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JVBL Mission Statement

The mission of the *Journal of Values-Based Leadership* (*JVBL*) is to promote ethical and moral leadership and behavior by serving as a forum for ideas and the sharing of "best practices." It serves as a resource for business and institutional leaders, educators, and students concerned about values-based leadership. The *JVBL* defines values-based leadership to include topics involving ethics in leadership, moral considerations in business decision-making, stewardship of our natural environment, and spirituality as a source of motivation. The Journal strives to publish articles that are intellectually rigorous yet of practical use to leaders, teachers, and entrepreneurs. In this way, the *JVBL* serves as a high quality, international journal focused on converging the practical, theoretical, and applicable ideas and experiences of scholars and practitioners. The *JVBL* provides leaders with a tool of ongoing self-critique and development, teachers with a resource of pedagogical support in instructing values-based leadership to their students, and entrepreneurs with examples of conscientious decision-making to be emulated within their own business environs.

Call for Papers

The *JVBL* invites you to submit manuscripts for review and possible publication. The *JVBL* is dedicated to supporting people who seek to create more ethically and socially-responsive organizations through leadership and education. The Journal publishes articles that provide knowledge that is intellectually well-developed and useful in practice. The *JVBL* is a peer-reviewed journal available in both electronic and print fora. The readership includes business leaders, academics, and students interested in the study and analysis of critical issues affecting the practice of values-based leadership. The *JVBL* is dedicated to publishing articles related to:

1. Leading with integrity, credibility, and morality;
2. Creating ethical, values-based organizations;
3. Balancing the concerns of stakeholders, consumers, labor and management, and the environment; and
4. Teaching students how to understand their personal core values and how such values impact organizational performance.

In addition to articles that bridge theory and practice, the *JVBL* is interested in book reviews, case studies, personal experience articles, and pedagogical papers. If you have a manuscript idea that addresses facets of principled or values-based leadership, but you are uncertain as to its propriety to the mission of the *JVBL,* please contact its editor. While manuscript length is not a major consideration in electronic publication, we encourage contributions of less than 20 pages of double-spaced narrative. As the *JVBL* is in electronic format, we especially encourage the submission of manuscripts which utilize visual text. Manuscripts will be acknowledged immediately upon receipt. All efforts will be made to complete the review process within 4-6 weeks.

Review Process

The *JVBL* seeks work that is clearly written and relevant to the Journal's central theme, yet imbued with analytical and intellectual excellence. In this respect, the editorial review board shall consist of both leading scholars and respected high-level business leaders.

All manuscripts undergo a two-stage review process:

1) The editor and/or his or her representative will conduct a cursory review to determine if the manuscript is appropriate for inclusion in the *JVBL* by examining the relevance of the topic and its appeal to the Journal's target readership. The editor may: a) reject the manuscript outright, b) request submission of a revised manuscript which will then be subject to a comprehensive in-house review, or c) forward the manuscript for review pursuant to the provisions of the following paragraph.
2) The editor will send the manuscript to three reviewers consisting of at least one scholar and one practitioner. The third reviewer shall be chosen at the editor's discretion, depending upon the nature of the manuscript. Once reviews are returned, the editor may: a) accept the manuscript without modification, b) accept the document with specific changes noted, c) offer the author(s) the opportunity to revise and resubmit the manuscript in response to the reviewers' and editors' comments and notations, or d) reject the manuscript. To be considered publishable, the manuscript must be accepted by at least one of each type of reviewer.

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Letter from the Editor

"The Power of One"

Learning from the mistakes of the past… was it not just less than a decade ago that the common opening statement to a business ethics-related discussion began "in the wake of Enron…?" After the passage of Sarbanes-Oxley in 2002, Congress attempted to rein in corporate greed and fiscal mismanagement through statutory reform. And now, at the time of this writing, an entire eco-system is being destroyed in the Gulf of Mexico and the far-reaching, catastrophic consequences of unbridled, big business greed and backroom governmental dealings are not yet fully known. Ostensibly, the new preface to same business ethics discussion will be "in the wake of British Petroleum… ."

The importance of principled leadership, even if exemplified by the acts of just one individual, is critical at a time when the fragile balance of the planet's resources is precariously threatened.

Using a rather ominous metaphor, this urgency of values-based decision-making is further emphasized by a series of events which occurred during World War II on St. Matthew Island, situate off the coast of Alaska in the Bering Sea. A Coast Guard radio station was constructed and defended on this island during the course of the war. The accounting continues:

> ***"The weather was awful, and keeping the base supplied with food was chancy. Someone decided to stock the island with an emergency supply of food by importing and releasing twenty-nine reindeer — a number a Fish and Game biologist had calculated to be well within the island's 'carrying capacity.'***
>
> ***Every farmer understands carrying capacity. Graze too many cows on your pasture and pretty soon you won't have a pasture anymore (or any cows, for that matter). It is in his self-interest to keep the balance going between his herd and the rain and the grass. So long as he does, he's got a substantial source of milk and meat.***
>
> ***It was the same for those reindeer on St. Matthew Island. Keep the balance going between animals and the stuff they eat— lichens and willow bushes, mainly — and you've stocked the island with a bottomless meat locker. If storms kept the supply ships away, the men could shoot a reindeer for dinner.***
>
> ***Barged over from Nunivak Island, these twenty-nine animals found themselves in reindeer paradise — dense strands of willow bushes and vast, unbroken carpets of lichen four inches thick. There were no wolves, no bears. No predators at all, except for the men of the Coast Guard station. When the war ended, the base was shut down and the last predator left.***

That same Fish and Game biologist returned to the island twelve years later and found those original 29 reindeer had become 1,350; just a little short of the number his colleagues had calculated as the island's ultimate carrying capacity. The animals were fat and seemed to be in excellent health. But he also noticed that the lichen mats were starting to look a little thin.

St. Matthew Island is so far off any beaten track he didn't return for six more years. When a Coast Guard cutter dropped him off again in the summer of 1963, as his boots hit the shore he saw reindeer tracks, reindeer droppings, and trampled willows. And everywhere he looked, wall-to-wall reindeer. In just six years those 1,350 animals had become 6,000 — far more than the island could ever hope to carry. The lichens were sparse, and large areas of tundra were bare. Not surprisingly, the animals didn't look so fat and healthy anymore.

Other commitments kept him from returning for three more years. When he did, in 1966, the island he found was just about unrecognizable. The willows were gone. The last patches of lichen were gone, too, chewed down to gravel. Reindeer skeletons were scattered over the tundra. He found only 42 animals alive." (Ray C. Anderson, *Confessions of a Radical Industrialist*).

Now, without a supporting eco-system and proper balancing of resources and prudent, managerial oversight, all the reindeer have disappeared.

Unlike the global challenges faced daily, this saga starkly shows what can happen to a microcosm of the Earth with respect to the unmanaged depletion of renewable resources. We, on the other hand, are faced with the much more daunting task of protecting rapidly decreasing, non-renewable resources.

The authors of this issue all reflect the hope and determination of what the power of one can do. Now, it is time to listen…and to act as conscientious stewards of human, natural, and financial resources.

— *Elizabeth Reiner Gingerich, J.D., Editor*

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about the past, eliminating self-interest, and injecting passion into contemporary, values-based leadership. Passion, as used by the authors in this sense, refers to neither rage nor anger; rather, it is an excitement and enthusiasm that comes from leading with vision, integrity, and respect for others. Subsequently, when such passion is coupled with moral purpose, the idea of serving others, and building and sustaining relationships, the organization will inevitably experience positive growth — one person at a time.

69 *Gurus on Leadership* (A Book Review, Mark A. Thomas, *Author*)
M.Srinivasa Rao, *Reviewer*, Sri Krishna Nagar, Hyderabad, India.

Author Mark A. Thomas examines in his best seller *Gurus on Leadership* the many styles and contributions associated with noted leaders and experts on leadership throughout history. Rao's review points out the salient features of each style and reasserts the author's desire for the principled leader to choose the best characteristics and managerial traits offered from this vast repertoire of experiences and philosophies.

My moral principles tell me that if I'm an elected official, my vote should be consistent with what my constituents would want if they had the same information that I have; if they had the opportunity to sit in the briefings and in the hearings. I never really found morality – my morality – to be that different from the broader range of my constituents that I represent. What I thought was important was doing what I believed was consistent with their values, but taking into account the more detailed information that I had.

— **The Honorable Jill Long Thompson, 2009**

Introducing Ethics Legislation: The Courage to Lead After 200 Years of Silence

THE HONORABLE JILL LONG THOMPSON
U.S. CONGRESSWOMAN AND INDIANA GUBERNATORIAL CANDIDATE

On July 26, 1993, Congresswoman Jill Long Thompson, Indiana (D), ended a two hundred-year drought by introducing new ethics legislation on Capitol Hill. Her childhood experiences, sense of work ethic, and working for others led to this point.

For the past 30 years, Ms. Thompson has been a tireless advocate and through her achievements and struggles, she has demonstrated herself to be a true pioneer in pursuing principled conduct and moral accountability.

On October 15, 2009, President Barack Obama appointed Jill Long Thompson to serve on the Farm Credit Administration Board. She was sworn into office on March 28, 2010. As in the past, she continues to serve the public while commuting between her home near Culver, Indiana and Washington, D.C.

Her story is more fully investigated in the following interview granted to the Journal of Values-Based Leadership in the Spring of 2009. Following her discussion, Ms. Thompson's historic bill is reprinted in its entirety.

****
March 27, 2009
Valparaiso University
Valparaiso, Indiana

Q: **You have served in many different capacities as a public servant. With your chosen career path, I am interested in whether certain morals and principles may have been instilled during your upbringing and whether you may have been influenced by an immediate family member, a relative or friend of the family, an incident, a spiritual experience, religious practices, faith, a particular book or speech, or some other epiphinal experience that might have indelibly affected your personal and professional development.**

Actually, faith and religion are very different. In fact I had a conversation yesterday with a friend who has cancer and we were talking about the difference between faith and religion, and they are not the same. Faith and spirituality are the same, but faith and religion are not.

Q: **Agreed. So let's go back. Where were you born?**

Warsaw, Indiana.

Q: **So you're a native of the state you ultimately chose to represent. And your family structure?**

I have an older brother who's a dairy farmer. And I have a younger brother who works in newspaper advertising

Q: **So you all were raised in an agricultural community?**

Yes, we were. We farmed. My grandparents farmed. My aunts and uncles farmed. And most of my early classmates at my elementary school came from farming families.

Q: **Was there any diversity in your classes?**

While I was born in Warsaw, I went to school in Whitley County. There was very little diversity. But we were quite privileged for a Midwest farm community to have families who worked in produce who migrated back and forth between south Texas and Whitley County. So at a very early age, I was fortunate enough to have some diversity in the classroom that was not typical in Midwest rural communities at that time.

Q: **These were children of Mexican migrants?**

Yes.

Q: **In what year were you born?**

’52.

Q: **And looking at post World War II agricultural communities, this was a time, was it not, that neighbors and community members came together and helped one another in times of dire circumstances?**

It was very much like that. I can remember my Dad getting sick when I was 10 and neighbors brought a load of wood for burning in our furnace, and during that Fall, one day we looked out the window and the neighbors had come over to harvest our corn for us.

Q: **So your father was a farmer?**

Still farms – he’ll be 84. And he ran a combine the year before last. He didn’t last year because he had a knee replaced. So the last time he did that was in 2007.

Q: **And your mother?**

She worked in a factory until she was 72.

Q: **While she was raising three children?**

She did professional cleaning and also raised calves on the farm. My parents were both very engaged in raising us.

Q: **So when the three of you were basically growing up, she was still at home doing farm work and professional cleaning?**

Off and on. She did both.

Q: **At which factory did she work?**

She worked on the line for Dekko Industries.

Q: **So in addition to fellowship in the community, would you say that there was a strong Midwestern work ethic?**

A VERY strong Midwestern work ethic. We worked all day long. When I had graduated from high school, my family had taken one vacation and it was for about half a day. We went to Sturgis and White Pigeon, Michigan. Because we had the cows, we really couldn’t go anywhere. We had to be home and at the barn milking by 5:00 p.m.

Q: **So no long family vacations? And both you and your older brother and your younger brother, in addition to your formal education, were you all expected to assist with farming activities and chores around the home?**

My older brother was driving a tractor at a very early age. I learned when I was 11 or 12.

Q: So is it correct to say that at a very young age, the kids were out in the fields?

By first or second grade my brothers and I all were helping with chores. We were all together and it was fun. I was milking cows at 8.

Q: Would you say that the collegiality with community members and the strong work ethic that was a part of your life an early age basically shaped how you viewed you life?

It was a combination of so many things. My parents were very education-oriented, but we were always expected to milk the cows. So we could be milking a cow and simultaneously having a spelling contest. Or if we were driving to the feed mill to get corn ground, we would have a math exercise. Or a geography lesson. So we never just did manual work; there was always this other aspect to it. I just assumed everyone did this. But the other thing that my Dad taught us – and I think this was probably key to working hard – was to enjoy what we did. He taught us that you have to define what "fun" is, nobody can define that for you. You define that for yourself. So if you define "fun" as hauling manure, then hauling manure is fun. Therefore, anything that you do can be "fun" if you define it as such.

Q: Sort of like the scene from *Mary Poppins* when the children have to clean their room.

Right.

Q: What was the extent of your parent's education?

High school. And none of my grandparents went beyond the 8^{th} grade.

Q: So with the emphasis on education, did they expect that all three of you go to college?

No, but they expected that we graduate from high school and beyond that was an individual decision. My older brother did not go on to college; my younger brother and I did.

Q: What's your older brother doing now?

He's a dairy farmer with a terrific wife and three wonderful children.

Q: Were your parents supportive of your decision to attend college?

They were supportive of everything. As an example, I have a niece who is completing her last semester studying business at Manchester College. When she graduates, she plans to go to cosmetology school because she wants to be a hair dresser. And there are people who put certain jobs into "phony" categories, but if you like to do it and can support yourself and it's honest work, it's good. Our entire family is thrilled with her education and career decisions.

Q: So would you agree, regardless of education, regardless of background, if you don't have passion for the job you've chosen or that you must do to pay the bills, it's going to be a miserable life?

If not miserable, than not as enjoyable. I also think it's a combination of being passionate and learning to enjoy what's in your environment.

Q: When you say "learning to enjoy," does that also mean "learn to appreciate"?

Absolutely.

Q: When people start comparing themselves with citizens living in a developing country, it appears that many gain a new perspective on what they have and perhaps a redefinition of happiness or enjoyment comes more easily.

Or just looking at what you have compared to what many in the United States have. You don't have to go far. And another thing my parents taught us is that everything is a gift.

Q: Was that derived from some sort of religious tenet?

They are both conservative Christians.

Q: What denomination?

They both grew up in independent churches but raised us in the Methodist then United Methodist Church. And the way they chose the Methodist Church was that they were going to try different churches in the community as a married couple and the first church they visited happened to be Methodist and that's where they stayed.

Q: You say that they were conservative...would you align them with the "Moral Majority?"

No, they were very conservative in how they lived their lives. There was no swearing, no smoking, no alcohol. We were taught to "do unto others as you would have done unto you." They were extremely open-minded regarding how other people chose to live their lives and made a clear distinction between how we live our lives and a limited government role in personal lives.

Q: Because of their beliefs, did they refrain from judgment? "If you haven't stood in that person's shoes, you can't judge them without knowing the circumstances."

And if you don't have anything nice to say, don't say anything at all.

Q: You're a Democrat. Your parents, being conservative Christians, have they normally voted Republican?

My Dad was a Democratic precinct committeeman and Mom has also always been a Democrat.

Q: At what age did your Father become a precinct captain?

I believe it was in 1958 when I was six. We were supporting our neighbor, a fellow farmer, who was running for county sheriff. My Mom is the one who maintained the precinct records. I would come home from school and go through our precinct with my mom to register voters. My dad and brother would milk the cows and I thought it was much more fun to register voters than to milk! She was volunteering for the Democratic Party and, of course, she would only register Democrats.

Q: Basically, between the cows and the migrant workers' kids and local community members, you got a taste of not just the work ethic but of civil servant life. Serving the public, a quasi-governmental division.

I never thought of it that way, but my parents were very serious about everything being done for the greater good and for the government as well. This applies to farming, too. You don't grow things just because you like to; you grow things because you need to feed people.

Q: Who else in your family – not just your immediate members – but within your extended family, served in a capacity that you might say would be a public servant or quasi public servant?

My Dad was on the Township Advisory Board. We have public school teachers in the family. I have a niece who's an occupational therapist, but nobody working in the government. My nephew and niece-in-law Chad and Gina are public employees because they're teachers.

Q: What happened after you graduated from high school? No teenage rebellion years?

You know, both of my brothers did, but I did not. I was the first in the family to go to college. This is the way we chose Valparaiso University. We got the Indiana map out and sat at the kitchen table one night, my Dad and I. My Mom, for some reason, didn't get involved in that. We looked at the colleges and universities that were located within a couple hours of the farm and Valpo was 90 minutes away and Christian.

Q: So a faith-based institution was important?

It wasn't a requirement but it was important to us.

Q: And geography?

Geography was most important.

Q: Was this because of the type of tight-knit family you had that you parents didn't want their daughter to go too far?

We had never been anywhere far away from each other. Plus, we had to be able to drive to the campus and get back home in time to milk cows in the late afternoon.

Q: So was this a mutual decision?

It was a mutual decision and I was very happy with it.

Q: For most kids, college is the time to spread their wings and fly; to exercise a certain amount of independence.

My parents tell me I was always independent!

Q: Was there an expectation that in addition to going to school you would continue to help with the farming activities — at least during recesses? What did you do during your summers?

I started working away from the farm in 1968. In 1966, between the 8th grade and freshman year, I actually started my own business. I did housecleaning and operated a baton twirling school. It was a diversified portfolio!

Q: So you were making your own money?

I was and I liked it.

Q: You got an early taste of entrepreneurship then?

Yes. And the independence from that. And then when I was 16, it was during the summer that I turned 17 – so actually the summer of '69 – I went to work in a really nice clothing store in North Webster, Indiana. It is a resort town and it was a great deal of fun.

Q: So with the newly-acquired independence, it was basically independence in the financial sense?

Yes, because all through high school, even before I was driving a car, I was teaching baton twirling. So I had my own money.

Q: So then you already had some business experience by the time you got to college. During the summers, did you go back to the home farm?

Yes. Although I actually worked at a Walgreens back at home. And I also worked at a grocery store in Wanatah and did some cleaning. I also did babysitting in college.

Q: So you did what was necessary to pay your own tuition?

My parents helped; it was a family effort. I had an academic scholarship and student loans. I worked and they also provided a great deal of support.

Q: What was your major?

Business.

Q: Any particular area of concentration?

Marketing.

Q: And when did you graduate?

1974.

Q: So no interruptions — you went straight through four years? And after that?

I worked at Valparaiso University in the Admissions Office for two years and then I went to Indiana University and registered in the MBA program and after one semester, I was accepted into the doctoral program. I earned both an MBA and a Ph.D. in Business.

Q: And this was the Kelley School of Business?

Correct.

Q: During the years in Bloomington, did you do anything that would eventually sow the seeds of public service?

Well, I was active academically, of course. I taught most of the semesters I was there. The first year I didn't teach, but I worked in the business placement office. I was a Big Brother/Big Sister volunteer.

Q: So was this volunteerism something your parents instilled?

I guess it was.

Q: And after you completed your doctoral degree?

I returned to Valparaiso in January of '81. And then in '83, I ran for City Council.

Q: What prompted you to run for City Council?

My sense of civic engagement.

Q: But wasn't your concentration in business?

Yes, but many of the decisions of the City Council are budget decisions.

Q: Your undergraduate major was in marketing. Did you pursue a different field of concentration in your PhD program?

With respect to my PhD, my major area was marketing and my supporting field was statistics. My PhD dissertation had a public policy component as it measured pre-school and elementary school children's perceptions of television commercials. In other words, to what degree children have the cognitive capability to understand commercials and distinguish them from regular programming. They just come to know, "I want that." They know the commercial is different from programming but they are unable to understand the difference.

Q: So what happened when you ran for City Council?

I won.

Q: How would you describe your method of campaigning?

I went door to door. Not just to registered voters, I went to *every* door because I didn't have a precinct list of registered voters.

Q: So you made your name known. Would you say at the beginning you were a virtual "unknown?"

Oh yes, I was completely unknown.

Q: How many months of campaigning did this bid entail?

I started right around Labor Day and I would, gosh, I would do 20 doors an evening, starting around 5:00 or 5:30. I think there were 1700 voters in the district I represented. And then on Saturdays, I would also go out.

Q: So I would imagine that time for you didn't exist?

Well, I enjoyed going door to door — IT WAS FUN!

Q: And did you find that you were well received? Did they let you inside?

I was well received, but most people did not invite me into their homes. They would just take my literature and if they had a question, I couldn't answer, I'd go back and find the answer for them. Then I would send a follow-up note.

Q: Did you feel any gender gap?

I did not at that point. There is still a huge gender gap in higher office.

Q: **Who was your opponent?**

Don Larr. He was a great individual.

Q: **And had he been in office before?**

No, but he had been the Fire Chief, and he was well known. And I think it was expected he would win.

Q: **And this was in '83? And being a female in a Republican-dominated district against somebody well known in the community, had you not done this grass roots, door-to- door campaigning, do you believe you would have had a shot?**

Not even close.

Q: **In so doing, you made some friends?**

I did.

Q: **...and established some connections? And what exactly did the council seat command of you in terms of duties and time?**

I served for three years, and as I recall, we met twice a month. I think Dr. John Wolf finished my term.

Q: **Why didn't you finish the term?**

In early 1987 I moved back to my farm in Whitley County to be of help to my parents who were struggling through the farm crisis. In 1986, I had run for the U.S. Senate. The State Party endorsed me to run when State Senator Louis Mayhern got sick in the course of his campaign for U.S. Senate.

Q: **Who contacted you about this? Or was this something you thought "I want to do this."**

I was running for Congress in a contested primary for an open seat. Former Congressman Andy Jacobs said that I ought to consider running for United States Senate and I initially laughed at that. The state party chair made a decision to hold an endorsement meeting and they endorsed me to run.

Q: **So that endorsement effectively swayed you to abandon the run for Congress and pursue a Senate seat instead?**

I'm the first and only woman to ever be nominated in the State of Indiana for U.S. Senate. I'm also the first to ever be nominated for Governor, at least by one of the major parties. Even though I did not win either of those races, I feel like I have advanced opportunities for girls and women and that is also very, very important to me. Everyone should have the opportunity to fill his or her potential.

Q: Who was your opponent?

Dan Quayle.

Q: How much did your campaign raise?

We raised $125,000.

Q: Were you underfunded?

Oh yes, I was underfunded. But I also think that many people thought Dan Quayle could not be defeated and so I think they were only looking for someone who could represent the party well.

Q: Where was Dan Quayle coming from at that point?

He was running for reelection; he had been elected the first time in 1980.

Q: So this was his second term. You were running against the incumbent?

And 2 years later he was nominated for Vice President.

Q: Did this dissuade you at all, at least temporarily, from running?

It didn't. It's very hard to run as a Democrat in Indiana, but very important. Very few women have served in Congress and progress comes in many forms.

Q: You were defeated in '86. Then what happened?

I moved back to the farm. My parents were going through a Chapter 11 reorganization; that was at the height of the farm crisis. So I moved back. I had bought some land from them and moved back to that property. I ran for Congress in '88 and lost, but won in '89 in a special election.

Q: So Dan Coats assumed the senatorial position formerly occupied by Dan Quayle and this was by special election — not by appointment?

You can be appointed to the U.S. Senate, but not to the U.S. House of Representatives.

Q: And you won.

March 28, 1989.

Q: Do you remember the vote?

It was close; I think I had just under 51% of the vote.

Q: Do you remember your opponent?

It was Dan Heath.

Q: From?

He was from Allen County, the Fort Wayne area. He worked for the City.

Q: So knowing that Indiana is historically a strong red state…

And that was one of the most Republican districts in the country.

Q: Were you ever dissuaded?

I always believe you do things because it's the right thing to do. I have a poster in my office of a little girl roller-skating and she's all bandaged up and she has a big smile on her face. The saying under her is "Success is getting up once oftener than you fall down." And I think that, to me, success is staying in the fight. You win some, you lose some. There is still a great deal of bias against women, particularly for higher office. Executive positions are the most challenging for women candidates – governor, president, vice-president.

Q: With that motto "success is staying in the fight," being a Democrat in a Republican state and being a woman in a male-dominated area especially with respect to these higher positions, you were really fighting. You were going uphill in two different categories. Basically your story represents the personification of this idiom – "Success is staying the fight." You demonstrate this. So, in '89 you're sworn in, you take the seat and you're there for how long?

Three terms. I was elected twice with record numbers for a Democrat and then I lost in '94.

Q: Did your loss in '94 come as a surprise to you? Was this a hard fought battle?

It was a hard fought battle; that was the year the House went Republican. It wasn't "unsurprising." I just wasn't sure what was going to happen on that day because the polls were kind of back and forth and I wasn't sure ultimately what the voters would do.

Q: How'd you take that loss? Where did you go from there?

I was invited to Harvard to be a Fellow at the Institute of Politics for that Spring Semester. And shortly after I arrived there, I was contacted by the Department of Agriculture and asked if I would be interested in being considered for the position of Under Secretary for Rural Development.

Q: What year was that?

'95.

Q: Who contacted you?

Marian Berry, now a Congressman from Arkansas. And a rice farmer and pharmacist in Arkansas…and he at that time was the liaison between the Department of Agriculture and the White House. He called and asked if I was interested and then I met with him and Dan Glickman.

Q: Was this an appointment?

Yes, Senate confirmed.

Q: Would that position typically have gone to a Republican?

No, because it was during the Clinton presidency.

Q: And this was in '95. And you served as Undersecretary for how long?

Until January 21, 2001. I never actually lived in Washington; I just maintained an apartment there.

Q: And then?

I ran for Congress in 2002 while teaching at Indiana University South Bend and Manchester College, but lost. Then I was hired to run the National Center for Food and Agricultural Policy, a think tank.

Q: And who hired you?

The Board, at the time, the Chairman of the Board was Ken Ferrell who was retired from the University of California

Q: This was back in Washington?

Yes, I commuted.

Q: So you've been doing a lot of "back and forthing?"

I have, but you know there are very few jobs in Indiana that are in my area of interest.

Q: So you stayed in this position until 2006?

Until July 2007.

Q: Is that when you said "I've had enough"?

Oh no, I came back. I gave that job up to run for Governor.

Q: How did that unfold?

Several people called and said I should look at it.

Q: And once again, you were the first female in this particular role? How did you plan your campaign?

It was a winnable race, but there were party leaders in Indianapolis who wanted to maintain control of the party.

Q: To your detriment?

Yes.

Q: With respect to the race for Governor, at any time, did you ever feel the sting of discrimination?

Yes, on occasion. Women still face greater challenges when running for elected office — governor, president. It is easier to run for a legislative position than for an executive position. Even so, there are millions of people across the country who are equally comfortable voting for women or men candidates running for executive office.

Q: What about rank and file support?

Rank and file — a totally different matter. I had great support from voters and the polls reflected that.

Q: Let's get to the actual election. Everybody felt and knew Indiana was going to be a squeaker. Did you feel you could ride on this new tide of "Clinton to Obama," this Obama movement that had seemingly become seemingly unstoppable?

I knew President Obama's strength in Indiana would certainly be of help.

Q: Did you think it would help carry you?

Well, I was hopeful that it would, but there was the fundraising differential between Governor Daniels and myself so I wasn't sure that it could.

Q: What was the final gubernatorial voting split?

57/42, something like that.

Q: What were your feelings about the whole election process? Do you think it was worth it?

It was worth every long day put into the campaign.

Q: Did you maintain your "door to door" style?

You can't maintain that practice statewide. I'd love to be able to do that, but you physically can't.

Q: I'm just saying in selected communities, especially one which might constitute a swing district.

You can't. I got over a million votes — you just can't shake hands with a million people. I wish you could. It was a tremendous experience.

Q: You appeared to have a tremendous amount of grassroots workers.

I had very good grassroots support.

> ***I think there's a reason our Founding Fathers set up our government such that we would have representation in Congress rather than put every issue addressed through a referendum vote. That's why my standard always was "what is the right thing to do, what is constitutional" and if it is not clear, what do I think my people who elected me to represent them, what would they see as the right answer if they were privy to all information that I have as a member of Congress? They don't elect someone to simply be a referendum voter; they elect you to use good judgment and to research issues beyond what they can do because they have full-time jobs. My full-time job was to study the issues and to understand them.***
>
> **— The Honorable Jill Long Thompson, 2009**

Q: Do you feel opportunism would be an example of unethical conduct?

It is unethical. Service should be just that — public service.

Q: Would you take the position that Democrats are more ethical in terms of political policy-making than Republicans?

I would have to say I don't believe that.

Q: Do you believe ethical positions may be influenced by the dollar both in the business and in the political worlds? That is, an individual candidate's decision to regard a particular position as a "moral" stance might change when budget and fiscal concerns become a predominant concern?

I think issues are by and large complex, and real leadership, doesn't try to simplify an issue in order to get a vote. I also know there is a great deal of money influencing our political system.

Q: Recently, Secretary of Defense Robert Gates stated that one of the main differences between the current and former Commanders in Chief involves the amount of reflection given to a particular issue. Do you believe that it is important to investigate as many alternative courses of action before actually taking a firm stance?

And there are a number of Republicans who would do the same thing. There are many Republicans who are complex in their analyses.

Q: With respect to voting party lines, what percentage of representatives would you say would go against their party's stance due to conflicting individual moral principles?

Well, my moral principles tell me that if I'm an elected official, that my vote should be consistent with what my constituents would want if they had the same information that I have; if they had the opportunity to sit in the briefings and in the hearings. I never really found morality, my morality to be that different from the broader range of my constituents that I represent. What I thought was important was doing what I believed was consistent with their values, but taking into account the more detailed information that I had.

Q: Isn't that a significant qualifier? If they were privy to the same information as you?

It's a huge qualifier, and it's a judgment call every time.

Q: So because so many people don't watch newscasts or read newspapers, they might not be adequately informed. It would seem to me the majority of people you represent would not be privy to the same information you would have as their elected representative. If you were to poll your constituents on a particular issue and their position might be completely different from yours, do you believe that it is up to you to make an informed judgment call?

That's right, that's exactly right. I think there's a reason our Founding Fathers set up our government such that we would have representation in Congress rather than put every issue addressed through a referendum vote. That's why my standard always was "what is the right thing to do, what is constitutional" and if it is not clear, what do I think the people who elected me to represent them, what would they see as the right answer if they were privy to *all* information that I have as a member of Congress? They don't elect someone to simply be a referendum voter; they elect you to use good judgment and to research issues beyond what they can do because they have full-time jobs. My full-time job was to study the issues and to understand them.

Q: When you were in Congress, did you make a point of trying to allow your constituents gain some access to the information only you had? A regular newsletter or other form of communication?

I did. I sent out newsletters somewhat regularly. I always tried to keep costs down, but I also held town meetings…very often.

Q: Were these meetings well attended?

Yes.

Q: I want to now address ethics legislation. As I understand, you introduced a particular piece of legislation dealing with ethical issues. What prompted this action?

Well, there are two reasons. One was that I thought the appearance, just the appearance of being allowed to accept gifts from lobbyists, was unethical. When I was first elected to Congress, it was standard practice for major lobbying organizations to send gifts to Congressional offices for members of Congress, such as hams at Christmastime, wrapping paper from the paper industry…and I think Giorgio perfume was sent to members of Congress prior to my serving. And some of that had tapered off, but there was some serious negative publicity, negative press on that particular practice. I thought it was important just for the sake of appearance because it is important for Members of Congress not only to conduct themselves ethically, but also for the public to perceive them as behaving ethically. The other reason is, I firmly believe, from my work as a doctoral student and my studies in consumer behavior and human behavior — that people are influenced by small gifts as well as by larger gifts. And I remember reading a study in graduate school where an experimental group was given peanuts to eat while reading propaganda were more likely to accept the position espoused in the propaganda literature than the control group that did not receive the peanuts. If you can be influenced by peanuts, you can be influenced by a fine dinner provided for by a lobbyist.

Q: Were you surprised no one else had introduced a piece of legislature previous to yours?

Well, Congressman John Bryant was working on similar legislation at that time. There were a number of us that were, but there were other members of Congress who were highly insulted by it and would say "I don't want to get involved in that; I don't think members of Congress are influenced." Members of Congress thought they weren't influenced, but they were.

Q: Did you share your research with them?

I did.

Q: And did it fall on deaf ears?

Pretty much.

Q: And would you say a majority of Congress people are JDs?

Law degrees you mean? There are a disproportionate number of attorneys; the representation of attorneys in the United States Congress is very strong.

Q: I ask this because one of the ethical rules that is inculcated in a law student's mind from the onset is to avoid even the appearance of impropriety. So I'm just wondering, why did it take so long for something this simple to be enacted into law to bind our public representatives?

I think some Members of Congress liked it; I think they liked the fact that lobbyists could take them out to dinner. They enjoy the perks. I remember the time the wife of a good friend of mine said "Frankly, we couldn't go out to dinner this often if the lobbyists weren't buying the meals." I didn't respond to her because she wasn't a member, but that was exactly my point.

Q: When you drafted this, what procedures were used?

I introduced it, but another version of it was passed after I left Congress. And now there are much stricter regulations for the House of Representatives.

Q: So when you started this, you basically got the ball rolling. Many people would regard government ethics as an oxymoron, or at least that most political figures are corrupt in some form or fashion, a conclusion often confirmed by news headlines. Would you agree?

There's actually a pretty strict Code of Ethics in the Federal Government, in both the Executive and Legislative branches. At one time, that was not the case. But since the ethics legislation was passed in the 1990s, the Legislative branch has been impacted.

Q: But from our Founding Fathers on, it's taken this long?

There have been ethics rules for a long time, but they simply were not as strong as they needed to be. It's taken a very long time, but what I think is even more interesting is that each state has its own ethics rules and laws, and some are very weak.

Q: Do you think the doctrine of preemption should apply to states' ethics codes, where state laws are trumped by federal laws when dealing with the same issue, unless the state laws give its citizens more rights? Do you think the states should do more?

I think the states should make their own laws. I think states should determine their own ethics laws. I think for state elections and state office holders and local office holders, policy should be determined at the state level and not at the federal level.

Q: Should there at least be a starting point, where, similar to the general doctrine of preemption, the federal government should establish a minimum standard?

No, because of state offices. I think there needs to be that separation. That's very important.

Q: So even if a particular state operates as if it were in the Wild, Wild West and less-than principled leaders don't look like they are going to be roped in anytime soon, how should that situation be handled?

I think that there should be a better effort to inform the public, but I also think that the serious work of state legislatures ought to be recognized as well, and even though the legislature is a part-time legislature, if they're doing their job, and most of them are, they're doing it year-round even though they only get paid for part-time work. And I think we need to be more open and honest, about the time demanded of people who are in the state legislature.

Q: It seems to me with the disclosure of former Governor Blagojevich's alleged attempt to exact money from certain individuals before new ethics legislation was scheduled to take effect in the State of Illinois in 2009, the issue of ethics — or the lack thereof — was brought to the surface concerning state governments. Where would you find the greatest differences in ethical practices with respect to federal branches?

The federal legislative and executive branches. And there are differences. There used to be a bigger differential.

Q: Let's go back to the various factors which influenced your decision to enter public service. Do you believe that your personal experiences (e.g., childhood, relationships with family members, spiritual experiences, and educational training) helped to provide the necessary impetus to translate your own sense of ethical behavior into actual government practices?

Definitely. I also believe that if you're not involved, you're letting someone else make the decisions and God didn't create you to let somebody else make all the decisions. It is so important to be a part of the process; it's what you're supposed to do.

Q: When we compare elected officials with the general electorate, is there really a difference in the general character between the populace and their elected officials?

I think elected officials are very much a reflection of the voters, and I often say when speaking to a group of students — elementary, high school, and even college — the people who get their names in the paper are either doing a great job or they are misbehaving. This is the case when it comes to corporate America, to the political arena, and even in organized religion. So we hear more about the politicians who are misbehaving, but most people in elected office are really good people. They're smart, they get up and go to work every day, and they try to make the world a better place.

Q: However, if you say representatives are a reflection of the voters, should there be a double standard?

I think that if you're entrusted with public money, there should be a higher standard than what you would expect from the average citizen. But they are a reflection of the voters regardless; voters vote for them. If you don't like what you see in elected office, then make some changes. That's what I mean that they're reflections; elected officials are elected by the people and if the people allow themselves to be fooled, then they need to work a little harder to be good voters.

Q: What is your future forecast of the future of ethics in government?

I think that for the next five to ten years we're going to put new emphasis on ethics, not just in government, but in corporate America, because of the global financial crisis, and what we're learning. I think you're going to see a period of re-regulation that will hopefully constitute better regulation — not just more regulation.

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Congressional Ethics Reform Act

MS. LONG: *Mr. Speaker, today I am introducing legislation to limit the acceptance of any bonus or gift offered to a Member of either the House or Senate.*

Specifically, the bill would disallow: gifts of any value; private financing of Congressional retreats; and Members from giving honoraria for speaking engagements to charities. The bill provides that gift limits would not apply to books or other informational materials, any gift accepted by the Congress under specific statutory authority, or any of the benefits granted to the general public or government employees.

In contrast with employees and officials of the executive branch who may accept gifts in certain instances, this legislation includes restrictions on Members receiving gifts from any person other than a family member or close personal friend.

Congressional Ethics Reform Act

103rd CONGRESS

1st Session

H. R. 2735

To limit the acceptance of gifts, meals, and travel by Members of Congress and congressional staff, and for other purposes.

IN THE HOUSE OF REPRESENTATIVES

July 26, 1993

Congresswoman Jill Long (Thompson) introduced the following bill which was referred jointly to the Committees on House Administration, the Judiciary, and Standards of Official Conduct:

A BILL

To limit the acceptance of gifts, meals, and travel by Members of Congress and congressional staff, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. SHORT TITLE.

This Act may be cited as the "Congressional Ethics Reform Act."

SEC. 2. GENERAL STANDARDS.

(a) GENERAL PROHIBITIONS ― A Member or employee shall not, directly or indirectly, solicit or accept a gift from any source except as provided in this Act.

(b) RELATIONSHIP TO ILLEGAL GRATUITIES STATUTE- Unless accepted in violation of subsection (c)(1), a gift accepted under the standards set forth in this Act shall not constitute an illegal gratuity otherwise prohibited by section 201(c)(1)(B) of title 18, United States Code.

(c) LIMITATIONS ON USE OF EXCEPTIONS ― A Member or employee shall not:

(1) accept a gift in return for being influenced in the performance of an official act;
(2) solicit or coerce the offering of a gift;
(3) accept gifts from the same or different sources on a basis so frequent that a reasonable person would be led to believe the Member or employee is using his public office for private gain;
(4) accept a gift in violation of any statute; or
(5) accept vendor promotional training contrary to any applicable regulations, policies, or guidance relating to the procurement of supplies and services for the Congress.

SEC. 3. DEFINITIONS. For purposes of this Act ―
(1) EMPLOYEE- The term "employee" means an employee of the legislative branch.

(2) GIFT- The term `gift' includes any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, or other item having monetary value. It includes services as well as gifts of training, transportation, local travel, lodgings and meals, whether provided in-kind, by purchase

of a ticket, payment in advance, or reimbursement after the expense has been incurred. It does not include—

(A) modest items of food and refreshments, such as soft drinks, coffee, and donuts, offered other than as part of a meal;
(B) greeting cards and items with little intrinsic value, such as plaques, certificates and trophies, which are intended solely for presentation;
(C) loans from banks and other financial institutions on terms generally available to the public;
(D) opportunities and benefits, including favorable rates and commercial discounts, available to the public or to a class consisting of all Government employees, whether or not restricted on the basis of geographic considerations;
(E) rewards and prizes given to competitors in contests or events, including random drawings, open to the public unless the Member's or employee's entry into the contest or event is required as part of his official duties;
(F) pension and other benefits resulting from continued participation in a Member or employee welfare and benefits plan maintained by a former employer;
(G) anything which is paid for by the Government or secured by the Government under Government contract;
(H) any gift accepted by the Congress under specific statutory authority;
(I) anything for which the market value is paid by the Member or employee; and
(J) any books, written materials, audio tapes, videotapes, or other informational materials.

(3) MARKET VALUE- The term `market value' means the retail cost the Member or employee would incur to purchase the gift. A Member or employee who cannot ascertain the market value of a gift may estimate the market value by reference to the retail cost of similar items of like quality. The market value of a gift of a ticket entitling the holder to food, refreshments, entertainment, or any other benefit shall be the face value of the ticket.

(4) MEMBER- The term `Member' has the meaning given such term in section 109(12) of the Ethics in Government Act of 1978 (5 U.S.C. App. 6 sec.09).

(5) SOLICITATION OR ACCEPTANCE —
(A) A gift is solicited or accepted because of the Member's or employee's official position if it is from a person other than a Member or employee and if a reasonable person with knowledge of all relevant facts would conclude that it would not have been solicited, offered, or given had the Member or employee not held his position as a Member or employee.
(B) A gift which is solicited or accepted indirectly includes a gift—
(i) given with the Member's or employee's knowledge and acquiescence to his or her parent, sibling, spouse, child, or dependent relative if a reasonable person with knowledge of all relevant facts would conclude that the gift was given because of that person's relationship to the Member or employee; or
(ii) given to any other person, including any charitable organization, on the basis of designation, recommendation, or other specification by the Member or employee, except as permitted for the disposition of perishable items by section 5(a)(2).

(6) ETHICS COMMITTEE — The term Ethics Committee with respect to the House means the Committee on Standards of Official Conduct and with respect to the Senate means the Select Committee on Ethics.

(7) VENDOR PROMOTIONAL TRAINING- The term `vendor promotional training' means training provided by any person for the purpose of promoting its products or services. It does not include training provided under a congressional contract or by a contractor to facilitate use of products or services it furnishes under a congressional contract.

SEC. 4. EXCEPTIONS.

The prohibitions set forth in section 2 do not apply to a gift accepted under the circumstances described in paragraphs (1) through (9) of this section and a gift accepted in accordance with one of those paragraphs will not be deemed to violate section 2 of this Act.

(1) GIFTS BASED ON A PERSONAL RELATIONSHIP- A Member or employee may accept a gift given under circumstances which make it clear that the gift is motivated by a family relationship or personal friendship rather than the position of the Member or employee. Relevant factors in making such a determination include the history of the relationship and whether the family member or friend personally pays for the gift.

(2) DISCOUNTS AND SIMILAR BENEFITS- In addition to those opportunities and benefits excluded from the definition of a gift by section 3(2)(D), a Member or employee may accept—

(A) reduced membership or other fees for participation in organization activities offered to all Government employees by professional organizations if the only restrictions on membership relate to professional qualifications; and

(B) opportunities and benefits—

(i) offered to members of a group or class in which membership is unrelated to congressional employment; or

(ii) offered to members of an organization, such as an employees' association or congressional credit union, in which membership is related to congressional employment if the same offer is broadly available to large segments of the public through organizations of similar size. A Member or employee may not accept for personal use any benefit to which the Government is entitled as a result of an expenditure of Government funds.

(3) HONORARY DEGREES—

(A) A Member or employee may accept an honorary degree from an institution of higher education (as defined in section 1141(a) of title 20, United States Code) based on a written determination by the Ethics Committee that the timing of the award of the degree would not cause a reasonable person to question the Member's or employee's impartiality in a matter affecting the institution.

(B) A Member or employee who may accept an honorary degree pursuant to subparagraph (A) may also accept meals and entertainment given to him and to members of his family at the event at which the presentation takes place.

(4) GIFTS BASED ON OUTSIDE BUSINESS OR EMPLOYMENT RELATIONSHIPS — A Member or employee may accept meals, lodgings, transportation and other benefits —

(A) resulting from the business or employment activities of a Member's or employee's spouse when it is clear that such benefits have not been offered or enhanced because of the Member's or employee's official position; or

(B) resulting from his or her outside business or employment activities when it is clear that such benefits have not been offered or enhanced because of his or her official status.

(5) POLITICAL EVENTS — A Member or employee may accept meals, lodgings, transportation and other benefits, including free attendance at events, when provided in connection with active participation in political management or political campaigns by a political organization described in section 527(e) of the Internal Revenue Code of 1986.

(6) WIDELY ATTENDED GATHERINGS AND OTHER EVENTS—

(A) SPEAKING AND SIMILAR ENGAGEMENTS- When a Member or employee participates as a speaker or panel participant or otherwise presents information related directly or indirectly to the Congress or matters before the Congress at a conference or other event, his or her acceptance of an offer of free attendance at the event on the day of the presentation is permissible when provided by the sponsor of the event. The Member's or employee's participation in the event on that day represents a customary and necessary part of the performance of his or her responsibilities and does not involve a gift to him or to the Congress.

(B) WIDELY ATTENDED GATHERINGS—

(i) A Member or employee may accept a sponsor's unsolicited gift of free attendance at all or appropriate parts of a widely attended gathering of mutual interest to a number of parties. A gathering is widely attended if, for example, it is open to members from throughout a given industry or profession or if those in attendance represent a range of persons interested in a given matter.

(ii) A gathering is not widely attended if it is a congressional retreat to which a majority of Members of either House of Congress or the majority of the Members of a political party in one or both Houses are invited and which is held outside the United States Capitol grounds.

(C) FREE ATTENDANCE — For purposes of subparagraphs (A) and (B), free attendance may include waiver of all or part of a conference or other fee or the provision of food, refreshments, entertainment, instruction and materials furnished to all attendees as an integral part of the event. It does not include travel expenses, lodgings, entertainment collateral to the event, or meals taken other than in a group setting with all other attendees.

(D) COST PROVIDED BY SPONSOR OF EVENT- The cost of the Member's or employee's attendance will not be considered to be provided by the sponsor where a person other than the sponsor designates the Member or employee to be invited and bears the cost of the Member's or employee's attendance through a contribution or other payment intended to facilitate that Member's or employee's attendance. Payment of dues or a similar assessment to a sponsoring organization does not constitute a payment intended to facilitate a particular Member's or employee's attendance.

(E) ACCOMPANYING SPOUSE- When others in attendance will generally be accompanied by spouses, a Member or employee may accept a sponsor's invitation to an accompanying spouse to participate in all or a portion of the event at which the Member's or employee's free attendance is permitted under subparagraph (A) or (B).

(7) PROTOCOL EXCEPTION — A Member or employee who is on official travel to a foreign area or who is attending an event sponsored by a foreign government may accept food, refreshments, or entertainment in the course of such travel or event provided that such acceptance is in accordance with any rules that the Ethics Committee may establish.

(8) GIFTS ACCEPTED UNDER SPECIFIC STATUTORY AUTHORITY — The prohibitions on acceptance of gifts contained in this Act do not apply to any item, receipt of which is specifically authorized by statute.

(9) ITEMS PRIMARILY FOR FREE DISTRIBUTION TO CONSTITUENTS — A Member or employee may accept food or other items of minimal value intended primarily for free distribution to visiting constituents.

SEC. 5. PROPER DISPOSITION OF PROHIBITED GIFTS.

(a) IN GENERAL- A Member or employee who has received a gift that cannot be accepted under this Act shall—

(1) return any tangible item to the donor or pay the donor its market value (a Member or employee who cannot ascertain the actual market value of an item may estimate its market value by reference to the retail cost of similar items of like quality);

(2) when it is not practical to return a tangible item because it is perishable, the item may be given to an appropriate charity or destroyed;

(3) for any entertainment, favor, service, benefit or other intangible, reimburse the donor the market value (subsequent reciprocation by the employee does not constitute reimbursement); and

(4) dispose of gifts from foreign governments or international organizations in accordance with rules established by the Ethics Committee.

(b) USE OF APPROPRIATED FUNDS TO RETURN GIFTS- A Member or employee may use appropriated funds and franked mail to return gifts.

(c) PROMPT COMPLIANCE- A Member or employee who, on his own initiative, promptly complies with the requirements of this section will not be deemed to have improperly accepted an unsolicited gift. A Member or employee who promptly consults his Ethics Committee to determine whether acceptance of an unsolicited gift is proper and who, upon the advice of the Ethics Committee, returns the gift or otherwise disposes of the gift in accordance with this section, will be considered to have complied with the requirements of this section on his own initiative.

SEC. 6. CHARITABLE DESIGNATION OF OUTSIDE EARNED INCOME.
Subsection (c) of section 501 of the Ethics in Government Act of 1978 is repealed.

SEC. 7. REPEAL OF OLD RULE.
Section 901 of the Ethics Reform Act of 1989 (2 U.S.C. 31-2) is repealed.

SEC. 8. ACCEPTANCE OF TRAVEL AND RELATED EXPENSES FROM NON-FEDERAL SOURCES.
(a) IN GENERAL — The Ethics Committees shall prescribe rules establishing the conditions under which their respective Houses may accept payment, or authorize a Member or employee to accept payment on the House's behalf, from non-Federal sources for travel, subsistence, and related expenses with respect to attendance of the Member or employee (or the spouse of such Member or employee) at any meeting or similar function relating to the official duties of the Member or employee. Any cash payment so accepted shall be credited to the appropriation applicable to such expenses. In the case of a payment in kind so accepted, a pro rata reduction shall be made in any entitlement of the Member or employee to payment from the Government for such expenses.

(b) RULES- The rules prescribed pursuant to subsection (a) shall—

(1) require that the Ethics Committee approve in advance all travel for which related expenses are to be reimbursed;

(2) condition such approval on a determination by the Ethics Committee that acceptance of reimbursement would not cause a reasonable person with knowledge of all the facts relevant to a particular case to question the integrity of the Member, the Congress or congressional operations; and

(3) prohibit reimbursement for items beyond those reasonably necessary for the Member or employee to participate in the event.

(c) GENERAL PROHIBITION- Except as provided in this section or any other statute, no Member, employee, or House of Congress may accept payment in cash or in kind for expenses referred to in subsection (a). A Member or employee who accepts any such payment in violation of the preceding sentence—

(1) may be required, in addition to any penalty provided by law, to repay, for deposit in the general fund of the Treasury, an amount equal to the amount of the payment so accepted; and

(2) in the case of a repayment under paragraph (1), shall not be entitled to any payment from the Government for such expenses.

(d) REPORTS-

(1) IN GENERAL- The Ethics Committees shall, in the manner provided in paragraph (2), publish in the Congressional Record reports of payments of more than $250 accepted under this section.

(2) CONTENTS- The reports required by paragraph (1) shall, with respect to each payment—

(A) specify the amount and method of payment, the name of the person making the payment, the name of the Member or employee, the nature of the meeting or similar function, the time and place of travel, the nature of the expenses, and such other information as the Ethics Committee may prescribe;

(B) be submitted not later than May 31 of each year with respect to payments in the preceding period beginning on October 1 and ending on March 31; and

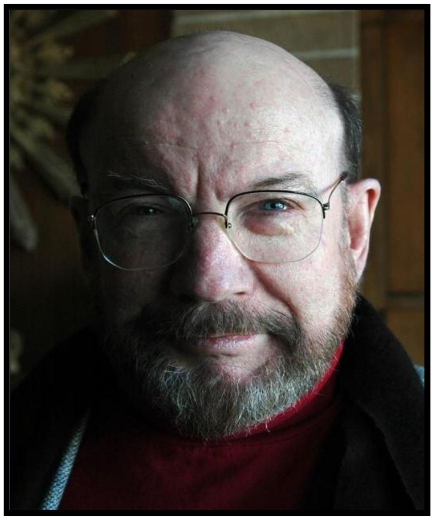
(C) be submitted not later than November 30 of each year with respect to payments in the preceding period beginning on April 1 and ending on September 30.

(H.R. 2753 and was introduced in July 1993 and its full content can be viewed at http://thomas.loc.gov/cgi-bin/bdquery/D?d103:35:./temp/~bdaiDn)

Biography

Jill Long Thompson: Member, Farm Credit Administration Board
Washington D.C.

Jill Long Thompson is a former Member of the United States House of Representatives and the former Under Secretary for Rural Development at the United States Department of Agriculture. She also served as Chief Executive Officer and Senior Fellow at The National Center for Food and Agricultural Policy, a not-for-profit, non-advocacy research and policy organization. She is the first and only woman to be nominated by a major party to run for Governor in Indiana, as well as the first and only Hoosier woman to be nominated by a major party to run for the United States Senate. Long Thompson joined the faculty at Valparaiso University in 1981 and in 1983 was elected to the City Council. In 1989 Long Thompson was elected to represent Northeast Indiana in Congress. She went on to serve three terms in the House, where she was a member of the Agriculture Committee and the Committee on Veterans' Affairs. She introduced one of the nation's first pieces of legislation banning Members of Congress from accepting gifts and expanding the disclosure requirements for lobbying activities. After leaving Congress, Long Thompson was appointed by President Bill Clinton to serve as the Under Secretary for Rural Development at the United States Department of Agriculture. In her five years at USDA, she oversaw a $10 billion annual budget and 7,000 employees while managing a number of programs that provide services to the underserved areas of rural America. Long Thompson earned a B.S. in Business Administration from Valparaiso University and an M.B.A. and Ph.D. in Business from the Kelley School at Indiana University.



Einstein stated, "Only those who attempt the absurd will achieve the impossible." This is the challenge of leadership today — to look at seemingly hopeless situations with new eyes, to see possibility where others see none, to bridge this chasm of impossibility so consciousness, wisdom, and real leadership can come together and transcend the human conditions to which most people are resigned.

— **John Renesch**

Conscious Leadership

Transformational Approaches to a Sustainable Future

JOHN RENESCH, AUTHOR, *GETTING TO THE BETTER FUTURE*
SAN FRANCISCO, CA

Introduction

The state of the world is screaming for leadership! Global events of the past few years make it painfully evident that we humans are at a major crossroads. It has been glaringly apparent to any astute social observer that almost every human system is failing to perform as intended; in fact, most are completely dysfunctional. However, the most dominant system of them all — the economic system upon which so many of us depend — was viewed as sufficiently functional to "get mine before it all comes down." Well, now that one has failed us. The system driving all the other systems we created has crashed. We are out of rationalizations. We are in systems-failure mode — a global integrity crisis.

We all know the list of challenges and crises awaiting future generations so there is no need to specifically address them here. It is time for us to engage in some collective self-examination and take a hard look at what we have allowed to devolve to such an extreme during our lifetimes. Here are a few questions looming before us warranting immediate investigation and dialogue:

- Do we continue to give legitimacy to dysfunctional systems rather than advocating long-term approaches to achieving a sustainable future?
- Do we continue to polarize ourselves instead of seeking common ground and mutual interest?
- Do we continue giving legitimacy to people, groups, and systems that have failed to perform as promised, pretending we are powerless to do anything to change things?
- Do we continue trying to resolve our differences through force and incivility which further divides us or will we insist on reconciliation and conflict resolution that acknowledges our common humanity?
- Will we wake up in time to take corrective measures to this unsustainable, self-destructive course we have embarked upon and continue to perpetuate?

The Conundrum

When I ask these questions during one of my talks, I invite audiences to respond. Typically I hear, “Where do we begin?” or “What can I do?” — questions which are affirmations of powerlessness in drag. Billions of people on *Spaceship Earth* are headed for substantial negative consequences for our behavior over the years and the crew is arguing for their impotence to make a course correction. Some of us are even opining that there is no need for alarm — that everything will be fine, all the concern is a ruse, and the status quo should be left alone, thank you.

Regardless of the naysayers, continuing to think and behave like we have been is contrary to the best interests of humanity in the longer term. It is a crime against the future, needlessly and wantonly endangering our children, grandchildren, and their children.

There are those who argue that working collaboratively and approaching conditions transformatively is Pollyannaish and unrealistic. And this is an easy argument to make since it is unproven and untested. So it is often dismissed as both impractical and unattainable.

Here is the conundrum: we can choose the insane path to irreversible negative consequences (including the possible extinction of all of Earth’s ecosystems) or be practical and quite possibly fail at trying something new. While this choice has confronted us for several generations, we are seemingly paralyzed and hence, continue on the path of insanity, creating technologies that are enabling us to get there faster and faster. This conundrum tends to generate a resigned, impotent global population. As we become so apathetic that we become career cynics then, the rationale goes, we might as well get all we can until it all blows up.

This mental model deadlock facing us could be seen as a precipice. On the other side of the great chasm before us lies enormous possibility for humanity. Yet there are unknown dangers that lie between the cliffs of today and the shores of tomorrow. Taking that leap to the shores of possibility seems absurd. Einstein stated, “Only those who attempt the absurd will achieve the impossible.” This is the challenge of leadership today — to look at seemingly hopeless situations with new eyes, to see possibility where others see none, to bridge this chasm of impossibility so consciousness, wisdom, and real leadership can come together and transcend the human conditions to which most people are resigned.

Let us look at what *appears* to be "impractical and unattainable" as well as what *seems* to be "foolhardy." Einstein also warned us more than half a century ago that we cannot solve our problems with the same consciousness with which we created them. Yet, maintainers of the status quo continue ignoring his advice.

We seem more comfortable risking the future of our children by continuing a path that — while ostensibly perilous — is more familiar than forging a new path that might be wiser and lead to a desired future for our children. In would seem we prefer the familiar — even if it is completely nonsensical — to the unknown. This is arguably what is termed "entrancement" — on a worldwide scale. It is almost as if we have been collectively hypnotized!

So where is the hypnotist who snaps his fingers and brings us back to the real world, who breaks the crippling spell? Where are the people who can to point us in the wiser direction, leading us on this new path, taking corrective measures, and initiating transformative practices?

A New Way of Thinking about Leadership

A different kind of leadership is needed. This new leadership is not necessarily elected, promoted, or appointed. These leaders do not require credentials to ascertain what needs to occur nor to necessarily champion which remedial actions must be implemented. They must not, however, remain silent, condoning, and thereby maintaining, the status quo. These new leaders are not irresponsible anarchists or rabble rousers but rather constitute a breed of more mature, long-term thinkers who have developed a level of consciousness closer to what Einstein was advocating.

"Conscious leadership" is the term I coined some years ago to communicate the quality required of leaders, organizations, governments, businesses, and quite frankly, all individuals to embrace and pursue through these critical junctures which will determine the future our children and grandchildren will inherit. I call it "conscious" because our circumstances call for a higher state of consciousness — a state of mind that includes heightened awareness of what is needed for the whole of humanity to take responsible action. As emphasized by His Holiness, the Dalai Lama: "As people see their predicament clearly — that our fates are inextricably tied together, that life is a mutually interdependent web of relations — then universal responsibility becomes the only sane choice for thinking people."

From Where Will the Conscious Leaders Come?

When paradigms change, the agents or catalysts for change rarely come from within the core of the system. The established leaders are usually so embroiled in the traditions, beliefs, and priorities of the existing system that they rarely see the need for change — much less initiate it. As former U.S. Ambassador to NATO Harlan Cleveland writes in his book *Nobody in Charge*, "Those with visible responsibility for leadership are nearly always too visible to take responsibility for change."

Much like the emperor with no clothes, the new leaders dare to blow the whistle on dysfunctional behavior. They recognize it more readily because of their higher state of consciousness. Sometimes they are able to more readily see the need to change existing circumstances. This new consciousness will be characteristic of people who are not mired down in the system. They did not drink the *Cool Aid* of status quo and thus are able to demonstrate a broader, more comprehensive perspective.

We are seeing this today on an international basis as more countries are taking leadership roles in mitigating global concerns since the established "leaders" are failing to respond. We see leadership coming from individuals as well, like Jody Williams, the American woman who took on the worldwide elimination of landmines — a position in stark contrast to her country's "official" stance on the issue — and received a Nobel Prize.

In contrast to traditional leaders who spend years building résumés, acquiring wealth and power, and engaging in politics to secure new titles and rank, these new, pragmatic leaders already realize the simplicity of what it requires to create a better future.

No widespread educational or re-training programs are required for this transition. Additionally, no substantial capital investments are critical. No expert consultants will need to be hired. And it does not require years to implement. An internal shift in consciousness allows new thinking to begin immediately. From this place, more people will be willing to get closer to the edge of the precipice...and subsequently take the next step. This can happen in minutes! Conscious leaders relinquish their patterns of "going along to get along." They are no longer willing to condone the norm. This rejection of "business as usual" becomes their rallying cry. That moment of "no more" becomes their turning point, their catalyst, their epiphany — a life-altering event achieved in a millisecond.

A Better Future

Our hope for a better world lies in this new consciousness. In contrast to the old consciousness, which is resulting in greater disconnection, obsessive consumption, environmental degradation, and cultural homogenization, this new consciousness can lead us to a better future.

New consciousness is based on the assumption we are all connected — like leaves on the same tree — not separate entities competing for the same resources.

New consciousness requires looking through a new lens toward the future. The following represent a few comparisons between conscious leadership and traditional leadership:

Traditional Leadership

- Intimidates, rules, manipulates
- Relies on form, structure
- Outer-directed
- Eventually becomes incompetent
- More adolescent, even if highly-functional
- Strong persona maintains image
- Politics prevail
- Tends to lead forcefully
- Tends to be dominating
- Protects own image

Conscious Leadership

- Inspires, evokes greatness
- Trusts in Self, other
- Inner-directed
- Continues to grow and learn
- Adult, wiser, and more mature
- Authentic and genuine
- Truth-telling prevails
- Leads with presence
- Possesses dominion, mastery
- Serves those who follow

Through conscious leadership, we will be able to transcend traditional means of resolving conflict in our world. We can transcend perverse nationalism, elitism, and fundamentalism. Through conscious leadership we can create a way of life that is sustainable so our descendants will inherit a world that is life-affirming and flourishing for everyone. With the help of these new leaders, greater numbers will come to recognize the interconnectedness of all life. What a wonderful future we humans have waiting for us if we can get past this impasse of separateness. We will stand a greater chance of fulfilling a destiny that goes beyond our current level of evolution.

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This "better future" is not a fantasy for one person or one group. It is a future which affirms and respects *all* life. It allows all of humanity to have their basic needs met. It assures our planet will continue to serve as a hospitable home, following democracy pioneer Thomas Paine's decree:

"My country is the world. My countrymen are mankind."

Call to Action

All these thoughts are mere academic rhetoric unless there is action to back them up. So, dear reader, what about you? Are you going to continue giving legitimacy to those systems and institutions you complain about? Or are you going to begin speaking out to people who can do something to change things?

Are you ready to embark on a practice of self-discovery, to examine your life and raise your own consciousness so you are sensitive to the pulse of humanity and the power and purity of a responsible global citizenry?

What do you see that needs to be changed? What will you do about it? Now is the time to act. Now is the time to take responsibility and lead the way if you possess the consciousness, the awareness, and the sensitivity to be a conscious leader. The only question remaining is when do you start?

Author Biography

John Renesch is businessman-turned-futurist, having founded or co-founded several enterprises over a thirty-year career. These include several not-for-profit organizations. In the early 1980s, he started directing his work to organizational transformation with a healthy curiosity as to why people were not as functional in organizations as they would normally be individually. He has since published a dozen books and hundreds of articles in journals and magazines on system change, improved leadership capacities, and large scale transformations.

Renesch is one of the founding advisors to the Presidio Management School (which offers "green" MBA degrees), has guest-lectured at the business schools at Berkeley, Stanford, USF, and several international schools, is a past Managing Director and founding trustee of the World Business Academy and board member of the International Spirit at Work Awards. He is presently a member of the practitioner faculty for the Master in Arts in Organizational Leadership (MAOL) degree program at the Center for Leadership Studies.

As a futurist, he serves on the board of Shaping Tomorrow's Foresight Network and served as inaugural chair. Additionally, he sits on the international advisory boards of the Acceleration Studies Foundation and the Sustainable Futures Foundation.

Renesch has been interviewed by *The Wall Street Journal, The Nikkei Financial Times, Business Week,* public radio's "Marketplace," CNBC-TV's Ron Insana on "Management Today Show," Business Talk Radio, National Public Radio, *Forbes*, *Chief Executive* and *Industry Week* magazines on the subjects of leadership and change. His most recent book is *Getting to the Better Future: A Matter of Conscious Choosing*.

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Earning the Right to Lead in Defining Moments: The Act of Taking Leadership

Introduction

Economist and diplomat, John Kenneth Galbraith, once said: *All of the great leaders have had one characteristic in common: it was the willingness to confront unequivocally the major anxiety of their people in their time. This, and not much else, is the essence of leadership.*

When we talk to senior leaders or train leaders at different levels in various leadership development programs, we have discovered that their personal paths to leadership are seldom a function of deliberate use of interventions, planning, motivational practices, power use, or other established leadership techniques. Successful leadership is often also viewed as a steady-state function and deliberate act of influence. This is not necessarily the case. When we talk to leaders and they reflect back on their careers, they often find that their paths to leadership were the results of several incremental incidents where they earned their right to lead. It seems there are defining moments in leaders' careers where

strong bonds are created between the leader and his/her followers/peers/superiors — defining for the relationship and defining for the leader him/herself.

We often learn of such leadership when tragedies occur and become part of the public focus. Such leadership in events that gain national attention are often considered heroic. But these acts occur daily in many organisations when people need impromptu guidance. A leader emerges in the moment, displays leadership, and the individuals in the organisation move on as the exigency of the moment dissipates. Such incidents may be instrumental for collective success. They can be many and minor in significance or few and conclusive. These acts of effective guidance are often presented when conditions of instability exist in organisations, at times when the influx of information is overwhelming, when the achievement of solidifying a diverse workforce is exigent, and when heightened human connectivity is required. These are moments which define the relationship and bonds between leader and followers, leader and peers, leader and superiors, and additionally characterize the leader in his or her own individual capacity. In such moments — and there can be many throughout a leader's career — the ability to assume the lead is not predicted by one's transformational abilities, visions, knowledge, intelligence, charisma, or capabilities for setting direction. On the contrary, it is the leaders' emotional and interpersonal strengths that are tested, creating or breaking relational bonds between leaders and followers/peers/superiors. Such connections generate the requisite authority for an individual to assume *de jure* control and a legitimate position of leadership — not just when circumstances are challenging or related to unusual or unforeseen business crises (e.g., downturns, lay-offs, economic reorganization) — but during less catastrophic times.

In this article, we will discuss the phenomenon when a leader earns his or her right to lead organisations in defining situations. This right to lead involves a bond between the leader and the persons participating in the interaction. Such bond extends beyond the transactional level; it is a strong tie developed between people who voluntarily submit to the control of the leader in order to influence people and to direct their actions toward collective objectives.

The Dynamics of Power

The relationship of power and influence are essential in theories of organisationsal and individual leadership. Two concepts of power have dominated contemporary Western thought (Hindess, 1996). One characterizes the idea of power as a quantitative phenomenon. Power, in this sense, is a capacity to act. This notion of power is often attributed to Hobbes (1928, 1968) who argued that power is a necessary condition of human agency and a ubiquitous feature of human existence. Additional examples of this tradition include Weber (1978), who suggests that there will be an unequal relationship between those who employ power and those who are subject to its effects and Lukes (2005), who maintains that while the concept of power is "contested" by agents holding different values, power may nevertheless be reduced to capacity. In the words of Giddens (1984, p. 14), "[P]ower is the capability of the individual 'to make a difference' to a pre-existing state of affairs." This understanding of power has also been dominant in organisational and leadership theory (e.g., French & Raven, 1959; Pettigrew, 1972; Yukl & Falbe, 1991; Bass, 1960; Etzioni, 1991).

Although the concept of power as a capacity resting in a single individual is widely employed in political, sociological, organisational, and leadership studies, there are other manifestations

subject to critique. Such views entail an understanding of power not only as a capacity but also as a right to act, with both capacity and right being seen to rest upon the consent of those over whom power is exercised (Hindess, 1996). Both capacity and right must be present in order for power to be recognized (Hobbes, 1968). Elias (2000) also suggests that power is not something anyone possesses, but is a characteristic of all human relationships. Foucault (1980) argues that power is a set of actions which influence the acts of other individuals who are otherwise unconstrained. This eschews the determinism of power as a quantitative capacity. Instead, power is a matter of instruments, techniques, and procedures employed in an attempt to influence the actions of those who have a choice about how they might behave (Hindess, 1996). If power consists of the attempt to influence the actions of others, then power is an inescapable feature of human interaction and so too is resistance to the exercise of power (Foucault, 1980). Power therefore manifests itself in a manner which operates both relationally and reciprocally (Simmel, 1964). Power then appears to function as a process — an aspect of an ongoing social structure wherein opponents both work together and in tension with each other. In order to form and maintain relationships with others, one cannot do whatever one wants. People both constrain others while being similarly constrained and enable while being reciprocally enabled. In human action, power pertains to this enabling-constraining relationship where the power balance is tilted in favour of some and against others (Stacey, 2006), presenting opportunities in organisations for one to earn his or her right to lead.

Defining Moments in Organisations

Conditions in the organisational world may be described as a maelstrom of changing markets, technologies, customers, products, and companies. Common notions of leadership grow out of viewing organisations as stable systems, a view rejected by an increasing number of scholars, who argue that many organisations exist in conditions of instability. Such behaviour may include permanent or ad-hoc conditions of insecurity and uncertainty, and evoke similar reactions in organisational members.

In permanent or temporary conditions of instability, people in organisations experience defining moments. These are incidents which often occur instantaneously and without forewarning. They can involve many people or simply relate to an interaction between two people. An incident can take the form of a significant crisis resulting from external events such as downturns, layoffs, hostile takeovers, bankruptcies and the like, or simply materialise during a regular staff meeting on a Monday morning where the discussion suddenly becomes tense and confrontational. Such defining moments are characterised by whether or not individuals agree to give the consent to lead to the one who wishes to be accepted as a leader. This is a connection between the follower/peer/superior and the one accepted as a leader, covering more than formal dyadic arrangements. It is defining for the relationship as it is defining for the leader him/herself as well. With respect to assuming positions of authority, similar ideas have been promoted by theories of authentic leadership. Avolio & Gardner (2005), Luthans & Avolio (2003) and May *et al.* (2003) posit that events that stimulate personal growth promote leadership. Such triggers may be positive or negative and can vary in terms of moral and emotional intensity. It is argued that morally-intense events require leaders to use their values and beliefs as guides for ethical decision-making (May et al., 2003).

How then do members of organisations think, feel, decide and consequently, behave in such defining moments? Since Plato, philosophers have described decision-making as either rational or emotional. Findings within the field of social neuroscience contradict such a view. Emotions reflect levels of invisible analysis (Lehrer, 2009; Cozolino, 2006; Damasio, 2003), thus playing an important part in decisive moments in organisations.

Needs arise on both physiological and psychological levels. With respect to the psychological, people's intrinsic motivations form the basis for affective and behavioural outcomes. One example is provided by Sheldon (2004) who proposed that in addition to fundamental physical, innate social-cognitive, and socio-cultural needs and practices, different adaptations of people's behaviours in organisations serve to (1) sustain a basic sense of self (autonomy), (2) manipulate the environment in order to achieve instrumental goals (competence), and (3) form cooperative relationships with others (relatedness). Similarly, Hogan (1982) posited that such behaviours as socially integrating and advancing compose the majority of social concerns in group situations. Social acceptance (getting along) and status (getting ahead) are prime needs around which much social life is organised.

Contained organisational anxiety and power differentials due to circumstances of permanent or temporary instability in organisations may be a threat to satisfying people's needs. Examples include the uncertainty about an organisation's future, future market development, organisational prosperity, the security of one's own position of employment, and further career development. Others relate to insecurity and anxiety caused by poor relationships, power battles, and distress among colleagues; insecurity of belief in one's own worth in the organisation; and tensions, disagreements, and conflicts caused by strategic choices, conflicting value systems, professional matters or moral dilemmas. Further uncertainties include the lack of movement and action due to disagreements, in-house politics, structural problems, or ambiguous decisions. Such incidents can cause internal struggles where individuals strive to retain a sense of self and of order to reduce anxieties associated with instability, disorder, and unpredictability. In these defining moments, people thus want to believe that someone, somewhere, is willing to take responsibility.

Forming of Bonds in Defining Moments

When people's drives and needs are not met during the defining moments of an organisational structure, people react emotionally. Such emotional reactions obviously impact people's level of motivation and performance. Neurologically, fluctuations of dopamine play an important role in guiding actions, telling people how they should feel about what they experience (Montague *et al.*, 2006). People's emotions are not simply instincts, but are rooted in the predictions of brain cells that are constantly adjusting their connections to reflect reality (Lehrer, 2009). Such emotions affect relationships between people. Relationships can be characterised as strong or weak ties (Granovetter, 1973) as well as more positive or more negative in nature (Uhl-Bien & Maslyn, 2003). Moreover, they will be motivated by drives or needs. Once formed, they provide a context for behaviour, establishing expectations, norms, principles, and values that serve as guidelines for behaviour. However, they remain dynamic; if the guidelines are violated, people react, and relationships can dissolve or re-form in positive or negative ways (Uhl-Bien *et al.,* 2000).

While individuals all possess some form of emotional biases (de Martino *et al.,* 2006), this does not mean that people are marionettes of the limbic system. The brain's ability to supervise itself by exercising authority over its own decision-making processes is one of its primary functions. The prefrontal cortex allows people to contemplate the functions of their own minds. This is how people regulate emotions and minimise biases. The problem-solving abilities of people's working memory and the prefrontal cortex are crucial parts of human intelligence. Being able to retain more information in the prefrontal cortex and retain that information for a longer period of time indicate that the brain cells are better able to form useful associations (Colom *et al.*, 2004). At the same time, the brain filters out extraneous thoughts, since they might lead to unhelpful connections. Such decision-making is the essence of rationality. When people become doubtful in stressful situations, they try to engage the rational circuits of the prefrontal cortex. But the prefrontal cortex is fragile. The brain was not designed to deal with a surfeit of data caused, for instance, by high information flows, high diversity among people, or the richness of connectivity in organisations. As a result, people have to deal with a volume of information that exceeds their frontal cortices' capacity to process as situations present more information and complexity than they can handle. Since the prefrontal cortex can process only a limited number of matters simultaneously (Dijksterhuis, 2004), it tries to consolidate information to make the data somewhat more manageable. People then rely on misleading shortcuts because they lack the computational power to think any other way. When the prefrontal cortex is overwhelmed, people struggle to make sense of the situation.

This means that in defining moments in organisations, people's first reactions often become dominant (Bechara *et al.,* 1997; Knutson *et al.,* 2007; Brock & Balloun, 1967). At any given moment while the cortex is struggling to make a decision, rival bits of brain tissue are contradicting one another. Different brain areas think different things for different reasons. Sometimes this argument is largely emotional and the distinct parts of the limbic system are juxtaposed to each another. Although people cannot always rationally justify their feelings, the feelings still affect behaviour. Other arguments unfold largely between emotional and rational systems of the brain as the prefrontal cortex tries to resist incoming impulses. Bechara *et al.* (1997) compare this neural competition to natural selection, with the stronger emotions and the more compelling thoughts gaining an advantage over weaker ones. Most of this competition is emotional and unconscious, lacking and real logic. Thus, unconscious processing invisibly guides people's moment-to-moment thoughts, emotions, and behaviours in defining moments (Kimura *et al.,* 2004).

Earning the Right to Lead in Defining Moments

In defining moments, people in organisations — leaders, followers, peers, and superiors — react when their needs in organisations are unfulfilled. In defining moments, the one who is eventually recognised as a leader influences the thoughts and emotions of others. If such influence is successful, favourable thoughts and emotions create connections between followers/peers/superiors and the one who is accepted as a leader. Defining moments also offer opportunities for growth (London & Smither, 1999, 2002) for the leader earning his or her right to lead. Several scholars have addressed critical episodes, crucibles, trigger events, or moments that matter (Bennis & Thomas, 2002; Avolio & Luthans, 2006) as important for such development. There is, however, little research on the effect of such events on the strengthening or weakening of the relationships between people due to defining moments.

Research within neuroscience has argued that the brain itself is a social organ, and brains themselves exist and develop in relationship to other brains. Relationships between people impact the functioning and growth of the brain's neural circuitry, add to the development and expansion of neurons, and provide the added energy for their growth and survival (Cozolino, 2006). Relationships involve a connection or bond between one individual and another. The psychological explanation for this social phenomenon is that relationships in organisations may be regarded as shifting identities accomplished by conversations (e.g. Hegel, 1977; Elias, 1991; Cozolino, 2006). People communicate in order to couple their activities in the organisation with those around them to reason and to express identity (e.g. Reicher, *et al*. 2005; Stacey, 2006). In these attempts, people are constructing relationships (Shaw, 2003). Leadership and followership are thus social realities connected to context as a result of an iterative process that is shaped by webs of interactions between individuals (e.g. Dachler & Hosking, 1995; Hosking, 1988; Sayles, 1964; Abell & Simons, 2000). In some cases, social interactions produce the relational bonds, and in other cases they do not.

Leadership emerges in defining moments as an act of recognising and being recognised (Griffin, 2002). This recognition will take place or not take place even though the leader's position is formally sanctioned by the organisation. It is in such situations that relational bonds between followers and leaders are formed or broken. The one who wishes to be accepted as a leader may or may not exhibit influence on the ongoing social interactions in the present by dealing with contained organisational anxieties and/or power differentials. As a consequence, leadership needs to be earned as opposed to being predefined within established frameworks and role expectations. Leadership is thus the dynamic enabling-constraining process that occurs between people rather than the sole function of the individual leader. The focus in leadership research and practice with respect to the individual leader is coupled with a tendency to characterise an organisation in terms of its leader, linking the nature of the organisation — in its broadest sense — to one individual. This has been a tradition since Plato set the scene for the greater body (Cooper& Hutchinson, 1997), thereby encouraging researchers to focus attention on the psychology of the single individual. Leadership is not alone pending the individual or permanently possessed (even though somebody has this in his or her job description) but emerges as a result of the ongoing interaction between people. What is being recognised in the leader-follower relationship is a configuration of power in which the power balance is tilted towards the one who is recognised as a leader (e.g. Griffin and Stacey, 2005). The one who is recognised as a leader (being formal, informal, appointed or not) is the one who has the leadership qualities and the consent to influence the group. Obviously, such parameters are not static. The potential for a shift in power is therefore present in any given moment as long as there is interaction occurring.

Leadership Qualities in Defining Moments

Leadership qualities — referring to an integrated constellation of attributes that foster an orientation toward influencing others and motivating their actions toward certain objectives — are, in addition to relationships, of interest. Leadership qualities have received much attention from researchers, scholars, and practitioners. Some argue that there is little evidence of any personality traits that either distinguish leaders from non-leaders or predict leadership effectiveness. Researchers such as Moxnes (2007), Andersen (2005), and Jacques & Clement (2001) argue that blueprint leadership traits correlate poorly to leadership performance. Others, such as Judge *et al.* (2002), have provided new evidence for re-evaluating the personality approach, claiming that leadership is always related to personality.

Although researchers disagree on the degree of correlation, there is a substantial research base linking personality variables and leadership. Personality is the trait that constitutes a pattern of behaviour in different situations over time (Moxnes, 2007). While human lives are individual variations on a general evolutionary design, people's dispositional traits sketch the outline of that individual. People develop characteristic adaptations that fill in the details of human individuality (McAdams and Pals, 2006). Such melding of traits into a self are the concerns of modern personality psychology. Conceptions of a self are based on people's observations of themselves, their inferences about who they are, their wishes and desires, and their evaluation of themselves (Stets & Burke, 2003). The self is thus comprised of the personal idiosyncrasies that separate one person from the next. It is responsible for the thoughts and actions of an individual (Erikson, 1980). Forces at various levels influence the accessibility of a given self-concept, leading to activation of personality traits at a particular point in time (Brickson, 2000). Thus, different situations may bring different states of the self to the fore, and the self-concept (i.e., one's personal qualities) is dynamic and may change due to various external stimuli and environmental challenges (Kark & van Dijk, 2007).

One way to approach the subject of personal qualities is through character analysis. Character strengths are those aspects of personality that are morally valued. They include habits — evident in thoughts, feelings, and actions (Peterson, 2009). This is a psychology that recognizes individual differences that are stable and general but are also shaped by the individual's setting and thus capable of change. Much of the research on leadership is premised on a position-based perspective of leadership. It concerns qualities residing in a position established within an organisational structure with legitimate power but does not provide adequate explanations for leadership emergence in defining moments.

In such situations, it may be tempting to search for the perfect actions by a logical, rational leader providing direction or meaning. Ostensibly, there is a rational element in defining the actions of leaders. However, in defining moments, we find that the act of leadership is emblematic of psychological strength and human positivism. Such arguments are supported by research by Kenny and Zaccaro (1983) and Arvey *et al.* (2006) who advocate that leader emergence is co-related to the character of the leader. Character strengths may be construed as positive traits and core personality characteristics as virtues (Peterson & Seligman, 2004). Character strengths are the psychological ingredients (i.e., processes or mechanisms) that define virtues, while virtues are the core personality characteristics valued across time and cultures. Several traditions of psychology have investigated the topic of character over the years. Works by Thorndike (1940), Erikson (1980), Greenberger *et al.* (1974), Jahoda (1958), Ryff *et al.* (1995), Kohlberg (1984), Vaillant (1993), Schwartz (1994) and Kumpfer (1999) have all provided prominent examples of psychological inquires of human qualities.

Earning the Right to Lead by Displaying Character Strengths

Defining moments in organisations are characterised by unconscious processing that guide people's moment-to-moment thoughts, emotions, and behaviours. People experience frustrating

thoughts and emotions, leading to de-motivation and dysfunctional organisational behaviour. When experiencing such thoughts and emotions, people in organisations want to believe that someone, somewhere, will be willing to take responsibility. People want role models displaying strengths, providing hope, and showing progress. They want leadership. The emergence of leadership in defining situations may be explained by psychological strengths — in the form of character strengths. In everyday conversation, people often speak casually of character as something that a person has or does not have, but the components of character — the specific strengths included above — are distinguishable and furthermore exist in degrees along a continuum.

In our discussion, we focus on the strengths of courage and humanity, as these are the predominant emotional and interpersonal characteristics on display when a leader earns his or her right to lead.

Courage. Courage is the emotional strength that involves exercise of will to accomplish goals in the face of opposition, and is defined by the character strengths of bravery, persistence, integrity, and vitality (Peterson & Seligman, 2004). Leaders who earn their right to lead tend to display bravery in defining moments. They do not shrink from threats, challenges, or difficulties. They speak up for what they think is right even if there is opposition from followers, peers, superiors, customers, or others. They show persistence, finish what they have started, and complete challenging tasks or projects.

The one accepted as a leader in defining moments must also display integrity. They speak the truth and take responsibility for their feelings and actions. Integrity has been discussed widely in leadership research and there has been renewed interest in this subject in recent years as a result of the focus on authentic leadership (e.g. George, 2003), as well as in the literature of ethics (e.g. Trevino *et al*., 2000), and neo-charismatic (e.g. House & Aditya, 1997) theory. Integrity is also a determinant of trust. According to several researchers, a follower's trust is a prerequisite for sustainable leadership (e.g., Shamir & Lapidot, 2003), especially in defining moments. Placement of trust allows actions in organisations that are otherwise not possible (Coleman, 1986). Unless the ones who wish to be recognised as leaders are perceived as trustworthy, it is difficult to earn the right to lead, retain the loyalty of followers, or obtain support from peers and superiors.

Courage is not composed of just observable acts, but also of the cognitions, emotions, motivations, and decisions that produced them (Peterson & Seligman, 2004). The Danish philosopher, Kierkegaard, juxtaposed courage to anxiety (Dru, 1938). People's struggle to maintain a sense of order is linked to a wish to reduce anxieties associated with instability, disorder, and unpredictability. They want to believe that someone is in control, however, the notion of the leader as the one who is in control is not consistent with reality (Streatfield, 2001). Leaders who earn their right to lead have the courage to deal with the unknown and lead despite instability and unpredictability. They defy their own and people's innate need to control the external or internal environment, as opposed to dealing with the unknown and reality as it is (Binney, *et al.,* 2005).

Putnam (1997) has offered an inclusive account of courage by delineating three types: *physical*, *moral*, and *psychological*. *Physical* courage helps one to overcome the fear of physical injury or death in order to save one's self or others. *Moral* courage entails maintaining integrity at the risk of losing friends, employment, privacy, or prestige. The President of the Institute for Global Ethics, Kidder (2006), has argued that moral courage — the readiness to take professional risks for the sake of principle — is essential for leaders but is difficult to instil. Morality involves, at its simplest level, choices about how people treat other people. Doing the right thing by carefully weighing competing claims has a long history in philosophical reflection. Philosophers such as Leibniz and Descartes tried to construct a moral system free of feelings. Kant argued that doing the right thing was a consequence of acting rationally. But these conceptions of morality are contested by neuroscience. When people are confronted with moral dilemmas, the unconscious automatically generates emotional reactions (Lehrer, 2009). It is only after the emotions have produced a decision that people create rational reasons to justify their moral intuition. The capacity to make moral decisions is therefore innate. The circuit is hard-wired in most healthy people (psychopaths do not have this capacity). This allows them to empathize with others — not through conceptual reasoning but by direct simulation, that is, by feeling, not by thinking (Rizzolatti *et al.*, 1999). However, this phenomenon requires experience and reflection in order to develop fully.

Psychological courage includes the ability to confront a challenging situation; it is bravery inherent in facing one's inner demons. This is courage related to one's self and development of that self. For example, scholars within the modern psychoanalytical tradition (e.g., Higgins, 1987), describe the self in terms of different concepts such as actual/ideal/ought selves. Psychological courage is therefore the courage to confront and deal with these conceptions of selves. According to Binney, *et al.* (2005) such courage has to do with how leaders who earn their right to lead deal with their "inner demons"— issues resulting from their formative experiences earlier in life that they continue to work on as adults. The self-concept related to leadership is discussed by many (see for instance Stogdill, 1974; Yukl, 2006; Karp & Helgø, 2009) and includes aspects such as self awareness, assessment, esteem, control, and confidence. Much leadership research claims that people with high self-confidence are more likely to attempt difficult tasks (e.g., Kouzes & Posner, 2008). Some also claim that self-confidence makes the difference between effective and ineffective leadership in critical situations (e.g., Boyatzis, 1982); that self-confidence predicts subsequent advancement (e.g., Howard & Bray, 1988); and that self-confidence is essential for charismatic leadership (e.g., de Vries, 1994).

Humanity. Humanity is defined as the interpersonal strength that involves tending and befriending others, and additionally consists of the character strengths of love, kindness, and social intelligence (Peterson & Seligman, 2004). Leaders who earn their right to lead value close relations with others, whether followers, peers, superiors, or others. They are close to people when situations or circumstances are challenging. They take care of their followers. Leaders who emerge in defining moments display social intelligence. They have a way to become aware of the motives and feelings of other people and appear to know what to do in different social situations.

Social intelligence — including the related terms of emotional and personal intelligence — has received attention with respect to the subject of leadership in recent years. Social intelligence is the ability by the one who is recognised as a leader to determine the requirements for leadership in a given situation and to respond appropriately (e.g., Zaccaro *et al.*, 1991). This

strength has received recent interest as part of the growing volume of research on leadership and emotions (e.g., Goleman, 1995), although some researchers disagree about its importance (e.g., Antonakis 2003). Some argue that socially intelligent leaders have the capacity to sense the emotions of others. This is a capacity for empathy as well as emotional awareness (e.g., Griffin & Stacey, 2005). People with high social intelligence also have an awareness of their strengths and weaknesses and they are oriented toward self-improvement. They are less self-centred, care about other people, possess self-control, have stable emotions, and are less defensive (e.g., Howard & Bray, 1988). It is also likely that such leaders display higher levels of moral development (e.g., Yukl, 2006).

Sponsors of social intelligence (e.g., Goleman *et al.,* 2002) argue that leaders create resonance through the use of their emotional capabilities. According to these researchers, the one who wishes to be recognised as a leader should pay attention to how he or she handles him/herself and his/her relationships. This is a function of personal competences (self-awareness and self-management) as well as the social competences (social awareness and relationship management). Goleman & Boyatzis (2008) also argue there is a large performance gap between socially intelligent and socially unintelligent leaders, and that social competence may be of particular importance in challenging situations.

Conclusion

Heroes are persons who, in the face of challenges, display courage and the will for self-sacrifice for some greater good. Some researchers argue that the “transforming hero” has become a powerful picture of leadership (e.g., Binney *et al.,* 2005). They argue that the leadership which involves a person with superior qualities is a myth; an idea that exists on paper but that bears little relationship to most of the leadership that is provided in the majority of organisations daily. They are right in such argument. Leaders that earn their right to lead in defining moments are not “transformational heroes.” Nevertheless, they display character strengths — but not necessarily superior qualities — in the face of challenging situations. This is not a leadership that is provided day-to-day, but a form of leadership that is provided when circumstances are unstable and uncertain — circumstances often experienced in most organisations. When leaders succeed in providing such leadership, they create bonds between themselves and followers/peers/superiors. Such bonds are the building blocks of relationships that transcend the transactional level and provide leaders the necessary power to operate an organisation.

This also entails that leaders who have earned their right to lead do not need to rely on the use of hard power, detailed supervision, control mechanisms, and the like. They have earned their right to lead as a result of providing leadership in challenging organisational situations. They do not therefore need to prove themselves and show off their “brass” – they have gained authority. This also means that they do not need to involve themselves in political ploys only to manifest their power base as many leaders have a tendency to do. They are instead given the luxury to concentrate their time and energy as leaders on developing their overview, on developing themselves as leaders and human beings, and on developing their consciousness with respect to becoming better aware of defining moments when they may again be given an opportunity to earn further rights to lead.

Although our findings presented in this article are based upon observations of and conversations with individuals in leadership development programs, our conclusions are conceptual. Further empirical research is needed for affirmation and verification. It should also be noted that the observations are made in a Scandinavian context, and thus, within cultural and organisational frameworks applicable to these countries.

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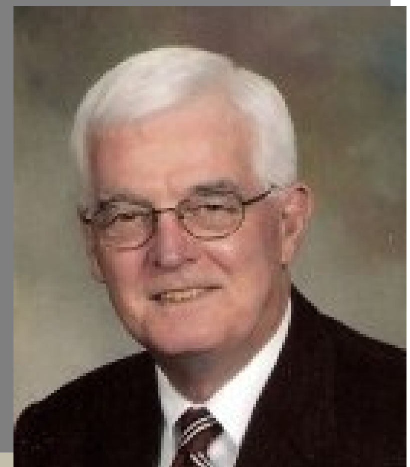
[N]o checklist is required to remind us that leadership is fundamentally a moral, relationship-dependent activity. The complexities of the information society require that doctors and nurses, teachers and principals, and CEOs and their management teams work together, each with their specialty and all contributing to the purposes of the organization. The ideal of servant leadership reminds us that teamwork is the new leadership model in the information age. It is within our workaday environment that we are able to discover our moral purposes and act on them.



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The Moral Foundations of Ethical Leadership

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MOUNT HOLLY, NC

Introduction

This article examines values, morals, and civility in a quest for building a foundation for ethical leadership in a diverse and changing business/organization environment. Within this paper, a moral leadership culture is defined as "as an organizational moral ecology." The authors maintain that a narrow provincialism prevents different cultures and organizations from seeking shared moral meanings because of their refusal to first, objectively examine their own values and second, their refusal to seek among their personal values and moralities those principles and beliefs they share with others. The authors propose "dialogic civility," which is a conversation among people and organizations that respects their ethos and integrity as a means of achieving this goal. This article is based on the authors' upcoming book Values, Morals, and Civility, Seeking Community in a Divided World.

Searching for a New Metaphor for Ethical Leadership

Perhaps a new metaphor is needed for grasping the importance of ethical leadership in a world beset with values-diversity. Because of the organic nature of human spiritual and physical life, we have chosen the idea of *a moral human ecology* to explicate the varieties of human relationships and the values we share with others. "Ecology" is normally used in the environmental sciences to refer to an ecosystem or the natural balance in nature. Here we use "ecology" in reference to the development of a moral balance within human organizations — families, churches, businesses, governments, schools, etc. Our metaphor is complex and rich as are human relationships and, as we will shall show, entails, among other things, dialogic civility, which is an active dialogue with others about the values we share. We believe that dialogic civility provides a foundation from which purposeful ethical leadership is able to be strengthened. Edward Shils (1997) held that any society, any organization, is more than a collection of singular actions and economic trades. We learn from Shils that members of a society, as well an organization, depend in large part on a shared image and a commitment to each other. He called this the "collective consciousness" defined by autonomous (open and free) communication — a dialogic civility.

The fact of our natural pluralism gives rise to overlapping and inconsistent values that often cause conflict; thus, an open society necessitates sharing and assessing the moral standards by which we live. To the degree that societies are "open" is the degree to which its members are willing to talk and negotiate what it means to be a morally-based culture. Thus, as Shils has observed, "civility is a phenomenon of collective self-consciousness, is a mode of attachment of the individual or the sub-collectivity to the society as a whole…" Civility is above all else an attitude and a pattern of conduct, one that is able to define ethical leadership in any environment. Dialogic civility encourages all members of an organization to pursue their own image of the common good but only with an overriding respect for the good of the whole under which all others labor.

Recently, John Ragozzine (2008) wrote,

> "As our nation emerges from several decades of determinedly values-neutral education; efforts to weave ethics and integrity into the fabric of education still meet skepticism. The arguments against it are as varied as they are trite. Aren't we already doing this? Isn't all ethics relative anyway? Are you saying my child is unethical? Are you trying to impose your values on my family? Whose values are you trying to teach, anyway?"

Ragozzine concludes,

> "Ours is an age of inordinate moral confusion. Every day's headlines report big-picture dilemmas with no clear solution: international terrorism, regional warfare, global warming, energy shortages, corporate scandals, nuclear proliferation, and endemic corruption. At a more granular level, this bewilderment appears in a litany of national and local ethical lapses, where values are subverted, integrity is abandoned, and moral courage is given short shrift."

Accordingly, a purpose of our conversation about ethical leadership is to assist with an understanding of personal and organizational values, and then suggest how these might be extended into a wider context of community and organizational civility. This, we maintain, is a neglected part of public school and college education, especially business and leadership education and perhaps the education of community leaders and educators. We have conveniently left moral education out of the curriculum and others have tried to bring some of it back under the guise of "character education." Moral values are learned early in life and direct our purposes, beliefs, and values as we mature. Thus, we emphasize the home, church, and early childhood education as a starting place of value growth and ethical leadership.

This conversation challenges us to understand, as John Rawls (2001) has reminded us, that our choices and aspirations are to be understood against a broad background of incommensurable yet valuable alternatives and it begins where we are, not in the abstractions of analysis and proposed steps to leadership effectiveness. This is not to belittle those who propose this avenue, only to recognize that the 21st century has been a time of a proliferation of information and knowledge, so much so that the most intelligent minds are unable to assimilate and remember it all. Thus, keeping a personal checklist of leadership principles may not be a bad idea. Of course, no checklist is required to remind us that leadership is fundamentally a moral, relationship-dependent activity. The complexities of the information society require that doctors and nurses, teachers and principals, and CEOs and their management teams work together, each with their specialty and all contributing to the purposes of the organization. The ideal of servant leadership reminds us that teamwork is the new leadership model in the information age. It is within our workaday environment that we are able to discover our moral purposes and act on them.

Our vision of a moral human ecology applied to leadership potential recommends dialogic civility as a guiding interpersonal metaphor in a time of moral disagreement. Ronald C. Arnett (2006) frames a pragmatic case for dialogic civility as a means for negotiating differences in the public domain of postmodern communicative interaction. He says, "We live in a time in which ethical standpoints that traditionally have undergirded discourse are in contrast, dispute, and disruption. Dialogic civility is grounded in the public domain and in a pragmatic commitment to keeping the conversation going in a time of narrative confusion and virtue fragmentation." It is especially important that leaders in education, government, and business are committed to this principle, that their leadership potential is grounded in a shared moral purpose. To emphasize the dialogic is to stress the importance of opened lines of communication throughout the organization. Mistakes will be made, but by communicating vertically and horizontally, coupled with respect for one's colleagues, problem solving and the dissemination of vital information will be greatly enhanced.

Moral Appraisal in a Leadership Culture

Leadership is about relationships and relationships are sustained by shared moral values; therefore, leadership is value based. Understanding this idea is a prerequisite to becoming aware of the basic moral principles that comprise the foundations of effective leadership behavior. Awareness precedes thinking about our beliefs and values. Only when we become aware of them can we bring our beliefs, values, and purposes to the forefront of internal and external assessment.

David Brooks notes that we are shaped by our relationships inside and outside our immediate environs. (2007) Yet, we cannot put the community or the organization above the individual — both are significant as they shape and reshape each other. Brooks makes the following significant observations: (1) that success is not something we achieve through our own genius and willpower only; (2) that one's true self is not found inside only, but is a social phenomenon and is found in relationships; and (3) that we are embedded creatures who find meaning and purpose in the context of living and working with others.

Also, Austin Dacey (2008) points out that when we apply our values within the organizational culture, we release them to the assessment of others. Assessing personal values that are shared openly should not be construed as a personal attack on a person or their freedom of choice. Rather, leaders should move the conversation to a clarification of the substance and application of values. When we identify the beliefs and values that comprise our leadership potential, the behaviors they recommend require the scrutiny of both our inside customer (workers) and those who seek our services. These behaviors are the scaffolding upon which objectivity and impartiality are built.

In promoting dialogic civility where individuals and organizations recognize their shared values, we are challenged to acknowledge the core values of others. This will be difficult. Our conversations with others will be meaningful to the extent they are infused with dignity and mutual respect. When they (whoever they are) join the conversation with the same attitudes, we are optimistic that a shared moral foundation can be found. Without apologizing, our purpose is to avoid the extreme view that is built on coercion and seeks to impose unscrutinized values on the organizational culture through intimidation and authority. What we believe is needed is a sensible pluralism that recognizes the reasonable moral values we indeed share. Kai Nielsen says, "What we can live with here is what counts as reasonable" (1996). This may be a tenuous line to follow, but a successful organizational culture will keep this conversation going.

[M]orality is inclusive, emphasizing human rights and dignity, respectful of diversity, and consequence-sensitive.

This gets at the heart of what we call "a moral human ecology." From this view, morality is inclusive, emphasizing human rights and dignity, respectful of diversity, and consequence-sensitive. This does not mean that morality is simply about ends. Those who have followed a pragmatic philosophy say that if it works to their preconceived goals, then it is to be valued—that the ends always justify the means. A moral human ecology recognizes the organic nature of leadership, which suggests that both means and ends have moral significance, that they are always and constantly related. The goal of ethical leadership is to protect and enhance the well-being of all persons. The means for accomplishing this goal are complex and require much reflection and reconsideration. Our personal and organizational values will constitute the ground floor of this dialogue.

When speaking about our moral compass, Brian Orchard (2001) comments that we all have moral capacity, but that this capacity is tempered by time, place, and circumstance; thus, morality and moral values may be relative with no hope of finding any common ground. We recognize that there is some truth to relativism, for indeed we are in various ways culturally defined as human beings; but this, in our opinion, is a transient characterization that ignores the deeper moral connections of our shared humanity. Thus, leaders, to be effective, must be open, flexible, and diligent when entering into conversations about the moral quality of the organizational culture. This requires self-assessment at every level and organizational assessment as an ongoing activity.

While defining the beliefs, values, and purposes that undergird our leadership capacity, we acknowledge the difficulties in reaching consensus on any issue involving moral behavior. This will be a challenge and we share the belief that understanding implies thinking: the use of reflective consideration in making choices, in behaving in a civil manner, and in acknowledging a common moral foundation for organizational civility. For some, our thesis is idealistic, but we believe it remains a normative necessity in an otherwise morally confused and disjointed world. We agree with John Rawls (1975) who expresses hope for an overlapping consensus of all major political and religious ideologies for a reasonable moral pluralism supported by public reason. Rawls defines "reason" as that which people with different ideas and beliefs could agree upon and that we would be able to endorse by asking whether this (whatever action is being debated) is something that we can live with given the difficulties of judgment, past pluralities of society, and their resulting political culture.

Rawls also noted that we should be willing to evaluate our beliefs against those of others. Thus, we broaden the field of relevant moral and non-moral beliefs to include an account of the conditions under which it would be fair for reasonable people to choose among competing principles, as well as evidence that the resulting principles constitute a feasible or stable conception of the moral organization. Rawls emphasizes "fairness" as a communicative moral quality characterizing ethical organizations. The more narrow view of the leader-as-intimidator, seeks no conversation about the shared values of his or her co-workers and, as a matter of course, places blame on others when organizational success fails to materialize. This limits morality to personal views only and tends to exclude those who are different or disagree. The wider view is one we believe forms the foundation of ethical leadership.

The Leadership Culture as a Place for Dialogic Civility

What is significant to dialogic civility is to "imagine" how our values fit with others and to be familiar with and work toward building moral harmony within diverse organizations. This starts with human purpose and meaning and an acceptance of innate human value. T. S. Elliot explains in *Notes toward a Definition of Culture* (1968), that our reasonable goals ought to determine our means. He views culture as an extension and expression of a society's ultimate values and believes that if such values which buttress community are ultimately compromised, the possibility of developing a genuine moral culture may be critically weakened.

Indeed, literature, religion, sociology, and even philosophy remind us that "community" is more than an indiscriminate crowd. Rather, community is the building of shared values, beliefs, and purposes knotted together by behaviors we normally call "civil." The literary critic Cleanth Brooks (1995) insightfully observes that community is "a group of people held together by common likes and dislikes, loves and hates held in common, shared values." Brooks says,

> ***"Where there is a loss of shared values, communities may break down into mere societies or even be reduced to mobs. The loss is ominous, for when men cease to love the same things, the culture itself is disintegrating…Change has come—and of course is still coming—but the questioning of old attitudes and values is a powerful stimulant to observation, memory, and cogitation. If the loss of the old provokes in some no more than the irritation at being disturbed, it sends others back to an examination of their first principles. If the new constitutes a challenge to the old ways, in the philosopher and the poet the old may offer a counter challenge to the new."***

As we continue to examine the idea of "leadership as a moral activity," we too look back to the "old ways" for ideas that support our view of a moral world. Since the Enlightenment, social scientists have begun to analyze community scientifically. The 19th century saw the emergence of psychology and the social sciences that adopted the methods of scientific investigation. This was a century of ideological conflict — Marxism, Social Darwinism, philosophical pragmatism, Lenin's interpretation of Marx, and in literature, Transcendentalism, whose purpose it was to recapture the "inner man," which had been relegated to the "subjective" sphere and set aside for more objective, scientific, and mathematical reasoning. During the second half of the 20th century, both "servant leadership" and the concept of "leadership culture" emerged as ways of redefining "ethical leadership," emphasizing both the "inner" values we hold and their application within the organizational culture.

The struggle continues today, and certainly affects how we view leadership, as post-modernists have decried any foundation for morals, knowledge, or truth except tradition and personal preference. The financial debacle of 2009 confirms that many in leadership positions feel that this is a "me-first" world and are apt to live by principles of greed rather than the moral principles they have sworn to uphold. Edgar S. Brightman observed that in 1951 a conflict of ideals was raging in the world and this conflict, he surmised, was not only between East and West, and neither was it political or economic. Rather, it was, as he remarked, "a conflict in the minds of men about ultimate values." Indeed, the struggle continues today.

We learn then that we can never grasp the totality of our leadership environment, that we are never disengaged from it, and that there will be paradigm shifts along the way. There are people working against the ethical grain and their efforts will sooner or later emerge as destructive and disparaging. On the other hand, leaders are not passive reflectors of history and tradition only; rather, they are actors creating and recreating history and the milieu of human associations. They also acknowledge their biases, but understand that personal values are only a starting point, their mooring to what has been discovered and what has worked in the past. This is where leadership begins, not ends.

A Call to Service: Leadership as Relationship Permeated

When we speak of "the leadership culture" and "the leadership community," we are acknowledging that leadership is relationship oriented, and, according to Kevin Cashman, "Relationships are the bridges that connect authentic self-expression to creating value." (1998) Thus, the leadership community is the human contextualization of value, meaning, and purpose. It also defines who we are as persons of value and specifies the arrangements for human achievement: assessments and placing people in positions where they can best achieve their goals and the goals of the organization. Poet Robert Pinsky's (2002) insights into culture and community remind us that it is within community, and ourselves, that we recognize and come to terms with the "stirring of meaning" whose power is social as well as psychological. He believes that meaning is a communal phenomenon embodied within various cultural forms that have significance to us and to the organization. Rationally and emotionally, dialogic civility requires that we seek within this network of value and meaning those values we share in common. It will be our commonalities, not our differences that define the culture in which we labor.

The concept of "moral community" significantly enriches and extends the idea of the ethical leadership culture and renews the importance of servant leadership. Servant leadership reflects our commitment to moral principles and to the emerging leaders within our organizations. Servant leadership is moral because it is a commitment to give others what they require to grow personally as leaders and, eventually, to grow the organization itself. This investment in others doesn't devalue the leader, but "re-gifts" leadership as the moral leadership vision permeates the soil and soul of the organization. As the leader gives, s/he gets a surplus in return. This is a case of leading from the inside out.

Joe Jaworski (1998) says that "civility is the call to service, giving our life over to something larger than us, the call to become what we were meant to become — the call to achieve our vital design." When we acknowledge this meaning, we recognize that civility is an indication of a life imbedded with moral principles. It is our moral purpose, that home within us, that place where our values and spirit reside, which is enlarged because of caring for others. It is transformational. We cannot shirk this responsibility for the moral goal that we seek and the methods of achieving this goal must be judged ethically.

Civility will add value to others and us as it enlarges our moral surplus, and when we align our work and commitments with this greater purpose, we will discover energies and potentialities within us that we did not know we possessed. The reality of civility is that it is a form of self-expression that creates value for those around us. And let's not neglect the passion that effective leaders must exhibit. Those within the leadership community, and others, will sense the leader's commitment and strong feelings, their work ethic, and determination. Passionate leadership is contagious leadership. Passion in this sense is neither rage nor anger; rather, it is an excitement and enthusiasm that comes from leading with vision, integrity, and respect for others. When such passion is coupled with moral purpose, the idea of serving others, and with building and sustaining relationships, the organization will grow one person at a time and from the inside to those who seek our services. Yet it seems that many people have lost or maybe never possessed a moral compass to direct their lives – that theirs has been a horizon-less mind of pragmatic and radical self-interest. Understandably, this starts within us, but it cannot remain there. Civility is the capacity to enjoy the infinitely varied experiences that life has to offer and promotes human flourishing for others as well.

Dialogic civility provides a workable structure for our discussion of both the leadership community and interpersonal communication. It is a duel metaphor involving communication and ethics and their joint application to the global community. It seeks, among other things, inside and outside spheres of moral interaction where diversity is honored and shared moral perspectives are sought. It is deeply grounded in the conviction that genuine meeting makes change and alteration possible. Ronald C. Arnett and Pat Arneson (1999) rightly perceive that, "Dialogic civility is situated in a constructivist *hermeneutic*, calling us to public respect as we work to co-constitutively discover the minimal communication background assumptions necessary to permit persons of difference to shape together the communicative terrain of the 21st century." They believe that if enough people begin to communicate honestly and civilly, then "the story of communication in the twenty-first century would be one that guided difference, diversity, and discourse under the arm of respect and caring for the other."

Arnett and Arneson also explain that the blurring of public and private life has been pushed too far. Instead of offering a sense of humanity to the workplace, emotive exhaustion and self-centered conviction have too frequently been invited into daily discourse. Their goal for public interpersonal communication is not intimacy, but civility that offers a commitment to open and active communication between people in an age of diversity, change and difference. Thus, dialogic civility has its roots in the reality of daily living and the belief that authentic interaction makes change and modification possible. The analysis of Jurgen Habermas (2006) tells us that dialogic civility is situated in a constructivist hermeneutic — in an interpretation of verbal and nonverbal forms of communication as well as prior value-issues that impact communication. It calls us to public respect as we work within the boundaries of our own organizations to discover the minimal communication background assumptions necessary to permit persons of difference to shape together the communicative terrain of the organizational culture. It is leadership guided by difference, diversity, and discourse under the arm of respect and caring for others.

Conclusion

Thus, communicative life begins with a commitment to a background of dialogue that embraces patience, persistence, and cultural discourse rooted in respect for one another. This is a pragmatic necessity within an ever shrinking world of diversity, especially a world in which value and truth have been devalued. This is a world which is losing its connections to its past—the stories of courage and commitment by parents and grandparents, and by national founders who forged respect for tradition and history. Being disrespectful is likely to drive others from the discourse.

To be successful we must recast this conversation from one of clashing values only and issues of cultural relativism to one of "constructive challenges." Civility has in the past been on the sidelines of ethical discussions, and we can agree that its role has been neglected. As we have incorporated strands of insights from moral theorists and sociologists, we agreed that civility — this unfocused value — can no longer be ignored. We can't speak about ethics and moral behaviors without talking about community, issues of morality exposed by human need, and the moral role that civility plays in the leadership culture.

The moral future we envision and the various moral strands we have pulled together have recognizable parallels, cultural furrows tilled by those who understand the moral needs of humanity and the moral dimensions of our common experience. Without this constant and continuing practice of moral correlation all criteria of moral meaning go out the window. We have been enlightened and now is the moment that moral behaviors should become the substance of our dialogic conversation with others, of our leadership culture. E. A. Burtt (1965) explains,

> "...[the] fact is that the way in which a person is known makes a difference to the way he changes...He will be, in some measure, a different person because of it. ... True understanding of a person is gained only through the positive, response to his presence. Only when one's interaction with him becomes an active participation in his growth toward fulfillment can one come to know his full self, because only in the medium of such a response is that full self coming to be."

Burtt's ideas can become a model for ethical leadership. Can we teach this? Can we model this? The fact is we must do both. Leaving civility unfocused as an inclusive moral principle keeps morality chained to a pre-reflective, pre-conceptual, and pre-ethical past that limits both its meaning and applications. Anyone who has experienced even one moment of uncivil behavior from another understands the dehumanizing and depressing feelings that result. Negative emotions of fear, hate, suspicion, and indifference block avenues to understanding others. Thus, important to the leadership community is that we become accountable to human need. And we believe that this article substantially supports the belief that we hold that what will get us there is a human moral ecology based on a commitment to dialogic civility.

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Author Biographies

Joseph P. Hester earned the Bachelor of Arts Degree in the Social Sciences and History from Lenoir-Rhyne College (University) in 1961. He is a 1964 and 1967 graduate of Southeastern Seminary at Wake Forest, NC where he earned both the Bachelor of Divinity and Master of Theology degrees. His master's thesis was an analysis of the theology of the 19th century Anglican minister and theologian Frederick W. Robertson. He earned the Ph.D. in Philosophy from the University of Georgia in 1973 completing his dissertation in analytical ethics. Working in the area of pre-college philosophy, he became a certified public school teacher and supervisor, earning doctoral certification as a Curriculum Specialist III. Hester is the author of many professional articles and books in philosophy, religion, and education. In the area of ethical leadership he authored *Ethical Leadership for Public School Administrators and Teachers* and, with H. Darrel Young, *Leadership Under Construction.*

Don R. Killian earned the Bachelor of Arts Degree in History and Sociology from Davidson College in 1961. He received his Masters of Arts Degree in Sociology from Appalachian State University in 1965. In 1968 he was awarded a National Science Foundation Scholarship to study anthropology at the University of Colorado. Additional graduate study at the University of Georgia in sociology and anthropology from 1969-1971 and the University of North Carolina at Greensboro in small group sociology completed his graduate school studies. He participated in the Basic Instructional Skills Program as an instructor for the North Carolina Department of Community Colleges from 1982-1987. He just completed his forty-fifth year teaching sociology at Gaston College, Dallas, NC. He is co-author of the two volume *Cartoons for Thinking* published by Royal Fireworks Press.

Book Review

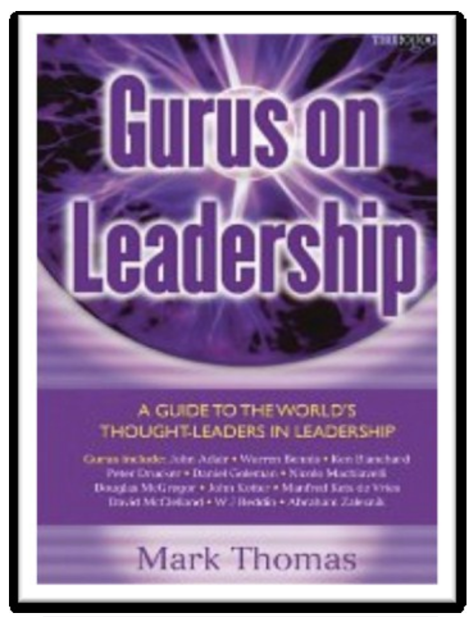
of

Gurus on Leadership

M. RINIVASA RAO, Reviewer

There comes a time in life when one must take a position that is neither safe, nor political, nor popular, but he must take it because his conscience tells him it is right.

– Dr. Reverend Martin Luther King



Mark A. Thomas, Author, Thorogood Publishing Ltd., London, UK 2006©

M. SRINIVASA RAO
Sri Krishna Nagar, India

Introduction

Mark A. Thomas, the author of "Gurus on Leadership," preludes the book by discussing the fallout of Enron as well as the consequences produced by other corporate scandals such as Rite Aid, Tyco, Imclone Systems, Global Crossing, and Computer Associates. The author outlines the devastating effects on various stakeholders caused by the leaders of companies including Mirror Group, Polly Peck, Marconi, Equitable Life, Marks and Spencer, and British

Airways. Thomas states, "During the Enron and Wall Street scandals, both *The Economist* and *Business Week* magazines sought to address the leadership issue in depth."

What Does the Book Provide?

The book provides the profiles and contributions of various leadership notables in the global domain. These subjects include:

(1) **John Adair** (Action Centered Leadership);
(2) **Warren Bennis** (The "Dean of Leadership Gurus");
(3) **Robert Blake, Jane Mouton, Ken Blanchard** (The One-Minute Manager);
(4) **David Brent** (a modern leadership icon);
(5) **Peter Drucker** (management by objectives);
(6) **Fred Fiedler** (the contingency theory man);
(7) **Daniel Goleman** (the emotional intelligence man);
(8) **Paul Hersey** (situational leadership);
(9) **Manfred Kets de Vries** (the psychology of leadership);
(10) **John Kotter** (leaders and change);
(11) **James Kouzes, Barry Posner** (leadership and followership);
(12) **Nicolo Machiavelli** ("The Prince");
(13) **Abraham Maslow** (the motivation man);
(14) **Douglas McGregor** (Theory X and Theory Y — the "carrot and stick" approach);
(15) **David McClelland** (achievement, affiliation, and power motivation);
(16) **Tom Peters** (the revolutionary leadership guru);
(17) **W.J. Reddin** (three dimensional leadership grid);
(18) **R. Tannenbaum, W.H. Schmidt** (the leadership continuum); and
(19) **Abraham Zaleznick** (leadership versus management).

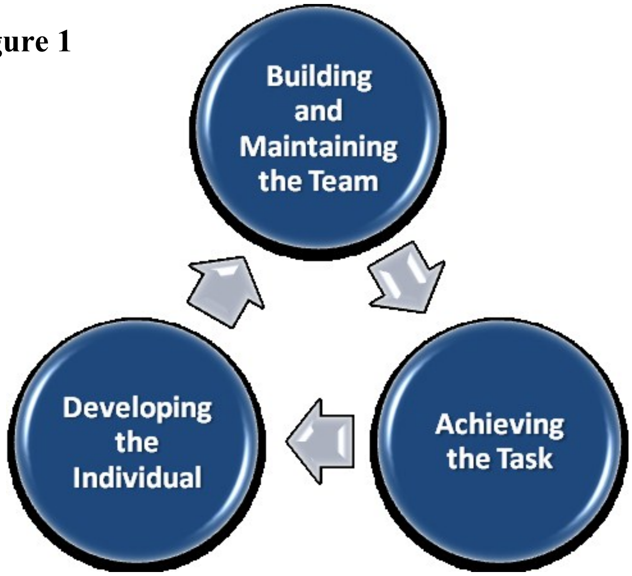
Lessons Learned from Sapient Pundits:

Thomas identifies certain contributions made by the aforementioned leaders:

John Adair – Action Centered Leadership (ACL): John Adair became the world's first Professor of Leadership Studies at the University of Surrey and is regularly cited as one of the world's most influential contributors to leadership development and understanding. From his works, the reader can expect to learn about governance from a wide array of historical notables, including Napoleon, Lao Tzu, Alexander the Great, Lawrence of Arabia, Gandhi, and Charles de Gaulle.

Adair coined the "Action Centered Leadership" model which is represented by three inter-locking circles:

Figure 1



1. Achieving the task;
2. Building and maintaining the team; and
3. Developing the individual.

Adair also addressed the generic physiological and psychological composite of a noted leader. This *whole person* composite is more commonly referred to as the "50/50 Rule:" 50% relates to that particular individual's energies and innate motivation and 50% from exposure to environmental factors and influences.

Warren Bennis – "The Dean of Leadership Gurus:" Warren Bennis was designated as "The Dean of Leadership Gurus" by *Forbes* magazine and is noting for stating that "Leaders are people who do the right things; managers are people who do things right." In identifying such leaders, Bennis used noted American psychologist, Abraham Maslow, founder of "humanistic psychology," as an example of one who fits the mold of a leadership guru as he was certainly "one of the Olympian minds of our time."

> **"Leaders are people who do the right things; managers are people who do things right."**
> **— Warren Bennis**

For Bennis, a leader is someone who is capable of creating an inspiring vision and functioning as an excellent communicator, aware of what challenges must be resolved. He or she must be comfortable with change, confusion, and constructive conflict. Such leader must be able to balance short and long-term plans and organizational expectations while representing a model for integrity. Bennis outlines four competencies that determine the success of a new leader:

1. The new leader understands and practices the power of appreciation;
2. The new leader keeps reminding people of what is important;
3. The new leader sustains and generates trust; and
4. The new leader and the led are intimate allies.

Robert Blake and Jane Mouton – The Grid People: Robert Blake and Jane Mouton originally developed "The Managerial Grid" in 1962 as an organizational development model. The Grid contains five styles of leadership: *task master manager*, *country club manager*, *impoverished manager*, *dampened pendulum manager*, and *team manager*. The ***task master manager*** style is described as the very pushy and demanding leader – perhaps more accurately characterized as an autocrat. The ***country club manager*** refers to a leader who is more people-oriented and less task-oriented. The ***impoverished manager*** style describes the situation where managers or leaders attempt to avoid all decision-making and responsibility assumption. The ***dampened***

pendulum manager can best be described as the middle-of-the-road manager; someone who alternates between handling necessary tasks and duties while remaining in tune with co-workers' needs. Finally, the ***team manager*** describes the leader who effectively integrates people around task demands.

Ken Blanchard – The One Minute Manager: Dr. Ken Blanchard, a prominent author, speaker, and business consultant, is often described as one of the most insightful, powerful, and compassionate pundits in the business world. Blanchard's books are unashamedly simple and clear in both style and content. His classic *One Minute Manager*, co-authored with Spencer Johnson (who subsequently went on to write the equally famous and successful *Who Moved My Cheese?* which primarily focuses on change management) — epitomized his approach. The book attempts to strike a balance between the results-oriented manager and the people-oriented manager by establishing certain guidelines to help a working team become more individually responsible. These constitute:

1. The "One-Minute Goal" — which is designed to ensure that people understand perfectly what their duties are and what is expected of them;
2. The "One-Minute Praise" — which lets people know when they are doing the right thing or when they need to change their course of conduct; and
3. The "One-Minute Reprimand" — which should be delivered immediately upon revelation of the erroneous act. The act, not the individual, should be at the forefront of the discussion.

David Brent – A Modern (Fictional) Leadership Icon: David Brent, the invented white-collar, mid-level manager, portrayed in the BBC original version of the Americanized hit series, *The Office*, is included in the litany of leaders primarily to demonstrate the *unprincipled* manager who believes that his actions demonstrate quite the opposite characterization. As boss of the invented Slough branch of the Wernham-Hogg paper merchants, this type of "leader" unfortunately demonstrates many of the same characteristics of similarly-situated managers today. He is self-aggrandizing, paternalistic, and strives to be both mentor and friend to those who work under him when in "mockumentary reality" — uneasily reflecting similar working relationships in the real business world — he is out of touch with his workers who generally loathe him for his naiveté and offensiveness. Several of Brent's oft-quoted workplace slogans and parabolic-like stories include:

"Quitters never win, winners never quit. But those who never win and never quit are idiots."

"What does a squirrel do in the summer? It buries nuts. Why? Because then in wintertime, he's got something to eat and he won't die. So, collecting nuts in the summer is worthwhile work. Every task you do in work think, would a squirrel do that? Think squirrels, think nuts."

and

"Remember the three golden rules: (1) It was like that when I got here; (2) I didn't do it; and (3) (To your Boss) I like your style."

Peter Drucker – Management by Objectives: By stark contrast, one of the world's most respected business leaders, philosophers, and teachers, is highlighted by Thomas. Peter Drucker was born in Austria in 1909 and was probably the most renowned business and management guru in the modern world. His leadership values concentrated more on the nature of human relationships and how people interact both inside and out of the business world than the mere gathering and application of statistical information. Drucker, a self-described "social ecologist," first mentions his famous concept of "Management by Objectives (MBO)" in his work, *The Concept of the Corporation*. MBOs constituted the key management term which soon became synonymous with Drucker. He fervently argued that all managers should be driven by objectives.

The author describes Drucker as somewhat assuming the leadership traits of Genghis Khan: "Of an officer I expect that he takes care of the men before he takes care of himself. Of a general I expect that he takes care of his horse before he takes care of his men." The *Harvard Business Review* has described Drucker as the "father of modern management, social commentator, and pre-eminent business philosopher."

Several of Drucker's quotes summarily describe his style of leadership:

> **"Leadership is not rank, privileges, title or money. It is responsibility."**

and

> **"There is no substitute for leadership. But management cannot create leaders. It can only create the conditions under which potential leadership qualities become effective; or it can stifle potential leadership."**
>
> **— Peter Drucker**

Fred Fiedler – The Contingency Theory Man: Fiedler's "Contingency Theory" postulates that a leader's effectiveness is premised upon the interaction of *leadership style* and *situational favourableness* (also known as situational control). This leadership style is measured by what Fiedler refers to as the *Least Preferred Co-Worker* (LPC) scale, which is essentially a survey used to measure an individual leader's orientation. Both low-LPC (task-oriented) and high-LPC (relationship-oriented) individuals can be effective leaders. Three components determine the level of situational favorableness or control:

1. Leader-member relationships: the degree to which the employees accept the leader.
2. Task structure: the degree and level of detail to which subordinate roles and jobs are defined.
3. Position power: the amount of formal authority a leader possesses by virtue of his or her position in the organization.

Fiedler found that low-LPC leaders are more effective in extremely favourable or unfavourable situations, whereas high-LPC leaders perform best in situations which are relatively stable. His work advocates that:

- The favourableness of leadership situations should be assessed in determining leadership effectiveness.
- Candidates for leadership positions should be evaluated using the LPC scale.
- If a leader is being identified for a particular position, then a leader with an appropriate LPC profile should be chosen (*task-oriented* for very favourable or very unfavourable situations and *relationship-oriented* for a more stable environment).
- If a leadership situation is being chosen for a particular candidate, a situation (work team, department, etc.) should be chosen which matches his or her LPC profile.

Daniel Goleman – The Emotional Intelligence (EQ – "Emotional Quotient") Man: Daniel Goleman's, a noted scientific journalist, believes that true leaders must recognize the value of each worker which transcend objective, intellectual intelligence, but extends to include each individual's emotional wealth. Goleman's work cites five components which comprise emotional intelligence (EQ): self-awareness, self-regulation, motivation, empathy for others, and social skills. In order to comprehensively examine leadership roles and how EQ might influence leadership styles, Goleman has developed six possible approaches: visionary leadership, coaching leadership, affiliative leadership, democratic leadership, pace-setting leadership, and commanding leadership. By transcending conventional intelligence to include character elements, Goleman believes that managerial success can be better and more accurately predicted, determined and measured.

Paul Hersey – Situational Leadership: According to Paul Hersey, effective leaders adapt their styles to suit different situations. His model proposes four generic leadership styles in which he differentiates between directive and supporting strategies. They are telling, selling, participating, and delegating. With respect to the *telling* style, task-orientation is high while human relationships are minimal to allow the manager to closely control the work of his or her staff to act quickly to remediate low performance. A greater equality of emphasis on both person and task orientations characterizes the *selling* style. In this regard, the leader shows concern for both quality task performance while maintaining healthy and mutually rewarding staff relationships. In juxtaposition, the *participating* style places lower emphasis on task while advocating stronger staff relationships. The leader uses this style to encourage people to manage their own work. Lastly, the *delegating* style involves decreased attention to both task and staff relationships. The leader who uses this style effectively liberates or empowers people to define problems and develop solutions through their own efforts.

Manfred Kets de Vries – The Psychology of Leadership: Unlike many other leadership pundits, Swedish-born Kets e Vries probes deeper into the human psyche and explores the "darker side" of leadership, along with notions of the narcissistic personality and charisma. His leadership work has led him to explore in depth the leadership styles of many current and recent leadership icons including Richard Branson (Virgin), Percy Barnevik (formerly of engineering multinational conglomerate, Asea Brown Boveri (ABB)), Jack Welch (formerly of General Electric), Walt Disney, and Ernest Saunders (formerly of Guinness). Kets e Vries is quoted as saying that many leaders are hooked on the four "Ps," namely Power, (the) Podium, Perks, and Praise. In citing some reasons for leadership incompetence, he cites:

1. The unwillingness to exercise authority – which may result in either the avoidance of conflict situations or the constant need to be liked.
2. The tyranny of subordinates as caused by an excessively abrasive set of behaviours.
3. Micro-management and the obsession with detail.
4. Overly political, game-playing.

His checklist of excellent leadership practices and characteristics includes the following:

- Provide vision;
- Are strong communicators;
- Create high levels of trust;
- Acquire emotional intelligence (EQ);
- Motivate and challenge people;
- Build teams;
- Provide constructive feedback;
- Modify one's own narcissistic needs to the benefit of the organization;
- Are persistent and decisive;
- Are good time managers; and
- Possess a sense of humour.

John Kotter – The Leader and Change:

"Most organizations are over-managed and under led."

Harvard Business School professor John P. Kotter runs a close second to Warren Bennis's mantel as the world's foremost leadership guru. He research and writings focus upon change management from the leadership perspective. He identifies eight critical stages that leaders need to follow in order to achieve effective organizational transformation:

- establish a sense of urgency;
- form a powerful guiding coalition;
- create a vision;
- communicate that vision;
- empower others to act on the vision;
- plan for and create short-term wins;
- consolidate improvements; and
- keep the momentum for change moving and institutionalize the new approaches.

James M. Kouzes and Barry Posner – Leadership and Followership:

"Leadership is in the eye of the follower."

Jim Kouzes and Barry Posner are prolific researchers as well as award-winning writers and consultants in the fields of leadership and executive development. Posner is a renowned scholar who has published more than 80 research and practitioner-oriented articles in journals such as "The Academy of Management Journal," "Journal of Applied Psychology," and "Human

Relations and Personnel Psychology." Both Kouzes and Posner are frequent conference speakers and have conducted leadership development programmes for hundreds of organizations.

Based upon 20 years of research, Kouzes and Posner have distilled five simple principles of effective leadership which they term as: (1) model the way; (2) inspire a shared vision; (3) challenge the process; (4) enable others to act; and (5) encourage the heart. For this pair of scholars, leadership is about thinking "outside of the box" and extending one's perception of what is possible beyond the rational and scientific approach to business. Precisely, leadership is all about creating emotional connections with people.

Nicolo Machiavelli – The Prince:

"Leadership is best for a leader to be loved but if they cannot be loved they must be feared."

Nicolo Machiavelli was born in Florence, Italy at a time when the country was in political turmoil. Italy was divided into four dominant city-states and each was subject to intense foreign intervention. The political atmosphere of that time and place in history invariably affected Machiavelli's dark sense of control and understanding of "leadership." He overtly championed opportunism over morality. Several of his quotes convey these ideas:

"A leader should know how to enter into evil when necessity commands."

"It is necessary for a prince to have all the virtues, but necessary to appear to have them."

Unfortunately, the Machiavelli-esque type of leader remains ever present throughout the world today, providing myriad examples of how principled leaders should not act.

Abraham Maslow – The Motivation Man: American psychologist, Dr. Abraham Maslow, was one of the original founders of human psychology and played a key role of helping leaders understand the concept of motivation. He established the well-known *hierarchy of needs* where humans strive to attain the next higher order of need once primary needs are met. This hierarchy is comprised of physiological needs, safety needs, the desire to belong and to be loved, self-esteem, advanced cognitive abilities, aesthetic pursuits, and self-actualization.

Douglas McGregor - The Theory X and Theory Y Man:

"The motivation, the potential for development, the capacity for assuming responsibility…are all present in people. Management does not put them there."

McGregor coined the X and Y Theories where the prototypical Theory X person is inherently lazy and will avoid work wherever possible. Theory X persons must be driven, directed, coerced, controlled, or threatened with punishment in order to get them to work as their organization requires. Theory X relates that the average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all else.

On the contrary, Theory Y refers to the ordinary person who does not dislike work; rather, the conditions of the nature of the work at hand may serve as a source of satisfaction or punishment. The average human being learns — under proper conditions — not only to accept, but also to seek responsibility.

David McClelland – Achievement, Affiliation and Power Motivation: In his book, *Human Motivation: Achievement Motivation, Power Motivation and Affiliation Motivation*, David McClelland describes several types of fundamental motivational needs, identifying power motivation as the most complex. McClelland details four specific types of power motivation:

- Stage one power is a desire for something or someone that is perceived as powerful and influential. For some people, this could be a job role such as Executive Assistant to the Chief Executive.

- Stage two power concerns the quest to feel in control while maintaining one's independence despite the circumstances. Managers who take full control and do not worry about challenges or threats from others are good examples.

- Stage three power motivation is the characteristic most closely associated with leadership and management. This individual is motivated by the act of directing or influencing other people.

- Stage four power reflects interdependence – a desire not to control or influence people directly but to simply to act as a conduit for liberating other people to assume greater things.

Tom Peters – The Revolutionary Leadership Guru: Warren Bennis once said, "If Peter Drucker invented modern management, Tom Peters vivified it." It is the energy and radical fervour of Tom Peters that has set him apart from all other leadership scholars and examples.

In Search of Excellence, widely regarded as the classic business book of our time, is co-authored by Peters and Robert Waterman. The book explores the interworkings 43 well-known companies, including such notables as IBM, Hewlett Packard, and 3M. *In Search of Excellence* also highlights a particular measuring instrument referred to as the 7S Model. The 7S Model is primarily used to diagnose the various efforts of the companies explored, focusing on the so-called "hard" and "soft" aspects of management effort to supplement the already existing hard S's of strategy, structure, and systems-dominated management thinking. What Peters and Waterman accomplished was to elevate the importance of the soft S's of shared values, style of management, skills, and staff.

W.J. Reddin – Three Dimensional Leadership Grid: Professor Reddin is best known for the 3-D theory of management which focus on results-oriented management and output-oriented organizations, opining that individuals will work more effectively if they are given a clear purpose of duty and assist in defining that duty. Reddin further identifies eight types of leadership styles:

1. The Deserter — who has none or only a minimum of the leadership characteristics;
2. The Bureaucrat — who emphasizes effectiveness;
3. The Missionary — who narrows his or her focus to relationship-building;
4. The Developer — who develops and maintains both effectiveness and relationship orientations;
5. The Autocrat — who pursues task-oriented managerial styles;
6. The Benevolent Autocrat — who stresses effectiveness in leadership and is primarily focused on task orientations;
7. The Compromiser — who possesses both task and relationship orientations; and
8. The Manager (Executive) — who displays and balances a combination of leadership, task-oriented, and human-relationship qualities.

Tannenbaum and Schmidt – The Leadership Continuum: Robert Tannenbaum and Warren Schmidt argued that three factors have to be considered by any leader in order to be effective and respected: managerial forces, subordinate forces, and situational forces. In considering these various sources, certain enmeshed leadership behaviours are identified:

1. The manager decides and announces the decision.
2. The manager decides and then "sells" the decision to the group.
3. The manager presents the decision with background ideas and invites questions.
4. The manager suggests a provisional decision and invites discussion about it.
5. The manager presents the situation or problem, solicits suggestions, and then decides.
6. The manager explains the situation, defines the parameters, and asks the team to decide.
7. The manager allows the team to identify the problem, develop the options, and decide upon which action to take which must be within the manager's articulated limitations.

Abraham Zaleznik – Leadership Versus Management:

"Leadership is made of substance, humanity, and morality and we are painfully short of all three qualities in our collective lives."

With this profound articulation of deficiencies in contemporary leadership, Zaleznik differentiates between managers and leaders as his Harvard Business Review article "Managers and Leaders: Are They Different?" reveals.

According to Zaleznik, management is all about operating in a culture that "emphasizes rationality and control." It is within this type of environment and organization where "it takes neither genius nor heroism to be a manager, but rather persistence, tough mindedness, hard work, intelligence, analytical ability and, perhaps most important, tolerance and goodwill."

Conclusion:

"Leadership is the lifting of a man's vision to higher sights, the raising of a man's performance to a higher standard, the building of a man's personality beyond its normal limitations." – Peter Drucker

In *Gurus on Leadership*, author Mark A. Thomas explores the many and varied leadership styles advocated or identified by noted individuals, from 16th century philosopher Nicolo Machiavelli to contemporary academic W.J. Reddin.

Interspersed with his description of various leadership styles, Thomas also discusses the setbacks experienced by Abraham Lincoln before he assumed the position as the 16th President of the United States as well as outlines the leadership attributes enunciated by John Gardener (e.g., physical vitality, intelligence, action-oriented judgment, eagerness to accept responsibility, task competence, understanding of followers' needs, capacity to motivate people, courage and resolution, trustworthiness, self-confidence, and adaptability).

Gurus on Leadership is invaluable for the burgeoning entrepreneur and the seasoned veteran, as well as for the academician and student, to explore the various facets of leadership and the contributions proffered by leadership gurus.

Reviewer's Biography

Professor M.S. Rao has 29 years of experience in leadership development. He is a trainer, teacher, writer, orator, mentor, researcher, consultant and practitioner who conducts training programs for various corporate and educational institutions.

Professor Rao is the chief consultant for MSR Leadership Consultants, India. He is the editor of *Soft Skills for Better Employability* and *Secrets for Successful Public Speaking*. His authored books titled *Secrets for Success* (foreword by Lenny Laskowski, international professional speaker and national best-selling author of *10 Days to More Confident Public Speaking*) and *Soft Skills – Enhancing Employability* (foreword by Dr. Marshall Goldsmith, one of the fifteen most influential management thinkers in the world and the author of *MOJO*) will be released shortly.

Professor Rao has published more than 150 articles to his credit published on various global websites; in periodicals including *The Times of India*, *The Hindu*, and the *Deccan Chronicle*; and in magazines and journals including *Emerald* (UK), *Academic Leadership* (US) and *Career-Journal* (Germany). He is a member of the Emerald Literati Network, U.K. He is the editorial board member of the *International Journal of Professional Management* (IJPM), *Promota Magazine (*UK), and *Career-Journal.com* (Germany). He can be reached at: profmsr7@gmail.com and additionally maintains a popular blog titled *Where Knowledge is Wealth* — URL http://profmsr.blogspot.com.