clear sense of what they stand for.
Relational Transparency	Presenting one's authentic self (in contrast to a fake or distorted self) to others.
Balanced Processing	Showing the ability to objectively analyze relevant information including other people's opinions before coming to a decision
Internalized Moral Perspective	Expressing behaviors based on internal moral standards and values to guide their behavior rather than letting outside pressures to control them

Adapted from Northouse, (2019); Walumbwa, Avolio, Gardner, Wernsing, & Peterson, (2008)

Authentic leadership is a complex process whereby leaders develop authenticity through a lifelong process often influenced by critical life events. Critical life events can be positive experiences (e.g., receiving an unexpected promotion, having children, reading an important book) or negative (e.g., being diagnosed with cancer, termination of a job, death of a loved one). Critical life events shape a person's life and directly impact one's development as an authentic leader by stimulating growth, and help the individual to become a stronger leader.

Authentic leadership theory explicitly integrates a moral dimension of leadership and requires leaders to do what is "right" or "good" for their followers and society. Authentic leaders understand their moral values, place the needs of followers above their own, and collaborate with followers to align their interests to create a greater common good (Northouse, 2019).

Followership

Contemporary views of leadership have elevated the importance of followers in the leadership process. Kelley (1992) identified two primary dimensions of follower behavior: independent/dependent thinking and active/passive involvement. Based on these two dimensions Kelley described five general follower styles: *Alienated followers* are critical and independent in their thinking, but passive in their duties in carrying out their roles. *Conformist followers* are dependent and seldom challenge leaders. These followers are sometimes seen as "yes people" in that they actively accept work assignments, but often lack their own ideas. *Pragmatists*, or sometimes considered 'survivors,' strike a balance between both the independent/dependent and active/passive dimensions. These individuals adjust their behavior, depending on the situation, to act in their own self-interest. *Passive followers* display none of the characteristics of effective followers and lack initiative and a sense of responsibility. *Effective followers* think for themselves and are active in the organizational setting by carrying out their duties with energy and assertiveness.

Ira Chaleff (1995) offered a series of expectations for effective followers by encouraging them to demonstrate the dimensions of 'courageous followership.'

- *Courage to Assume Responsibility*: Courageous followers create opportunities for themselves and their organizations, and challenge themselves to fulfill their potential and maximize their value to the organization.
- *Courage to Serve*: Courageous followers are not averse to working hard for their leader even to the extent of performing beyond the call of duty. They often are required to stand up for their leader and the tough decisions a leader must make in an effort to benefit the organization.
- *Courage to Challenge*: Courageous followers offer voice to the discomfort they feel when policies or behaviors of the leader are in conflict with what they believe is right or wrong.
- *Courage to Participate in Transformation*: Courageous followers recognize the need for transformation and champion the need for change and stay with the leader and the group in the mutual struggle for real change.
- *Courage to Take Moral Action*: Courageous followers know when it is time to take a stand that may be different from the leader's perspective and answer to a higher set of values. This moral action often requires a degree of personal risk.

Servant Leadership

Greenleaf (1970) popularized the concept of servant leadership contending that the primary responsibility of leaders is to provide service to others by being attentive to followers' needs, and empathizing with, and nurturing them. Spears (1995, 2002) asserted that the servant– leader emphasizes "service to others, a holistic approach to work, a sense of community, and shared decision making power" (p. 3–4). For the servant–leader, taking care of other people's needs takes highest priority. Greenleaf (1977) described a series of questions that serve as a litmus test of the servant–leader: "Do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And, what is the effect on the least privileged of society; will they benefit, or at least, not be further deprived?" (p. 13–14).

Servant leadership is holistic in that it "is a long-term, transformational approach to life and work, in essence, a way of being that has the potential to create positive change throughout society" (Spears, 1995, p. 4). Servant leadership is a long-term pursuit of the improvement of corporate cultures and is not consistent with primarily emphasizing short-run profit motives (Giampetro-Meyer, Brown, Browne, & Kubasek, 1998). Spears (1995, 2002) built on Greenleaf's original writing by identifying 10 characteristics of the servant–leader.

Characteristics of Servant Leaders

Listening	The deep, heartfelt commitment to listening intently to others.
Empathy	Recognizing and accepting people for their special talents, gifts, and unique spirit.
Healing	People may have broken spirits or a variety of emotional hurts, thus an essential gift of the servant–leader is not only to heal one's self, but also to assist in the healing of others.
Awareness	Refers primarily to self-awareness, which aides and strengthens the servant-leader by providing an understanding of issues from a well-developed sense of ethics and values.
Persuasion	Servant–leaders seek to convince rather than coerce, and can be thought of as a "gentle persuasion" by challenging others to think of issues in different perspectives.
Conceptualization	The capacity to "dream great dreams." The servant–leader is able to envision the future not only in the context of the individual, work group, or organization, but also within the context of the societal realm.
Foresight	The ability that enables servant–leaders to glean lessons from the past, within the realities of the present, and understand potential consequences of future decisions.
Stewardship	The perspective that corporate institutions play a significant and vital role in impacting the greater good of society.
Commitment to growth of people	Every individual has an intrinsic worth beyond their contributions as workers. Servant–leaders seek the holistic growth and development of others.
Building community	The servant–leader takes advantage of opportunities to create community within the context of the given work institution.

Adapted from Spears (1995, 2002)

Power: Bases of Social Power

Power can be defined in a number of ways, most simply, it can be related to the concept of control. In the context of the study of leadership, the use of raw power can be viewed as more of a last resort than as a favored style. Effective use of power is an essential component of leadership. Power is derived from two primary sources and is manifested as seven different types of power (Lussier, & Achua, 2016). Several types of power are generally considered more effective in achieving positive results from followers.

Sources of Power

Position Power: Position power is the status and ability that are given with the occupation of organizational rank. Some people view the power as simply a way to get others to do what they want them to, or the ability to be able to do something to, or for, people. While this thinking is not wrong, it does give power a manipulative, negative connotation. Power should be viewed in a positive context. It is because of power that leaders are able to achieve organizational outcomes. As Dr. Martin Luther King Jr. stated, power is the strength to bring about change.

Personal Power: This power type is derived from followers' perceptions of leaders attributes (e.g., charisma) or behaviors (e.g., extreme vision; high personal risk; use of unconventional strategies; and communicating self-confidence). Personal Power exists only because followers perceive unique qualities or behaviors in the leader. If, or once, these perceptions change, the leader may no longer 'possess' personal power. If leaders occupy a formal organizational role, they can possess both positional power and personal power. If those leaders are informal, and do not occupy a formal organizational role, they may only possess personal power.

Types of Power

Legitimate Power: Legitimate power, derived from a Position Power source, is authority given through the position within the organization.

Reward Power: Reward power is based on the ability to distribute something of value to induce followers' compliance. Examples of this type of power are monetary incentives, preferential job assignments, or promotions. A key part of reward power is held in the ability to control the allocation of resources.

Coercive Power: In contrast to Reward Power, Coercive Power refers to the use of threats, punishments, or withholding desirable resources. While this type of power can elicit follower compliance, it commonly creates employee resentment of the leader.

Referent Power: Referent power, derived a Personal Power source, is based on the users' relationship with others. Users who appeal to followers' values, ideals, and aspirations appeal to their emotions and enthusiasm. This type of power is most appropriately used when there is little to no position power.

Expert Power: Expert power is based on the users' knowledge or skill in a specific area, and in an organizational context, an individual possessing unique or in depth knowledge or skills can make others dependent on him or her. If the knowledge or skill is needed or in short supply, the power of the individual holding this knowledge or skill grows.

Information Power: Information power involves having access to data or knowledge that others need or desire. Information power is the most transient of power types because once the information is given away, the power, likewise, is given away. While leaders often possess access to information desired or needed by followers, leaders commonly are subject to the informational power of followers as they are dependent on information as to how the organization is functioning on the front lines.

Connection Power: Connection power centers on users' relationships with influential people. However, it can also be based on followers' perceptions of the breadth and quality of social relationships held by the leader. For instance, if followers perceived that leaders possess strong social relationships with key individuals in power, followers are more likely to be influenced by leaders. Connection power can assist in advancement and allocation of resources. There is a truth to the saying "it's not what you know, it's *who* you know."

Influence: Influence Tactics

It is important to note the difference between power, influence, and influence tactics (Hughes, Ginnett, & Curphy, 1995). *Power* is often defined as the capacity or potential to produce effects on others. *Influence* can be defined as "the change in a target agent's attitudes, values, beliefs, or behaviors as a result of influence tactics" (Hughes, et.al., 1995, p. 339). *Influence tactics* refer to one's *actual behaviors* intended to change others' attitudes, beliefs, values or behaviors.

Influence is a near universal feature of all definitions of the leadership process. For instance, Rost (1993) defined influence as: "an interactive process in which people attempt to convince other people to believe and/or act in certain ways" (p. 157). While power and influence are often examined from the leader's perspective, it is essential to note that followers can wield and exert considerable power and influence that can also seek to change the attitudes, beliefs, values, and behaviors of leaders.

The effectiveness of influence tactics hinges on several important contextual factors including: followers' personality (Pierro, Kruglanski, & Raven, 2012) and status in the organizational hierarchy (Yukl, 2012). The leadership relationship is contingent on leaders understanding of personal and contextual factors, and then selecting an appropriate influence tactic.

Yukl (2012) identified 11 tactics of influence that are relevant in leadership. Each of the influence tactics may be useful in the leadership process to gain immediate, short-term compliance. However, leaders must also consider the long-term effects of frequent and repeated use of certain influence tactics, as they may damage follower commitment or even lead to follower resistance. The tables below define the primary types of influence tactics, and summarizes the frequency of each type influence as used within an organizational context, as well as its general effectiveness.

Methods of Influence

Influence Tactic	Process
Rational Persuasion	The agent uses logical arguments and factual evidence to show a request is relevant for attaining task objectives
Apprising	The agent explains how carrying out a request or supporting a proposal will benefit the target personally or advance the targets career
Inspirational Appeals	The agent makes an appeal seeking to arouse the target person's emotions to gain commitment for a request
Consultation	The agent encourages the target to suggest improvements in a proposal, or to help plan an activity or change for which the target person's support and assistance is desired.
Exchange	The agent offers an incentive, an exchange of favors, or indicates willingness to reciprocate at a later time if the target will do the request
Collaboration	The agent offers to provide relevant resources and assistance if the target will carry out a request or approve a proposed change
Personal Appeal	The agent asks the target to carry out a request out of friendship, or asks for a personal favor before saying what it is
Integration	The agent uses praise or flattery before or during an influence attempt or expresses confidence in the targets ability
Legitimating Tactics	The agent establishes legitimacy of a request or verifies authority by referring to rules, formal policies, or official documents
Pressure	The agent uses demands, or persistence to influence
Coalition Tactics	The agent seeks the aid of others to persuade the target to do something or uses the support of others as a reason for compliance

Adapted from Yukl (2012)

Summary of Findings for Influence Tactics

Influence Tactic	Directional Use	General Effectiveness
Rational Persuasion	All directions	High
Inspirational Appeal	More down than up or lateral	High
Consultation	More down and lateral than up	High
Collaboration	More down and lateral than up	High
Apprising	More down than lateral and up	Moderate
Ingratiation	More down and lateral than up	Moderate
Exchange	More down and lateral than up	Moderate
Personal Appeal	More lateral than down or up	Moderate
Coalition Tactic	More lateral and up than down	Low/Moderate
Legitimating Tactic	More down and lateral than up	Low
Pressure	More down than lateral or up	Low

Adapted from Yukl (2012)

Post-Industrial Leadership

Building upon James MacGregor Burns' (1978) theory of transforming leadership, Joseph Rost extended this revolutionary thinking about leadership theory by advancing the post- industrial paradigm of leadership. Rost defined leadership as "an influence relationship among leaders and followers who intend real change that reflect their mutual purposes" (Rost, 1993, p. 102). This perspective of leadership is comprised of four critical components: 1) relationships are based on influence; 2) leaders and followers are participants; 3) participants intend real change; and 4) changes reflect mutual interests.

First, relationships are based on influence attempts, which are non-coercive and not based on power and authority. These influence attempts are multi-direction in that leaders can influence followers and followers can influence leaders. Second, both leaders and followers are active participants in the leadership process. Since leadership is based upon a relationship, both leaders and followers must be active in the leadership process. These relationships may be inherently unequal because the influence patterns are unequal, as the leader may possess greater influence capacity and willingness to commit more resources.

Third, the participants in the leadership process must intend real change that is substantive and transforming. This perspective of leadership then focuses less on the specific outcome or product and more upon the process of leadership activities. Finally, the changes must reflect the mutual purposes of the participants in the leadership process. Because the relationship between leaders and followers is built upon multi-directional, non-coercive influence, the purposes cannot simply reflect only what the leader wants, and must include the aims of the followers.

Leadership and Change Making

Change plays a critical role in the leadership process. Simply put, the leadership process is about creating and sustaining change (Crawford, Brungardt, & Maughan, 2005). Jack Welch (2005) stated, "when the rate of change outside your organization surpasses the rate of change inside your organization, the end is near" (p. 27). This statement encapsulates the importance of effective change facilitation in the leadership process. Change is how organizations stay on the cutting edge of industry. It is the responsibility of those engaged in the leadership process to effectively facilitate organizational change (Boleman & Gallos, 2011).

Leadership requires visualization for the need for change in the organization (Shanker & Sayeed, 2012). Whenever human communities are forced to adjust to shifting conditions, pain is going to be present. This is why change is so difficult to facilitate in the organizational setting (Kotter, 2012).

Change can range from being forced through internal or external forces, to being driven by changes in culture. External forces can influence organizations to change the way they do business. The emergence of technology, such as the internet and ecommerce, are examples of external factors that forced organizations to shift the way they did business. External change forces are not limited only to technology; other forces include economic, political, cultural, social, demographic, or industrial. Internal forces for change can come from a variety of sources as well. New leadership, low customer satisfaction, new mission, or organizational conflict can all be drivers for internally forced change.

Lewin (1947) asserted that change is a three-stage process of unfreezing, change, and refreezing. The unfreezing stage begins with assessing the need for change and preparing the organization for what is to come. The change phase is the actual implementation of the change. This involves having new policies or practices implemented and new behaviors or skills being learned. The refreezing is directed at sustaining the change. This phase requires leaders to provide support to those experiencing the change. Leaders should provide resources, coaching, training, and use appropriate rewards systems to assist in making the change permanent.

Lewin (1951) also proposed a model to explain organizational change which still influences scholars and practitioners today. Lewin's Force Field Model asserted there are opposing forces both *for* and *against* change which organizations face. If these forces are balanced the organization maintains the status quo. However, if one of the forces is greater than the other, the likelihood of successful change will either increase or decrease.

Leaders engaged in organizational change must purposefully maximize the forces for change while counter-acting opposing forces against organizational change. There is a litany of barriers to organizational change. Fear of the unknown, group norms such as "the way we've always done it," or the simple lack of organizational rewards can all contribute to resistance of organizational change. Through the process of planning and implementing organizational change, leaders must account for all possible sources of resistance to change. Vision, support, and clear direction are key factors in leaders navigating the change process. Overcoming barriers to change is a necessity for organizational survival. In contrast to power and manipulation, leaders who collaboratively engage employees in the chance process are much more likely to succeed.

Stages of Change
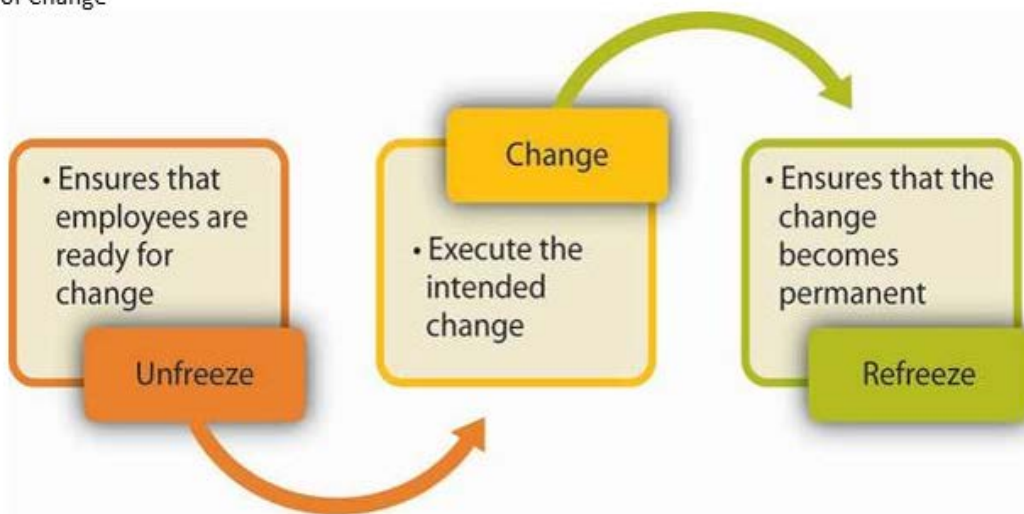
Adapted from Lewin (1947)

Citizen Leadership

Citizen leadership is the organized action to address the basic needs of society at a local level (Couto, 1995). The goal of citizen leadership is to address the needs of society on the local level. Rather than simply make it better for a few, citizen leaders strive to improve conditions for all members of society. Citizen leadership isn't based on the idea of a single point of action, but a sustained series of actions which promote the enhanced well-being for all citizens. Often, citizen leaders do not choose their leadership role, in fact, they attempt to avoid it. However, at some point, they are compelled to leave the comfort of their lives to pursue a public role. These leaders often go into the situation believing they can take action, achieve their purpose, and then return to their private lives. While this may be the preconceived notion, it is rarely the case.

The first step in citizen leadership is to engage powerholders in an attempt to effect change on the specific issue. This is crucial first step. The established system must be given a chance to function as it was intended; failure to do so compromises the credibility of the movement. If this step is skipped, it can undermine the entire change process. When citizen leaders are turned away by the conventional powerholders they engage in the processes and series of events leading to lasting change as intended.

Change agents are often the reluctant warriors who pay for the opportunity to lead. They do so by working day-to-day in the communities they are trying make better, or by existing in an environment trying to maintain social ties with players that are divided by the issues. It is not a life that many people choose. Many tend to put their professional and/or personal lives on hold in order to work toward the common good. Yet, citizen leaders often pay a high price, as not only do they dedicate an immense amount of time, but it can also cost them credibility and even relationships.

Years after the change is achieved, the general public may see the bigger picture of what was trying to be accomplished, but by that time the price has already been paid. The act of citizen leadership is neither thrilling nor is it glamourous. It is often a thankless job; appreciated by few and envied by less. Without individuals willing to take on tough tasks, citizens will sacrifice the right to have a voice in the world.

Social Change Model of Leadership

Social change leadership models seek to develop 'social change agents.' Helen and Alexander Astin (1996) of the Higher Education Research Institute at UCLA described a model of leadership development that serves as a framework for encouraging individuals to become agents of social change. This framework identifies individual, group, and community/societal values through what is described as the Seven C's of Change.

Seven C's of Social Change

Individual Values	
Consciousness of Self	meaning to know one's self, including values, emotions, and attitudes.
Congruence	is motivation needed to provide the energy and passion to drive the change effort.
Commitment	is the ability to dedicate oneself to change and to a specific path for pursuing change.
Group Values	
Collaboration	stresses the importance of working together to positively address complex societal issues.
Common Purpose	suggests that all active participants must share some basic values and goals if the collaborative effort is to succeed.
Controversy with Civility	means that during any group effort, differences will emerge, but the diversity of viewpoints must be addressed through open and honest discussion.
Society/Community Values	
Citizenship	implies that the purpose of both individual and group activities is service to the community.

Adapted from Astin (1996)
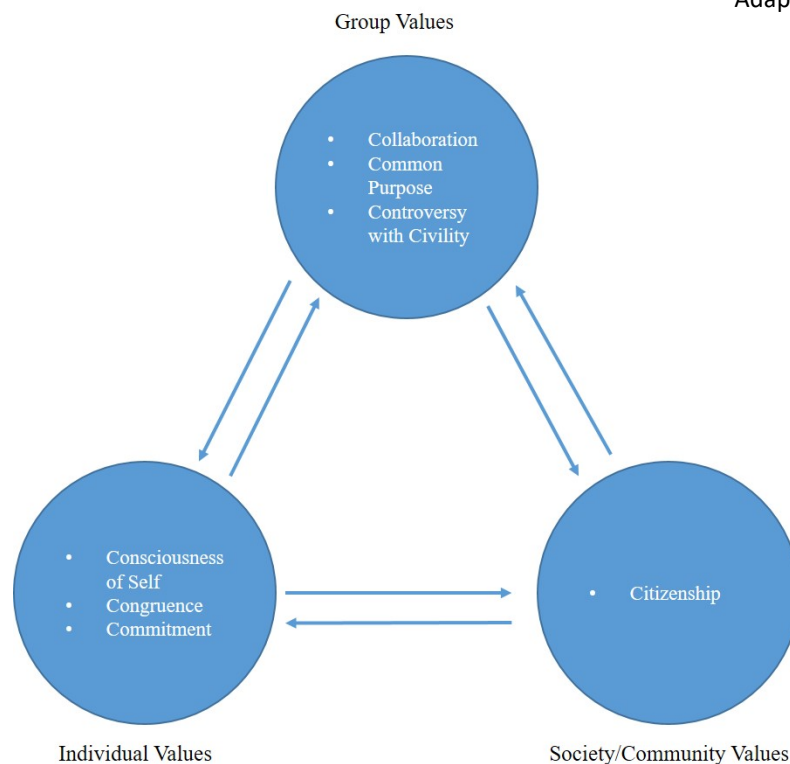
Ethics and Leadership

What are ethics?

Ethics are moral principles (concerning right and wrong behavior) that govern a person's or a group's behavior (Hughes, Ginnett, & Curphy, 2015). These moral principles are grounded in one's values, which are general behaviors or personal traits one believes are important (Gordon, 1975). Leaders use their values and moral principles to make decisions regarding ethical (right) or unethical (wrong) behavior. What is right or wrong, however, may not always be clear, and leaders may be faced with an ethical dilemma, in which one must choose between two important moral principles. Kidder (1995) identified four common types of moral dilemmas:

- *Truth vs. Loyalty*: honesty vs. commitment or allegiance to a person or group

- *Individual vs. Community*: self vs. others

- *Short-term vs. Long-term*: immediate results vs. future implications

- *Justice vs. Mercy*: fairness and equal treatment vs. compassion and empathy

Means, Ends, and an Ethic of Care

In order to navigate the ethical dilemmas listed above, Kidder (1995) asserted three principles to guide individuals through moral decisions. *Ends-based thinking* posits that regardless of the process to achieve an outcome, right and wrong are best determined by considering the consequences of the process or results of an action. A maxim of end-based thinking includes *doing what is best for the most amount of people*. *Rule-based thinking* determines standards all should follow all the time, regardless of the circumstances of a given situation. Proper ethical decisions according to a rule-based standard is not based on possible outcomes or results of the decision, rather it focuses on standards for moral conduct. For instance, the maxim of *telling the truth*, is a standard that ought to apply to all people, in all circumstances. Finally, *care-based thinking* is grounded in the Golden Rule of "treat others the way you want to be treated." In this approach, one should consider him or herself as the object rather than the agent of the decision, and allow his/her own feelings about an action to guide the decision (Kidder, 1995).

Character-Based Approach to Leadership

To be an ethical leader, one must be both a *moral person* and a *moral manager* (Walumbwa, Avolio, Gardner, Wernsing, & Peterson, 2008). To be a *moral person* means to demonstrate moral conduct both personally and professionally. Also, a *moral manager* communicates an ethical and value-based message, and models ethical behavior. Ethical leaders exhibit honesty, openness, and fairness and hold to their ethical standards even in the midst of pressure or crisis (Brown & Trevino, 2006). Several other leadership theories explicitly integrate moral character as an essential component of effective leadership (See Servant Leadership and Authentic Leadership).

Ethics in Organizational Leadership

Ethical leaders also strive to create and maintain ethical climates, in which organizations consistently exhibit ethical standards and norms among all leaders and followers (Uhl-Bien & Carsten, 2007). Unethical climates occur when no action is taken to correct unethical behavior. In order to foster an ethical climate, leaders should establish formal ethics policies and procedures, institute a core ideology or set of values, act with integrity, and ensure the organization's structure reinforces ethical organizational processes and performance.
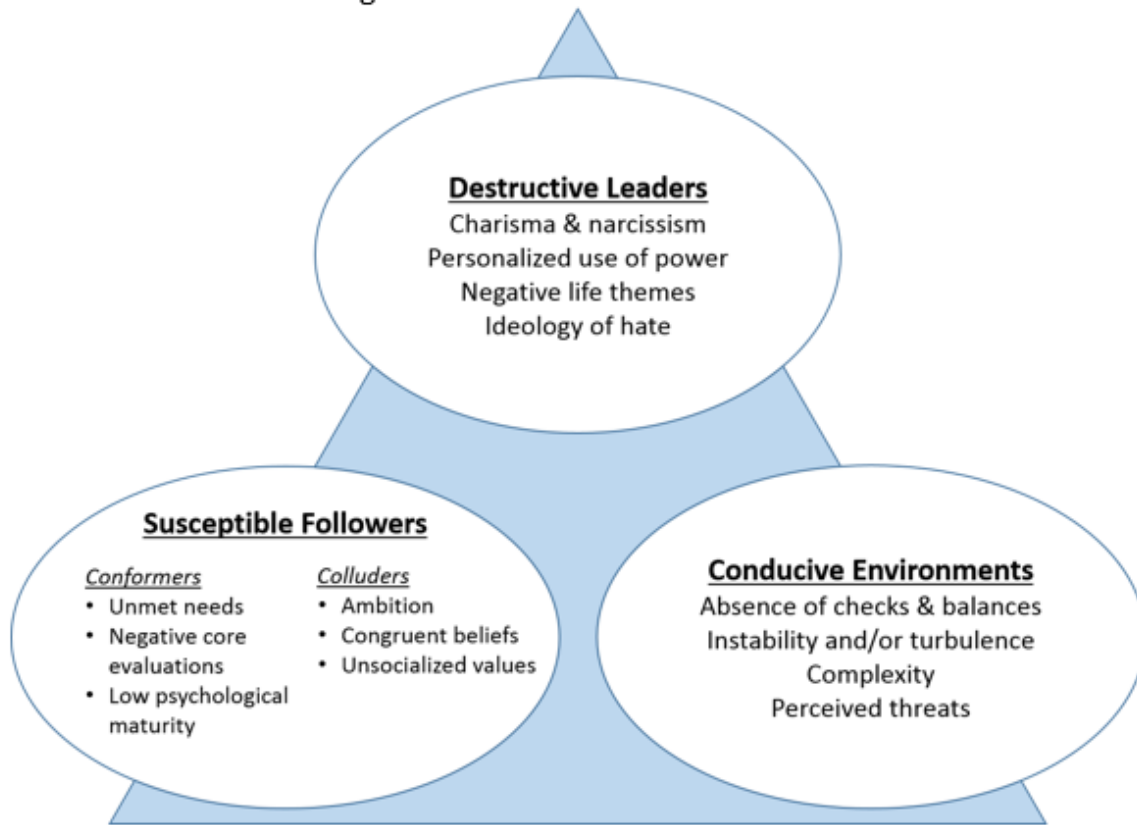
Destructive Leadership

When we look at leadership, we generally look at all of the good things it can do. Whether it be positive change to an organization, community, or even a nation; however, leadership does have a "dark side," and it has the capacity to do create negative outcomes; this is what we refer to as destructive leadership. There are many names for this phenomenon, as the research on the concept of destructive leadership has been explored by multiple scholars.

Kellerman (2004) developed a typology of bad leadership, which identifies types of bad leadership on a continuum from ineffective to unethical. In her typology, both the leader and at least some of the followers are accountable for bad leadership behaviors. Lipman-Blumen (2005) defined a leader-centric view of toxic leadership, and defined toxic leaders as "individuals who, by way of their destructive behaviors and dysfunctional personal qualities generate a poisonous effect on the individuals, families, organizations, communities, and even entire societies they lead" (p. 29). No matter the nomenclature, destructive leadership generates negative outcomes for individuals and organizations that encounter it. The Toxic Triangle is a popular model of destructive leadership that explores the phenomenon as a culmination of three components.

The Toxic Triangle

The Toxic Triangle explains the phenomenon of destructive leadership using three components: 1) destructive leadership, 2) susceptible followers, and 3) conducive environments (Padilla, Hogan, & Kaiser, 2007). The first component of the Triangle identifies characteristics of _destructive leaders_. Characteristics such as charisma, a personalized need for power, narcissism, perceptions of a negative life, and an ideology of hate contribute to destructive leadership behaviors. The second component, _susceptible followers_, suggests followers are unable or unwilling to resist destructive leaders for several reasons: unmet basic needs, negative self-esteem and self-efficacy, immaturity, and in some cases ambition or values and beliefs congruent with destructive leaders (Thoroughgood, Padilla, Hunter, & Tate, 2012). Finally, and perhaps most importantly, in the Toxic Triangle, _conducive environments_ involve any instability, perceived threat, cultural values, and absence of checks and balances that contribute to an environment where destructive leadership is considered as the only means for followers' salvation (Mulvey & Padilla, 2010). The Toxic Triangle, like Kellerman's typology on bad leadership, provides context in which followers may become part of the destructive leadership process.

The Toxic Triangle

Destructive Leaders
Charisma & narcissism
Personalized use of power
Negative life themes
Ideology of hate

Susceptible Followers

Conformers
- Unmet needs
- Negative core evaluations
- Low psychological maturity

Colluders
- Ambition
- Congruent beliefs
- Unsocialized values

Conducive Environments
Absence of checks & balances
Instability and/or turbulence
Complexity
Perceived threats

Adapted from Padilla (2013)

Adaptive Leadership

Ron Heifetz coined the term 'adaptive leadership' in his seminal book entitled, *Leadership Without Easy Answers* (1994), and defined adaptive leadership as "the practice of mobilizing people to tackle tough challenges and thrive" (Heifetz, Grashow & Linsky, 2009, p. 14). Adaptive leadership is a process that encourages people to adapt, to face and deal with problems, challenges, and changes. The role of the leader is to assist people in confronting tough problems.

Heifetz differentiates between *technical challenges* and *adaptive challenges*. *Technical challenges* are problems that are clearly defined with solutions that can be readily discovered through existing knowledge or authoritative responses. In contrast, *adaptive challenges* are problems that are not clear-cut or easily identified, nor can they be resolved through normal ways of doing things. Adaptive challenges require learning to both define the problem as well as to identify solution strategies.

Technical and Adaptive Challenges

	Problem Definition	Solution and Implementation	Locus of Responsibility of the Work	Type of Situation
Type I	Clear	Clear	Authorities	Technical
Type II	Clear	Requires learning	Authorities and stakeholders	Technical and adaptive
Type III	Requires learning	Requires learning	Stakeholders and authorities	Adaptive

Adapted from Heifetz (2010)

There are six general activities performed by the leader during the adaptation process: *get on the balcony*; *identify the adaptive challenge*; *regulate distress*; *maintain disciplined attention*; *give the work back to the people*; and *protect the voices from below* (Heifetz & Laurie, 1997). *Getting on the balcony* is a metaphor for stepping out of the fray to enable the leaders to see the big picture of what is really happening. *Identifying the adaptive challenge* requires leaders to determine whether or not the challenge strikes at the core feelings, thoughts and values of others, since adaptive challenges are commonly value-laden and require people to learn new ways of coping. *Regulate distress* necessitates the leader to help others recognize the need for change yet not become too overwhelmed by the need for change. There are three ways for leaders to regulate distress: 1) create a holding environment; 2) provide direction, protection, orientation, conflict management and productive norms; and 3) regulate personal distress (Northouse, 2019). Adaptive leaders *maintain disciplined attention* by helping people focus on the issues and the tough work at hand. Additionally, adaptive leaders must *give the work back to the people* by being attentive to when he/she should drop back and let the people do the work. Finally, adaptive leaders also *protect leadership voices from below* by being careful to listen and open to ideas of people; even if they are people who may be at the fringe, marginalized, or even deviant within the organization.

Global Leadership

Globalization has created the need to understand how cultural differences affect leadership processes and performance. Culture is commonly defined as a set of learned beliefs, values, rules, norms, customs, symbols and assumptions that guide the behavior of a group. Culture may exist at several levels, including both national and organizational levels. We acknowledge that within national cultures there may be substantial sub-cultural differences such as racial and religious differences. Nonetheless, for the purposes of this section on global leadership we will focus on issues of culture at the national level, which speak to general cultural tendencies.

Hofstede (1980, 1992, 2001) developed the most often-cited classifications of cultural dimensions. These dimensions included: Individualism-collectivism, Power distance, Uncertainty avoidance, Masculinity-femininity, and Time orientation.

Hofstede's Dimensions of Culture

Individualism-collectivism	Extent to which individuals, or a closely knit social structure, such as the extended family, is the basis for social systems. Individualism leads to reliance on self and focus on individual achievement.
Power distance	Extent to which people accept unequal distribution of power. In high-power distance cultures, there is a wider gap between the powerful and the powerless.
Uncertainty avoidance	Extent to which culture tolerates ambiguity and uncertainty.
Masculinity-femininity	Extent to which assertiveness and independence from others is valued.
Time orientation	Extend to which people focus on the past, present or future.

Adapted from Hofstede (2001)

House and colleagues (2004) coordinated the Global Leadership and Organizational Behavior Effectiveness (GLOBE) research project that investigated issues of culture, cultural difference, and leadership. They identified nine dimensions of cultural values and six general categories of leader behavior and attitudes.

GLOBE Dimensions of Culture

Power distance	The degree to which members of a collective expect power to be distributed equally.
Uncertainty avoidance	The extent to which a society, organization, or group relies on social norms, rules, and procedures to alleviate the unpredictability of future events.
Humane orientation	The degree to which a collective encourages and rewards individuals for being fair, altruistic, generous, caring, and kind to others.
Institutional collectivism	The degree to which organizational and societal institutional practices encourage and reward collective distribution of resources and collective action.
In-group collectivism	The degree to which individuals express pride, loyalty, and cohesiveness in their organizations or families.
Assertiveness	The degree to which individuals are assertive, confrontational, and aggressive in their relationships with others.
Gender egalitarianism	The degree to which a collective minimizes gender inequality.
Future orientation	The extent to which individuals engage in future-oriented behaviors such as delaying gratification, planning, and investing in the future.
Performance orientation	The degree to which a collective encourages and rewards group members for performance improvement and excellence.

Adapted from Javidan, House, and Dorfman (2004)

GLOBE Dimensions of Leader Behaviors and Attitudes

Charismatic and values-based leadership	Reflects the ability to inspire and motivate, and to expect high performance outcomes from others based on firmly held core values
Team-oriented leadership	Emphasizes effective team building and implementation of a common purpose or goal among team members
Participative leadership	Reflects the degree to which managers involve others in making and implementing decisions
Humane-oriented leadership	Reflects supportive and considerate leadership, but also includes compassion and generosity
Autonomous leadership	Refers to independent and individualistic leadership attributes
Self-protective leadership	Focuses on ensuring the safety and security of the individual and group through status enhancement and face saving

Adapted from House and Javidan (2004)

The GLOBE research project found ten cultural clusters around the world and identified tendencies toward cultural practices. They further examined behaviors associated with effective and ineffective leadership as perceived by each culture cluster. The tendencies are summarized in the table below.

Cultural Clusters, Societal Practices, and Leader Behaviors

Culture Cluster	Cultural Practice		Leader Behavior	
	High	**Low**	**High**	**Low**
Anglo USA, Canada, Ireland, England, South Africa (White), New Zealand, Australia	Performance orientation	Institutional collectivism	Charismatic and values-based; Participative; Human-oriented	Self-protective
Latin America Ecuador, El Salvador, Colombia, Bolivia, Brazil, Guatemala, Argentina, Costa Rica, Venezuela, Mexico	In-group collectivism	Uncertainty avoidance Institutional collectivism Future orientation Performance orientation	Charismatic and values-based; Team-oriented; Self-protective	Autonomous
Latin Europe Israel, Italy, Switzerland (French speaking), Spain, Portugal, France	None	Humane Orientation Institutional Collectivism	Charismatic and values-based	Humane-oriented Autonomous
Germanic Europe Austria, The Netherlands, Switzerland, Germany	Uncertainty avoidance Assertiveness Future orientation Performance orientation	Humane orientation Institutional collectivism In-group collectivism	Charismatic and values-based; Participative; Autonomous	Team oriented Self-Protective

Nordic Europe Denmark, Finland, Sweden	Uncertainty avoidance Institutional collectivism Gender egalitarianism Future orientation	Power distance In-group collectivism Assertiveness	Charismatic and values-based; Participative	Humane-oriented Self-Protective
Eastern Europe Greece, Hungary, Albania, Slovenia, Poland, Russia, Georgia, Kazakhstan	In-group collectivism Assertiveness Gender egalitarianism	Uncertainty avoidance Future orientation Performance orientation	Autonomous; Self-Protective	Participative
Middle East Turkey, Kuwait, Egypt, Morocco, Qatar	In-group collectivism	Uncertainty avoidance Gender egalitarianism Future orientation	Self-protective	Charismatic and values-based; Team-oriented; Participative
Sub-Saharan Africa Zimbabwe, Namibia, Zambia, Nigeria, South Africa (black sample)	Humane orientation	None	Human-oriented	Autonomous
Confucian Asia Singapore, Hong Kong, Taiwan, China, South Korea, Japan	Institutional collectivism In-group collectivism Performance orientation	None	Team-oriented; Humane-oriented; Self-protective	Participative
Southern Asia Philippines, Indonesia, Malaysia, India, Thailand, Iran	Humane orientation In-group collectivism	None	Charismatic and values-based; Human-oriented; Self-protective	Participative

Adapted from House et, al,. (2004)
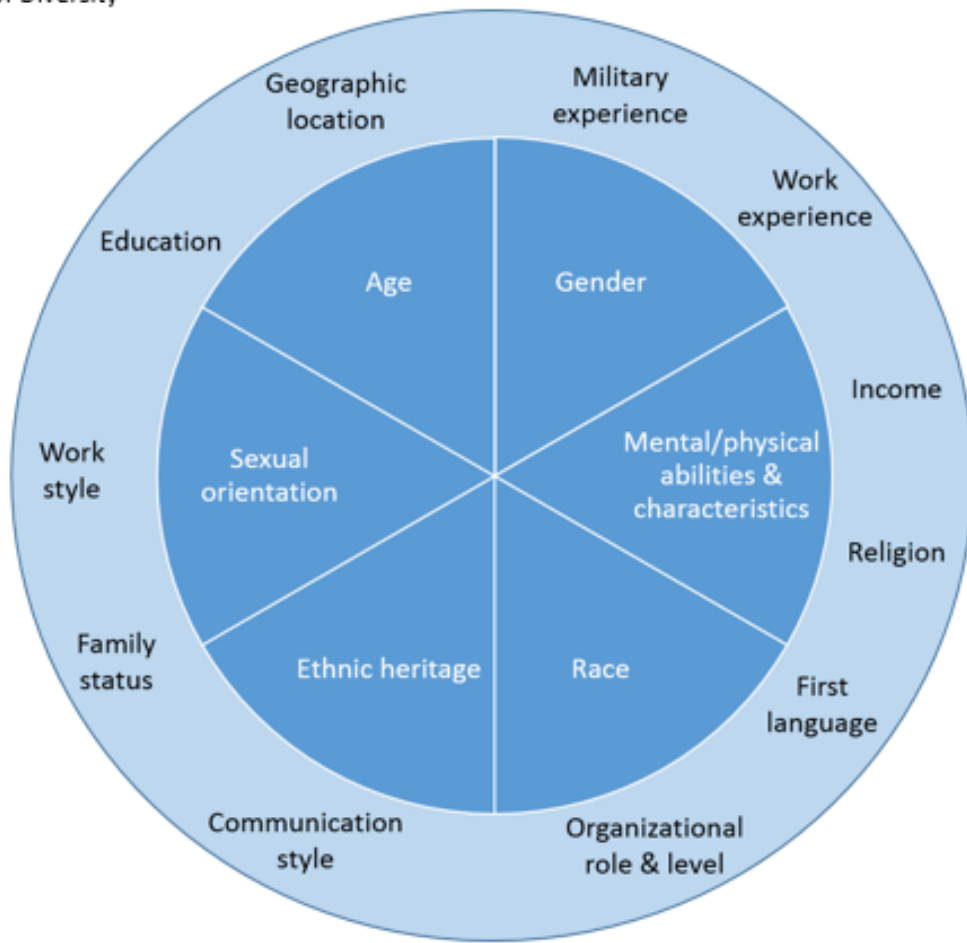
Diversity and Leadership

Traditionally, diversity in organizations has referred to an equal representation of gender and race among leaders and followers; however, diversity is much more complex than merely gender or race. Loden (1995) asserted diversity is based on a variety of physical, cultural, and environmental factors that diversify people. These characteristics impact "individuals' values, opportunities, and perceptions of self and others" (p. 14).

Core dimensions of diversity include, at a minimum, age, ethnicity, gender, mental/physical abilities and disabilities, race, and sexual orientation. According to Loden, these core dimensions represent the characteristics at the core of one's identity. Secondary dimensions of diversity include a person's communication style, level of education, family status, military experience, organizational role or level of authority, religion, first language, geographic location, income and socioeconomic status, and work experience. Secondary dimensions are less visible to others, and have varying degrees of influence on one's life.

Dimensions of diversity can also affect leader-follower relations and organizational culture (Eagly & Chin, 2010). Dimensions of diversity such as race, gender, and culture may impact perceptions of what constitutes effective leader behavior. How each group processes information and acts on challenges is largely based on their background, which includes core dimensions of diversity. As such, in order to be effective, leaders ought to be sensitive to followers' expectations, and adjust their leadership style accordingly to match follower expectations.

When leading diverse teams, leaders should be aware of the many social identities held by members of the team. Leaders should work to build strong relationships and maintain an inclusive culture, including empowering all stakeholders in all levels of the organization (Diversity as a contributor, 2016; Susmita & Myra, 2013). Additionally, leaders must also be sensitive to the organization's values, beliefs, and behaviors to better inform processes and decisions (Susmita & Myra, 2013).

Dimensions of Diversity

Geographic location

Military experience

Work experience

Education

Age

Gender

Income

Work style

Sexual orientation

Mental/physical abilities & characteristics

Religion

Family status

Ethnic heritage

Race

First language

Communication style

Organizational role & level

Adapted from Loden (1995)

Organizational Environment

Organizational Culture

Organizational culture refers to a set of basic values, understandings, assumptions, and/or norms that is shared among members of the organization. Schien (1992) attributes culture to a variety of processes including behaviors such as traditions, rituals, and the language people use when they interact. In addition, standards for working with others, publicly communicated values that the organization aims to achieve, formal policies and ideologies that guide the organization's work, among others, are all elements of an organization's culture.

Organizational culture can also be divided into two categories: 1) visible, and 2) invisible (Schien, 1992). Visible elements of culture are observed in some way, such as office layout, dress, ceremonies, and awards; invisible elements cannot be observed, and typically range from expressed values and beliefs, to unconscious underlying assumptions about behavior. Strong organizational cultures help members of the organization learn how to work together through developing group norms and behavioral habits. An organization's culture can also affect how it achieves success by meetings its goals and adapting to external forces. A significant determinant of a strong organizational culture is dependent on whether its leaders are open to change (Daft, 2017).

A *responsive culture* is characterized as one in which leaders are relationship-oriented, and care about people, procedures, and processes that affect change. A *resistant culture*, on the other hand, is led by those who are concerned with only themselves and their personal goals, and discourage change. Responsive cultures are better prepared to respond to change both internally and externally. Leaders of strong organizational cultures use various "mechanisms" to enact organizational values, including:

- *Rites & Ceremonies*: planned activities or special events conducted to highlight examples of what the organization values (e.g. awards ceremonies, annual parties, etc.)
- *Stories*: narratives based on true events that are repeatedly shared among employees; used to illustrate the organization's values
- *Symbols*: objects, acts, or events that convey meaning to members of the organization
- *Specialized Language*: special slogans or sayings that express organizational values

To ensure an organization's culture is consistent over time, organizational leaders often use the process of *socialization* to onboard new followers. Socialization refers to "the process by which a person learns the values, norms, perspectives, and expected behaviors that enable him or her to successfully participate in the group or organization" (Van Maanenk, 1976, p. 67).

Leader-Member Exchange Theory (LMX)

Leader-member exchange (LMX) theory is based on leader and follower interactions, known as a dyad. A dyad is an "individualized relationship between a leader and a follower" (Lussier & Achua, 2016, p. 232). LMX theory is concerned with the quality of the relationships between the leader and the follower (Erdogan, Liden, & Kraimer, 2006). High quality relationships are built on mutual trust, respect, and friendship, and often include social interactions outside the organization; alternatively, low quality relationships are strictly professional, and interactions are limited to within the organizational context. If one has a high quality relationship with their leader, they are considered a member of the _in-group_, which includes "followers with strong social ties to their leader in a supportive relationship" (p. 232). Followers with "few or no social ties to their leader" are considered part of the _out-group_ (p.233).

Followers belonging to the in-group also exhibit a higher level of _organizational citizenship behavior_ (OCB). OCB are behaviors demonstrated by individuals when they exceed expectations typically required by their normal job responsibilities (Rockstuhl, Soon, Dulebohn, & Shore, 2012). Individuals frequently engaging in OCBs are often perceived as hard-working by their leader. On the other hand, followers who belong to the out-group are often perceived as lazy or unwilling to dedicate themselves to the leader and/or the organization. The quality of the leader-follower relationship is also affected by the leader's _span of control_, or the number of followers the leader directly supervises. The wider the leader's span of control, the more followers he/she must oversee, and therefore, developing high-quality relationships with each follower is more difficult. Nevertheless, organizational cultures which value trust, openness, and respect tend to foster better work environments and encourage high-quality LMX relationships.

High-quality LMX relationships have multiple positive effects on organizations (Lussier & Achua, 2016). For example, followers in the in-group display a higher level of job performance and satisfaction, as well as deeper levels organizational commitment. As a result, organizations experience low staff turnover and high organizational performance.

Leadership Behaviors:
A Review of LDRS 302
Introduction to Leadership Behaviors

Teams

A *team* is defined as a group of three or more individuals who are intentionally and consciously working together to achieve a common objective such as a product or process improvement (de Janasz, Dowd, & Schneider, 2015). There are four essential features of effective work teams: task, boundaries, norms, and authority (Hackman, 2002). Team *task* refers to the actual goal or objective of the team and its autonomy to perform it. Team *boundaries* refers to the appropriateness of the team size and membership. *Norms* reflect the informal rules that regulate expected behavior of group members. *Authority* refers to the extent of the team's authority to design, manage, monitor and execute the team processes and objectives. The use of teams is common in the contemporary workplace in large part because teams often achieve positive work outcomes including increased creativity, problem solving and innovation, higher quality decisions, improved processes, global competitiveness, increased quality, improved communication, and reduced turnover and absenteeism and increased morale (de Janasz, Dowd, & Schneider, 2015).

Teams also can experience several limitations including *groupthink*, *social loafing/free-riding* and *risky shift*. *Groupthink* occurs when individuals reluctantly support the group's decision when they are more concerned about maintaining harmony with the group than critically thinking about alternative solutions. *Social loafing/free riding* occurs when groups lack individual accountability and hence one or more members slack off hoping other team members will pick up the slack. *Risky shift* happens when groups make more risky decisions or take more extreme courses of action than any individual would have done alone.

When teams commence, engage, and complete their collective responsibilities, they commonly experience developmental stages: forming, storming, norming, performing, and adjourning (Tuckman, 1965). *Forming* occurs when the teamwork is beginning and members are tentative because they have not yet had the chance to get to know one another or set team objectives. *Storming* happens when the group first experiences conflict. Often this conflict reflects interpersonal struggles over leadership, objectives, or roles and responsibilities. As the team works through the conflict and establishes new ways to communicate about differences, they experience *norming*. Within this phase, team members develop a new ability to express constructive criticism and develop a sense of team unity. During the *performing* phase teams work very closely together and develop insights regarding other team members' strengths and weaknesses. Additionally, they possess a clear understanding of the team tasks and are highly motivated achieve those tasks. After successfully completing the team tasks, many teams may either temporarily take a break or permanently disband. As the team ties up loose ends and finishes all follow-up requirements of the team project, they experience the final phase of team development, *Adjourning*.

Collaboration

Collaboration is a process that often develops when people purposefully work together to solve a problem or make a decision whereby they take ownership of, and responsibility for, their collective work (Liedtka, 1996). When groups or teams successfully collaborate together they are more likely to motivate members toward the common goal, as well as increase their collective performance (Straus, 2002). The two models presented here identify and describe important characteristics of effective collaboration.

Keys to Successful Collaboration - Chrislip and Larson (1994)

Chrislip and Larson (1994) asserted that collaboration is an essential means to deal with social concerns, and to engage in the leadership process. The failure of traditional politics has provided an opportunity for citizen and community leaders to address the issues currently not being met. The keys to successful collaboration are:

- *Good timing and clear need*: sense of urgency

- *Strong stakeholder groups*: represent a variety of people

- *Broad-based involvement*: including representatives of diverse sectors

- *Credibility and openness of process*: seen as fair, open and credible

- *Commitment* (at the individual level): dedicate oneself to need for change and path that is chosen
- *Support of established authorities or powers*: do not undermine established power structures
- *Overcoming mistrust and skepticism*: skepticism must decrease if the effort is to be successful
- *Strong leadership in the process*: leadership must allow for and encourage openness and fairness
- *Interim success*: must celebrate successes along the way to keep participants motivated
- *Shift to broader concerns*: more from narrow focus to that of community/society

Collaboration Framework - Linden (2010)

Linden (2010) stated "the goal for collaborative leaders isn't a perfect project...but knowing and practicing the key collaboration factors will improve your results" (p. 53). As such, Linden developed the Collaboration Framework to illustrate the underlying foundation for successful collaborative efforts when working with other people or groups. There are seven key factors, which include:

1. *Partners have a shared, specific interest or purpose*: all those involved in the effort have a shared, common goal to achieve
2. *Partners want to pursue a collaborative solution now*: the collaborative effort must be a high priority for all involved; all must contribute equally with the same level of commitment and priority to the purpose.
3. *The appropriate people are at the table*: identify the appropriate people to be part of the process; appropriate people include any individuals or groups who have something to contribute to the effort, or who will be affected by it
4. *Partners have an open, credible process*: all involved "own" the process; group norms, such as transparency, are established; relationships are developed through knowledge sharing
5. *The collaborative effort has a passionate champion(s)*: champions are those with credibility and clout who are deeply committed to achieving the project goals; champions can be a member of the core group doing the collaborative work OR senior leaders who have responsibility for the group (or for the project)
6. *Formation of trusting relationships*: mutual trust allows for more positive conflict resolution, problem solving, and negotiation and compromise; trusting relationships are more likely reduce obstacles and increase the pace of completing a collaborative project
7. *The use of collaborative leadership skills*: demonstrate passion and share credit for successes; listen to understand other perspectives; seek win-win solutions to achieve shared interests; pull (listen, ask questions, compromise), don't push (telling, competing); connect the project to a larger purpose by thinking strategically.

Collaborative Leadership

Appropriate People

High priority

Champion

Open process

Shared goals

Relationships
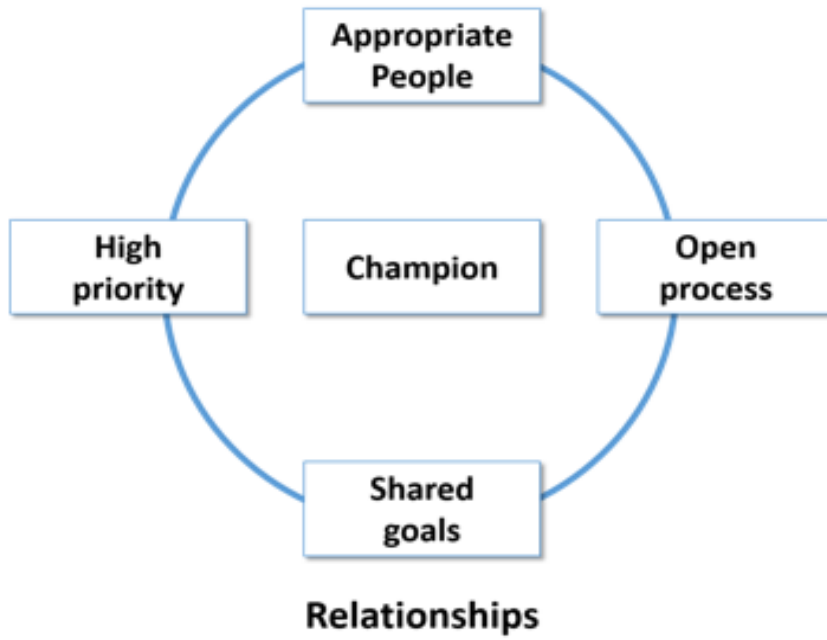
Adapted from Linden (2010)

Conflict Resolution

Conflict is an inevitable part of human nature and is an essential component of leadership and change. While conflict is neither inherently positive nor negative, the nature of conflict is defined by the reactions in which it is met and the resulting outcomes. How people react to each other when a conflict situation emerges and then work together to resolve the differences determines whether or not the conflict is destructive or constructive.

Thomas (1976) developed a typology for the handling of conflict. These conflict resolution styles exist as continuums along two independent dimensions: 1) assertiveness/concern for self and 2) cooperativeness/concern for others (see figure). In order to be effective, leaders must be equipped to diagnose the conflict situation and determine which conflict resolution strategy is appropriate in order to maintain both short-term results and long- term effectiveness.

Accommodation: Within the accommodating style, leaders focus primarily on preserving peace and harmony at the expense of personal interests. Leaders who use accommodation prioritize the concern for others over their personal concerned. While this approach may be useful in maintaining relationships, it can give the impression of an unwillingness to confront issues.

Avoidance: Leaders using the avoidance style either deny that conflict exists or they ignore the situational altogether, and therefore fail to address the issues precipitating the conflict. Leaders using this style demonstrated a combination of low assertiveness and low concern for others.

Competition: The competition style prioritizes assertiveness and concern for self at the expense of others' interests. Leaders using this style tend to do things their way and use whatever power seems appropriate in order to 'win' over others, and demonstrate a low concern for others or a willingness to cooperate.

Compromise: When using this style of conflict resolution, leaders show a moderate concern for both themselves and others. In this style, leaders are willing to give up some of what they want to meet the needs of others by seeking a quick, middle-ground resolution.

Collaboration: Collaboration represents a proactive and intentional attempt to achieve a resolution that fully satisfies the concerns of both positions. In this style, leaders seek input in creating new solutions. There is a balance of high assertiveness and concern for self with high cooperativeness and concern for others. Leaders using the collaboration style engage their followers in the process to help create ownership in solutions.

Competition

Collaboration

Assertiveness & Concern for Self

Compromise

Avoidance

Accommodate

Cooperativeness & Concern for Others
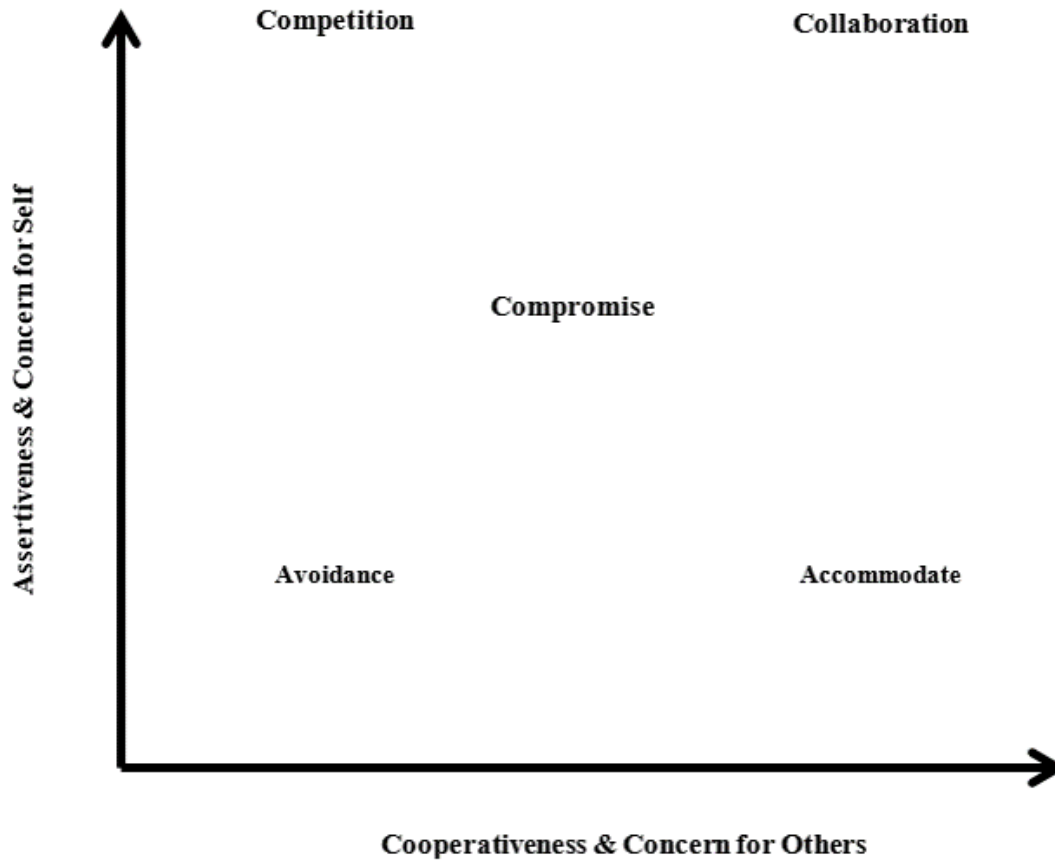
Adapted from Engleberg & Wynn, 2015

People engaged in leadership need to identify which conflict resolution style best addresses the conflict. The circumstances of a given situation will help inform which style is most appropriate. The table below summarizes some of the key circumstances when each conflict resolution style may be suitable.

Appropriate Uses for Each Conflict Style

Style	Uses
Avoidance	● When the issue is trivial, or more important issues are pressing ● When you perceive no chance of satisfying your concerns ● When potential disruption outweighs the benefits of resolution
Competition	● When quick, decisive action is vital ● On important issues where unpopular actions need to be implemented ● On issues vital to the welfare of the organization when you know you are right ● Against people who take advantage of non-competitive behavior
Accommodation	● When you find you are wrong—to allow a better position to be heard ● When issues are more important to others than to yourself ● To build social credits for later issues ● To minimize loss when you are outmatched and losing
Compromise	● When goals are important, but not worth the effort or potential disruption of more assertive modes ● When opponents with equal power are committed to mutually exclusive goals ● To achieve temporary settlements to complex issues ● To arrive at expedient solutions under time pressure
Collaboration	● To find an integrative solution when both sets of concerns are too important to be compromised ● To merge insights from people with different perspectives ● To gain commitment by incorporating concerns into consensus ● To work through feelings which have interfered with a relationship

Adapted from Engleberg & Wynn, 2015

Communication in Organizations

Communication is used to inform, command, instruct, assess, influence, and persuade other people. It is the process by which information is shared between people using common symbols, signs, and/or behavior. There are three types of communication: 1) verbal, 2) written, and 3) non-verbal (Anonymous, 2017).

Verbal communication takes place when one actively listens to another speak, either via phone, web conference, or in-person conversations (Anonymous, 2017). Verbal communication can also take place asynchronously through recorded videos or podcasts. _Storytelling_ is an effective use of verbal communication in organizations, in order to develop a common narrative for all working toward the organization's goals. _Written communication_, on the other hand, includes printed messages, such as emails, text messages, or office memos. Unlike most verbal exchanges, written communication is most often asynchronous, as the receiver can view the information at any time, and is not required to respond immediately after receiving a message from the sender. The final type of communication is _non-verbal communication_, which accounts for 55% of one's communication to others. Things like posture, formality of dress, facial expressions, and head and eye movements are considered non-verbal cues. The amount of space one uses when speaking, as well as one's tone of voice are also considered non-verbal cues, as they change how a message is perceived.

Whether one communicates verbally, non-verbally, or through written communication, several barriers can occur that diminish effective communication (Anonymous, 2017). _Information overload_ is a common barrier to effective communication, as the amount of time required to process the information exceeds the time available. This can often lead to unconscious _selective perception_, in which the receiver filters the messages they receive to suit their own needs. Selective perception may take place because of _emotional disconnects_ between the sender and receiver, such as difference of opinion or personality. Furthermore, informal gossip, or "the _grapevine_," can impact how well messages are received, due to inaccurate information being spread through informal, social networks within the organization. A _lack of familiarity or credibility_ with the person communicating can also impact how the message is received; if the recipient of the information does not have a trusting relationship with the sender, the communication is less effective. Finally, one's use of _semantics_, or the words one chooses to use in the message, may not be appropriate or understood by the person receiving the message; therefore it is most appropriate to use a common language, understood by both the sender and receiver, to ensure the message is received effectively. Another barrier to effective communication is the _difference in meaning_ of the message between the sender and receiver. Differences in meaning can be affected by gender differences, biased language, and poor listening. The most effective communication is objective and respectful; therefore, it is imperative to be aware of language or behavior that might be perceived as inflaming a stereotype or offending others (2017).

Communication in organizations takes place in a variety of directions (Ivancevich, Konopaske, & Matteson, 2014). _Downward communication_ is communication that flows from individuals in higher levels to those in lower levels of the organization's hierarchy. Several examples of this type of communication include strategic plans, memos, emails, manuals, and company publications. _Upward communication_ is communication that flows from individuals at lower levels of the organizational structure to those at higher levels. Group meetings, suggestion boxes, and appeal or grievance procedures are methods of upward communication. _Lateral communication_ is communication that flows between individuals at similar levels in an organization; this direction of communication is often overlooked in organizational structures, but it is necessary for the coordination and integration of diverse organizational functions. _Diagonal communication_ is communication that cuts across functions and levels in an organization; it is a combination of downward/upward and lateral communication. Diagonal communication bypasses typical hierarchical communication channels to send or receive information.

360-degree Feedback

Three hundred sixty (360) degree feedback is a 'spherical' approach to performance appraisal methods that captures input from an employee's supervisor, peers, and direct reports. There are several key assumptions associated with 360-degree feedback: 1) multiple view points from multiple sources will provide a more accurate assessment of one's strengths and weaknesses and 2) comparing one's self perceptions with others' perceptions will lead to greater self-awareness (Carlson, 2006). The process of developing greater self-awareness is achieved by reducing 'blind spots' to help individuals grow or even become aware of the need to grow (Clawson & Yemen, 2008).

Design the 360-Degree Feedback Process

Developing and implementing a well-crafted 360-degree feedback process requires several important design considerations (Carlson, 2006; Clawson & Yemen, 2008).

- What are the organization's goals for pursuing the process?
- How committed is the organization to the process?
- Should the data be linked to performance appraisal system or used for professional development?
- What scales or surveys will be used to gain the feedback?
- Who will be involved in providing the feedback?
- How will confidentiality be protected?
- How will feedback be provided to the individual?

Analyzing Data from 360-Degree Feedback

A report containing the 360-degree feedback can be interpreted in a variety of ways (Clawson & Yemen, 2008). One way is to examine areas of strength and areas of weakness by simply identifying *high and low scores.* Another way is to examine *general gaps* by looking at the differences, if any, between one's self-assessment and the assessment of others. A third way is to examine *manager gaps*. Similar to the general gap approach, this way separates out self- scores and compares them with the supervisor's rating. The *peer gap* approach focuses on the differences between self-scores and peers' scores. Likewise, *direct report gaps* is the final gap analysis whereby self-scores are compared with employees' (direct reports) ratings. Finally, the *checking priorities* approach compares the perceived importance of certain competencies.

Creative Thinking

Given the situational nature of leadership, there are often 'many right ways' to accomplish any group task. As such success commonly requires the ability to think critically and creatively. Creativity is the ability to think 'outside the box' and find solutions or answers to issues that the group may not have any familiarity with. The creative process has five steps (Shani, Chandler, Coget, & Lau, 2009):

1. *Preparation*: a problem is identified, and therefore an individual or group selects who will be involved in addressing the problem, what support is needed, and begins collecting information and data about the problem
2. *Incubation*: using what we know about the problem, begin thinking of solutions to address the problem; this stage is where creative thinking techniques are used
3. *Intimation*: recognizing potential solutions to solve the problem

4. *Insight or Illumination*: the Aha! moment; a solution(s) is identified, often at an unexpected time
5. *Verification and Application*: determining whether the identified solution(s) is possible to implement, and putting it into action

Creativity cannot be readily rushed. Once a problem has been identified, individuals or groups addressing the problem should not merely react to the situation, but rather they should take a proactive approach to intentionally engage in creative thinking in order to address the issue. Creative thinking can provide a channel for new ideas and directions for organizations and the groups that comprise them. It can mean the difference between being ready for, and struggling to deal with change. There are several creative thinking techniques groups can use to engage in creative thinking.

- *Brainstorming*: a short period of time (around 10 minutes) in which an individual or group verbally identifies as many ideas as possible to solve a problem, no matter how "out of the box" the idea(s) may seem (Winstanley, 2014).
- *Brainwriting*: an alternative to brainstorming, brainwriting has individuals in a group to silently write ideas on note cards until all ideas are exhausted (Scholtes, Joiner, & Streibel, 2003).
- *Mind mapping*: a structured form of brainstorming in which an individual or group creates a pictorial representation of idea generation; also referred to as 'spidergrams' (Winstanley, 2014; Gardner, 2013).

- *Lateral thinking*: exploring the problem or potential solutions from different, uncommon perspectives outside our logical thinking process (Winstanley, 2014; Gardner, 2013).
- *Six thinking hats*: examining a problem and potential solutions from six specific perspectives, or "hats"--factions, emotions, judgement/caution, logic, creativity, and control (Gardner, 2013).
- *Checklist*: asking the six universal questions in relation to the problem and potential solutions generated--who, what, when, where, why, and how? (Gardner, 2013).
- *Pet peeve*: when a group or individual identifies all possible complaints (from those within or outside the group or organization) about the issue at hand, and asks "What if?" with regard to any potential solutions to addressing the issue(s) (Dubrin, 2016).

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Strategic Planning

Strategic Planning: Identifying the Issues, Needs or Problems

Leadership requires participants to engage with one another to create transformative change by creating a vision for the future and strategies for achieving that vision. The process of establishing a vision and action steps is commonly referred to as strategic planning. The first, and most important, step of the strategic planning process is to clearly identify and understand the nature of the problem needing to be addressed. The ultimate goal of any strategic planning effort is to understand the problem in order to deal with it effectively (Berkowitz, 2018). It is always smarter when tackling a problem to first analyze and understand it before you begin to identify and act upon solutions. Analyzing the problems and issues can help you anticipate potential obstacles before they emerge, and give yourself a better chance for coming up with a successful solution.

Choosing and Justifying the Problem

The first step in identifying and analyzing the problem is to justify the choice of the problem. This involves asking yourself essential questions (Berkowitz, 2018):

- How often does the problem occur (or is the goal attained)?
- How are people affected by the problem?
    - Who is affected by the problem? What types of people are affected (e.g., children, parents, neighbors)?
    - What are the consequences of the problem (achieving the goal) for those affected?
    - How many people are affected?
    - How often does the problem occur?
- For what amount of time are they affected?
    - When and where did the problem first occur?
- How severe (significant) is the effect?
    - When did it become significant?
    - Is it new or old? Is it increasing or decreasing?
- How important is the problem or goal perceived to be by others?
- How effective are efforts to address it likely to be?
    - How is the problem perceived by community members? By outside experts?
- Are there any likely negative impacts of addressing the problem or goal?

Root Cause Analysis

The importance of incorporating Root Cause Analysis (RCA) into the strategic planning process, specifically in describing the problem, cannot be overstated (Patanakul, Shenher & Milosevic, 2012). The RCA process helps ensure that the cause of the problem, rather than just a symptom of the issue, is treated. For the purpose of the strategic planning process that takes place in a college classroom, this action may look differently than it does in the workforce. They are then instructed to devise a way to "address the problem." If understanding of causal issues is not had, symptomatic problem solving occurs; that is, the true origin of the issue is never addressed. Fully working to assess and address the root cause in the timeline of an academic semester may not be feasible. This process though, is vitally important to understand; not just for the success of a class project, but for the purpose of academic development.

A method of root cause analysis used widely in business and industry is known as the *5 Why's* approach. This approach was pioneered by Sacichi Toyoda in the 1970's. Toyoda believed he could better solve problems through repeating levels of interrogation to expose additional layers of existing issues (Magee, 2008). While there are many RCA methods, the *5-Why's* approach is a simple way to begin the process. As can be assumed from the title of the process, participants simply ask the question approximately five times to learn the underlying cause for issues (see figure below).

Figure: Root Cause Analysis, Example of Toyoda
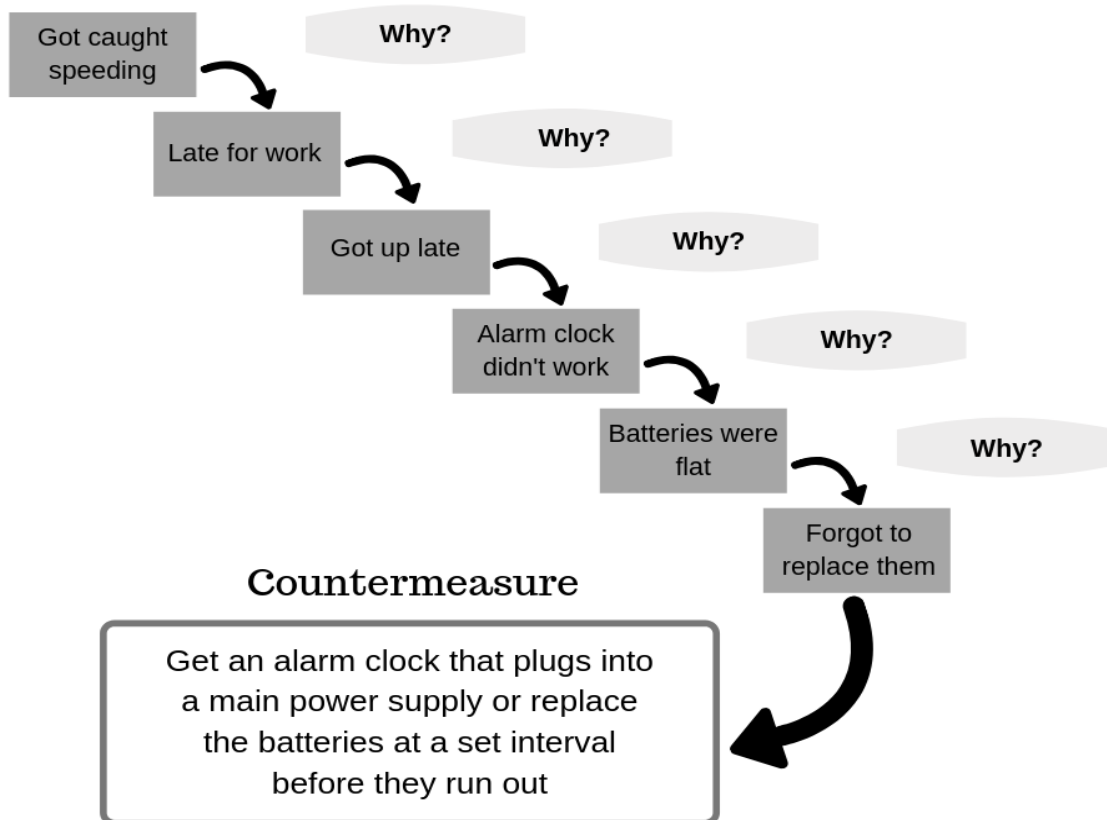
In the figure above, the underlying issue was the batteries weren't replaced in alarm clock. The countermeasure to this was to get an alarm clock that plugs into a main power source or develop a battery replacement interval. Without executing a thorough RCA, the alarm clock batteries may just be replaced, which could result in the problem reoccurring once their power is depleted.

Data collection is an important piece of not only conducting a thorough root cause analysis, but also in the larger scope of strategic planning (Eppler & Platts, 2009). Including data helps reveal the true foundational cause of the issue. It is imperative when moving through the data collection process that authentic, reliable sources are used to create an accurate narrative. If the problem is a book, the data are the words.

Data can come from an unlimited number of sources. To accurately create a narrative which describes the issue at hand, information must come from credible sources. The ability to filter credible from non-credible sources is known as information literacy. Government databases such as The Bureau of Labor and Statistics (www.bls.gov) or the Census Bureau (www.census.gov) are examples of government repositories of data that have been verified. Peer reviewed journal articles are pieces of scholarship that have been reviewed by experts in the field and vetted for credibility. Online databases such as Research Gate, ProQuest, or Google Scholar search a myriad of sources based on criteria given to them, and can be used to find peer reviewed journal articles. The university library is an additional resource that can be used to find credible, verified data.

S.W.O.T. Analysis

SWOT is an acronym for Strengths, Weaknesses, Opportunities, and Threats. SWOT is a useful tool to conduct an evaluation of an organization's strengths and weaknesses (S-W) as well as to examine broader opportunities and threats (O-T) external to the organization. This helps individuals and organizations develop a broader understanding of the issues and inform the strategic planning and decision-making processes. Performing a SWOT analysis can reveal positive forces that work together as well as potential problems that need to be addressed.

First, you need to answer the question, what are the strengths and weaknesses of your group or organization? And what are the opportunities and threats facing your group or organization? Typically, strengths and weaknesses are *internal* factors to your group or organization. Some common internal factors include (Renault, 2018):

- Human resources—staff, volunteers, board members, target audience
- Physical resources—location, building, equipment
- Financial resources—funds/funding agencies, sources of income
- Activities and processes—program you run, system you employ
- Past experiences—lessons learned, reputation in community.

Opportunities and threats are generally viewed as factors *external* to the group or organization. Several factors that are often outside of the group's ability to control include:

- Future trends in your field or the culture
- Economy—local, national or international
- Funding sources—foundations, donors, funding agencies
- Demographics—changes in age, race, gender, culture of those you serve
- Physical environment—amenities and resources in the community
- Local, national, or international events.

Internal		External	
Strengths	Weaknesses	Opportunities	Threats
1.	1.	1.	1.
2.	2.	2.	2.
3.	3.	3.	3.
4.	4.	4.	4.
5.	5.	5.	5.

Strategic Planning: Vision, Mission, Objectives, ~~Strategies~~ and Action Steps (VMOSA)

Strategic planning is used to help organizations (community, non-profit, or proprietary) define a vision for the future, identify goals, and determine steps on how to make the vision a reality. Various methods and processes can be used for the strategic planning process. The Department of Leadership Studies at Fort Hays State University embraces the *Vision, Mission, Objectives, Strategies, and Actions Steps (VMOSA)* planning process (Nagy & Fawcett, 2018a). While this model of strategic planning is very useful, and the Center for Community Health and Development provide tremendous resources to help community leaders engage in strategic planning, this model has been modified for our leadership program. Whereas, Nagy and Fawcett technically differentiate between Objectives and Strategies, we will only use Objectives as the key tools to provide focus and direction to the project vision and mission. The strategic planning model described here is essentially a VMOA model (and not the VMOSA model presented in the Community Toolbox).

VMOA Strategic Planning: Vision and Mission

Creating your organization's vision and mission statements are commonly the next steps in the strategic planning process. These statements explain, in a very concise manner, the organization's hopes and dreams, and help its members understand what is really important.

<u>**Vision**</u>

The vision statement is your dream for an ideal future. It should describe what your community initiative would look like if it was fully, and perfectly achieved. Typically, a vision statement is written in short phrases or sentences conveying your hope for the future if ideal conditions are attained. Vision statements commonly have the following characteristics: 1) understood and shared by members of the community initiative; 2) broad enough to include a variety of perspectives; 3) inspiring and motivating all to get involved in the effort; and 4) simple to communicate (Nagy & Fawcett, 2018b).

We can ask ourselves several questions when evaluating the quality of our vision statement.

- Does it draw people toward a common aim?
- Will it instill hope for a better future?
- Will it inspire members to realize their aspirations through positive action?
- Does it provide a foundation for creating the other aspects of the strategic planning process?

<u>**Mission**</u>

Mission statements commonly address how an organization intends to achieve the vision statement by reframing it in practical terms. Mission statements are typically more concrete and "action-oriented" than vision statements. Whereas the vision statement should inspire people to dream, the mission statement should inspire others into action. Mission statements, while not necessarily as short as vision statements, are concise by getting the point across in one sentence. Mission statements are also action-oriented by focusing on outcomes of the organization or community initiative.

The quality of the mission statement can be evaluated through asking ourselves the following questions:

- Does the mission statement explain *what* our organization will do and *why* it will do it?
- Is it concise?
- Does it focus on specific outcome(s)?
- Do the goals appeal to and resonate with all the people who may become involved with the organization?

The table below identifies several examples of well-conceived vision and mission statements of several non-profit organizations.

	Vision Statement	Mission Statement
Feeding America	A hunger-free America	To feed America's hungry through a nationwide network of member food banks
		and engage our country in the fight to end hunger.
Habitat for Humanity International	A world where everyone has a decent place to live.	Seeking to put God's love into action, Habitat for Humanity brings people together to build homes, communities and hope.
Oxfam	A just world without poverty	To create lasting solutions to poverty, hunger, and social injustice.
National Multiple Sclerosis (MS) Society	A World Free of MS	We mobilize people and resources to drive research for a cure and to address the challenges of everyone affected by MS.

Adopted from TopNonprofits, 2019 a,b

VMOA Strategic Planning: Objectives and Action Steps

Objectives

Now that you have established a mission and vision for your initiative, you need to plan ways to achieve it. To achieve your mission, objectives provide focus and direction for the strategic plan by identifying specific goals you want to achieve. Objectives specify *what* you want to achieve and by *when*, and the *degree or level* at which you want to achieve it (Nagy & Fawcett, 2018d).

There are three types of objectives (Nagy & Fawcett, 2018d). _Behavioral objectives_ seek to change the behaviors of people, or change the outcome associated with their behavior. _Community-level objectives_ seek to create change on a larger scale—change that affects a large group of people, or a community. Finally, _process objectives_ seek to create or implement activities in order to achieve change. Regardless of the type of objective you design, objectives must: 1) be clear, concise and attainable; 2) be measurable; 3) have a target date for completion; and 4) be arranged according to priority (Safranski & Kwon, 1991).

Effective objective statements include four components: an action, a noun, a measure, and a deadline; although, these components are not always written in the same order (Wright, 2019).

Action	Using an active verb illustrates, specifically, what you are going to do.
Measure	Also considered, "metric," the measure helps you describe how much of the action you need to complete in order to be successful—the degree or level at which you complete the action.
Noun	The noun describes what is being affected by your action.
Deadline	The deadline gives you a specific time frame to complete your action

Adopted from Wright 2019

Example of *Behavioral Objectives*

Behavioral objectives seek to change the behaviors of people, or change the outcomes associated with their behavior. Let's consider the following that illustrate examples of behavioral objectives. If you wish to raise funds for an organization, an objective might be:

Acquire $1,000 in funding by August 1, 2019.

This objective specifies *what* you are going to do (raise funds), the *degree or level* to which you want to achieve it ($1,000), and by *when* you want to achieve it (August 1, 2019). This objective would be considered a behavioral objective, as it seeks to change the outcome of people's behaviors. The behavior we are attempting to alter, in this case, would be donating money to an organization's cause.

Alternatively, you want to increase the number of attendees at an annual event for an organization. This example can be framed as the following:

Increase attendance at the annual gala on December 15, 2019 by 45% or 150 people.

This objective is written in a slightly different order, but still identifies *what* you are going to do (increase attendance at the gala), the *degree or level* to which you will achieve it (by 45% or 150 people), and *by when* (December 15, 2019). This objective is behavioral as it seeks to alter people's attendance behavior for the annual event.

Example of *Community-Level Objectives*

Another type of objective you might write is a "community-level objective." This objective is written in order to create a higher level of change on a large scale. For example, if you want to increase the number of affordable housing units in your community, an objective might be:

Increase the number of affordable housing units by 25% by the year 2050.

Just as above, we see an action (increase), a noun (number of housing units), a measure (25%), and a deadline (the year 2050). Alternatively, perhaps you'd like to increase the K-12 graduation rate for youth in your community. A community-level objective might be:

> By 2035, increase the high school graduation rate by 15%.

Note the action (increase), the noun (high school graduation rate), the measure (15%), and the deadline (2035).

Each of these objectives seek to achieve change on a large scale, impacting hundreds, or even thousands of people, depending on the size of one's community. For this reason, they are considered community-level objectives.

Examples of *Process Objectives*

Process objectives refer to the implementation of activities related to achieving your mission. Let's say, for example, you are creating a leadership development program for the Scouts of America organization. An objective might be:

> By December 2020, implement a youth leadership development program for local Scouts of America chapters.

This objective includes an action (implement), a noun (youth leadership development program), and a deadline (December 2020). The measure, in this case, is also the action (implement), as the implementation of the program in the organization accounts for completion of the objective.

Now perhaps you want to implement a new training program for volunteers in your non- profit organization; therefore, an objective might be:

> Implement a new volunteer training program for all volunteers at the American Red Cross by the year 2030.

Again, the actual implementation of the training program serves as the measure for this objective. Otherwise, all components of a complete objective statement are present. These two aforementioned objectives are considered process objectives as they seek to implement specific activities related to an organization's mission.

Action Steps

The next component of the strategic planning process aims to identify specific, actionable steps. These action steps describe what will happen, who will do it, and when it will happen. Action steps, or strategies, are the *specific* actions you will take to achieve a strategic objective. Objectives typically have multiple action steps (at least two) to complete. Action steps contain the following information (Nagy & Fawcett, 2018c): 1) *What* action will occur; 2) *Who* will carry it out; 3) *When* it will take place, and for how long; 4) *Resources* (i.e., money, staff) needed to carry out the action; 5) *Barriers* or resistance (and how to overcome them); and 6) *Collaborators* (who should be involved). Similar to the objectives, action steps should be written using active verbs (e.g., action) and arranged according to priority. Think of action steps as a to-do list for completing your strategic plan.

Strategic Planning Example

Action Step	Person(s) Responsible	Date to be Completed	Resources Required	Potential Barriers or Resistance	Collaborators
Draft a social marketing plan	Terry McNeil (from marketing firm)	April 2018	$15,000 (remaining donated)	None anticipated	Members of the business action group
Ask local corporations to introduce flex-time for parents and mentors	Maria Suarez (from business action group)	September 2018	5 hours; 2 hour proposal prep; 3 hours for meeting and transportation	Corporation: may see this as expensive; must convince them of benefit of the plan for the corporation	Members of the business action group and the school action group

Application of Objectives and Action Steps: *Tyler Poverty Project*

An example comes from a LDRS 310: Fieldwork in Leadership Studies student, who created an initiative called the Tyler Poverty Project. Her mission was "To extend assistance from Oklahoma to Texas, providing more food, supplies, and other assistance to those in need" (Webber, 2019). To achieve her mission, the student established multiple objectives aimed at obtaining food and supplies for members of the homeless population. One of her objectives sought to collect donated food items for the local food bank. Another objective aimed to recruit volunteers. Below are examples of her objectives and corresponding action steps

Acquire 1,000 food items and 500 supply items by April 30th, 2019.

Action Step	Person(s) Responsible	Date to be Completed	Resources Required	Potential Barriers or Resistance	Collaborators
Create a spreadsheet that can be used to keep inventory.	Christina and Charlez	March 1, 2019	Phone, computer, internet access, email, Excel		All volunteers and outreach members
Set drop off locations where people can leave donations at their convenience, by contacting local businesses to leave baskets/signs.	Ry and Christina	February 20, 2019	Phone, computer, pen and paper, internet access, email, transportation		All volunteers and outreach members; local business contacts

Recruit 15 volunteers by March 29th, 2019 to conduct food and supply drives.

Action Step	Person(s) Responsible	Date to be Completed	Resources Required	Potential Barriers or Resistance	Collaborators
Remain knowledgeable about local events where we can set a tent as a food and supply drop off location by checking local city website, word-of-mouth, company websites and advertisements, and social media.	Bob Smith	Complete by February 1, 2019 Efforts will continue throughout the life of the project.	Phone, computer, pen and paper, internet access, email, calendar, map of city, transportation, social media accounts		All volunteers and outreach members
Set a schedule with days and times that people are needed in correlation with events, and set-up 1-2 shifts	Ry and Christina	Complete by March 15th, or as needed	Phone, computer, pen and paper, internet access, email, transportation, printer, calendar		Volunteers and outreach members
Recruit volunteers to work days and times on the schedule via word-of-mouth.	Ry and Christina	Complete by March 29th, or as needed	Phone, computer, pen and paper, internet access, email, transportation		Volunteers and outreach members

Adapted from Webber (2019)

Application of Objectives and Action Steps: *Below the Line*

     Below the Line is a LDRS 310: Fieldwork in Leadership project team, whose mission was to "Increase poverty awareness by holding numerous events in order to enhance both the community members and students' understanding of poverty and its effects." One objective of *Below the Line's* strategic plan was to host an event called "Shack City," their objective and corresponding action steps would be stated as:

Host Shack City event with at least 25 participants on Friday & Saturday, November 1 & 2, 2013.

Action Step	Person(s) Responsible	Date to be Completed	Resources Required	Potential Barriers or Resistance	Collaborators
Reserve the Quad for Shack City event location	Brenna Johnson	Complete by September 12, 2013	Contact information for Quad reservations, Quad reservation form		Contact Edie McCracken regarding Quad reservations and requirements
Meet with University Police to plan for participant safety during the event	Michaela Sasse	Complete safety meeting and plans by September 20, 2013	Contact information for University Police, phone		Contact Ed Howell, University Police Chief, regarding the meeting and plans
File noise permit with the City of Hays	Alyssa Peppiatt	Complete by September 20, 2013	Contact information for City of Hays, phone, form for noise permit		Contact Brenda Kitchen, Hays City Clerk, via phone to acquire form and instructions for filing the permit

Adapted from Peppiatt, Johnson, Erlenbusch, Sasse, & Holland, (2013)

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