(2.0L/D, 1.5S, 2.0 optional L/D) **Leadership & Ethics IP 6203**

Title: Self-Assessment and Senior Leadership

> *What we must do is to survey all those gifts of mind and temperament that in combination bear on military activity. These, taken together, constitute the essence of military genius.*
> —Carl von Clausewitz

Introduction: Effective leaders use their understanding of human personality in building relationships and high performing teams. Their awareness and use of natural styles help them examine issues from different points of view while avoiding blind spots and conflict. At senior levels, this awareness is fundamental to success in leading large organizations or coalitions, as well as when working in the interagency environment. The Air Force and other services acknowledge personal assessment as a key to leader effectiveness.

Air Force Doctrine Document 1-1, *Leadership and Force Development,* 18 February 2004, defines Leadership Competencies as "the occupational skill sets and enduring leadership competencies that Air Force leaders develop as they progress along levels of increased responsibilities." For personal leadership, one of those competencies, expected of all Air Force leaders from the tactical to the strategic level, is "Assess Self." AFDD 1-1 further delineates key components for self-assessment:

- Understand how personal leadership style and skill impact decisions and relationships with others.
- Create a personal leadership development plan using insight gained from assessing values, personal strengths and weaknesses along with performances and learning style.
- Apply insight and learning to improve leadership performance.

USAF force development further emphasizes leadership at the strategic level in the following way for senior officers: "Based on a thorough understanding of themselves as leaders and followers, and how they apply organizational and team dynamics, they apply an in-depth understanding of leadership at the institutional and interagency levels. They achieve a highly developed, insightful understanding of personal and team leadership, while mastering their institutional leadership competencies."

The Air War College uses the Myers-Briggs Type Indicator (MBTI) as a framework for self-assessment, therefore, enabling leaders to understand and influence individual and group behavior at executive levels. The MBTI is a widely used personality preference survey—over a million people take it every year, including most of the senior service school classes. Although many of you have taken it before and have found it useful for identifying personal preferences—your own and others, this lesson will provide further insight into its utility for senior leaders.

The MBTI does <u>not</u> measure ability. Preference* does not equate to *performance.

Although a person has a natural preference in one area, that does not mean he or she is not capable of operating in a non-preference area. For example, most people have a preference to write either right- or left-handed, but that does not mean they are incapable of using the other hand to write. It simply means the less preferred writing hand is not as comfortable to use and takes time to develop. Everyone can develop his or her less preferred traits. To use another analogy; in the same way some baseball players "switch hit," batting either right- or left-handed, people function on both sides of each of the MBTI preference scales. It takes time and energy to develop both means, but it is entirely possible. A preference should also not be a means to "excuse" behavior. For example, a preference for introversion does not mean someone is not expected to participate in class. In the same way, an extrovert who constantly dominates the discussion cannot expect to be excused by saying, "That's just the way I am."

There are many practical applications of the MBTI framework. This is more than "touchy-feely" psychology. Consider the "Dot Com" companies—stunning successes just a few years ago—who failed at least in part due to their cultures. A company with, say, an INTP-oriented culture might be full of independent, abstract thinkers skilled at solving problems. But the same company might be weak on the follow-through—the detailed business practices required for long-term success. In the same way, an I/ESTJ organization like the Air Force will be reliable and consistent but may be lacking in flexibility and innovation, the qualities needed for transformation.

One purpose of this lesson is to identify your *preferences* and your *non-preferences*. One of the most important parts of the MBTI is self-validation of your four-letter type. You will receive a print out of the preferences reflected when you were "forced" to make a choice for each of the questions on the MBTI questionnaire. As you examine the results, each of you should validate the results with your personal observations and the observations of those who know you best to determine whether or not your type accurately describes your preferences. During the lecture, you will get a professional assessment of general characteristics of types.

A second purpose of this lesson is the "so what" part. What does the MBTI, self-assessment, and the concept of preference mean to senior leaders? The most effective organizations use the unique talents of all members. Yet we have also seen how it is possible to neglect certain people and approaches due to our discomfort with them. We will explore how senior leaders can use an awareness of individual preferences to build stronger organizations.

Lesson Objective: Apply the MBTI framework to analyze and enhance individual and group behavior at senior levels. **CV-Excellence.**

Desired Learning Outcomes:

1. Analyze your MBTI type.

2. Compare how preferences affect individual, group, and organizational decision-making.

3. Assess the significance of various preferences at senior levels.

4. Be able to summarize MBTI theory and application.

5. Contrast your four *MBTI preferences* with your four *non-preferences.* Examine issues associated with leading others and making decisions when using your non-preferences.

Questions for Study and Discussion:

1a. ***If you know your four-letter type—***are you comfortable with it? Does the description of that type accurately describe your personal preferences? What personal or professional use have you made of your *MBTI* preference?

1b. ***If you do not know your four-letter type—***assess yourself based on the readings. Select a preference from each of the four scales that's most like you, either E or I, S or N, T or F, and J or P. You can then determine the four preferences you believe to be the most valid for you.

2. What do your survey results mean in terms of your preferences for decision-making and problem solving? Do your results help explain past harmony or conflict?

3. How difficult is it for you to excel when operating in a *non-preference*?

4. How can a senior leader use MBTI concepts in making decisions and building high performance teams?

5. What preferences do you believe describe the ideal strategic leader?

6. Does the use of personality preference have ethical implications? How?

7. What aspects of personal preferences affect decision-making by an individual, group, or organization?

8. Have you been in a situation where you made decisions using your non-preferences?

Assigned Readings:

1. Smith, Perry M., *Rules & Tools for Leaders*, 2002, pp. 161–167. (Issued separately)

2. Martin, Charles, Ph.D., *Looking at Type: The Fundamentals*, 1997, pp 1–7, 14–15, 51–54. (Issued separately)

3. Barr, Lee and Norma, PhD, "Leadership," *The Leadership Equation: Leadership, Management, and the Myers-Briggs*, Chapter 2, 1989, pp. 21–36.

4. Pearman, Roger R., "Leadership Is a Psychological Process," *Hardwired Leadership: Unleashing the Power of Personality to Become a New Millennium Leader*, 1st ed., Chapter 1, 1998, pp. 6–21.

Suggested Readings:

Barber, Herbert F., "Some Personality Characteristics of Senior Military Officers," Clark and Clark, Editors, *Leadership*, *A Center for Creative Leadership Book* (West Orange NJ: Leadership Library of America, Inc., 1990), pp. 441–448.

Barr & Barr, *Leadership Development* (Austin: Eakin Press, 1994).

Bridges, William, *The Character of Organizations*: *Using Personality Type in Organization Development* (Palo Alto: Davies-Black Publishing, 2000).

Hemeon, Lyon, Martens and Walker, *An Investigation of Relationships between USAF Leadership and Organizational Psychological Types as a Means for Addressing Change*, ACSC Research Paper, 1995.

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http://www.keirsey.com/ (Website has the Keirsey Temperament Sorter II, a free tool which can be taken on-line.)

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Keirsey, David, *Please Understand Me II: Temperament, Character, Intelligence* (Del Mar CA: Prometheus Nemesis Books, 1998).

Knowlton, Dr. Bill and LTC Mike McGee, USA, "Strategic Leadership and Personality: Making the MBTI Relevant," Industrial College of the Armed Forces, August 1994, pp. 1–38.

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Kroeger, Otto, and Janet M. Thuesen, *Type Talk at Work* (New York: Delacorte Press, 1992).

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Strategic Leadership

Defining the Challenge

Col W. Michael Guillot, USAF

Editorial Abstract: Exercising strategic leadership involves the manipulation of microscopic perceptions and macroscopic expectations—a complicated process. However, understanding the process is less complex. Toward that end, Colonel Guillot defines and characterizes strategic leadership; he also addresses the components and nature of the strategic environment. Future leaders must develop competencies for dealing with the broad, new challenges of leading in that environment, a task that requires them to move from the art of the familiar to the art of the possible.

The only thing harder than being a strategic leader is trying to define the entire scope of strategic leadership—a broad, difficult concept. We cannot always define it or describe it in every detail, but we recognize it in action. This type of leadership involves microscopic perceptions and macroscopic expectations. Volumes have been written on the subject, which may in fact contribute to the difficulty of grasping the concept. One finds confusing and sometimes conflicting information on this blended concept that involves the vagaries of strategy and the behavioral art of leadership. Sometimes the methods and models used to explain it are more complicated than the concept and practice of strategic leadership itself. Exercising this kind of leadership is complicated, but understanding it doesn't have to be. Beginning with a definition and characterization of strategic leadership and then exploring *components* of the strategic environment may prove helpful. Future leaders must also recognize the nature of that environment.

Finally, they should also have some familiarity with ways of *developing competencies* for dealing with the broad, new challenges that are part of leading in the strategic environment.

What Is Strategic Leadership?

The common usage of the term *strategic* is related to the concept of strategy—simply a plan of action for accomplishing a goal. One finds both broad and narrow senses of the adjective *strategic*. Narrowly, the term denotes operating directly against military or industrial installations of an enemy during the conduct of war with the intent of destroying his military potential.[1] Today, *strategic* is used more often in its broader sense (e.g., strategic planning, decisions, bombing, and even leadership). Thus, we use it to relate something's primary importance or its quintessential aspect—for instance, the most advantageous, complex, difficult, or potentially damaging challenge to a nation, organization, culture, people, place, or object. When we recognize and use *strategic* in this broad sense, we append such meanings as the most important long-range planning, the most complex and profound decisions, and the most advantageous effects from a bombing campaign—as well as leaders with the highest conceptual ability to make decisions.

As mentioned earlier, strategy is a plan whose aim is to link ends, ways, and means. The difficult part involves the thinking required to develop the plan based on uncertain, ambiguous, complex, or volatile knowledge, information, and data. Strategic leadership entails making decisions across different cultures, agencies, agendas, personalities, and desires. It requires the devising of plans that are feasible, desirable, and acceptable to one's organization and partners—whether joint, interagency, or multinational. Strategic leadership demands the ability to make sound, reasoned decisions—specifically, consequential decisions with grave implications. Since the aim of strategy is to link ends, ways, and means, the aim of strategic leadership is to determine the ends, choose the best ways, and apply the most effective means. The strategy is the plan; strategic leadership

is the thinking and decision making required to develop and effect the plan. Skills for leading at the strategic level are more complex than those for leading at the tactical and operational levels, with skills blurring at the seams between those levels. *In short, one may define strategic leadership as the ability of an experienced, senior leader who has the wisdom and vision to create and execute plans and make consequential decisions in the volatile, uncertain, complex, and ambiguous strategic environment.*

Components of the Strategic Environment

What is the strategic-leadership environment? One construct includes four distinct, interrelated parts: the national security, domestic, military, and international environments (fig. 1). Within the strategic environment, strategic leaders must consider many factors and actors. This construct is neither a template nor checklist—nor a recipe for perfection. The framework recognizes the fact that strategic leaders must conceptualize in both the political and military realms. Additionally, it illustrates how the strategic environment is interrelated, complementary, and contradictory. Leaders who make strategic decisions cannot separate the components, especially when they are dealing with the national security environment.

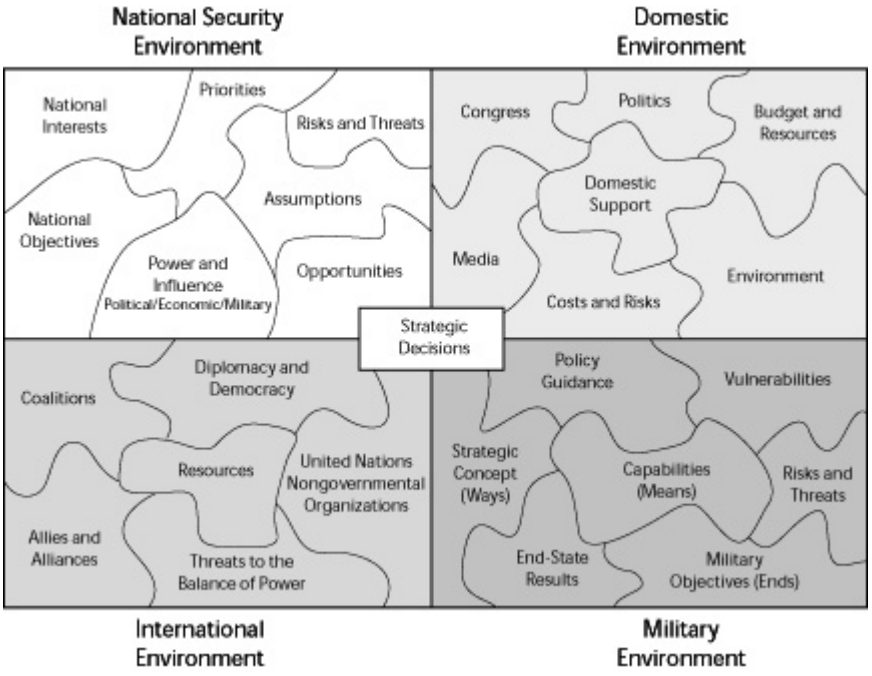

Figure 1. The Strategic-Leadership Environment

Strategic leaders must recognize and understand the components of the national security environment. The ultimate objectives of all US government personnel are those presented in the national security strategy. The strategy and its objectives shape the decision making of strategic leaders, who must understand the national instruments of power—political, economic, and military. These instruments provide the means of influence—for example, political persuasion (diplomacy), economic muscle (aid or embargo), or military force (actual or threatened). Within the national security environment, strategic leaders should consider national priorities and opportunities and must know the threats and risks to national security, as well as any underlying assumptions. Understanding this environment poses a major undertaking for strategic leaders. It is also the foundation for understanding the military environment.

Personnel who aspire to be strategic leaders, especially within the Department of Defense, must thoroughly understand military strategy. Two reasons come to mind. First, because the military instrument of power has such great potential for permanent change in the strategic environment, all strategic leaders must recognize its risks and limitations. Second, because military experience among

civilian leaders has dwindled over the years and will continue to do so, strategic leaders have a greater responsibility to comprehend policy guidance and clearly understand expected results. Only then can they effectively set military objectives and assess the risks of military operations. Such leaders must develop and evaluate strategic concepts within the military environment and recognize potential threats. Finally, strategic leaders will have to balance capabilities (means) against vulnerabilities and, in doing so, remain aware of the domestic coalition as a major influence.

Since the founding of our nation—indeed, even before the signing of the Constitution—the domestic environment has influenced our leaders. Over the last 200 years, little has changed in this regard; in fact, most people would argue that domestic influence has increased. For instance, strategic leaders today must pay particular attention to the views, positions, and decisions of Congress, whose power and influence pervade many areas within the strategic environment—both foreign and domestic. Congress has the responsibility to provide resources, and we have the responsibility to use them prudently and account for them. This partnership encompasses national and local politics, budget battles for scarce dollars, and cost-risk trade-offs. Strategic leaders cannot ignore either the congressional part of the domestic environment—even though the relationship can sometimes prove difficult—or support from the population. Such support is extremely relevant in democracies and certainly so in the United States. The problem for the strategic leader lies in accurately measuring public support. Accurate or not, senior leaders in a democracy ignore public support at their peril. Actually, because of their power and influence, components of the media make it impossible to ignore domestic issues. Strategic leaders must know how to engage the media since the latter can help shape the strategic environment and help build domestic support. Finally, even though the political will may change, environmental activism will continue to affect the decisions of strategic leaders at every level. Environmental degradation remains a concern for strategic

leaders in this country, as do problems in the international environment that call for strategic decisions.

When considering the international environment, strategic leaders should first explore the context—specifically, the history, culture, religion, geography, politics, and foreign security. Who are our allies? Do we have any alliances in place, or do we need to build a coalition? What resources are involved—physical or monetary? Is democracy at stake—creating or defending it? Leaders should also consider threats to the balance of power (BOP) in the environment and the involvement of both official and unofficial organizations. The United Nations may already have mandates or resolutions that would affect our proposed operations or interests. Nongovernmental organizations may also be willing to help—or perhaps require help. Each of these concerns is legitimate and makes the international environment the most challenging and unfamiliar of them all.

This framework for the components of the strategic environment is simple in design yet complicated in practice. Most US government personnel are intimately familiar with the national security and military environments since they are linked (i.e., military strategy follows directly from national security decisions). But strategic leaders must recognize that the two greatest influences on their decisions come from the domestic and international environments. To lead effectively, they should use what is most familiar and be able to synthesize what influences their strategic decisions.

The four components of the strategic environment present a challenge for strategic leaders. The national security environment, with its many taskmasters, will drive both strategic decisions and military strategy. Leaders will feel great influence from the familiar domestic environment and must have its support for strategic action. Further, strategic leaders can be surprised and their decisions thwarted if they fail to understand the international environment sufficiently. Knowing the disparate components of the strategic environment is the first step in grasping strategic leadership. Understanding the *nature* of the strategic environment and strategic decisions is the second step.

Nature of the Strategic Environment

The strategic-leadership environment differs from the climate at lower levels of - leadership. We should view the nature of this environment both broadly—examining consequential decisions and changes in performance requirements—and narrowly.

Consequential Decisions

By nature, strategic leadership requires consequential decision making. All decisions have consequences, but in the strategic context, they take on a different character—specifically, they are planned, generally long term, costly, and profound.

Consequential decisions occur only at the higher levels within organizations. Generally, decision makers in the top 20 percent of the organization—the people who have ultimate control of resources—plan and execute such decisions. They also think out the implications of their decisions in advance. That is to say, the decision makers analyze and evaluate the possible, probable, and necessary ramifications of a decision beforehand. Some people argue that the sergeant on patrol in Kosovo or the bomber crew over Afghanistan can make strategic decisions in a split second and thus become strategic decision makers. No doubt, armed forces and government officials do make lethal, destructive, and sometimes regrettable decisions. However, these determinations are considered tactical opportunities or, worse, operational blunders rather than planned, consequential decisions. Planning becomes more important when one considers the long-term nature of consequential decisions.

Such decisions require years to play out. Indeed, in most cases strategic decision makers may not be around to witness the actual consequences of the decision, making it all the more essential that they carefully consider all implications before taking action. Clearly, a hasty consequential decision can become very costly.

One may classify these attendant costs as either immediate or mortgaged. For instance, some consequential decisions—such as declaring war or beginning hostilities—can have immediate costs or effects. The cost in lives could become very heavy in a matter of days. World economic costs could mount within weeks while markets collapse within hours. Mortgaged costs of consequential decisions, however, refer to lost opportunities and "sunk" costs. We see such consequences, for example, when organizations commit to huge purchases for weapons systems over a decade-long time frame. Of course in the strategic environment, costs are measured not only in dollars but also in influence (e.g., the costs of supporting one nation over another or the costs of not supporting a particular position). Many times, the decision becomes a matter of sunk costs—gone forever with no chance of recovery. Up to this point, we have considered only the negative effects of costs on consequential decisions. Suffice it to say that many consequential decisions have the aim of decreasing, avoiding, or postponing costs. In fact, some of the least costly consequential decisions turn out to be the most profound (e.g., expanding free-trade agreements and the NATO alliance, reducing the number of nuclear arms, etc.).

Consequential decisions are profound because they have the potential to create great change, lead trends, alter the course of events, make history, and initiate a number of wide-ranging effects. They can change societies and advance new disciplines. Most importantly, an entire organization, a segment of society, a nation, or humanity in general recognizes such decisions as profound.

Performance Requirements

The stratified systems theory of T. Owen Jacobs and Elliott Jaques classifies the performance requirements for leaders in organizations as direct, general, and strategic (in military parlance: tactical, operational, and strategic, respectively).[2] Distinct elements define the leadership environment within each level. Unmistakable differences among the three levels include complexity, time horizon, and focus.

Most people spend their careers leading at the direct or tactical level (squadron or battalion commander, branch chief, or below). In this environment, the leader interacts directly with the same people every day by maintaining a direct span of control, all the while executing plans, following policies, and consuming resources with a defined goal in mind. The time horizon is very short—normally less than one year. At the direct level of leadership, communications generally occur within the same organization and focus exclusively on the internal audience. Because leaders spend more time at this level than any other, it becomes familiar and comfortable.

Some leaders, however, will mature and move to the general or operational level, where performance requirements begin to change. Direct leadership diminishes as the span of control shrinks. At this level, leaders develop plans, write some policies, and allocate resources among subordinate organizations. The time horizon also increases—to as much as five years. Operational leaders begin to shift the focus of communication and energy outside the organization, recognizing and questioning how the external environment will affect their organizations. Group commanders, brigade commanders, and division chiefs represent this general, analytic level of leadership.

From the perspective of budding strategic leaders, performance requirements for the strategic level change the most and are the least familiar. The power of influence becomes more important than the power of the position. Conceptual ability and communications become essential. Both focus not only on how the external environment will affect the organization, but also—and more importantly—on how the organization can influence that environment. The most challenging of the performance requirements is the time frame for making decisions, which can extend to 20 years and beyond. The leader at this level must think in terms of systems and use integrative thinking—the ability to see linkages and interdependencies within large organizations (or systems) so that decisions in one system will not adversely affect another system.[3] The

challenges are great, the stakes are high, and the performance requirements are stringent.

Volatility, Uncertainty, Complexity, and Ambiguity

Framing the nature of the strategic environment in a broad context helps us understand the magnitude of the challenge. Strategic leaders operate in an environment that demands unique performance requirements for making consequential decisions. If we look more closely at this environment, we discover four characteristics that define the challenge to strategic leadership in a narrow sense: volatility, uncertainty, complexity, and ambiguity.[4]

Now that the world is no longer bipolar, the strategic landscape has become more volatile. Violence erupts in the most unlikely places and for seemingly innocuous reasons. The last few years have given us a glimpse of this volatility: ethnic cleansing in Bosnia and Kosovo, war and terrorism in the Middle East, and terrorism within the United States. The challenge for strategic leaders lies in anticipating volatile scenarios and taking action to avert violence.

In most cases, these leaders will be asked to conduct this action in a landscape of uncertainty—the deceptive characteristic of the strategic environment. They face situations in which the intentions of competitors are not known—perhaps deliberately concealed.[5] At other times, they will even have reservations about the actual meaning of truthful information. Their challenge is to penetrate the fog of uncertainty that hugs the strategic landscape. Comprehending the nature of the strategic environment constitutes the first step toward solving its complexity.

The interdependence of the components in the strategic environment produces complexity—its most challenging characteristic. Integrative thinking is essential to recognizing and predicting the effects of a decision on this “system of systems.” If leaders are to anticipate the probable, possible, and necessary implications of the decision, they must develop a broad frame of reference or perspective and think conceptually.

The ambiguous character of the strategic environment stems from different points of view, perspectives, and interpretations of the same event or information.

Strategic leaders have to realize that broad perspectives (e.g., using team approaches to solve problems and gain consensus) help eliminate ambiguity and lead to effective strategic decisions.[6]

The nature of the strategic environment is challenging because of the consequences of decisions and unique performance requirements. Although faced with an environment characterized by volatility, uncertainty, complexity, and ambiguity, aspiring strategic leaders can nevertheless learn to master it. Indeed, by acquiring certain skills and competencies, they can transform this environment into something more stable, certain, simple, and clear.

Developing Strategic Leadership

If becoming a strategist is the "ends," then leadership is the "ways," and development is the "means." Learning to become a strategic leader requires special preparation in several areas. First, one must understand how such a leader develops—in essence the anatomy of strategic leadership. Second, one should recognize some of the essential competencies a strategic leader must have. Finally, the prospective leader needs to assess his or her current abilities and commit to a development plan.

Anatomy of a Strategic Leader

Development of a strategic leader involves a number of important aspects. First, the most important, indeed foundational, part of this preparation concerns values, ethics, codes, morals, and standards. Second, the path to strategic leadership resembles the building of a pyramid (fig. 2). Shortcuts do not exist, and one can't start at the top—strategic leaders are made, not born. Strategic leaders gradually build wisdom, defined as acquiring experiences over time.[7] One must also remember that certain activities can accelerate these experiences and widen perspectives. Leaders should know that even though some individuals with strategic competency may not become strategic decision makers, they can still influence and contribute to decisions. Additionally, having strategic competency will allow one to fully understand strategic decisions and perspectives.

• Strategic leadership begins with organizational values, standards, and ethics—the foundation of our profession.

• Upon this foundation, the officer develops an abstract body of expert knowledge based primarily on experience. Continuing education can influence, expand, and accelerate development.

• Next, the officer is exposed to command responsibility and accountability—a vital phase during which the officer gets his or her first real taste of consequential decision making.

• Further education in strategic-thinking skills enhances the officer's competence. In each case, an officer could have opportunities to exercise strategic competency in support of a strategic leader.

• Ultimately, the officer will participate in strategic decision making and become a strategic leader.

Figure 2. Anatomy of a Strategic Leader

Competencies

It is difficult to imagine an all-inclusive list of competencies required for strategic leadership. However, some skills seem essential—vision, for instance, which allows the strategic leader to focus on the future and, in fact, build that future. Vision makes leaders proactive in the strategic environment rather than reactive. Furthermore, they should become transformational in order to inspire people toward common goals and shared values; they must anticipate change, lead change, and foster a mind-set of change; they should critically analyze their own thinking to make decisions logically; they should foster an attitude of creativity in their operations and organizations; they must audaciously seek novel ideas and understand how to frame decisions and organize chaos; and they should know how to build effective teams and gain consensus within large organizations. When consensus fails, strategic leaders must negotiate effectively, or they put success at risk. Many times, this kind of success is directly related to the cultural sensitivity and cross-cultural communications ability of the leader. Finally, the strategic leader must assume the role of both teacher and mentor. As Noel Tichy reminds us, great leaders are great teachers. They have a teachable point of view and invest in developing other leaders.[8] The competencies mentioned above form the basis of an education for aspiring strategic leaders.

Assessment and Development

Becoming a strategic leader is a daunting challenge. It starts with taking stock of leadership abilities, conceptual capacity, and interpersonal skills. A thorough self-assessment will help identify strengths and weaknesses. Such assessments can examine personality type, leadership motivation, originality, innovation, tolerance, teamwork, and conceptual ability. These assessments are like the starting point on a map, letting prospective leaders know where they are so they can take the best route to their destination. Completing a detailed self-assessment is also the first step in commitment to the personal- and professional-development process required to become a strategic leader.

As a follow-up to the self-assessment, aspiring leaders should ask themselves a series of questions: What are my strengths? How can I capitalize on them?

Where are my weaknesses? What can I do about them? Where do I want to be in the future? How can I get there? Do I really want to commit to development? The last question is the most difficult one.[9] Those who answer yes are ready to begin the journey toward becoming strategic leaders.

At this point, leader candidates should volunteer for and accept challenging assignments—especially in areas in which they might not have worked before. These could include moving into a different functional area, accepting joint assignments, or working in an interagency environment. Such taskings tend to accelerate experience and broaden perspectives. Furthermore, pursuing a formal course of study at senior service colleges and participating in other education programs would broaden one's knowledge and conceptual ability. Self-learning is also valuable—especially reading. All strategic leaders are voracious readers—and they read outside their normal area of expertise, again, to expand their perspective and increase their conceptual ability. In fact, many of them are experts in a number of unrelated fields. Becoming a "dual expert" helps one think in multiple dimensions.

After committing to some or all of these development activities, potential leaders should reflect on each activity as a way of mining the total benefit and seeking greater meaning. They will also benefit from mentoring other leaders and being mentored themselves. When mentors share their experiences, they help others know and understand them. As Tichy says, sharing experiences or "telling stories" shapes our own attitude, behavior, and point of view.[10] We become the story, and the story guides our lives. Gen Dwight Eisenhower endorsed mentoring when he explained that the best way to become a good decision maker is to be around others who make decisions.[11]

Conclusion

The many components of the strategic-leadership environment challenge even the best leaders. The monumental consequences of strategic decisions call for individuals with unique performance abilities who can navigate the volatility,

uncertainty, complexity, and ambiguity inherent in the nature of those decisions. Aspiring leaders can rise to the challenge by undergoing self-assessment and personal development. Accepting the demands of strategic leadership involves a transition from the art of the familiar to the art of the possible. This is the realm of strategic leadership and the strategic environment.

Notes

1. *Webster's II New Riverside University Dictionary,* 1988 ed., s.v. "strategic."
2. T. Owen Jacobs, *Strategic Leadership: The Competitive Edge* (Fort Lesley J. McNair, Washington, D.C.: Industrial College of the Armed Forces, 2000), 24.
3. US Industrial College of the Armed Forces, chap. 1, "Overview," *Strategic Leadership and Decision Making: Preparing Senior Executives for the 21st Century* (Washington, D.C.: National Defense University Press, 1997), on-line, Internet, September 2000, available from http://www.ndu.edu/inss/books/books%20-%201999/Strategic%20Leadership%20and%20 Decision-making%20-%20Feb%2099/cont.html.
4. Ibid.
5. Ibid.
6. Ibid.
7. Jacobs, 46.
8. Noel M. Tichy with Eli Cohen, *The Leadership Engine: How Winning Companies Build Leaders at Every Level* (New York: Harper Business, 1997), 3.
9. US Industrial College of the Armed Forces, chap. 7, "Developing Strategic Leaders," *Strategic Leadership and Decision Making*.
10. Tichy and Cohen, 77.
11. Edgar F. Puryear Jr., *American Generalship: Character Is Everything: The Art of Command* (Novato, Calif.: Presidio Press, 2000), 232.

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Disclaimer

Emotional Intelligence: What it is and Why it Matters

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Emotional Intelligence: What it is and Why it Matters

Ever since the publication of Daniel Goleman's first book on the topic in 1995, emotional intelligence has become one of the hottest buzzwords in corporate America. For instance, when the *Harvard Business Review* published an article on the topic two years ago, it attracted a higher percentage of readers than any other article published in that periodical in the last 40 years. When the CEO of Johnson & Johnson read that article, he was so impressed that he had copies sent out to the 400 top executives in the company worldwide.

Given that emotional intelligence is so popular in corporate America, and given that the concept is a psychological one, it is important for I/O psychologists to understand what it really means and to be aware of the research and theory on which it is based. So in my presentation today, I'd like to briefly lay out the history of the concept as an area of research and describe how it has come to be defined and measured. I also will refer to some of the research linking emotional intelligence with important work-related outcomes such as individual performance and organizational productivity.

Even though the term has been misused and abused by many popularizers, I believe it rests on a firm scientific foundation. Also, while there are aspects of the concept that are not new, some aspects are. Finally, emotional intelligence represents a way in which I/O psychologists can make particularly significant contributions to their clients in the future. So let's begin with some history.

Historical Roots of the Topic

When psychologists began to write and think about intelligence, they focused on cognitive aspects, such as memory and problem-solving. However, there were researchers who recognized early on that the non-cognitive aspects were also important. For instance, David Wechsler defined intelligence as "the aggregate or global capacity of the individual to act purposefully, to think rationally, and to deal effectively with his environment" (Wechsler, 1958, p. 7). As early as 1940 he referred to "non-intellective" as well as "intellective" elements (Wechsler, 1940), by which he meant affective, personal, and social factors. Furthermore, as early as 1943

Wechsler was proposing that the non-intellective abilities are essential for predicting one's ability to succeed in life. He wrote:

> The main question is whether non-intellective, that is affective and conative abilities, are admissible as factors of general intelligence. (My contention) has been that such factors are not only admissible but necessary. I have tried to show that in addition to intellective there are also definite non-intellective factors that determine intelligent behavior. If the foregoing observations are correct, it follows that we cannot expect to measure total intelligence until our tests also include some measures of the non-intellective factors [Wechsler, 1943 #316, p. 103).

Wechsler was not the only researcher who saw non-cognitive aspects of intelligence to be important for adaptation and success. Robert Thorndike, to take another example, was writing about "social intelligence" in the late thirties (Thorndike & Stein, 1937). Unfortunately, the work of these early pioneers was largely forgotten or overlooked until 1983 when Howard Gardner began to write about "multiple intelligence." Gardner (1983) proposed that "intrapersonal" and "interpersonal" intelligences are as important as the type of intelligence typically measured by IQ and related tests.

Now let us switch our historical lens to I/O psychology. In the 1940s, under the direction of Hemphill (1959), the Ohio State Leadership Studies suggested that "consideration" is an important aspect of effective leadership. More specifically, this research suggested that leaders who are able to establish "mutual trust, respect, and a certain warmth and rapport" with members of their group will be more effective (Fleishman & Harris, 1962). At about the same time, the Office of Strategic Services (1948) developed a process of assessment based on the earlier work of Murray (1938) that included the evaluation of non-cognitive, as well as cognitive, abilities. This process evolved into the "assessment center," which was first used in the private sector at AT&T in 1956 (Bray, 1976). Many of the dimensions measured in assessment centers then and now involve social and emotional competencies such as communication, sensitivity, initiative, and interpersonal skills (Gowing, in press; Thornton & Byham, 1982).

I could cite other strands of research and theory, but I think it is clear that by the early 1990s, there was a long tradition of research on the role of non-cognitive factors in helping people to succeed in both life and the workplace. The current work on emotional intelligence builds on this foundation.

Contemporary Interest in the Topic

When Salovey and Mayer coined the term emotional intelligence in 1990 (Salovey & Mayer, 1990), they were aware of the previous work on non-cognitive aspects of intelligence. They described emotional intelligence as "a form of social intelligence that involves the ability to monitor one's own and others' feelings and emotions, to discriminate among them, and to use this information to guide one's thinking and action" (Salovey & Mayer, 1990). Salovey and Mayer also initiated a research program intended to develop valid measures of emotional intelligence and to explore its significance. For instance, they found in one study that when a group of people saw an upsetting film, those who scored high on emotional clarity (which is the ability to identify and give a name to a mood that is being experienced) recovered more quickly (Salovey, Mayer, Goldman, Turvey, & Palfai, 1995). In another study, individuals who scored higher in the ability to perceive accurately, understand, and appraise others' emotions were better able to respond flexibly to changes in their social environments and build supportive social networks (Salovey, Bedell, Detweiler, & Mayer, 1999).

In the early 1990's Daniel Goleman became aware of Salovey and Mayer's work, and this eventually led to his book, *Emotional Intelligence*. Goleman was a science writer for the New York Times, whose beat was brain and behavior research. He had been trained as a psychologist at Harvard where he worked with David McClelland, among others. McClelland (1973) was among a growing group of researchers who were becoming concerned with how little traditional tests of cognitive intelligence told us about what it takes to be successful in life.

IQ by itself is not a very good predictor of job performance. Hunter and Hunter (1984) estimated that at best IQ accounts for about 25 percent of the variance. Sternberg (1996) has pointed out that studies vary and that 10 percent may be a more realistic estimate. In some studies, IQ accounts for as little as 4 percent of the variance.

An example of this research on the limits of IQ as a predictor is the Sommerville study, a 40 year longitudinal investigation of 450 boys who grew up in Sommerville, Massachusetts. Two-thirds of the boys were from welfare families, and one-third had IQ's below 90. However, IQ had little relation to how well they did at work or in the rest of their lives. What made the biggest difference was childhood abilities such as being able to handle frustration, control emotions, and get along with other people (Snarey & Vaillant, 1985).

Another good example is a study of 80 Ph.D.'s in science who underwent a battery of personality tests, IQ tests, and interviews in the 1950s when they were graduate students at Berkeley. Forty years later, when they were in their early seventies, they were tracked down and estimates were made of their success based on resumes, evaluations by experts in their own fields, and sources like *American Men and Women of Science*. It turned out that social and emotional abilities were four times more important than IQ in determining professional success and prestige (Feist & Barron, 1996).

Now it would be absurd to suggest that cognitive ability is irrelevant for success in science. One needs a relatively high level of such ability merely to get admitted to a graduate science program at a school like Berkeley. Once you are admitted, however, what matters in terms of how you do compared to your peers has less to do with IQ differences and more to do with social and emotional factors. To put it another way, if you're a scientist, you probably needed an IQ of 120 or so simply to get a doctorate and a job. But then it is more important to be able to persist in the face of difficulty and to get along well with colleagues and subordinates than it is to have an extra 10 or 15 points of IQ. The same is true in many other occupations.

We also should keep in mind that cognitive and non-cognitive abilities are very much related. In fact, there is research suggesting that emotional and social skills actually help improve cognitive functioning. For instance, in the famous "marshmallow studies" at Stanford University, four year olds were asked to stay in a room alone with a marshmallow and wait for a researcher to return. They were told that if they could wait until the researcher came back before eating the marshmallow, they could have two. Ten years later the researchers tracked down the kids who participated in the study. They found that the kids who were able to resist temptation had a total

SAT score that was 210 points higher than those kids who were unable to wait (Shoda, Mischel, & Peake, 1990).

Granted that cognitive ability seems to play a rather limited role in accounting for why some people are more successful than others, what is the evidence that emotional and social factors are important? In doing the research for his first book, Goleman (1995) became familiar with a wealth of research pointing to the importance of social and emotional abilities for personal success. Some of this research came from personality and social psychology, and some came from the burgeoning field of neuropsychology. I don't have the time or space to summarize all of this research. Let me, however, give you a few examples that deal specifically with the role that non-cognitive abilities play in success at work.

The Value of Emotional Intelligence at Work

Martin Seligman has developed a construct that he calls "learned optimism" (Schulman, 1995). It refers to the causal attributions people make when confronted with failure or setbacks. Optimists tend to make specific, temporary, external causal attributions while pessimists make global, permanent, internal attributions. In research at Met Life, Seligman and his colleagues found that new salesmen who were optimists sold 37 percent more insurance in their first two years than did pessimists. When the company hired a special group of individuals who scored high on optimism but failed the normal screening, they outsold the pessimists by 21 percent in their first year and 57 percent in the second. They even outsold the average agent by 27 percent (Schulman, 1995).

In another study of learned optimism, Seligman tested 500 members of the freshman class at the University of Pennsylvania. He found that their scores on a test of optimism were a better predictor of actual grades during the freshman year than SAT scores or high school grades (Schulman, 1995).

The ability to manage feelings and handle stress is another aspect of emotional intelligence that has been found to be important for success. A study of store managers in a retail chain found that the ability to handle stress predicted net profits, sales per square foot, sales per employee, and per dollar of inventory investment (Lusch & Serpkenci, 1990).

Emotional intelligence has as much to do with knowing when and how to express emotion as it does with controlling it. For instance, consider an experiment that was done at Yale University by Sigdal Barsade (1998; 1998). He had a group of volunteers play the role of managers who come together in a group to allocate bonuses to their subordinates. A trained actor was planted among them. The actor always spoke first. In some groups the actor projected cheerful enthusiasm, in others relaxed warmth, in others depressed sluggishness, and in still others hostile irritability. The results indicated that the actor was able to infect the group with his emotion, and good feelings led to improved cooperation, fairness, and overall group performance. In fact, objective measures indicated that the cheerful groups were better able to distribute the money fairly and in a way that helped the organization. Similar findings come from the field. Bachman (1988) found that the most effective leaders in the US Navy were warmer, more outgoing, emotionally expressive, dramatic, and sociable.

One more example. Empathy is a particularly important aspect of emotional intelligence, and researchers have known for years that it contributes to occupational success. Rosenthal and his colleagues at Harvard discovered over two decades ago that people who were best at identifying others' emotions were more successful in their work as well as in their social lives (Rosenthal, 1977). More recently, a survey of retail sales buyers found that apparel sales reps were valued primarily for their empathy. The buyers reported that they wanted reps who could listen well and really understand what they wanted and what their concerns were (Pilling & Eroglu, 1994).

Thus far I have been describing research suggesting that "emotional intelligence" is important for success in work and in life. However, this notion actually is somewhat simplistic and misleading. Both Goleman (1998) and Mayer, Salovey, & Caruso (1998b) have argued that by itself emotional intelligence probably is not a strong predictor of job performance. Rather, it provides the bedrock for competencies that are. Goleman has tried to represent this idea by making a distinction between emotional intelligence and emotional competence. Emotional competence refers to the personal and social skills that lead to superior performance in the world of work. "The emotional competencies are linked to and based on emotional intelligence. A

certain level of emotional intelligence is necessary to learn the emotional competencies(Gowing, in press)." For instance, the ability to recognize accurately what another person is feeling enables one to develop a specific competency such as Influence. Similarly, people who are better able to regulate their emotions will find it easier to develop a competency such as Initiative or Achievement drive. Ultimately it is these social and emotional competencies that we need to identify and measure if we want to be able to predict performance.

The Assessment of Emotional Intelligence and Competence

Assuming that emotional intelligence is important, the question of assessment and measurement becomes particularly pressing. What does the research suggest about the measurement of emotional intelligence and competence? In a paper published in 1998, Davies, Stankov, & Roberts (1998) concluded that there was nothing empirically new in the idea of emotional intelligence. This conclusion was based solely on a review of existing measures purporting to measure emotional intelligence at the point in time when they wrote that paper. However, most of those measures were new, and there was not yet much known about their psychometric properties. Research now is emerging that suggests emotional intelligence, and particularly the new measures that have been developed to assess it, is in fact a distinct entity. However, there still is not much research on the predictive validity of such measures, and this is a serious lack. Let me briefly summarize what we really know about the most popular ones.

The oldest instrument is Bar-On's EQ-I (Bar-On, 1997), which has been around for over a decade. This self-report instrument originally evolved not out of an occupational context but rather a clinical one. It was designed to assess those personal qualities that enabled some people to possess better "emotional well-being" than others. The EQ-I has been used to assess thousands of individuals, and we know quite a bit about its reliability and its convergent and discriminant validity (Gowing, in press; Salovey et al., 1999). Less is known about its predictive validity in work situations. However, in one study the EQ-I was predictive of success for U.S. Air Force recruiters. In fact, by using the test to select recruiters, the Air Force saved nearly 3 million dollars annually (Bar-On, in press). Also, there were no significant differences based on ethnic or racial group.

A second instrument is the Multifactor Emotional Intelligence Scale (Mayer, Caruso, & Salovey, 1998a). The MEIS is a test of ability rather than a self-report measure. The test-taker performs a series of tasks that are designed to assess the person's ability to perceive, identify, understand, and work with emotion. There is some evidence of construct validity, convergent validity, and discriminant validity, but none for predictive validity (Gowing, in press).

A third instrument is the Emotional Competence Inventory. The ECI is a 360 degree instrument. People who know the individual rate him or her on 20 competencies that Goleman's research suggests are linked to emotional intelligence (Goleman, 1998). Although the ECI is in its early stages of development, about 40 percent of the items come from an older instrument, the Self-Assessment Questionnaire, that was developed by Boyatzis (1994). These earlier items had been "validated against performance in hundreds of competency studies of managers, executives, and leaders in North America," Italy, and Brazil (Boyatzis, Goleman, & Rhee, in press). However, there currently is no research supporting the predictive validity of the ECI.

Another measure that has been promoted commercially is the EQ Map (Orioli, Jones, & Trocki, 1999). Although there is some evidence for convergent and divergent validity, the data have been reported in a rather ambiguous fashion.

One other measure deserves mention, even though it is less well-known than the others. Schutte, Malouff, Hall, Haggerty, Cooper, Golden, & Dornheim (1998) have developed a 33-item self-report measure based on Salovey and Mayer's (1990) early work. There is evidence for convergent and divergent validity. Emotional intelligence scores on this measure were positively associated with first-year college grades and supervisor ratings of student counselors working at various mental health agencies. Also, scores were higher for therapists than for therapy clients or prisoners (Malouff & Schutte, 1998; Salovey, Woolery, & Mayer, in press).

Finally, it might be helpful to keep in mind that emotional intelligence comprises a large set of abilities that have been studied by psychologists for many years. Thus, another way to measure emotional intelligence or competence is through tests of specific abilities. Some of these tests seem rather strong. To name just one example, there is Seligman's SASQ, which was designed to measure learned optimism and which has been impressive in its ability to

identify high performing students, salespeople, and athletes, to name just a few (Schulman, 1995).

Conclusion

So is there anything new about emotional intelligence? In some ways, emotional intelligence really is not new. In fact, it is based on a long history of research and theory in personality and social, as well as I/O, psychology. Furthermore, Goleman has never claimed otherwise. In fact, one of his main points was that the abilities associated with emotional intelligence have been studied by psychologists for many years, and there is an impressive, and growing, body of research suggesting that these abilities are important for success in many areas of life.

However, rather than arguing about whether emotional intelligence is new, I believe it is more useful and interesting to consider how important it is for effective performance at work. Although I have not had the time to cover very much of it, I hope I have shown that there now is a considerable body of research suggesting that a person's ability to perceive, identify, and manage emotion provides the basis for the kinds of social and emotional competencies that are important for success in almost any job. Furthermore, as the pace of change increases and the world of work makes ever greater demands on a person's cognitive, emotional, and physical resources, this particular set of abilities will become increasingly important. And that is good news for I/O psychologists, for they are the ones who are best situated to help clients to use emotional intelligence to improve both productivity and psychological well-being in the workplace of tomorrow.

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Transformational Leadership

by
Colonel Mark A. Homrig

Clearly the leader who commands compelling causes
has an extraordinary potential influence over followers.
James MacGregor Burns

The current research in leadership is overflowing with articles and books describing the virtues of "transformational" leadership. Recent authors include Noel Tichy, *The Leadership Engine* (1997), John Kotter, *On What Leaders Really Do* (1999), and articles written in the Journal of Leadership Studies by Dong Jung, Walter Einstein and John Humphreys (2001) to name a few. James MacGregor Burns coined this term in 1978 to describe the ideal situation between leaders and followers. James Keagen used Burns' ideas to build a developmental model of leadership that explains further the continuum between transformational and transactional leadership. What radical new form or fad of leadership is this? What is the difference between transformational leadership and transactional leadership and which is the most effective? How does a leader get everyone performing to their potential? **Are there any pitfalls with transformational leadership?** What is the relationship between leadership and management? What are the attributes of the transformational leader? Finally, what conclusions can be drawn about the usefulness of transformational leadership?

After reading Burns, Kotter, Tichy, Jung, Einstein, Humphreys, and the biographies of military leaders from throughout the ages, the conclusion seems quite clear. Leadership principles are timeless, while, the models that examine those principles may change. The

transformational model offers one of many good ways to examine leadership and the type of leader, and follower, who are ideally suited for today's and tomorrow's strategic environment. This is especially so for the profession of arms and in particular the Air Force. While all the services and government agencies espouse leadership principles, this paper more closely examines the Air Force. No doubt the similarities and differences between the services and government agencies are very interesting.

Since Burns coined the term's transformational and transactional leadership, it might be useful to look at his definitions. Burns wrote, "I define leadership as leaders inducing followers to act for certain goals that represent the values and the motivations-the wants and needs, the aspirations and expectations-of *both leaders and followers*." [Italics original] The leader is not merely wielding power, but appealing to the values of the follower. In this sense, values mean, "A principle, standard, or quality regarded as worthwhile or desirable ," (Webster's New Riverside University Dictionary). Burns insists that for leaders to have the greatest impact on the "led," they must motivate followers to action by appealing to shared values and by satisfying the higher order needs of the led, such as their aspirations and expectations. He said, ". . . transforming leadership ultimately becomes moral in that it raises the level of human conduct and ethical aspiration of both leader and the led, and thus it has a transforming effect on both."

Burns and much of the current literature make the point that the way leaders influence followers is based on their shared sense of what is important, worth doing well, and expending energy on it. In a sense the more significant the endeavor, the more the undertaking itself takes on an importance greater than either the

follower or leader. “Such 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. Their purposes, which might have started out as separate but related, as in the case of transactional leadership, become fused.” The goals, then, take on a life of their own. In business, this leads to market domination and profit. In the military, this leads to professionals leading inspired subordinates through tough budgets, difficult deployments, the rigors of combat, and ultimately victory. Burns recognized that “transformational” leadership does not stand alone in the leadership lexicon. As mentioned, he coined another leadership term, “transactional.”

Transactional leadership is based on a transaction or exchange of something of value the leader possesses or controls that the follower wants in return for his/her services. “The relations of most leaders and followers are transactional-leaders approach followers with an eye to exchanging one thing for another: jobs for votes, or subsidies for campaign contributions.” The transactional style is precisely what happens in a contracting scenario. The contractor provides the specified service purchased. Liontos explains, “This only works well when both leader and led understand and are in agreement about which tasks are important.” Transformational leadership and transactional leadership are not at odds with one another, but complement each other as the circumstance dictate. There is no magic formula or checklist that dictates when one is more relevant than the other in any given situation. When to make the transition is an art borne of experience and education.

Bernard Bass, a disciple of Burns, points out the relationship between transactional and transformational leadership. “The best

leadership is both transformational and transactional. Transformational leadership augments the effectiveness of transactional leadership, it does not replace transactional leadership, (Walsman, Bass, & Yammarino, 1990).” “Transaction” continues to be an effective tool, and a necessary tool, for leaders at all levels. Transformational leaders, whose choice would be to gain agreement by appealing to the values of the followers or peers, finding the road blocked, may resort to the transactional style. “When the transformational leaders sees himself/herself in a win-lose negotiation he tries to convert it into a win-win problem solving situation. If this is not possible, then he or she can display the transactional skills necessary as an effective negotiator, (Walsman, Bass, & Yammarino, 1990).” On the surface it appears that the “transactional” style provides the basis of most leader-follower encounters. Why, if the transactional style “works,” not just stick to the tried and true?

While the transactional style may be the most prevalent, it produces results that may not be as high as with the transformational style. To explain this phenomena, Karl Kuhnert and Phillip Lewis examined R. Kegan’s six stage developmental theory. Kegan’s theory is that people may develop higher-order leadership traits as they mature. The six stages range from 0-5; Khunert and Lewis explored stages 2, 3, and 4. They used these stages to examine “transactional (stage 2),” “higher-order transactional (stage 3),” and "transformational (stage 4),” leadership traits. It may be useful to use Kegan’s model of these stages to distinguish between the previously mentioned leadership traits.

A stage 2 leader, for example, is explicitly transactional. What they do for the organization is done for whatever the organization has

promised in return for the person's output. In other words, their ". . . commitment to the organization is one of reciprocity." A stage 3 leader, however, is the bridge between a stage 2 transactional leader and a stage 4 transformational leader. The stage 3 leaders are able to operate apart from personal goals and agendas to focus on being connected to their followers and even sacrifice their personal goals to maintain those connections. Trust and respect between leader and follower develop and form the bond between them resulting in mutual support, promises, expectations, obligations, and rewards. This creates a hazard for a stage 3 leader most easily exacerbated in an ethical dimension. "Stage 3 leaders may feel 'torn' in situations of conflicting loyalties (e.g., loyalty to the organization versus loyalty to their subordinates)." This feeling of competing loyalties may tempt these leaders to engage in situational leadership to resolve the dilemma of conflicting loyalties.

Stage 3 leaders, while being transactional, do exhibit some of the qualities of a transformational relationship with their followers. For example, ". . . they [the stage 3 leaders] use relational ties to motivate followers to believe work is more than the performance of certain duties for certain concrete payoffs. Followers may perform at exemplary levels with little immediate payoff in order to maintain the respect of their leader." This begins to look like a transformational relationship, however, a key element is missing for this to be a stage 4 transformational relationship. "Although followers who are persuaded by higher level transactional leaders may expend extraordinary effort to maintain a certain level of mutual regard with their leader, their beliefs and goals typically have not changed (Bass, 1985)." It is this factor that differentiates transformational leadership from the higher-order transactional

style. In the transformational relationship, followers integrate the leader's goals and values.

Leaders that are at stage 4 don't have competing loyalties. They have developed an internal compass of where they are going and why. "This is because stage 4 leaders have developed a subjective frame of reference (organizing process) that defines their selves, not in terms of their connections to others (the hallmark of stage 3), but in terms of their internal values or standards; that is what Burns (1978) called end values. At this stage, leaders are able to take an objective view of their goals and commitments; they can operate from a personal value system that transcends their agendas and loyalties." Transformational leaders have internalized a sense of commitment to their goals and articulate this in such a way to their followers so as to convert their followers to a high level of commitment as well. As stated earlier by Bass, leaders learn to use the best style of leadership for the situation. "Sometimes transformational leaders use transactional methods to lead, but stage 4 leaders have the ability to understand the available options and to act in the manner that is most appropriate to the situation." The military professional must weigh the pros and cons of these leader/follower relationships to judge which is best and when. This is by no means an easy task and usually results in a great deal of thought, for being a leader is work!

Before we can determine which leadership style most effectively serves the profession of arms, it is necessary to reflect on the kind of leaders and followers who will most likely succeed in a challenging environment. Business literature has proclaimed their preference, "…today's networked, interdependent, culturally diverse organizations require transformational leadership to bring out…in

followers…their creativity imagination, and best efforts, (Walsman, Bass, & Yammarino, 1990).” Is this what is desired in senior military leaders? People, who think on their feet, are creative, come up with the best solutions, don’t need to be closely supervised and do what is necessary just because it is the right thing to do? This is exactly the type of leader and follower who needs nurturing, developing, and rewarding in the Department of Defense. All people, including those not in uniform, are part of the team-ideally this would extend to all government employees and to all who do business with the government.

To be effective now and in the future, almost all of the leadership literature and the author’s personal experience agree that, people can not be treated like sheep, blindly herded from place to place. Their expertise, experience and intuition need to be encouraged, not stifled, if challenging situations are to be negotiated successfully. Avolio states, “What most organizational leaders agree on, however, is that their organizations must move away from encouraging employees to ‘leave their brains at the door’, to systems where employee’s intellectual capital is nurtured, developed, and more directly rewarded.” For government, military, and Air Force effectiveness, the thrust of this paper asserts that everyone must be treated as and expected to be a valued member of the team. “The Air Force of tomorrow and beyond must encourage individuals to be comfortable with uncertainty and willing to make decisions with less than perfect information.” This would seem to be intuitive. Of course high performing organizations want all their people, leaders and followers, contributing to their maximum potential-to give their all for the good of the organization. How do you get there from here?

In most organizations there is a transaction process that pays people a salary to perform their work. Additionally, in professions the new entrant also begins an enculturation process. This process ingrains in the individual the goals and values of the profession. For leaders and followers to adopt the transformational model, they must all be in tune with the same culture and share similar values. In the Air Force, initial and subsequent training and education imbues the individual with core values, encouraging them to conform their behavior to the ethical and moral standards of the Air Force. Why? The core values serve as a starting point so all understand what behaviors and conduct are acceptable and should be emulated. They act as beacons vectoring people to the path of professional conduct. (Little Blue Book)

> . . . [V]alues are internalized so deeply that they define personality and behavior as well as consciously and unconsciously held attitudes. They have become an expression of both conscience and consciousness. [Italics original] Hence, holders of values will often follow the dictates of these values in the absence of incentives, sanctions, or even witnesses . . . .

In the final analysis, transformational leadership, in the military should fuse the leader's vision so strongly in the follower, that both are motivated by high moral and ethical principles. This process raises them above self-interest to perform their exacting duties, even to the ultimate sacrifice, for the GOOD of the nation.

How do leaders develop the bonds necessary to make transformational leadership possible? Bernard Bass has four interrelated components that he views as essential for leaders to move followers into the transformational style.

- First is **idealized influence**. He maintains that genuine trust must be built between leaders and followers. “If the leadership is truly transformational, its charisma or idealized influence is characterized by high moral and ethical standards.” Trust for both leader and follower is built on a solid moral and ethical foundation.
- The second component is **inspirational motivation**. “Its [transformational leadership’s] inspirational motivation provides followers with challenges and meaning for engaging in shared goals and undertakings.” The leader’s appeal to what is right and needs to be done provides the impetus for all to move forward.
- Next, is **intellectual stimulation**, “. . . intellectual stimulation helps followers to question assumptions and to generate more creative solutions to problems.” The leader’s vision provides the framework for followers to see how they connect to the leader, the organization, each other, and the goal. Once they have this big picture view and are allowed freedom from convention they can creatively overcome any obstacles in the way of the mission.
- Lastly, is **individual consideration**, “ . . . individual consideration treats each follower as an individual and provides coaching, mentoring and growth opportunities.” This approach not only educates the next generation of leaders, but also fulfills the individuals need for self-actualization, self-fulfillment, and self-worth. It also naturally propels followers to further achievement and growth.

One may get the impression that transformational, participative decision-making is based solely on the consensus of the leader and follower. This is after all the military, and leader and led often times can not afford the luxury of debate as to the best course of action in combat. Accordingly, while the transformational style offers a good model for many cases of problem solving, “Under various conditions, directive leadership is more appropriate and acceptable to all concerned than is participative leadership.” Certainly there is a time and place for input to be heard, such as the planning process where consensus is the leader’s goal:

> The Transformational leader strives to achieve a true consensus in aligning individual and organizational interests. In true consensus, the interests of all are fully considered, but the final decision reached

> may fail to please everyone completely. The decision is accepted as the best under the circumstances even if it means some individual members' interests may have to be sacrificed.

After the planning phase, it is up to the leader to implement the plan or direct the operation. As inspiring as this sounds, inevitably there is the however comma.

Most powerful tools are potentially double-edged. Transformational leadership, or pseudo-transformational leadership has a potential immoral and unethical dimension that could be exploited by an unscrupulous leader inflicted on naïve and unsuspecting followers. Bass and Steidlmeier in their "Ethics, Character and Authentic Transformational Leadership," say: "Fundamentally, the authentic transformational leader must forge a path of congruence of values and interests among stake holders, while avoiding the pseudo-transformational land mines of deceit, manipulation, self-aggrandizement and power abuse." Hitler may be viewed as a case study in transformational leadership gone wrong. He appealed to the values and ethics of the German people, but, it could be argued that instead of fulfilling his follower's higher order needs and aspirations he lead them to ruin. He was a powerful, charismatic leader that would probably fit the definition of a pseudo-transformational leader, because his aim ultimately did not lead to the betterment of his followers, but rather his own fulfillment through abuse of power. There is yet another argument that warrants attention.

Bass and Steidlmeier gave another warning, "Transformational leadership is seen as immoral in the manner that it moves members to sacrifice their own life plans for the sake of the

organization's needs. There is no moral justification for the vision of the CEO [military leader] becoming the future sought by the employees." In order to overcome their warning, the leader's agenda must be uplifting and as Burns said, ". . . transforming leadership ultimately becomes moral in that it raises the level of human conduct and ethical aspiration of both leader and the led, and thus it has a transforming effect on both." As stated earlier, transformational leadership may be double-edged, however, with high moral values as ethics espoused by both leader and led, the dark side is mitigated and the forces for good are championed. Now that up and downsides of transformational leadership have been explored, how does this relate to management?

When discussing leadership inevitably a discussion of management ensues. So, what if any, is the relationship between transformational leadership and management? According to Kotter, "The fundamental purpose of leadership is to produce change, especially nonincremental change. The fundamental purpose of management is to keep the current system functioning." So, leadership is distinguished by appealing to the values of the follower by, ". . . satisfying the basic human needs for achievement, a sense of belonging, recognition, self-esteem, a feeling of control over one's life, and the ability to live up to one's ideals."

Management on the other hand, ". . . develops the capacity to achieve its plan [the leaders] by *organizing and staffing* [Italics original]-creating an organizational structure and set of jobs for accomplishing plan requirements, staffing jobs with qualified individuals, communicating the plan to those people, delegating responsibility for carrying out the plan, and devising systems to monitor implementation." So while leadership works hand in hand

with management, their focus is different. Leadership envisions the future course and management builds the administrative processes to get there, producing orderly results, and maintaining the desired end-state.

At this point it may be useful to list some attributes of transformational leadership that a research of the current literature has highlighted to further portray the attributes of this leadership style.

- Authentic transformational leadership builds genuine trust between leaders and followers.
- " . . . without the continuous commitment, enforcement and modeling of leadership, standards of business ethics cannot and will not be achieved in organizations…badly led businesses wind up doing unethical things.
- Transformational leaders concentrate on terminal values such as integrity and fairness. They see the responsibility for their organization's development and impact on society.
- They increase the awareness of what is right, good, important, and beautiful, when they help to elevate followers' needs for achievement and self-actualization, when they foster in followers higher moral maturity, and when they move followers to go beyond their self-interests for the good of their group, organization, or society.
- The truly transformational leader who is seeking the greatest good for the greatest number and is concerned about doing what is right and honest is likely to avoid stretching the truth or going beyond the evidence for he/she wants to set an example to followers about the value of valid and accurate communication in followers.
- There is a moral justification for the transformational leader's efforts to achieve value-congruence between the leader and the led. When it is achieved, both are more satisfied emotionally. (Meglino, Ravlin & Adkins, 1989). Much of this congruence results in leaders being seen by

followers as more considerate, competent, and successful (Weiss, 1978) and followers are more satisfied with their jobs.

- Leadership and followership in transformistic organizations are predicated less on positional authority and more on interdependent work relationships centered on common purposes.
- Kelley (1995) indicates that leadership and followership are equal but different activities often played by the same people at different times. Individuals who assume leadership roles have sound visioning, interpersonal and organizational skills, and the desire and willingness to lead. Effective followers are distinguished by their capacity for self-management, strong commitment and courage.
- When organizational participants are empowered to act as effective leaders and followers based on core values and a unifying purpose, the potential for unprecedented advances and exceptional outcomes are greatly enhanced.
- Transforming leadership is elevating. It is moral but not moralistic. Leaders engage with followers, but from higher levels of morality; in the enmeshing of goals and values both leaders and followers are raised to more principled levels of judgement.

The ingredients necessary for transformational leadership to occur may be summarized in a variety of ways. In the author's mind, it seems obvious that one of the most important characteristics of a great leader is his/her ability to make sound judgements and good decisions based on their internalized vision. A leader who can make reasoned judgements and decisions in the context of the ideas embodied in this paper surely would be successful. At the risk of oversimplification, the below ten tenets may be a useful summation of this paper:

1. Leaders have high moral and ethical values.
2. Leaders express genuine interest in followers.
3. Leaders have an inspirational vision.
4. Genuine trust exists between leaders and led.
5. Followers share leader's values and vision.
6. Leaders and followers perform beyond self-interest.

7. Participatory decision-making is the rule.
8. Innovative thinking and action is expected.
9. Motivation is to do the right thing.
10. Leaders mentor.

Thus, the goal of transformational leaders is to inspire followers to share the leader's values and connect with the leader's vision. This connection is manifested through the genuine concern the leaders have for their followers and the followers giving their trust in return. Leaders exhort followers to support the leader's vision by sharing ideas, imagination, talents, and labor to reach agreement and attain virtuous goals for the good of the leaders, followers, and the organization. Both leaders and followers rise above their self-interests for the betterment of all, and both achieve genuine satisfaction. Authentic transformational leadership, because of all the reasons mentioned above, raises leaders above their self-interest and short-circuits pseudo-transformational leadership tendencies. Management in the end codifies the changes and puts in the administrative structures necessary to solidify their maintenance. But it is through the leader's hard work that followers come to share the leader's goals and values to transcend their self-interest and accomplish the mission.

In conclusion, the merits of transformational leadership should speak for themselves. In light of the ambiguous strategic environment, it would appear to be obvious that most large organizations, the federal government, the military, and the Air Force require leaders and followers steeped in the same core values and energized to tackle the tough issues together. When transformational leaders are connected with their followers great things can happen. When leaders and led are on the same strategic page all their energy is focused to achieve maximum results with less oversight, because the leader has articulated the

target goal so everyone understands the direction to move toward. To put this into the context of combat, below is an excerpt from an Army officer in Afghanistan. It is an example at the tactical level but the hope is that it would follow at the strategic level as well:

> A Chechen commander was killed. On his body was a diary that compared fighting the US with fighting Russians. He noted that when you take out the Russian leader, the units stops and mills about, not sure of what to do next. But he added that when you take out a US leader, somebody always and quickly takes his place with no loss of momentum. A squad leader goes down, it may be a private that steps up to the plate before they can iron out the new chain or command. And the damn thing is that the private knows what the hell he is doing.

When leader and led values are in sync, followers don't have to be supervised -- they will know what to do when the time comes, and isn't that the goal of good leadership?

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Six Cardinal Rules of Accountability in the Era of Core Values

by

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ACCOUNTABILITY is an issue that my community, the world of "JAGdom," has been thinking about a lot lately. It's part and parcel of the topic of the day—core values. You hear about them at conferences, the quality folks have produced nifty core value posters, and no strategic plan is complete without paying homage at the temple of core values.

So what's all the talk really about? Is it eyewash? Is it form over substance? Are core values the newest fad? Has political correctness overcome the Air Force? Everyone knows that real warfighters certainly can't be serious about carrying around one of those silly laminated cards with the wing's core values printed on them—or can they?

Well, I think they can and I think they should. I think we need to get this core value stuff right before we do anything else. Unfortunately, I'm not sure we've done that. So I like the obsession with core values. From my humble perspective, one of the best tools we've got to drive the process of internalizing core values is accountability; that is, holding others accountable for what they do or don't do and accepting accountability for our own action or inaction. You see, all this core value chanting is pretty neat and I sure feel good when I finish doing it but, somehow, we've got to get the principles from the card into our brains and hearts. Accountability is the way we train ourselves and others in the discipline of core values and the way we identify those who just don't get it.

Sound like just another pitch from another barrister in blue with a punishment fetish? Maybe. Punishment happens to be one way we respond to those who violate our core values. It's designed to deter evil miscreant from further wrongdoing and to convince others that similar deviant behavior isn't the best of ideas. I think accountability is much more complex than that. I'd like to offer you Six Cardinal Rules of Accountability. I won't pretend that these six are the rules or the **only** rules. They are not. Instead, they are simply those points I find myself making over and over again as I offer advice to commanders, first shirts, and supervisors. Hopefully, they will cause you to do your own thinking about accountability and the role it can play in today's Air Force.

Rule 1: Accountability Starts at Home

If you are going to hold others accountable for their actions, then you need to be willing to accept accountability for your own. Otherwise, you create a double standard that will not only **not** help others internalize core values but actually mock those values by conveying the message that the road to success is paved with hypocrisy and selfishness. That will teach our folks that the whole, the team, is less important than its parts, particularly if that part happens to be well placed.

Failure to accept accountability comes in many forms. It's present when your metrics package is designed to make you and your operation look good rather than to identity processes needing tweaking. It's there when you blame failures on your subordinates or other organizations, when you tell the boss what he wants to hear (rather than what he should hear), or when you hide things from "the old man." It's the reason some people always seem to have an excuse (they call it a justification or explanation) for things that don't go right. It's even present when you recommend yourself for an award you don't deserve or when your OPR input make it seem you can walk on water though you can't even swim. I think it's *this* simple—those who can't accept accountability don't deserve to lead. They may be darned good technicians but sooner or later they and their operations will collapse. Why? Because

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the team, whether a wing, squadron, shop, or section looks to the "leader" to set the standards. If leaders don't hold themselves accountable, they can't possibly be committed to core values. An organization devoid of values is one primed for failure.

Rule 2: Know to Whom and What to be Loyal

An expressed or implied component of virtually all sets of core values is loyalty—but loyalty to whom? Is it loyalty to one's subordinates or supervisors? To perceive loyalty in such terms is to invite confusion whenever those individuals don't measure up. I think we need to think in terms of loyalty to our core values. If we do, then all other forms of loyalty will naturally result. Let me explain.

Loyalty to a subordinate means supporting her when she should be supported and not shying away because that support may not be politically correct or may place you in a tough position. It also means not supporting her, even pulling the trigger on her, when that is what she deserves. I can't count the number of times I've seen superiors go to bat for subordinates just because they did a good job or were "good guys." Such facts are certainly valuable information to have when deciding how to react to a violation of a core value but they sure aren't the whole story. Accountability is about doing the right thing based on the good and the bad. It's about doing what's right rather than what will make you popular. It's about a willingness to make tough decisions because you are committed to enforcing core values. It's about being a champion of core values and of those individuals who display a commitment to them.

One of the most common things I hear is that you have to be loyal to the individual because he or she has been loyal to you by supporting your decisions and working hard in pursuit of your goals. This seems to suggest that loyalty of this sort merits a lower threshold of accountability. Let's begin with a basic truth. If you are committed to core values then, by violating them, the individual has been disloyal to you. Nothing is more disloyal because, hopefully, you define yourself by those values. Further, to trivialize or overlook core values because the troop in question worked hard to realize your agenda is to render core values subservient to that agenda. You must also understand that you lead a team composed of more than one person. What message do you send when those closest to you, your right hand people, are least accountable? You will create an organization of sycophants. I would argue that the greater the fall from grace, the greater the violation of core values. This heightens, not diminishes, the importance of accountability. Therefore, when officers and senior NCOs, particularly those close to the throne, aren't held accountable for violations of core values, the result is disaster, not loyalty.

Rule 3: Accountability Means Knowing Who to Blame

Most of us are pretty nice guys and, because of that, we don't like holding people accountable. We just don't like being "mean" and in some hard-to-define way, it leaves us feeling guilty ourselves. The result? We sometimes fail to fully hold people accountable because "it may affect her chances for promotion," "he will be forced out with high-year tenure," "an unfavorable information file (UIF) will make it hard for her to get a good follow-on assignment," or "it will embarrass him and his family." Indeed, I've even seen juries display this phenomenon, sometimes leaving the deliberation room feeling as if they were the guilty party.

The truth of the matter is that whatever the fall out, you aren't responsible for it at all. The wrongdoer is responsible, and he accepted that responsibility the moment he decided to deviate from the values we expect of him. He chose to climb in a car and drive drunk, not you. He decided that writing rubber checks was the path to material bliss, not you. He decided to sexually harass the airman, not you. You were not part of the decision process, and you are not responsible for the natural consequences of that process. Your job is to hold the individual accountable for what he or she decides. So long as your response is equitable, the "right price to pay" if you will, you shouldn't allow yourself to be fooled into believing that somehow you bear responsibility for the results of someone else's breach of standards. It's okay to feel sorry for them but, if core values are to survive, you must make them accountable for their own actions.

Rule 4: Confession is Good for the Soul

I'm a firm believer in the old adage that confession is good for the soul. When people are responsible for something that goes amiss, they

should own up to it. While I realize that there is a constitutional right to silence, it basically only applies in formal criminal proceedings such as Article 15s or courts-martial. Other than that, you should expect your people to "belly up to the bar" and accept accountability. If a person can't, the chance that they will ever internalize core values is slim.

Worse than refusing to accept responsibility is lying. This applies even in criminal matters, for there is absolutely no right to lie. You can keep your mouth shut but, if you open it and lie, you should expect to pay a severe price. When you catch your people lying; lower the boom; lying is a core violation of core values. Further, you must always hold liars accountable for the underlying action and the ensuing lie. In noncriminal cases involving a failure to acknowledge responsibility, the same rule applies—hold them accountable for their silence as well as the underlying conduct.

Rule 5: Be Consistent

Accountability must exhibit neutral valence. It must be internally and externally consistent. This doesn't mean that you should blindly apply set formulae to every breach of values. Consider all the relevant circumstances; every case is different. However, before you deviate from the "norm" in responding to breaches, you should be able to articulate a distinction in your case that results in your deviation fostering core values more effectively than the "school response."

Even more basic than response is accountability itself. What you must understand is that if accountability is to have its intended purpose, you must hold everyone accountable for their actions, i.e., you must be externally consistent. No exceptions. Consistency is recognizing that while different responses to violations of our core values can be justified, holding some accountable while others "get a walk" cannot. The minute you deviate from this principle, you've lost the war because your folks will not be able to do cause-effect analysis. They will not draw the conclusion that breaches in and of themselves have a cost. More importantly, you will be seen as, at best, paying lip service to the values you are charged with living by.

At the same time, accountability must be internally consistent, i.e., those actions you take to enforce accountability in a specific instance must fit nicely into the overall scenario. In other words, advancing core values requires the absence of contradiction. For example, how do you square leaving a commander in command if he has just received an Article 15? You can't. How do you justify allowing someone who has sexually harassed a subordinate to remain her supervisor? You can't. How do you explain leaving someone in a position of authority when they abused that very authority? It can't be done. If your actions are not internally consistent, you might as well climb to the nearest mountain top and shout your devotions to the principle of form over substance. You'll lose your credibility—and you should.

Rule 6: Accountability is Forever

Forgiveness is a virtue but accountability is forever. You see, a breach of core values is a data point that should not be easily forgotten. Unfortunately, superiors all too often do forget or seem to. This phenomenon occurs in myriad of ways: the airman with a reprimand who gets nominated for airman of the quarter two months after the reprimand; the UIF that is closed early to permit reenlistment; the officer with an Article 15 who gets promoted six months later; an individual with a disciplinary record who gets put in for an end-of-tour decoration; or an officer or senior NCO with a breach of core values in his or her not too distant past who is permitted to pass judgment on others, whether it be through EPRs, OPRs, decorations, awards, or unit recognition.

True, we need to place things in proper context, we need to be measured and we need to have compassion. People are rehabilitated at times. However, it is up to them to demonstrate that rehabilitation has occurred and, the greater the breach of core values, the greater their burden of proof. The danger in putting the breach aside too early or too easily is twofold. First, you send the message that breaches of core values are easily survived, maybe even that they simply don't matter. It was all for show. If you want your people to give mere lip service to core values, reward those who violate them. Indeed, if you really want to make a mockery of values, allow violators to sit in judgment on individuals who have never breached them.

The second danger is even more basic. The Air Force is a meritocracy, i.e., an entity "ruled" by those who have displayed the greatest degree of merit. Since the values in question are core, they should be the most heavily weighted factors in

determining who has merit. You subvert our meritocracy when you start gaming the system to benefit core value violators. When you decorate an individual who has violated our values, it renders meaningless the decorations earned by those who haven't violated any values. When you state that an officer has "met standards" when she hasn't, you are either lowering the standard to one which accepts breaches of core values or erasing it altogether. If we don't hold individuals accountable for their actions, then there isn't any tangible incentive to internalize values. It's also just unfair to treat those who have and those who haven't breached values the same —because they aren't.

Concluding Thoughts

I don't know that I've ever seen an era in which the Air Force has been in greater flux. If you think about it though, I mean really think hard, most of the change is for the better. I would certainly number the emphasis on core values among the positively shifted paradigms. But if we are going to treat core values as more than something to mouth in the right audience, we must search for ways to internalize those values. I urge you to consider accountability as one effective way to do so.