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A publication exploring business and government leadership
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JVBL Mission Statement
The mission of the 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 JVBL 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.

Submission Guidelines for the JVBL
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 (fully digital with print-on-demand options). The readership includes business leaders, government representatives, 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

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utilize visual text. Manuscripts will be acknowledged immediately upon receipt. All efforts will be made to complete the review process within 4-6 weeks.

By submitting a paper for review for possible publication in the JVBL, the author(s) acknowledge that the work has not been offered to any other publication and additionally warrant that the work is original and does not infringe upon another’s copyright. If the submitted work is accepted for publication and copyright infringement and/or plagiarism is successfully alleged with respect to that particular work, the submitting author agrees to hold the JVBL harmless and indemnified against any resulting claims associated therewith and further commits to undertaking all appropriate corrective actions necessary to remedy this substantiated claim(s) of infringement/plagiarism.

All submissions, including appendices, should be transmitted as a Word.doc attachment to either elizabeth.gingerich@valpo.edu (preferred) or jvbl@valpo.edu. The submitting author shall provide contact information and indicate whether there are co-authors to be listed (specifying which one will be the primary contact).

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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 submit 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 transcript. 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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79. TRANSFORMERS: AFRICAN AMERICAN WOMEN LEADERS IN THE PHARMACEUTICAL INDUSTRY
    Yvette Lynne Bonaparte — Durham, North Carolina, US
    This qualitative study documents the experiences of several female African-American leaders in the pharmaceutical industry by applying the transformative leadership model. Dr. Bonaparte discusses how the theory of transformative leadership, which recognizes that the success of individuals and organizations may be impacted by societal realities and disparities, applies specifically to the selected interviewees.

94. THE GREATER PLANETARY GOOD; FROM A PRECEPT TO A PROGRAM
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    The author unequivocally sets forth the shortcomings of neoliberalism and what it has wrought worldwide. For without understanding the deficiencies — and with hope, the remedies — of conducting “business as usual,” global challenges such as climate change will remain unabated. For the greater planetary good, Manolopoulos puts forth certain tasks which must be undertaken to fully comprehend the necessity of conceiving the greater planetary good. He offers, in lieu of a
negative critique, a blueprint of sorts ... detailing how to fundamentally inform, and reform, global social organization.

109. **LOOKING THROUGH A GLASS DARKLY: REFLECTIONS ON POWER, LEADERSHIP AND THE BLACK FEMALE PROFESSIONAL**

   **Tennille Nicole Allen** — Romeoville, IL, US; **Anton Lewis** — Valparaiso, IN, US

Despite a historical record of activism and leadership, African American women have largely gone unnoticed. Authors Allen and Lewis point out that this same treatment is widely evident today in all fora: the workplace, the classroom, academia, and government. Rather, intelligence, hard work, and technical competencies have either been dismissed or displaced, relegating the African American female leader to inferior status or resulting in wholly disparate and demeaning characterizations.

127. **THE FRAGILE BALANCE OF POWER AND LEADERSHIP**

   **Angela M. Jones** — Schererville, IN, US
   **Sheri L. York** — New York, NY, US

“Power is a tool while effective leadership is a skill.” This statement is the focus of this article which opines that the concepts of “power” and “leadership” should not be mistaken as synonymous terms. Rather, leadership — especially effective leadership — requires a panoply of attributes as well as genuine concern for all stakeholders. Whereas leadership does, however, require a certain degree of power, power standing alone is simply an exercise of authority — a dominion over others. It is this fragile balance between the two that all leaders must understand.

143. **LEADERSHIP IN ACADEMIA: DEAN’S DISEASE — ITS SOURCES, SEDUCTIONS, AND SOLUTIONS**

   **Pat Cantrell** — Conway, Arkansas, US

A promotion in the workplace typically signals recognition of a certain skillset; this is no different in academe. Yet, being an administrator has certain pitfalls which if not handled appropriately, can lead to serious schisms with faculty members. Dr. Cantrell, who has worn both hats, possesses the unique ability to pass on best practices for future aspirants.

150. **THE SPIRITUAL QUEST OF STEVE JOBS: CONNECTING THE I-DOTS GAZING FORWARD, GLANCING BACK**

   **Satinder Dhiman** — Burbank, California, US

As the author indicates, this article is not simply another homage to a business giant, but an expose that discusses his comingling of technology and the humanities — not for the sole purpose of increasing his own riches, but with the objective of leaving the world in a better condition.

158. **INVESTIGATING FAVORITISM FROM A PSYCHOLOGICAL LENS**

   **Tarik Abdulkreem Alwerthan** — Rochester, New York, US

Discrimination can appear in two main categories: positive (e.g., nepotism and favoritism) and negative (e.g., gender, racial, religious). When applied by an individual in a position of leadership to a subordinate, however, the psychological effects may be equally pervasive.

169. **LEADERSHIP AND SPIRITUALITY**

   **James J. Lynch** — Swedesboro, New Jersey, US
   **William J. Fadrowski** — Morristown, New Jersey, US

With a combined wealth of experience, the authors explore the connection between leadership and spirituality. Reflecting upon their own respective experiences and relevant literature, there appears to be a certain conclusion that spirituality must be imbued in every leader. Whether that spirituality is faith-based or simply inspired by servant-orientation, it is this type of leadership that must be advocated as a way to ensure that all leaders are driven by a moral compass.

177. **SUCCESS GUIDE – AN INSPIRATIONAL GUIDE TO EXCEL AS A LEADER AND CEO**

   **Professor M.S. Rao** — Hyderabad, India

As the population grows and world problems multiply, the need to cultivate young leaders to manage a global society in an intelligent and empathetic manner is more pressing now than ever before. The author sets forth a detailed program designed to do just that.
LEADERSHIP

GENDER DISCRIMINATION IS NOT RELIGIOUS TRUTH:
A CALL TO LEADERSHIP

Woman may not fare well in world religions, but she is greatly loved by God who created her equal to man. — Anne Graham Lotz

When we think about the best known world leaders in history, Jesus Christ, Mahatma Ghandhi, Nelson Mandela, and MLK, Jr. typically come to mind. They were all humble men delivering a compelling message through peaceful means. Yet, while tortured, imprisoned, and shunned, they did not stand in the shadows, but made their messages of salvation, independence, freedom, and equality known — on the mountaintop, from the Dandi salt flats, through the island prison cell, and on the streets of Memphis. These leaders were steadfast in message, undaunted by critics, and unassuming in character. But from biblical times to the present age, female leaders have been few and while more and more women are presently vying for positions of political and business power, gender equality struggles abound. For instance,

• Pay scales remain vastly disproportionate (women earn approximately .79 for every dollar earned by men for comparable work in nearly every occupation (U.S. Department of Labor));
• Violence against women has reached epidemic levels (over 200 million women and girls are officially reported as “missing” by the United Nations and over 30% of women in the U.S. Armed Forces and on college campuses have been sexually assaulted (GlobalResearchCentre)).

While such secular matters are debated openly, those concerning gender parity in religious leadership are, for the most part, left unchecked. Even disenfranchised women (forbidden from serving as leaders of major religions and denominations including the Roman Catholic Church, Lutheran Church – Missouri Synod, LDS Mormon, Orthodox Judaism, Islam, and Southern Baptist Convention) together with those who disagree with this form of gender inequality are often silent.

Why?

Isn’t it ludicrous to think that if we have all been created by God, that any of us are to be considered inferior? African theologian Dr. Nantondo Hadebe opines,

“Moreover, it is unfortunate that issues such as gender bias still exist today in an age where women have stood and excelled alongside men in all aspects of life — be it in
religious, political, work or familial matters. It is time we stop and reevaluate what is right rather than blindly follow what society believes to be true.”

Silence signals a paucity of leadership, a dangerous complacency, a general lack of courage, and widespread risk avoidance — and, more disturbingly, fosters a male-dominated culture which demoralizes females and renders them undeserving of parity in education, career, marriage, and reproductive choices.

Many religious scholars agree that history has witnessed women around the globe devolve into second-class citizens, losing autonomy, dignity, and rights ... leaving them to occupy passive and obedient roles, especially with the growth of Abrahamic-based religions worldwide (i.e., Christianity, Judaism, and Islam). The religious texts of the Bible, Torah, and Quran, as well as related writings and interpretations, contain passages and stories that have been selectively used to subjugate women. References to female figureheads in the Bible are scant and others are portrayed in a negative light. It was, of course, a woman (Eve) — the architect of original sin — who caused humanity to be expelled from paradise; Jezebel, who convinced her husband to abandon the worship of Yahweh; Bathsheba, a married woman, blamed for tempting King David; and Salome, who nefariously requested the beheading of John the Baptist. Also, the following passages accentuate the secondary status of the female, the treatment of her as property, the expectation that she be subservient, and the inevitable repercussions of disobedience:

**THE BIBLE:**

1. **Exodus 20:17 (treatment as property):** “You shall not covet your neighbor’s house. You shall not covet your neighbor’s wife, or his male or female servant, his ox or donkey, or anything that belongs to your neighbor.”

2. **Deuteronomy 22:28-29 (violence against females):** “If a man happens to meet a virgin who is not pledged to be married and rapes her and they are discovered, he shall pay her father fifty shekels of silver. He must marry the young woman.”

3. **1 Kings 11:3 (multiple wives viewed as a sign of status):** “He [Solomon] had seven hundred wives of royal birth and three hundred concubines, and his wives led him astray.”

4. **1 Timothy 2:11-15 (subservience to men):** “A woman should learn in quietness and full submission. I do not permit a woman to teach or to assume authority over a man; she must be quiet. For Adam was formed first, then Eve. And Adam was
not the one deceived; it was the woman who was deceived and became a sinner. But women will be saved through childbearing — if they continue in faith, love and holiness with propriety.”

5. **1 Corinthians 14:34 (women should be seen, but not heard):** “Women should remain silent in the churches. They are not allowed to speak, but must be in submission, as the law says.”

**THE TORAH:**
The divine prescription of the superiority of men to women derived from the Hebrew Bible is reflected by a commonly-recited, morning prayer by Orthodox Jewish men worldwide.

> “Blessed are You, Lord our God, King of the universe, who did not make me a Gentile, who did not make me a Slave, who did not make me a ... Woman.”

The *Talmud* also contains many negative references about women. Various rabbinical teachings have described women as prone to witchcraft, laziness, jealousy, gossip-mongering, and vanity.

**THE QUR’AN:**
The Qur’an is also highly patriarchal and warns followers not only about the inferiority of women to men, but prescribes punishment for those suspected of disobedience.

> Qur’an 4:34: “Men are in charge of women, because Allah hath made the one of them to excel the other, and because they spend of their property (for the support of women). So good women are the obedient, guarding in secret that which Allah hath guarded. As for those from whom ye fear rebellion, admonish them and banish them to beds apart, and scourge them. Then if they obey you, seek not a way against them. Lo! Allah is ever High, Exalted, Great.”

***************

Speaking not just as an academic, but as one trained in the practice of law, it is easy to see that a case can be made for any desired faith-based interpretation if presented with relevant material. But it is also very important to consider the historical setting of these writings: submission to males was expected and slavery and domestic battery condoned. Regardless, contrary to the message of the passages above quoted, gender equality is still unambiguously prevalent as reflected by the following:

**THE BIBLE:**
*Galatians 3:28:* “There is neither Jew nor Greek, slave nor free, male nor female, for you are all one in Christ Jesus.”

God created man in His own image, male and female, and instructed them to “Be fruitful and increase in number; fill the earth and subdue it” (Genesis 1:27-28). Thus, the
biblical record is without equivocation that God created men and women equal where both would share world dominion; there was never any establishment of any gender hierarchy. But with the Fall, humans became separated from God; the Divine order was obscured, spawning an increasingly oppressive patriarchal society (Genesis 3:16).

However, with the birth of Christ came the selection of His bearer – a virgin. The role of women in the New Testament was elevated and barriers of gender, race, and nationality jettisoned, e.g.:

1. Jesus’s first revelation of Himself as Messiah was to a woman (John 4:25-26).
2. His death was memorialized by a woman (John 12:1-8).
3. Women stayed with Him throughout His crucifixion, even after the men had left. Women observed His burial (Matthew 27:55-56, 61).
4. Following His resurrection, He appeared first to a woman (John 20:1-16).
5. Women were among the very first “believers” or “Christians” who comprised the core of the early church (Acts 5:14; Acts 8:12; 17:4, 12).

THE TORAH:
According to most Jewish scholars, “man” was created as per Genesis 1:27 with dual gender attribution and was later separated into male and female. Thus, the equality of men and women began at the highest possible level. In Judaism, unlike traditional Christianity, God has never been viewed as exclusively male or masculine as God has been deemed to possess both masculine and feminine qualities (http://www.jewfaq.org/women.htm).

THE QUR’AN:
Significant value is attached to women in verses of the Qur’an. Women are placed under special protection not because she needs it, but because she is seen to possess a special value. In terms of responsibility, however, both genders are deemed to be equal in task (http://www.harunyahya.com/en/Books/191085/bigotry-the-dark-danger/chap ter/15444).

Qur’an, 33:35: “Men and women who are Muslims, men and women who are believers, men and women who are obedient, men and women who are truthful, men and women who are steadfast, men and women who are humble, men and women who give the alms, men and women who fast, men and women who guard their private parts, men and women who remember God much: God has prepared forgiveness for them and an immense reward… .”

******************************

And so, I ask again, where are the leaders?

Is it because the notion that the topic of gender equality conjures fear as the status quo in the home, in the workplace, and now even in places of worship might be radically transformed? In so many parts of the world today, the male child is still favored over the female to the point of selective feticide. Power remains largely in the hands of men. The
resulting imbalance has inevitably led to injustice and the creation of a global society where so many of its female citizens are intentionally kept uneducated, isolated, and dependent. Violence against women is even sanctified by houses of worship which preach that it is God’s Will to perpetuate these gender roles (in fact, statistics show that gender violence is “a greater cause of death and disability among women aged 15-44 than cancer, malaria, traffic accidents or war” (https://ecumenicalwomen.org/theology/academic-articles/gender-gender-equality-and-the-church-by-nantondo-hadebe/)).

Enough is enough. Gender inequality is nothing short of a crime against humanity. So, to every reader — raise your voices from the favela, from the mansion, from the high-rise — and lead!

Elizabeth F.R. Gingerich, Editor-in-Chief
The President of the United States:
What Leadership Qualities and Values Do We Need in 2016 and Beyond?

EMILIO IODICE
ROME, ITALY

The apparatus of the most powerful country on the planet.

Every four years Americans elect a new Chief Executive. The person chosen is not just President of the United States: the position is of global leader, global decision-maker, and global visionary. The President can determine the fate of the human race. We should realize that Americans do not just elect a President, but rather an entire government.

The person selected must fulfill a number of complex and interconnected functions: Chief of State; head of the U.S. executive branch and holder of executive power; key administrator; chief diplomat; and the main architect of U.S. foreign policy. Specifically, he or she should possess those primary leadership traits and values expected of this office:

- **Reformer**—of our political system
- **Spokesperson**—to other countries.
- **Commander-in-Chief**—in charge of the nation’s armed forces.
- **Chief Legislator**—the main author of public policy.
- **Chief of Party**—the leader of his or her political party.

It is not enough to select someone with qualities that fit our national needs when the stakes are planetary. The future of the world depends on an America that is strong, just, and fair. This is embodied in its history, traditions, and institutions. People and nations look to America to provide a model of what we all should be. They imitate our culture, examine and study our laws, and emulate our ideas and ideals. We are a lighthouse in the darkness for millions who live beyond our shores. It is a responsibility. We should embrace the task even if we are not without flaws. There is no one else on earth equipped to offer the proper vision and leadership for our world than the United States. We have no choice. If we fail, the forces of intolerance and tyranny will prevail. The election of 2016 will be one of the most important in American history. Our choice of President will affect the future of the United States and the world for the remainder of the 21st century.
Our leaders are not saints but should strive to be models of integrity. They should be expected to do the right thing even if it is not the right time. We will never solve all our problems but should work to overcome them in good faith and honesty. With proper leadership we can try to resolve the most significant issues that affect our lives — including stewardship of the earth we inhabit, — with fairness, liberty, justice, and deliberative reason. The American Presidency symbolizes these principles.

What qualities should we demand that the President of the United States have to be the leader of a world that endeavors to provide opportunities for all in an atmosphere of freedom? No one person will have them all. Even so, we should try to select someone who comes as close to the ideal without the illusion that saints sit in the Oval Office. They do not. At the same time, we cannot tolerate chronic sinners controlling this position when the nation is crying for change. We need to have a President who will institute campaign reform, environmental reform, gun control, immigration reform, and other measures to salvage our democratic values and freedoms while furthering the cause of, and expanding, social justice. Consider:

- **Experience**: The White House is no place for trainees. We are in urgent need of a person with sound, rational, and values-based experience who can address the major political, social, and international challenges posed.

- **Communicator**: Communicating clearly and honestly to the people of America and the world is an essential ingredient of Presidential leadership.

- **Assembling a Brain Trust**: A President must bring the best and the brightest to manage the apparatus of our government. They must reflect the same values and philosophy of the Chief Executive to establish trust in the bureaucracy and with the people.

- **Character**: This may be the most important leadership value of all. It includes integrity, ethical behavior, and trustworthiness. Without these qualities, no President will earn the confidence of the electorate, the Congress, and the military and civil servants to make the essential sacrifices to confront the most pressing problems of our day.

- **Visionary**: The Chief Executive of the U.S. must project a national and global vision of where we are going and how to get there. Without a well-articulated road map, we will be directionless which will inevitably lead to tragic consequences.

- **Emotional Intelligence**: This includes Self-Awareness, Self-Regulation, Internal Motivation, Empathy, and Social Skills. We cannot have a President who does not possess these traits. They bespeak of an overall sense of sanity. Imagine a Commander-in-Chief who is overwrought with serious emotional problems, but who occupies a position of power, potentially controlling the fate of the world?

- **Courage and Wisdom**: Serious political decisions will require both courage and wisdom. A President must have this especially today when the issues at hand are so complex. They require courageous and wise choices that the people can understand and accept.
• **Decision Maker**: The essence of the Presidency is the ability to make critical decisions. The fate of the world will rest on the choices made by the next President of the United States.

• **Humility**: We know that leaders often have large egos. Even so, we cannot tolerate a President who is not humble especially in front of the people who elected him or her, and with respect to the stability of our democratic institutions.

• **Passionate and Energetic**: The Presidency requires enthusiasm and passion. Our greatest Presidents loved their role and this contributed to their success.

• **Flexible and Comfortable with Change**: Events happen today at lightning speed. Information travels instantly around the globe. The President must be comfortable with an era of instantly changing events and the need to make careful, yet instantaneous decisions.

• **Loves Learning**: No President can succeed without a desire to learn constantly and appreciate the need to comprehend the nuances of events and current trends. Without this quality, they cannot judge the value and accuracy of information and advice to make intelligent choices.

• **Respects Diversity**: Ours is an ever-expanding, diverse population at both the national and global levels. A President must look at diversity as a strength and not as a weakness and promote it as such.

• **Trust**: No leader can lead without the trust of followers. This is particularly so for the President. Trust is difficult to attain and is easily lost.

The process of voicing the qualities we need in a President should be from “the bottom up” and not “the top down.” Today we have the means to articulate what we feel are the traits that our top leader should have. Social media provides a new platform for all classes to communicate debate, convey, and vent feelings from the grass-roots level so those in positions of authority understand what is needed at this time in our history.

**We should encourage discussion in all forms of media until it is clear that we will select and not settle for anyone but the best and brightest to be President of the United States.**

Our survival is at stake. It is also at risk for those who look to us for leadership across the globe.

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**JOURNAL OF VALUES-BASED LEADERSHIP**
British Columbia: Climate Action Leadership

**Interview with British Columbia’s Minister of Environment, Mary Polack**

**Introduction**

British Columbia is the westernmost province of Canada and was granted formal provincial status on July 20, 1871. It contains one of the longest coastlines of any territory in the world. Its capital, Victoria, is situated on Vancouver Island yet its largest city is Vancouver, recently identified by *Forbes* as one of the top 10 cleanest cities in the world. The province boasts a population of approximately 4.5 million which includes members of *First Nations* — indigenous peoples comprised of over 200 separate native communities.

British Columbia is transected by the Canadian Rocky Mountains; it is a territory marked by diverse topography and is home to over 600 provincial parks. Its ecological reserves cover nearly 15% of the province’s land base (http://www.env.gov.bc.ca/bcparks/events/history/). It achieved heightened international attention when it served as host to the 2010 Winter Olympics. More recently, British Columbia has been touted as a model for the rest of the world in promoting economic development while safeguarding natural capital. It is satisfying provincial energy needs through clean renewables while backing technological innovation to further reduce the emission of greenhouse gases (GHG) (http://www.worldbank.org/en/programs/pricing-carbon).

**Government and Economy**

Each province is governed by a premier. Christy Clark, a member of British Columbia’s Liberal Party, was elected to this office in 2011. Clark’s executive council is comprised of 22 members, including Minister of Environment, Mary Polack — the interviewee herein (http://www.bcliberals.com/team/cabinet-ministers/). British Columbia’s key industries are resource-based and include forestry, mining (including high-carbon materials such as metallurgic coal for international trade), fishing, hunting, agriculture, and aquaculture. Tourism, advanced technology, construction, shipping, and film and television (Vancouver is commonly referred to as “North Hollywood”) are also primary revenue generators for the province (http://www.bcstats.gov.bc.ca/StatisticsBySubject/BusinessIndustry.aspx).

**Environment and Energy**

With its mountainous topography and coastal and inner waterway systems, more than 97% of British Columbia’s residential and commercial energy needs are met with hydroelectricity. This inexpensive and largely clean source of energy is supplemented by solar, wind, geothermal, and most recently, *marine shore power*. In 2009, Vancouver became the third location in the world to offer marine shore power for cruise ships. This
service allows properly retrofitted vessels to plug into BC Hydro’s land-based electrical power grid, thereby reducing diesel emissions.

On July 22, 2015, the Canadian government and the Vancouver Fraser Port Authority announced funding to extend this service to container vessels (https://www.portvancouver.com/about-us/topics-of-interest/reducing-emissions-with-shore-power-2/).

**World Leader in Combatting Climate Change**

The World Bank has identified British Columbia as an example of a region which uses its political might and ecological capital to fashion a state characterized by innovation and conservation. In effect, it has become a global leader in combatting climate change (http://www.worldbank.org/en/programs/pricing-carbon). British Columbia has actively responded to climate change drivers and indicators, prompting it to undertake a series of steps — including the introduction of a revenue-neutral, carbon tax. The provincial government identified those relevant facts which ultimately prompted the change in policy:

[Environmental Change in British Columbia](http://engage.gov.bc.ca/climateleadership/files/2015/07/EnvironmentalIndicators.png).

Other government findings include specific identifiable factors directly impacting the province’s physical and biological systems:

- Average annual temperatures have warmed by between 0.5-1.7 degrees Celsius in different regions of the province during the 20th century. In fact, parts of British Columbia have been warming at a rate more than twice the global average.
- Over the last 50 - 100 years, B.C. has lost up to 50 per cent of its snow pack, and total annual precipitation has increased by about 20 per cent.

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- Faster melts and increased precipitation have resulted in floods in the Fraser Valley, Interior and throughout British Columbia.
- Warmer winters have resulted in the mountain pine beetle, which has destroyed an area of pine forest equivalent to four times the size of Vancouver Island.
- The pine beetle has infested 13 million hectares of B.C.’s forests.
- Communities have been experiencing longer summer droughts as weather patterns grow increasingly erratic.
- Sea levels are expected to rise up to 30 cm on the north coast of British Columbia and up to 50 cm on the north Yukon coast by 2050.
- Glacier reduction could affect the flow of rivers, impacting tourism, hydroelectric power, and fish habitat.

**Carbon Tax**

In an effort to boost its economy while combatting climate change, the provincial government launched a revenue-neutral carbon tax, now 8 years old, on July 1, 2008. The initial carbon tax added approximately 2.5 cents to a liter of gasoline based on a rate of CAN$10 per tonne of carbon emissions. This increased to CAN$30 in 2012 and currently translates to a total of 7.4 cents per liter of gasoline and 8.2 cents per liter of diesel and home heating oil. This graduated tax has allowed both homeowners and commercial enterprises to reduce emissions while incentivizing the adoption of cleaner energy use and development. As a revenue-neutral tax, all monies generated by the tax are returned to the citizens of the province through credits and/or a proportionate reduction in other taxes.

British Columbia recently presented its *Carbon Tax Plan and Report* as part of the larger *Balanced Budget Plan* in 2014 which outlined the tax reductions to individuals and businesses generated by carbon tax revenues. In pertinent portion, the Report states: “Based on the revised forecast of revenue and tax reduction estimates, revenue neutrality has been met for 2013/14. In fact, the reduction in provincial revenue exceeds the $1,212 million in carbon tax revenue by $20 million” ([http://www.fin.gov.bc.ca/tbs/tp/climate/carbon_tax.htm](http://www.fin.gov.bc.ca/tbs/tp/climate/carbon_tax.htm)). For the present time, British Columbia has confirmed that it will keep this tax, after considering its economic impact on business and industry.

The carbon tax covers approximately 70% of the B.C. economy, has survived provincial elections and attempts to repeal it in both 2009 and 2013, and has stimulated the economy while reducing overall greenhouse gas emissions (GHG) by between 5 to 15% ([http://www.nytimes.com/2016/03/02/business/does-a-carbon-tax-work-ask-british-columbia.html?_r=0](http://www.nytimes.com/2016/03/02/business/does-a-carbon-tax-work-ask-british-columbia.html?_r=0)).

**Exemptions:** It does, however, exclude 1) exports (including that of carbon-rich coal and natural gas), 2) greenhouse growers (the B.C. government announced in 2013 that the commercial greenhouse sector would be given permanent carbon tax relief via a grant program to help offset carbon tax costs — [https://news.gov.bc.ca/stories/permanent–carbon-tax-relief-for-bcs-greenhouse-growers](https://news.gov.bc.ca/stories/permanent–carbon-tax-relief-for-bcs-greenhouse-growers)), 3) methane-producing landfills, and 4) agricultural operations. It also phases the tax in with respect to cement producers. It has
been argued that while the carbon tax structure is revenue-neutral in design, the numerous exemptions may be inimical to the success of this tax lowering overall GHG emissions (https://nicholasinstitute.duke.edu/sites/default/files/publications/ni_wp_15-04_full.pdf).

**LiveSmart and Other Incentive Plans**

British Columbia is currently attempting to be one of the cleanest and healthiest territories in the world and is continuing to advocate a low-carbon future. In furtherance of this objective, its provincial government has welcomed public input related to the goals of its Climate Leadership Plan. Its primary objectives are designed to inaugurate the next phase of reducing GHGs while building an even stronger economy. B.C. has already supported the extensive planting of trees, construction of bike lanes and paths, and installation of rooftop gardens for both natural insulation and to encourage local food production. It has advocated lifestyle changes and stimulated new business strategies, including switching to cleaner forms of transportation, altering home utility usage, targeting fuel-efficient products and home heating/cooling systems, and promoting overall energy upgrades and retrofits. Many of these encouraged changes are further incentivized by financial savings on utility bills, rebates, and tax credits (http://www.livesmartbc.ca/).

**New Water Sustainability Act**

British Columbia’s new Water Sustainability Act, which updates and replaces the former, century-old Water Act, came into force on February 29, 2016. The new act is expected to address current and future pressures on the province’s fresh water usage, including its groundwater resources. It aims to bolster water stewardship by managing water usage locally — especially during times of drought — and measuring large-scale water operations throughout the province (https://news.gov.bc.ca/stories/bcs-historic-new-water-sustainability-act).

Detractors, however, opine that large corporations, including Nestlé, will be receiving priority over communities as the act purportedly allows industrial water withdrawals and fails to recognize the needs of its various residential communities: “Under the old legislation, the BC Oil and Gas Commission was unlawfully allowing oil and gas companies like Encana to extract unsustainable amounts of water from northeastern B.C. by approving hundreds of repetitive short-term water permits. Under the new act, this practice not only continues, but further relaxes and enshrines the current rules that allow for the fast tracking of massive water withdrawals by fracking companies (http://canadians.org/action/action-alert-bc-water-sustainability-act).

**Oil Pipeline Projects**

Despite its many environmentally-friendly programs and policies, there are — both in existence and under consideration — pipeline projects, constructed generally to transport high-carbon materials westward for further shipment abroad.
**Enbridge Northern Gateway Pipeline:** This project involves the transportation of tar sands carrying corrosive bitumen oil to intercostal positioned tankers. According to the sponsoring company, the Enbridge Northern Gateway Project would involve a new, twin pipeline system running from Edmonton, Alberta, to a port terminal in Kitimat, British Columbia to primarily export petroleum and import condensate. On May 6, 2016, however, it was reported that Northern Gateway and the 31 Aboriginal Equity Partners, filed a request with Canada’s National Energy Board for a three-year extension to further investigate legal and regulatory consequences and to continue discussions with other First Nations’ communities (http://pub.smtp48.com/111556149/420009081/6797/files/NGP%20Community%20Letter%20(May%202016)%20Final.PDF).

**The Pacific Northwest/Prince Rupert Gas Transmission Liquefied Natural Gas Pipeline Project:** In January 2013, TransCanada was selected to design, build, take ownership of, and operate an approximately 900-kilometer natural gas pipeline in northern British Columbia from Hudson’s Hope to the Lelu Island off the coast of Port Edward, south of Prince Rupert. At that point, the gas would be processed into liquefied natural gas (LNG) and shipped to various destinations in Asia. The project is estimated to be fully operational by 2018. In 2015, TransCanada received provincial permits from the B.C. government to proceed with its construction plans (http://www.theglobeandmail.com/news/british-columbia/transcanada-gets-final-regulatory-approval-for-prince-rupert-gas-pipeline/article27003419/).

Environment Minister Polak’s support of LNG as a “transition fuel” has been met with opposition. International climate change scientists have opposed plans for LNG operations in British Columbia, formally challenging the proposed Pacific Northwest LNG plant as making it “virtually impossible” for the province to meet its GHG emissions.

Trans Mountain Kinder Morgan Pipeline Capacity Expansion: On May 19, 2016, Canada’s National Energy Board found that Kinder Morgan’s $6.8-billion Trans Mountain pipeline project, which proposed to triple its current capacity, was in Canada’s best interests. This official nod came despite increasingly galvanized native and environmental protests, largely over increased greenhouse gas emissions and alleged threats to endangered killer whales off the coast. However, the federal regulator made that recommendation subject to 157 conditions, including required preparation of plans for offsetting emissions, holding $1.1 billion in liability coverage, and detailing strategies to protect endangered species.

The existing pipeline carries diluted bitumen from tar sands near Edmonton, Alberta to Burnaby, British Columbia, for export overseas. The proposed expansion would increase capacity to 890,000 barrels per day and Burrard Inlet marine traffic seven-fold. The project still awaits Prime Minister Justin Trudeau’s cabinet final decision which is expected to be given by the end of 2016 (http://www.huffingtonpost.ca/2016/05/19/kinder-morgan-trans-mountain-pipeline-approval_n_10053852.html).

Alberta Tar Sands and the 2016 Fort McMurray Fire
Large deposits of heavy crude oil in northeastern Alberta — also known as the Athabasca oil sands — are site close to the town of Fort McMurray, regarded as an oil sands boomtown. On May 1, 2016, a wildfire erupted southwest of this community, and for the next four weeks ravaged the entire region, precipitating the largest evacuation of area residents, including tar sands workers, in Alberta’s history. It has compromised, or, in some cases, completely destroyed over 20,000 structures. The cause of the fire is still under investigation, but that area had been under severe drought conditions, subject to hot, dry winds, and was additionally experiencing record-setting temperatures (http://www.cbc.ca/news/canada/edmonton/fort-mcmurray-wildfire-1.3587320).

Nicknamed “The Beast,” the fire also spread into the neighboring province of Saskatchewan. Predicted to represent the most expensive disaster in Canadian history, insurance payouts are estimated to total over CAN $9 billion, excluding the 1 billion lost in stalled oil production. By June 1, 2016, the fire was stated to be under control,
however rebuilding is predicted to take months (http://www.cbc.ca/news/canada/edmonton/fort-mcmurray-wildfire-mostly-contained-1.3632949).

**Government and Bank of Canada Reports (May 2016)**
On May 26, 2016, the Canadian government released a report on the impact of tar sands, regionally and globally, noting that this source of energy represents the leading cause of pollution in North America and is a contributing cause of climate change. This was the first time that regulators and researchers had quantified the role of oil sands’ operations and their impact on human health. Additionally, this report was released on the same day that the Bank of Canada disseminated its prediction regarding the country’s economy in the wake of the Alberta wildfires: it expressly noted that with the cuts in oil production, coupled with the loss of residences and commercial buildings, Canada’s gross domestic product was predicted to drop in the second quarter (http://www.theglobeandmail.com/news/national/oil-sands-found-to-be-a-leading-source-of-air-pollution-in-north-america/article30151841/).

**First Nations/Legal Challenges:**
With respect to existing and proposed pipeline projects, many members of First Nations’ communities, together with other ardent environmentalists, claim that the provincial government is engaging in environmental tradeoffs and claim that meaningful collaboration is largely absent. Others further assert that many of these projects have proved harmful to both human health and the environment and that enforcement actions have been generally quite lax.

First Nations’ communities have been in the legal spotlight in recent years, especially after garnering two significant, high court decisions affecting land rights and the ability to weigh in on proposed projects before approval and construction. In June of 2014, the *Tsilhqot’in Nation (a/k/a Chilcotin) v. British Columbia* (2014 SCC 44) case came on appeal before the Supreme Court of Canada. The Court addressed the claim by the Tsilhqot’in nation to stop logging operations in their claimed territory in B.C.’s Interior after asserting outright title to this land. The Court confirmed the Tsilhqot’in peoples had original title to a large swath of this territory — much more expansive than the provincial and federal governments had long maintained. This ruling marked the first time in Canada that land title claimed by native peoples had been confirmed outside of an Indian reserve. This most directly affected B.C. — a province riddled with land claims unresolved by land cession treaties with the Crown. The Supreme Court did not completely adjudicate claims seeking to establish absolute title, leaving open the government’s ability to authorize major projects, like mines or pipelines, if it can prove that such activities were “pressing and substantial” while meeting fiduciary duties to affected native communities.

In *Coastal First Nations vs. British Columbia* (2016 BCSC 34), decided on January 13, 2016 by British Columbia’s Supreme Court, a review was undertaken of the environmental assessment process affecting Canadian crude oil company, Enbridge’s Gateway Pipeline Project (mentioned previously). The Court struck down a provision in
the Equivalency Agreement which allows provinces and the federal government to accept each other’s environmental assessments to better achieve uniformity and obviate unnecessary duplication of labor and cost investments. The National Energy Board (NEB) permitted the British Columbia Environmental Assessment Office to defer its final decision-making authority to determine whether to approve a project such as Enbridge following an environmental assessment. This project, as above noted, involves a track of twin pipelines – above and below ground – to transport natural gas eastward and import diluted bitumen (i.e., tar sands) from Alberta westward for further shipment to Asia. The Court cautioned the provincial government to be active in the review and approval processes of such proposed projects and reminded it of its constitutional obligation to meaningfully consult with and accommodate First Nations prior to issuing approval.

First Nations communities have thus acquired strength vis-à-vis the judicial system, generating renewed claims to land title and acquiring greater power to litigate companies they allege to have encroached upon their property, caused damages, and/or created a nuisance.

First Nations’ representative, David “Wagadusk” Isaac of the Mi’kmaq nation, is one such ardent environmentalist and advocate for the health, welfare, and cultural preservation of indigenous peoples. He is currently president of W Dusk Energy Group, Vancouver, B.C., which aids local community efforts, primarily in the areas of green energy initiatives, infrastructure development, and healthcare planning. He expressed his constituencies’ concerns that the former Harper federal government as well as oil and gas companies had systematically engaged in a new type of “neo-colonialism”; that in dealing with First Nations’ communities, these entities had, in essence, gained favor through a “divide and conquer” strategy. Piecemeal agreements were purportedly being proposed to selected bands which may be inimical to the interests of their neighboring communities — and to themselves as well. Companies’ actions are claimed to be causing environmental harm and endangering human health. But with renewed vigor and collective action, several communities, like the Lubicon Cree Nation, have responded to fossil fuel company activities by designing and constructing clean energy projects. The 80-solar panel, 20.8 kilowatt capacity, Piitapan Project in Northern Alberta – in the same general region where tar sands are currently being extracted, processed, and transported – is one such example. Projects such as these are energizing various communities, galvanizing support, and proving that First Nations is, indeed, a formidable stakeholder in continued economic development.
May 27, 2016 Vancouver, Canada

Q: I first wanted to remark about the prevalence of women in positions of governmental leadership, including not only the premiers of the provinces of British Columbia, Alberta, and Ontario, but nearly half of Prime Minister Trudeau’s cabinet. Secretary Clinton is facing quite an uphill battle in the United States as this is an historical undertaking.

Lots of very strong women. For those of us in politics, we see it more clearly, but for the average Canadian, we look at it and think … what is the big deal?

Q: I wanted to get the latest news on the fires in Alberta. I know that British Columbia was sending firefighters as well as Mexico…. We’ve tried to help as much as we can. One of the challenges nationwide has been was how early the season started. The vast majority of the people we hire to fight fires are seasonal employees so they are not on staff all year long. So at the beginning of the season, we hire back or begin training them. So at the time when the fires in Alberta hit, we already had fires — fortunately not as devastating to a community as in Fort Mac — but we had fires in our Northeast region which were pretty much taxing our resources. And then, at the same time, fires began on the border of Manitoba and Saskatchewan as well as across Canada… and we share resources whenever these things happen. Everybody was very stretched, so everyone tried to give as much as they could to Alberta, but we weren’t able to give as much as we normally would have.

Q: And it looks like for the next quarter, Canada’s GDP is going to be in the red? Although British Columbia’s won’t.

Q: And you want to keep it that way.

We want to keep it that way.

Q: The Government study that was released yesterday\(^1\) indicates that tar sands are one of the leading sources of pollution in North America and a source contributing to climate change. With the pipeline projects that you do have either established in British Columbia or that are being proposed, including the Trans Pacific, Trans Mountain, Gateway, Prince Rupert, etc. — and with this government report I’m sure the findings were already known before this — has there been any change in policy direction with respect to the future of these projects? Has the January 2016 Supreme Court decision in Coastal First Nations impacted these projects? Enbridge must see the writing on the wall as it has applied for a three-year extension.

\(^1\) May 26, 2016.
The projects have two very different profiles. With Northern Gateway, you are talking about Greenfield – a brand new pipeline – and really a company that at the beginning I think everyone would accept now that they really didn’t put forward effort into building up relationships in the community — especially First Nations’ communities, and Trans Mountain — not to say that it doesn’t have its own challenges — but as a company Trans Mountain

Kinder Morgan, has had a pipeline there for 60 years and they have maintained excellent relationships with First Nations and communities along their route, and have an excellent safety record, and lots of employment for First Nations in monitoring things like that...a very different profile of the two. Of course, Trans Mountain is twinning an existing life. There are some places where they have deviated from the existing route but, as far as I understand, every single one of those was driven by consultations they had in communities. In Tk’emlups for example, the community response was to ask them to reroute and go a different route from that which currently goes under residences and water. So a very different profile for the two. As far as the oil sands, here you are in a country like Canada where we are still largely a resource-based economy – especially in the West. In Ontario and Quebec, you see more factory-based. There’s some manufacturing growth in British Columbia but that is relatively new to the economy. Our economy is still largely resource-based. And the same is true for Alberta.

So how do we make that move? I know there are those who advocate to shut it off; don’t produce any more. I haven’t seen any economists or environmentalists with really strong credibility who think that you can do that in one fell swoop. So what do you do? A policy change? Certainly we have seen Alberta make significant policy changes. One of the things that we are actively talking about with Alberta and with the federal government is the potential benefits of a transmission line intertie between British Columbia and Alberta ... one of the things that could have the most significant impact on the GHG profile of the oil sands would be the electrification. Whether it is in natural gas or oil, one of the challenges you have is that it is expensive in a lot of cases to get electricity. So now with gas prices and oil prices being depressed, it becomes much more attractive for companies to use that resource that they already own to power their activities. And that is the source of a lot of our GHGs. There is still methane we have to deal with in terms of natural gas production, so for the oil sands — certainly that is getting a lot of the attention — what can we do to drop down the emissions profile of the oil sands?
Q: British Columbia actually came to the forefront when I was in Geneva, Switzerland and Paris last summer (2015). It was touted as a model economy due its carbon tax. And apparently, this is true with Denmark, Germany (“ecotax” system), and South Korea (expansive carbon trading system) as well. When I saw this at the beginning of June last year (2015), I thought that that was an odd array of territories, and tried to discern a common thread. Apparently, at that time, they were all being led by women.

Although the carbon tax came in (B.C. – 2008) when it was a guy.

Q: Let’s go back to July 1, 2008 when it was first introduced. It survived the elections of 2009 and 2013. So now you are up to 30 Canadian Dollars per ton which translates to approximately 6.67 cents per liter of gasoline but with this revenue-neutral tax, there does not seem to be parity although the credits are there. So many exemptions have been created since 2012-2013, including exports of high-carbon products such as coal, gas, and tar sands.

For us, the only exemptions that we have instituted are not properly exemptions because if you take a look at what we have done with the cement industry, we have only recently finalized a deal with them where they need to transition to different fuels. The technologies are not quite there yet so it is going to take some significant investment. So what they had to present to us was, I believe, a 5-year plan? In any case, it is not endless.

Q: But there is no carbon taxation on these exports.

We never did tax exports. We tax what is combusted and purchased in British Columbia. So right now, it is the broadest carbon tax of pretty much everywhere in the world. And that is what makes it one of the most effective.

Q: What if you brought into the fold, though, these exports of high-carbon products?

Tough to do – first of all because in the way our government system works: tariffs on exports, are regulated by the federal government. So they might decide to do something like that and they are actively pursuing what national carbon pricing would look like. So to finish off in cement production industry, in 5 years’ time, they have to make that switch and then they are back paying carbon tax so we are giving them relief that’s prorated over those 5 years so it decreases, decreases, decreases. So they have some

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2 Denmark’s carbon tax was initially passed in 1991 and was first imposed on carbon emissions in households in May of 1992, expanding to include industry in 1993 (http://www.carbontax.org/where-carbon-is-taxed/).
3 In May of 2016, Germany announced its intention to reform the mandatory European Emissions Trading Scheme (ETS) to curb abuses of carbon emissions permit-holders and applicants. It is “considering lobbying for a minimum price to be set on Europe-wide avoidance of carbon dioxide emissions to boost the effectiveness of carbon schemes that have so far failed to cut CO2 and battle climate change. ...” (http://www.reuters.com/article/europe-carbon-germany-idUSL5N181906).
4 In 2015, South Korea launched its cap-and-trade system, making it the world’s second-largest carbon trading market. It is projected to cap the emissions of 525 of the largest companies in the country (http://thinkprogress.org/climate/2015/01/12/3610553/south-korea-cap-and-trade/).
time to catch up. And greenhouse growers are another one. Greenhouse growers are somewhat unique because, of course, part of what they are doing is procuring CO2 in order to grow food.

For us, the export part of it as never been something that we have readily-available tools to address. The carbon tax was applied the same way you would apply a fuel tax. So part of the beauty of it was the administration of it. It is very simple to implement because most jurisdictions have a gas tax of one sort or another. So there wasn’t a lot to build up in terms of administration. But if you were going to tax the exports, then you would have to employ some of the tools that the federal government has. And we do not have the ability to do that provincially. But it currently covers nearly 70% of our economy.

Q: Just having concluded an energy conference in Portland [OR], British Columbia came up as a subject, primarily because the states of Oregon, California, and Washington are trying to get off coal altogether. I am from the Chicagoland area where nearly 100% of our electricity is generated from coal. Without a federal plan, the individual states can be very environmentally-conscious and very powerful in this area. These three states are really causing the coal markets in Montana and Wyoming to phase out completely, but apparently Montana and Wyoming are finding a new market, by sending their coal exports to British Columbia’s ports to then be exported to the Pacific Rim nations. Is that true?

Yes, that is true. But again, that would be something that the federal government would have to do. We don’t have the authority as a province to put any type of tariff or tax on

Port of Vancouver

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things that are shipped through British Columbia. That would be something for the federal government.

Q: And Trudeau hasn’t made any...

He hasn’t said. Right now, the federal government has a Pan-Canadian plan in development so they have 4 different working groups that have representation from all the provinces – different topics – everything from adaptation to carbon pricing, built-in environmental transportation – so they are covering all of the bases. For us, in terms of exports...in British Columbia we produce coal, but we produce very little thermal coal – most is metallurgic.

Q: The president of the World Bank, Dr. Jim Yong Kim, as well as Roberto Azevedo, Director-General of the WTO, have explained that with sustainability, the terms “mitigation” and “adaptation” come together. But there is something that should precede that – prevention. With B.C.’s monopoly of natural capital, why screw that up? Vancouver is listed as one of the top places to live in the world and B.C. is known for its tourism and fisheries, I can’t help but look at the Exxon Valdez spill in Prince William Sound (Alaska) which they are still cleaning up – folks there either went bankrupt, moved, or committed suicide – and those two industries were pretty much lost forever. And the Gulf of Mexico will never be the same, even though the federal government has made deals with BP to pay over a billion dollars in fines.

it will be generations....
Q: Yes, business owners and local residents are suing BP individually. So, with that being said, what will happen in B.C. especially in light of the Chilcotin case of 2014? I met with several representatives of First Nations who said that as they basically consist of 203 tribes, their problem has been a failure to come together — there is no unity. And that could be a divide because of education, proximity, dying dialects...

Sometimes it is a challenge because of built-in volatility in the First Nations’ political environment which we, in the long past, really have created. We destroyed the hereditary lines of governance in First Nations’ communities and instead replaced that with what’s really a white, colonial construct of elections and overlaid our version of democracy onto them. And, in addition to that, in most cases, they elect their leadership every two years and of course they are elected, in British Columbia in particular, by very small populations in our bands. You look across the rest of Canada and there are much larger populations. So you take, for example, a community like Tsawwassen, our first modern-day treaty under the treaty process (there was the initial treaty in the 90s but it wasn’t under the treaty commission process). Take a look at Tsawwassen, a thriving community, An amazing chief who got that across the line, Kim Baird, lost a very close election, but there were fewer than a couple hundred people who voted in that election. Not a bad thing, their new chief is wonderful and they are doing great. But for a First Nations’ leader, unlike someone like myself – I’ll look at my home writing and we’re talking a difference of thousands of votes. If you can win or lose an election because of 20 people, it makes it very difficult to take challenging leadership positions. It means that you’re always, in most cases in First Nations’ communities, you are always in the midst of managing the politics, managing an election in a two-year term. So you have one year to really get something done and the other to get yourself elected again.

I used to be the Aboriginal Relations Minister as well so I spent a lot of time in the First Nations communities and it is a huge challenge. You have First Nations residing side by each, sharing a boundary or territory, who will have diametrically-opposed views on things like finfish aquaculture, for example.

Q: And also it seems as if the Prime Minister is at least congenial to domesticating the United Nations Declaration on the Rights of Indigenous Peoples (UNDIP) and if that happens, in combination with these two Supreme Court decisions, there seems to be more leverage now in terms of First Nations either proving title or at least trying to bring nuisance claims against the various companies that are planning to go, or have gone, through their lands, or lands that they have established as being theirs in one form or another. With so much riding on fisheries and tourism, why screw it up? I saw some of the trajectories of these lines, and some are 48” pipelines, going under the land, under the rivers, going on top, and along railroad lines. Just an hour north of where I live in NW Indiana is the Kalamazoo River (Michigan). There was an Enbridge [pipeline] that spilled several years ago and is still being cleaned up. And Michigan is the playground for many residents of Chicago, Indiana, Ohio ... tourists are now staying away from that area as they are from Banff and Jasper (Alberta) because of the tar sands and now because of the fire. So when you lose that kind of revenue generated by conventions, ecotourism, regular tourism, sporting events — that’s lack of long-term sustainability for short-term

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gains. And nothing is spill-proof — no tanker, no line. So when you mentioned about British Columbia not forecasting or putting aside the funds [for firefighters] because it wasn’t necessary for an all-year fire season, will that change?

I shouldn’t say it. It wasn’t that the funds were not there; you can’t maintain the people on staff all year, because there’s nothing for them to do. Right? For the most part.

Q: But that might not be the new norm. I’m looking at Los Angeles County, Southern California, and have been watching over the years the fire season grow from 3 months to 4 months to the full year and heading up the coast.

There’s no question as we’ve looked at adaptation in even our first Climate Plan in 08, and paid significant attention to adaptation. And we completed those initial plans in 2010. One of the motivators for taking action on climate is just how much it is projected to cost with the various changes. One of the biggest challenges we have in British Columbia with respect to adaptation is that with so many heavily populated, low-lying areas, we have lots of infrastructure at risk with rising sea levels. You mentioned the foresters ... I didn’t want to leave the impression that it was a financial issue about the fires; it was just about the season getting off to such an early start caught us really off guard.

Q: But what’s happening in California might happen here – watching this metamorphosis in California now spreading up to Oregon, Washington even Alaska...and what’s happening with California entering the fifth year of drought ... and I know that Alberta has experienced some drought.

And we have in our Northeast too.

Q: But since 1955, many companies have usurped the bulk of aquifer groundwater. The San Joaquin Valley, which constitutes the central part of California and delivers 50% of our fruits and vegetables, has been physically sinking over the years by hundreds of feet and with rising ocean levels ... Typically firefighters would have taken their planes to retrieve fresh water from reservoirs to dump on the fire but there is no water in the reservoirs or it is so low this cannot be done safely. So why not go to the Pacific? Because the water is salinized. And when salt is left, the undergrowth is not able to regenerate. Because of this situation, one burgeoning business is the desalination of water. And Israel has led this with the technology.

Yes, they have amazing technology.

Q: And so some of the First Nations representatives I met with yesterday were saying, Wouldn’t it be nice to take these existing pipelines and instead of tar sands coming from Alberta through British Columbia to the ports — and clogging up those ports — we take these same pipelines, bring in and hopefully develop, this kind of industry, and send fresh water to Alberta and deal with the prevention of droughts and situations that have led to the formation of “The Beast?”
Yes, people have all sorts of ideas about what we could do but one of the challenges that people aren’t necessarily willing to thrust into the dialogue...but it is very real...is that the oil is making it to port...it is making it to port on rail. You only have to look at the Lac-Mégantic\(^5\) disaster to see that that has its own inherent risks. So the question of whether or not there should be a pipeline is not going to screw things up. I do think it is a very different discussion about Northern Gateway than it is with Trans Mountain — partly because of their long record of operation here and as I say the relationships that have up and down the line. But I’m a regulator with the Coastal First Nations’ decision; I’ll be faced with making a decision with respect to our environmental assessment that we have to conduct and then in addition to that, the premier has committed us to five (5) conditions that we have been very, very firm on with the federal government and a significant part of that requires a world-leading, spill response in the marine environment. We don’t have that. If you compare what is available for British Columbia and our coastline — if we were a nation — we would have the 8\(^{th}\) longest coastline in the world. So if you are looking at what we have on our coast compared to the east coast, it just doesn’t compare.

And yet the traffic volumes are ever increasing and in fact right now in many ways we have surpassed what’s happening on the St. Lawrence Seaway. My concern, though, based on what we know of our marine traffic and what we know about the quality of the shipping ... I have far greater concerns right now about freight and freight travel than I do with the oil tankers partly because what we see that has transpired since the Exxon Valdez is very, very stringent regulations around double hauling and pilotage and those sorts of things ... we don’t have the same requirements with respect to freighters. One of the most frightening examples that thankfully didn’t end up being a disaster, but came every close, was a freighter off the west coast of Haida Gwaii that was three hours from crashing into the rocks and then the wind changed, thankfully. It was carrying more fuel than many small tankers do. So it doesn’t matter that it was carrying freight; we don’t

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\(^5\) On July 5, 2013, a Montreal, Maine & Atlantic Railway (MMA) train arrived in the Eastern Townships of Quebec, carrying 7.7 million liters of petroleum crude oil, ultimately bound for a New Brunswick delivery. Unattended, this freight train rolled downhill, derailed, and resulted in an explosion which killed approximately 47 people and destroyed 30 structures. It was the fourth deadliest rail accident in Canadian history (http://www.tsb.gc.ca/eng/rapports-reports/rail/2013/r13d0054/r13d0054-r-en.asp).
have the capabilities on our coast right now. The Prime Minister has given all sorts of positive indications but we are going to need to see significant investment there before we can see any kind of a pipeline.

Q: I have seen the percentage estimates varying from 87% to 97% of hydroelectric use in B.C.

Last year our electricity was 97.9% produced hydro. Well it's a mix. It's mainly large hydro. Right now our mix is about 25% of that is small hydro, in other words, run-of-river, wind, and to a lesser extent, solar.

Q: And natural gas?

We haven't been using natural gas ... not for regular production. We still have Burrard Thermal operating but it's going to be shutting down ... it's only there right now for firming up the power.

Q: And do you export some of your excess hydro-electrical power?

We trade in electricity, yes.

Q: After entering Vancouver Island, we asked about the weather and were told that during the winter there are gale force winds, constant wind activity. Although I did not travel the entire island, I did not see one windmill.

Part of the challenge has been viability in that our electricity is so cheap. So everywhere else in the world – pretty much everywhere else in the world – wind power has now come down to a price where – you can make it viable compared to electricity costs. Not so in British Columbia. It's been very, very challenging for wind to be able to be viable for British Columbia so that's been a challenge. The other issue, of course, is having access to firm power because even with the wind we get on our coasts you still need a way to firm up that power. It is still intermittent. So we are almost there and we have been making great strides; we have been one of the fastest adopters of green energy in all of Canada. So we are making good strides but it is a challenge to do it without our rate fares up in arms. We had a number of years where we were investing heavily in those kinds of generation products and trying to do that and at the same time keeping electricity rates low is a real challenge for us.

Q: Being from NW Indiana, we do have in Central Indiana the 8th largest wind farm in the world. Our region does not currently use any of the power generated while one-third of Iowa’s energy needs are cleanly-generated primarily from wind. Because this type of storage technology is evolving very quickly, we look to entrepreneurs like Elon Musk and
the increasing production of EVs (electric vehicles). We look to the use and development of wind and solar energy – particularly in Germany where there is a solar panel on just about every building and Germany is a cloudy country. In this fight against climate change — and we all know that pollution knows no boundaries — isn’t it incumbent upon all of us to wean away from oil and to embrace whatever could be developed as clean alternatives?

But we also have to think of the things we haven’t solved yet. Right? There are question marks or things that we haven’t yet resolved and some of that is how people think of oil as simply powering our cars, powering the industry. But the petro-chemical industry and the petroleum industry [are also involved]. So there are all sorts of things that we need to solve. So then we start talking about coal. When I was at the Paris Conference, I was on a panel discussion and we got to the question period and this lovely young lady at the back puts up her hand and wants to know why is it we don’t just stop all of this coal production in British Columbia. And I said, well ok, let’s think about that for a minute. Do you like wind power? Everyone nodded. So I said well, ok. It takes an awful lot of rebar to build a tower for a wind turbine. Rebar is steel.

Q: That is true – there is a life cycle analysis (LCA) for everything to be measured against its projected use.

So you have to think about how do you make rebar without metallurgical coal because that is what we produce in British Columbia. It takes an awful lot of cement to turn into concrete to make a wind turbine tower. You have to have aluminum for the top that’s smelted. These are all emissions-intensive industries, And yes, we want to find ways to move away from significant emissions but we can’t pretend that we can do that without solving those problems and with oil it’s the same thing.

Q: In terms of some great solutions, I think that there are a lot of manufacturers including Tesla that are moving from steel bodies to aluminum. One of my first interviews in 2008 [for the JVBL] was with Ray Anderson, then known as the greenest CEO in the world. His R&D department replaced the petro-based glue used to install commercial carpet; they designed a TacTile™ which basically looks like a Post-It™ note. They investigated how the gecko and the fly produce their sticky substance; they replicated it; and now it’s used to put down the four corners of the commercial carpet square.

And I think the discussion that has been missing thus far in the broader public has been the discussion around, well, what we replace things with? It has allowed people to move away from individual ownership of the problem. Even today, most people in British Columbia, if you poll them, probably think that big industry is responsible for British Columbia’s emissions. That’s not true. The largest single driver of emissions is Transportation. Second to that is the Built Environment.

Q: Actually, from the Paris Conference and from many conferences leading up to that ...

In British Columbia.

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6 Founder of Interface Global, Atlanta, Georgia.

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Q: Worldwide, the number one cause is agriculture, factory farming. And we have a significant amount from agriculture as well but our two biggest emitters are Transportation and Built Environment — the agricultural portion in British Columbia represents 6% overall.

Q: Does that include deforestation to clear the lands for farming?

For us in British Columbia, most of that has been done. I am not really aware that much land clearing is still going on. We have an agricultural land reserve so there are already significant amounts of land and we have, of course, one of the largest protected areas of anywhere in North America. Our network of protected areas is third, with the US National Park System first, Canada’s National Park system second, and then our provincial protected areas system, third.

Q: Are these provincial parks protected from any of these pipeline projects?

Exactly. So our profile is somewhat different and it is one of the reasons that it is harder for us to continue to see emissions go down because we don’t have a lot of the easy means — not to say that it is easy — to get off coal. You close a few coal plants and you drop your emissions significantly. The energy sector is not where British Columbia is going to see a significant reduction in emissions which is where most jurisdictions would look. We have to look at Transportation. We have to look at the Built Environment. So we’re really at a place where we’re spending, I think, more focus than most jurisdictions on what are the new innovations; how can we find different processes.

Q: This is where actual business opportunity exists?

Exactly. A green economy and that’s where we think that British Columbia can become a clean-tech hub; we already are one in British Columbia. But we think we can potentially rival Silicon Valley; we think we’ve got the means to do it. It is a much bigger challenge...I always say that when it comes to emissions reductions, if you look across Canada, if you look across North America...if every jurisdiction was in a competition like “The Biggest Loser,” the person who is 300 pounds and wants to drop 50 – that’s easier than the person who weighs 125 and wants to drop 10. And that’s a lot of where British Columbia is at on climate now — squeezing out further emissions when other folks are ...and it’s great that they are coming on board...but Ontario has just announced its cap and trade system. So they are just starting. Quebec has just gotten on way with California on theirs. Alberta and its carbon pricing won’t come in until next year. So that’s great.

Q: And the U.S. has fires on one side, rising sea levels on the other, and the interior already cleared during the Depression Era. And we are growing corn and soybeans and over 90% of all of those crops are going to feed livestock. We are the 300-pound person. One of the least efficient means of producing protein.
A Series on Values-Based Business and Stakeholders Management: 
Case Studies and Interviews

Integrating Stakeholders’ Welfare and Corporate Success in an Indian Family-Owned Organization

DR. SHASHANK SHAH
PROJECT DIRECTOR, HARVARD UNIVERSITY SOUTH ASIA INSTITUTE, USA;
VISITING SCHOLAR, HARVARD BUSINESS SCHOOL, USA

Introduction to the Interviewee
Mallika Srinivasan is the Chairperson and Chief Executive Officer of Tractors and Farm Equipment Ltd. (TAFE), the second largest manufacturer of tractors in India and the third largest in the world (by volume), with its corporate headquarters located at Chennai, India. Winner of numerous awards including the Economic Times “Businesswoman of the Year 2006,” and the Forbes “India Women Leader of the Year 2012,” Mallika Srinivasan has always ranked among the most powerful business women in the country. She is the first lady to have assumed the role of a President of the Madras Chamber of Commerce and Industry. She has been on the Governing Board of top academic institutions like the Indian School of Business, Hyderabad, and the Indian Institute of Technology, Chennai; and of top companies including Tata Steel and Tata Global Beverages Ltd. She has also served as the president of premier industrial bodies like the Tractor Manufacturers Association and the Madras Management Association.
Born on November 19, 1959, Mallika Sivasailam (maiden name) is the eldest daughter of industrialist A. Sivasailam, former chairman of the Amalgamations Group.¹ She completed her MA (Econometrics) from Madras University with a gold medal and graduated as a member of the Dean’s Honor List from the Wharton School of Business, University of Pennsylvania, USA. She is married to Venu Srinivasan, Chairman and Managing Director, TVS Motor Company Ltd., a market leader in the two-wheeler industry in India. Her daughter, Lakshmi Venu, is the Joint Managing Director of Sundaram Clayton Ltd. Her son, Sudarshan Venu, is the Joint Managing Director of TVS Motor Company Ltd. Both of these companies are part of the USD 7 billion TVS Group.

In 1986, Mallika Srinivasan joined her family business as the General Manager of TAFE. Established in 1960, TAFE is a member of the Amalgamations Group. With an annual turnover of INR 93 billion (2014-15), it wields a 25% market share of the Indian tractor industry, and has annual sales of over 150,000 tractors (domestic and international). It started its production of the popular tractor model, Massey Ferguson 1035, in 1961. With a five decade-old collaboration with Massey Ferguson (now a part of AGCO Corporation, USA), one of the leading manufacturer of tractors in the world, TAFE is internationally reputed for its tractors and farm equipment under the TAFE Massey Ferguson and Eicher brands. It also manufactures diesel engines, transmission components, hydraulic pumps, panel instruments, engineering plastics, dies, tools, and batteries. TAFE tractors can be used in a variety of soil and weather conditions and are sold in over 75 countries across the globe including Europe and the Americas. Its products have earned a reputation for reliability, ruggedness, minimal maintenance, and low-fuel consumption. TAFE also has the unique distinction of developing compressor applications as well as application-specific tractors such as specialized tractors for vineyards and deep puddling in paddy cultivation. With six tractor plants, an engines plant, two (2) gears and transmission components plants, two (2) engineering plastics units, two (2) facilities for hydraulic pumps and cylinders and one (1) battery plant besides other facilities, TAFE employs over 2,500 engineers apart from a number of specialists in other disciplines. Its subsidiary companies include TAFE Engineering Plastics Division, TAFE Hydraulic Pump Division, TAFE Power Source Division, TAFE Gears Division, TAFE Access Ltd., and TAFE Access — Instrument Division.

In 1986, when Mallika Srinivasan first took over the responsibility of furthering the economic wealth of the business, the turnover at the company was INR 85 crores. Under the expert guidance of her father and the support of the team, she brought about major transformation in the organization. She converted TAFE into a highly technology-oriented company. TAFE, then a small part of Amalgamations Group, is now the Group’s flagship company. With increased investments in research and development, TAFE introduced new models of tractors and other farm equipment almost annually, just as the car companies do. She focused on re-engineering its processes and invested heavily in

¹ Started in 1938 by S. Anantharamakrishnan, the Amalgamations Group based at Chennai is one of India’s largest Light Engineering Conglomerates involved in the design, development, and manufacture of diesel engines, automobile components, light engineering goods, plantations and services. It has 47 companies and 50 manufacturing plants with presence in manufacturing, trading and distribution, plantations, and services. More information on the Group can be accessed at: [http://amalgamationsgroup.co.in/group-profile.html](http://amalgamationsgroup.co.in/group-profile.html)
enterprise resource planning (ERP). And it paid off. In 2010, the company posted a turnover of INR 4,850 crores and joined the USD 1 billion club. By selling 100,000 tractors in the same financial year, the company is among the three largest manufacturers of tractors in the world. In the last five years, the turnover and the sales volume have increased by 50%. It has also received the distinction of being India’s largest exporter of tractors for many consecutive years. Besides, TAFE’s tractor plants are certified under ISO 9001 and under ISO 14001 for their environment-friendly operations. In 2008, Business Standard awarded TAFE the “Star Award for Unlisted Companies” and in 2013, the Public Relations Council of India conferred TAFE with the “Corporate Citizen of the Year” award. For her noteworthy contribution to trade and industry, the President of India conferred the Padma Shri Award on Mallika Srinivasan in 2014.

As we’ll see throughout the interview, Mallika Srinivasan brings in a fine balance of business acumen and a principled and humane approach to business. She has made an effort to increase the number of women engineers and workers in her factories, with a view that diversity is an essential prerequisite for innovation. In a tradition-bound industry, Mallika Srinivasan has been a new voice. Through her strong determination and commitment, she has slowly but steadily enabled her company to climb the ladder of success. In this interview, she shares how she successfully used modern management techniques in a family-owned organization. She details the very interesting “vision and core values identification exercise” undertaken at TAFE, and how these principles keep the organization together as one cohesive unit. The core values at TAFE focus on satisfaction and welfare of each of the critical stakeholders of the organization. She also shares as to how she was able to implement TAFE’s vision and core values in companies that were acquired by TAFE. Mallika elaborates on TAFE’s stakeholder – focused approach to business, and the methodology and processes used for the implementation of this approach. Her observations and personal experiences further emphasize the view that stakeholder welfare and corporate success are intertwined and interdependent.

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3 TAFE’s vision and core values can be accessed at: https://www.tafe.com/profile.php#vision.
The Interview

Q. In your opinion, what is the basic purpose of Business?

The purpose of business is to create wealth. You have to do that. But you do something that is more sustainable and something that is in total harmony with the environment that you are in. You are doing business not only for yourself, but you are also building an institution. You are providing livelihood and building lives of so many people. The welfare of so many people is dependent on the organization.

Q. In his book, “Capitalism and Freedom,” Milton Friedman wrote, “... few trends could so thoroughly undermine the foundations of our free society as the acceptance by corporate officials of a social responsibility other than to make as much money for their shareholders as possible.” What is your opinion on this?

Earning money is very important as without that one cannot sustain the organization. You have to make fair profits. Profits are necessary to sustain the health of the individual, society, community, and others. But at the same time that alone cannot be the objective of business, because it is not sustainable. I say this not for some moral reason, but such an objective alone is not sustainable. Such a business which focuses only on one of the two aspects — profits or welfare — will not last long but will very quickly break down. There has to be a balance of both these. It can’t be others at your cost. It also can’t be you at others’ cost.

Formulating and Implementing the TAFE Vision

Q. Can you share details on TAFE’s envisioning exercise?

We have a fairly long history and a deeply-rooted culture. That culture has incorporated some of these aspects, and so we are not in a reactionary mode. In 1999, we decided that to enable our organization to move forward, we must attempt to put down the following:

i. What does our organization stand for?
ii. What is our core purpose?
iii. How do we plan our strategy by involving all our people?

There are people who have been working with this organization for a long period of time. We wanted to put down all our strengths and our weaknesses — more in terms of the good values that we hold and that we want to institutionalize. As we move forward, we don’t want to change, but we want to strengthen the areas we need to work on. This was not a top-down exercise. We tried to capture the work done by the organization until then and what the organization stood for. This was because by the time I joined, we were already in the third generation. So we put down a vision statement and a set of core values of the organization. This was done with the help of all the employees. All the employees above a particular level within the management hierarchy were involved in

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4 Mallika Srinivasan is the granddaughter of S. Anantharamakrishnan (1905-1964), the founder of the Amalgamations Group, and the daughter of A. Sivasailam (1934-2011), Chairman of the Amalgamations Group of companies.
this exercise. We had workshops and we developed a common vision statement and a common core values statement.

Q. Could you share the uniqueness of TAFE’s vision and the core values that you have identified for your organization?

In our vision statement, we didn’t say that we want to be the Number 1 Company or the most profitable company in the industry. Our people defined it as, “We want to be the farmer’s first choice.” We said that we want to do this by setting standards in performance and customer care. To supplement the vision statement, we put in the core values. The core values cover all the stakeholders. Firstly, we have customer satisfaction, then quality and products, then human resources, then proactive response to change, then we talk about trust and long-term relationships with stakeholders, and finally business ethics. This is not in order of any priority. The vision statement and the core values of the company are displayed in our offices and everyone knows them by heart.

Q. How does TAFE actually implement this vision?

Our entire strategic planning process and the entire rolling over — i.e. the way the plan is built, developed and deployed — actually links up the vision statement, the values, and the actuals. The entire business plan of a three-year period (which is continuously reviewed) is derived from this vision and core values statement. From there we capture what our founders had stood for and our previous people had worked for, and we try to build on it looking at the future. That’s our starting point. We are not under any external or internal pressure. We are constantly doing some work. The priorities have changed based on the external environment. You can say that we have done well in one area and we can do better in another area. We set new targets and new metrics to measure how we are doing and we do measure it. We split the things further down and then we measure it. A decade after the vision statement was formulated, we went back and discussed whether we should review the vision and the core values statement. The overwhelming response we got from our people was that the vision statement and core values are absolutely relevant in the current times and we should hold the same. So we continue to do so.

Q. TAFE took over the tractor business of the Delhi-based Eicher Group in 2005. Could you share how you ensured compatibility between your vision and their vision; your core values and theirs?

After taking over the tractor business from Eicher, the senior management at TAFE asked the first question, “Does this company (Eicher’s tractor arm) have a vision statement and a set of core values?” They didn’t have anything well-articulated. So we articulated it. Though the business part of it may have been different, we had very marginal changes from our original vision and core values statement. Between the two organizations, one is the subsidiary of the other and has the same line of business; there is a very close match on the values. That was the first step in bringing the congruence between the

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5 With the takeover of Eicher Motor’s tractor business, TAFE became the second largest manufacturer of tractors in India.

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teams and we started propelling forward on the same basis. The integration work progressed very well after that. In fact, the seller (Eicher) was very particular that their firm should be given to another company which had similar core values. Eicher was very well known for its HR practices. So they wanted to sell the company to those who would value their employees. Secondly, they wanted their relationship with the dealers to be maintained in the long run. Thirdly, they wanted the buyer to have good ethical standards. These were the three reasons why they selected TAFE. So though there was a cultural fit, they had not articulated their values as well enough.

At TAFE, Corporate Stakeholders Management is fundamental to the organization’s philosophy, and is very much implemented in the organization. This is done not under pressure, but out of appreciation of its necessity and as a part of our organizational philosophy.

Balancing Profits with Stakeholder Welfare

Q. As you stated earlier, profit-making is essential for the success of any corporation. In your opinion, what are the factors that need to be considered while planning for profits?

Profits are important and if there are no profits, everything else is absolutely irrelevant. However, it is not that profits are to be made at the cost of everything else. It’s not profits at the cost of not providing a proper environment for the employees; it’s not profits at the cost of not treating your dealers properly; it’s not your profits at the cost of everybody else’s profits. You are trying to build an institution, you are trying to build this network, and everybody should happily be a part of that network and happily participate in it. Everybody is in it for business gains also — someone for employment and someone for profits. It’s not your organization’s profits alone. It should be mutually beneficial and a win-win situation for all, whether it is with the collaborator, the dealer, or your suppliers. Just to make profits, you can’t squeeze out your suppliers!

So we attempt to create a sustainable organization. We are trying to create an institution which is going to grow, it’s going to create a difference in the marketplace that it works in; it’s going to make a difference to the lives of people associated with it. If you are really talking about a brand, your brand is built not just on advertising campaigns, but on all of these factors. When you are trying to build an institution, it can’t be profits at the cost of everything else. Such an approach is not sustainable.

Q. So how does one balance profit and stakeholder welfare?

Profit is not a dirty word. I always tell my employees that we all should be happy that we are making good profits, and that I will push you until we get the best profits. However, that does not mean that it is profits through squeezing everybody else. You can create profits through efficiency, through productivity, and through better product offerings. It is not profits at the cost of all human values being sacrificed. That’s the nice thing about India and makes it a little bit different. That’s what makes Corporate Social Responsibility (CSR) initiatives in India different. The genuine feeling of making a

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6 TAFE has a network of 1,000 dealers.
7 TAFE was named the “Best Employer in India 2013” by Aon Hewitt.
difference to the society and environment around you is much better in Indian companies. That’s a purely personal opinion. I have also observed that younger people in my organization are very willing to participate in CSR activities and willing to give their time and energy. So, it has to be a win-win situation with all your stakeholders, because [it is] only then that a sustainable model such as this will thrive. It’s a network and all people working together should be working in harmony and cooperation. Only then the growth can be positive and sustainable.

**Leadership Approach in a Stakeholders-focused Organization**

**Q.** In your opinion what are the critical success factors (CSFs) for a CEO?

According to me, the CSFs for an organization in my industry category would be:

**i. Balancing all stakeholders:**
Let me take an example to explain this. There is a competitor organization of ours which has an extremely successful and profitable business. For five years, their growth was unprecedented. Even when the industry was down, they were growing. Profits were also growing and everyone in the industry was saying that they have the best profits in the industry. However, the banks were really upset with them. They told the company that though you are profitable, the letters of assurance you have given us (that your dealers be given loans) are not being respected. Those dealers are not making payments. So the organization’s credibility with the banks was severely affected. So now, that company giving a letter to a bank has no value for the bank! The company did not want to give credit to the dealers and so they gave letters to the banks and the banks gave the dealers the finance. So they got their money. But later profits dropped drastically. They were giving the dealers new tractors only when the customers were paying the dealers. Till then, they kept on appointing new dealers. So the dealers were going bust one after the other and new dealers were appointed continuously. At the end of the day, there was no interest for the welfare of the dealers and the bankers. So it’s not about profitability alone. It’s very important to balance the interests of all stakeholders.

**ii. Building trust and credibility in all the partners:**
We have to ensure that all our partners trust us. It’s not just enough saying, “We trust you.” This is seen through a series of actions. The trust has to be at the individual level...
and for the organization as a whole. They should believe that the organization will do what it says it will do. That’s the key. So the whole thing is built on trust. The credibility that you enjoy in the market only brings that trust. The salesman, who is just 6 months into the organization, has to represent the company and stand for all that the company stands for. It’s hard but it’s very important. So building credibility with all the people you interact with, at all levels, is really critical. Today, the CEO’s responsibility is to build credibility. In our business, it has made a huge difference.

**Q. In your experience, what are the core values of an organization with a stakeholders-focused approach?**

The core values of a stakeholders-focused organization would be:

**i. Trust and Transparency:**
At TAFE, we have a culture where for generations we have built relationships. We have relationships with our dealers for three to four generations. Trust and transparency must be there in all relationships, whether they be dealers, suppliers, or bankers.

**ii. Culture of Fairness and Justice:**
You must not only be fair, but you need to be seen as fair. Not only should you be fair, but people also should perceive that you are fair in your dealings and transactions.

**iii. Approachable grievance mechanism for all the stakeholders:**
There needs to be a grievance handling and redressal mechanism. People should feel that if I have a problem, I know where I can go and get my problem addressed. It could be the employees or even the neighbour who could call.

**Q. Could you share an anecdote to elaborate on any of the core values that you have highlighted?**

Once a neighbor called up saying, “The bushes in your compound have really overgrown. Your corporate office is in the midst of a residential area and so you please tell your folks to do the needful. I was thinking whether to raise it at your level. But since I know you, I thought I should call you.” Subsequently we got the bushes cleaned up. So there has to be some redressal mechanism at my level or at another level. After we cleaned up, the neighbor who had complained was most grateful because she felt that her children were safer (from possible threat of snakes). I felt that my people could have done this even without me telling them. But I felt happy that at least the neighbors felt that they can call somebody in the company and tell us their problem.

The dealers may call and say that you are taking our territory away. You need not get angry at such feedback. But there must be some grievance mechanism which they can use to approach us. Some organizations have gone to the extent of having ombudsmen in the organization. We have not gone to that extent. Ours is a more informal way of handling the complaints. Through the ombudsmen mechanism, anyone can complain to the ombudsmen and the ombudsman responds on behalf of the organization. These ombudsmen are many times outsiders who are appointed for this task. Thus in my opinion, the grievance handling should be for all the stakeholders. Typically, organizations have these for the end customers and the shareholders. I have seen many times at international levels that the company will take the entire profits and will not
allow their customers or distribution chain to make any money at all. We tell them that if you allow us to have this revenue generation, it will help promote your product better. But they won’t see the logic at all. They are totally unconcerned about any grievance-handling. It created such an issue that the brand was losing out. Though we knew the organization and people well, the organization was not fair, nor did they have any grievance-handling mechanism. So we decided to change our line to another company whose way of handling their line is so brilliant that it is responsive, it has human values, and it takes care of the profitability of the partner.

Implementing a Stakeholders-focused Approach in an Organization

Q. The vision statement and core values of TAFE highlight its focus towards each of its stakeholders. What methodology does the company follow in order to achieve these?

We don’t take the organizational stakeholders separately. We take the core values. From the core values, we take the business objectives and say that these are the Critical Success Factors (CSFs) for the business. We have a planning methodology. We map out from the core values. For example, customer satisfaction — what are the various things we need to do to help us achieve that customer satisfaction and achieve that vision statement? We have a brainstorming session and we put all the links in place and plan for the current year and the subsequent one. We link the values with the CSFs and for each of the CSFs we create a project. We take cross-functional projects. For example — we want to build our customers’ satisfaction. We identify what we want to do for achieving each of those core values. Under the core value of “long-term relationship with stakeholders,” we do the same thing. We take each of the stakeholders and identify what we want to do for each of them, what they will expect from us, how would we like to build this relationship. We leverage our strengths and overcome our weaknesses. So we make these into CSF projects which are cross-functional projects. It could be within one function, or across functions. Then we have a metric based on which we measure that project. If it is not possible to measure the project quantitatively, then we have a plan — 3W1H format which everyone knows about. We have a traffic light system, which will tell us whether the plan is on track, is it slow, does it need to be reviewed? The project leader has to take care of that and report back on it every month. Thus, the CSF project is implemented through the year. There are also rolling plans for the subsequent year and thereafter. At the end of the year, we review the plan and include into the picture the environment changes, structural changes in the industry, competition factors, etc. So it becomes a part of our normal work. There is no separate group managing it. That part of the organization which is dealing with those specific stakeholders, will head those specific CSF projects.

For example:
- Bank-related projects will be headed by the finance section;
- Government-related projects will be handled by the corporate affairs section;
- Customer-related projects will cut across different sections such as research & development, manufacturing, and marketing;

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• Supplier-related projects will be led by the manufacturing section. There was one project on “vendor engagement” where we wanted to build longer term relationships with the vendors. We discussed with them about the parameters on which we can build this relationship. We wanted to ensure that they also make money and so do we; they are also certain about the business and we are too. So we defined the project under the core value and put it under the regular project schedule. The best CSF projects are awarded as well.

Q. While you have shared the methodology adopted for customers, dealers, and vendors, could you share how TAFE takes care of the society and local community?

The society as a stakeholder is handled a little differently by us. There are some projects we have attempted to do as a group because we feel that if we do it as one single company, we would not be able to create the same impact and would not be able to do as much. So as a whole group (Amalgamations Group) we do some common projects together. All our bigger projects are handled together. So the school, the hospital, the Kalyan Mandapam (community hall), biotech centre, etc. are handled as a group project. From our company profits, we give a separate amount to this group which is handling this group CSR projects.

Q. What are the projects that TAFE as a company is undertaking for the society and local community?

At the company level, we want to do something which can add a lot of value. Since we are dealing with farmers, we handle all farmer-related issues at the company level. For example, for the farmers who are our customers, we have a free portal and we give free advice. We have certain agricultural scientists. The farmers can log onto the portal and they find there, advice available for all crops. If there are any questions, the scientists answer them. We have a 200-acre farm where we bring them for training and extension services. We also do adaptive research for new seeds. We give them to the farmers and don’t charge for it. It’s all value-added services for our customers (who are farmers). Periodically we have the Farmers’ Festival. The festival has details about farm practices, improvement of productivity, how to earn more from the farms, etc. A small part is also on mechanization. This is different from the fairs where we promote products. This is all anchored out of the J Farm initiative. All training on diverse aspects relating to agriculture, and crop research on mango, rice, groundnut, etc. is done here for the farmers. Anything relating to farming is done within the company under a special budget. Anything which is beyond the farmers’ part is done at the group level because we feel that we don’t have the competence to carry it out at the company level. Resources will also be better utilized if we carry out such initiatives at the group level. So we handle those projects under the group charities. As a result, the quality of work doesn’t get

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8 In the agriculture research area, TAFE has been a pioneer in establishing its own adaptive research facility at J Farm, near Chennai. This 500-acre farm has built a national and international reputation for adaptive research in various crops such as paddy, vegetable, and mango cultivated under marginal rain-fed areas. It serves as an extension service to farmers advising them on appropriate and cost-effective agricultural practices through media releases and through the closed community portal jfarmindia.com which covers about 82 different crops grown in the Indian sub-continent. More details about the J Farm initiative of TAFE can be accessed at: www.jfarmindia.com
diluted, and we get optimal use of resources. If we do larger social initiatives at a group level, we get the benefit of scale and it also creates a bond between the group companies.

Q. Among the many initiatives that you have tried to sustain a culture focused on stakeholders’ welfare at TAFE, which have been the most difficult to implement?

The most difficult thing is to get goal congruence and values congruence across the organization and to implement it. It is a little easier to implement this in a family business. It gets inculcated if you have the same family members running the business in the length of time. But constantly there would be conflicts when you try to bring about the congruence.

Example: Performance Appraisal of a Retiring Employee

I can share an example with respect to a performance appraisal issue with an employee who had served the company all his life. This particular employee had his entire career with us. He had come to the age of retirement. Since he was an old employee, we all knew him personally and also how good he is. This was his last performance appraisal. What we do in our annual performance appraisal is that we normalize the appraisals. Everyone would rate the others as very good. But then we have brackets of x% as excellent and y% as very good, z% as good and some others as not so good and poor. This employee’s boss normalized the curve and he was not getting the correct balance. So he thought that this man is retiring, so we can put him in one grade below and so he pushed him into the “satisfactory” grade and normalized it. After doing so, he had exactly the right percentages. We are very tough with the normalization as there is money going with the grading also. When he got his performance appraisal as “satisfactory,” this particular employee was very upset. In 30 years, he had never sought time with me. However, after getting his appraisal, he came to me and said, “In 30 years I have never been rated ‘satisfactory.’ Why should I be rated so in the year in which I am leaving?” When I investigated, I found that this normalization was the reason for his rating. Then we said normalizing or no normalizing, this person should get what he deserves. So we made the manager change it to what he felt this man deserved. He admitted that he had just normalized it and hence this employee’s rating had been lower than what he actually deserved. We told him to call this employee, tell him why he had rated him like that, tell him his correct rating and set the equation back with him. The employee didn’t want an extension which we give for 1 or 2 years as he was very upset. But when the rating was corrected, the employee accepted his extension. So you do get such conflicts. There are similar conflicts with dealers, suppliers, and labor as well. All such conflicts keep coming – some business issues, some cultural issues and luckily no religious issues. There is no set answer. But these examples give some idea about how we go about doing things when these conflicts arise.

Q. While adopting regulatory and legal requirements, what are the actual difficulties you face while implementing them in letter and spirit?

It does happen many times that we have to do many things just to meet the letter of the law. Sometimes the cost of abiding by the law is too heavy. The customer will not pay for
it. So at least the letter of the law must be met. If you want to meet in full spirit, it may be different, but that’s a practical reality. If it’s emission, we will 100% meet it. All law, we will meet. From a business perspective, we don’t attempt to do more than what the law demands, unless that is a part of our differentiating strategy like safety or fuel economy. If you ask me whether we do more than what the law requires, it depends on the positioning of the product, what returns we will get for it, whether it’s going to pay off, or whether it’s a CSR plank we want to take as a whole strategy. In such cases, we would do better than what the law demands. But meeting the law we will do under all circumstances.

**Q.** At TAFE, what are the criteria used at the time of evaluating R&D projects?

We have a very streamlined approach for R&D and new products development. We follow the QFD (Quality Function Deployment) and the Stage Gate Methodology. We take the voice of the customer and then capture it in the technical format, feeding in all the manufacturing constraints, the costs, the suppliers, the return on investment (ROI), legislation, environment, safety, intellectual property rights (IPR), and many other parameters. Among these, environment, safety and IPR requirements, we have to meet. If you want to put safety as the main plank for your product, then you can put some extra emphasis on safety. In our case, we have chosen to go with fuel economy, operating costs, and productivity. After the voice of the customer, we go through a series of steps and then make a business case which attempts to capture all these parameters. If the business case doesn’t get through, we have to go back and recast the project. After the business case stage is cleared, it becomes an approved project.

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**Sustaining a Stakeholders-focused Culture in an Organization**

**Q.** You are the third generation from your family in this organization. In your experience, how can this organizational culture be continued in the face of changing leadership?

This is a big challenge. The rate at which turnover is happening now in organizations, it is more of a challenge than before. We are trying to address this through a few initiatives. We are trying to promote the concept of “Value Champion.” For this we have

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9 TAFE’s R&D facilities are renowned for their innovative design and engineering expertise. They have been recognized by the Department of Scientific and Industrial Research, Government of India.

10 Quality Function Deployment (QFD) is a “method to transform user demands into design quality, to deploy the functions forming quality, and to deploy methods for achieving the design quality into subsystems and component parts, and ultimately to specific elements of the manufacturing process” as described by Dr. Yoji Akao, who originally developed QFD in Japan in 1966, when the author combined his work in quality assurance and quality control points with function deployment used in value engineering. QFD helps transform customer needs into engineering characteristics for a product or service, prioritizing each product or service characteristic while simultaneously setting development targets for product or service. The technique yields graphs and matrices.

11 The Stage-Gate Product Innovation process is a carefully designed business process – the result of the world’s most comprehensive research into understanding what discriminates product success and failure. Pioneered and developed by Dr. Robert G. Cooper, it is the world’s most widely implemented and trusted product innovation process. A Stage-Gate Process is a conceptual and operational roadmap for moving a new-product project from idea to launch. Stage-Gate divides the effort into distinct stages separated by management decision gates. Cross-functional teams must successfully complete a prescribed set of related cross-functional tasks in each stage prior to obtaining management approval to proceed to the next stage of product development.
competitions, quizzes, and many such things. In our training program also, we first teach everybody the vision and the value statement. Every formal meeting is started with the statement of the vision and values. In the meeting, anybody can be called upon to state the vision and values of TAFE. We have even developed the vision into a song written by our own people. We have it in Hindi (India’s national language) and in Tamil (the state language where TAFE office and manufacturing units are located). Every formal meeting or conference starts with the “TAFE Anthem” as we call it. Then we do the value champions program. We feel that these values won’t get institutionalized until we demonstrate its application. The value champions come and share some of the conflicts they have had while implementing these values through live examples of the company and how they overcame/resolved it. But the best way to institutionalize these values is through consistent practice.

Q. Has there been an instance of a values conflict within the organization with respect to employees?

Example: Dealing with Ethical Issues with the Senior Plant Management

Many years ago, we had tractors missing from the factory and we didn’t even know about it. The police reported to us that two tractors of the company were found. Then we tracked it and realized that it was a system failure. We didn’t have enough proof whether there was any corruption involved. So we couldn’t trace the culprit. So we called everybody and spoke to them as to what’s gone wrong in the system. This included the General Manager (GM) of the plant. We even changed the people. But we didn’t sack anybody. Three weeks later we found materials going out, and the security this time said that he wouldn’t send the materials out without the paperwork. There was no paperwork. So the security people called the Materials Head and asked him about the details. The Materials Head wrote on a piece of paper that the materials can be moved. The security again questioned as to why the details could not be put in a formal way through the SAP system. The security said that he wouldn’t let it go. He called the GM of the plant who said that the issue should be handled at the local level. The store’s people then said that the GM and the Materials Head specifically instructed them to load the materials and move it out. It was done perhaps with the intention of showing less inventory. Then the store’s people wrote all the details and gave it to us saying that the GM of the plant and the Materials Head gave us specific instructions to load this material without paperwork and move it out. What do you do in such a case?

So we called them and said,

“*We don’t have the proof that you did this thing, but it is certainly a systems failure and there is no doubt about it. From the senior-most levels, you have violated all the systems because you wanted to meet your performance objective in terms of inventory. And this entire junior staff has come up with written details about your instructions to them. We give you time. You find yourself another job and you resign. We will give you references and we will do all that it takes. We will give you full notice, you stay home, you can cash your leave and all that, but you need to go. Two incidents — one after the other — cannot be pardoned.*"

The result of this action was that the organization was extremely pleased. The response at the plant was excellent because the organization walked the talk. The DGM was made
the GM of the plant. We appointed a new Materials Head. The employee morale was much better. It’s a tough call. We gave the benefit of the doubt in the first case. However, action has to be taken at some point of time.

Q. Mahatma Gandhi advocated the concept of Trusteeship wherein every individual is a trustee or a custodian of the wealth (s)he owns and the wealth has to be used to the extent possible for the welfare of all. This philosophy is common to all major world religions. Do you think this approach to Trusteeship is applicable in a family-owned business organization?

From a family business perspective, I can say that when a leader does not act as a trustee, all the problems in a family business begin. If you don’t act as a trustee, that stakeholder group whom you call as the shareholders; their expectations are not getting met. In any case, the business is not your alone, there are 10 shareholders there. They have put their trust in you to run the business. I think the reason why all the family businesses are breaking down is this. You have to take a view in terms of what is good for the organization, what’s good for the employees, customers and even from a social perspective and nobody will disagree with you. But if you start thinking that you are the only shareholder because you are running the business and you see only your interest and not the interests of the other shareholders, then you are really not working on this concept of trusteeship. You have to be very clear. You are representing all the shareholders. You are nominated as the family’s representative there and you have to act as a trustee. What you are doing is building wealth, but building wealth for all and not only for yourself. The other ten shareholders may not have the power, but the wealth belongs to all. You have the power to run the business, but you owe your responsibility to the other shareholders. The wealth belongs to everybody. When you try to take away a large chunk of the business and its profits, that’s when the family business breaks down. So you are absolutely right that whoever is running the business is a trustee and a trustee only.

I came across a family business in Kenya where there were 65 members as part of this family business and the head of the business was saying that they have taken this concept of trusteeship to such an extent that you cannot even cash your shares. If you are in, you get your salary, perks and other things, but you must build wealth. But if you want to be out, you will get compensated at a very nominal level. That’s the level to which they have taken the concept of trusteeship. I am not saying that we should take it to that extreme. If somebody wants to get out, you give them a fair value and let them go. But if there are ten people and you are running the business on their behalf, you have to do what is in the interest of all of them.
About the Interviewer/Author

Dr. Shashank Shah is an author and researcher in the area of Corporate Responsibility and Stakeholder Management Strategy and has contributed immensely to the field through original ideas and pioneering analyses. He completed his post-graduate studies in Business Management, and doctoral and post-doctoral research in Corporate Stakeholders Management at Sri Sathya Sai Institute of Higher Learning (SSSIHL), India and his graduate studies in Commerce from University of Mumbai, India. He received the Association of Indian Management Scholars International Outstanding Doctoral Management Student Award 2010 for his doctoral thesis at the Indian Institute of Management, Ahmedabad, in 2011; and the H.R. College Golden Alumnus Award 2011 for his research achievements from the Sheriff of Mumbai. He was awarded the President of India Gold Medal and the Governor’s Gold Medal for standing first in the MBA and M.Phil. Programs.

He has published over 75 research-based papers, case studies, and technical notes in peer-reviewed national and international journals in the areas of Stakeholders Management, Corporate Responsibility, Corporate Governance, Business Ethics, Integral Education, and Humanized Healthcare through Harvard Business School, Sage, Emerald, and Macmillan Publications among others. He has also co-authored four books and two monographs in these areas. His *Soulful Corporations: A Values-Based Perspective on Corporate Social Responsibility* was published by Springer in 2013 as part of the India Studies on Business and Economics Series. He has presented research papers at international conferences at Harvard University, USA, and INSEAD, France; and has been invited to present his work at institutions in Italy, Brazil, Turkey, Malaysia, Japan, and India.

In 2011, Dr. Shah was a Visiting Scholar at the Centre for Corporate Social Responsibility (CSR), Copenhagen Business School, Denmark. He has been an Invited Research Faculty at Executive Development Programmes in CSR organized by the Harvard University South Asia Institute, World Bank, and the Govt. of India; and by the School of Management, Indian Institute of Technology Bombay. He is a Fellow, *European Institute of Spirituality in Economics and Society* (SPES); International Advisory and Editorial Board Member, *Journal of Values-Based Leadership*, Valparaiso University, USA; and Reviewer, *Journal of Human Values* (Sage Publications) and *Journal of Management, Religion and Spirituality* (Taylor and Francis Publications). He has taught graduate courses on Marketing, Total Quality Management, and Indian Ethos and Values; and graduate and doctoral courses on Research Methods in Social Sciences.
During his doctoral and postdoctoral tenures, he interviewed over 175 top executives, heads of companies, industry captains, academics, subject experts and policy makers, and built a veritable knowledge base of insights in the field of Stakeholders Management and Corporate Responsibility of a collective experience of 3,500 human years.

Currently, Dr. Shashank Shah is a Visiting Scholar in Corporate Responsibility at Harvard Business School; and has a joint appointment as Project Director and Post-Doctoral Fellow at Harvard University South Asia Institute (SAI), USA. He is also writing two books on: Stakeholders Management Strategy in Indian Corporations; and Corporate Responsibility at the Tata Group of Companies, accepted for publication by one among the big four international publishers.

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Book Review:

VOLUME IX • ISSUE II • SUMMER/FALL 2016
Truth, Trust + Tenacity
How Ordinary People Become Extraordinary Leaders

by M. Ganesh Sai and M. Ramakrishna Sayee, Reviewers

M. GANESH SAI, HYDERABAD, INDIA
M. RAMAKRISHNA SAYEE, HYDERABAD, INDIA

"A leader takes people where they want to go. A great leader takes people where they don’t necessarily want to go, but ought to be.” — Rosalynn Carter

An Overview

"Ritch K. Eich has done it again – written an outstanding guide to being an exceptional leader. What really excites me about this book is how it delves deep into important topics like teamwork and respect yet also covers just about everything you need to know as a leader, from setting the tone and understanding the importance of art at work.” — Marshall Goldsmith

If you want to acquire the right leadership tools and techniques to build your organization, read this book. If you want to learn the secrets of building a culture around trust, engagement, energy, and civility, read this book. If you want to grow as an authentic and extraordinary leader, read this book. Ritch K. Eich’s authored book Truth, Trust + Tenacity: How Ordinary People Become Extraordinary Leaders is divided into 11 chapters letting readers peek behind the curtain to see what it takes to become an

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extraordinary leader in today’s business climate. He shares the secrets of building a culture around trust, engagement, energy, and civility that lets employees grow, work teams prosper, organizations succeed, and tomorrow’s leaders confidently emerge. He reveals five major sources of influence during his early years: he thoroughly enjoyed learning, he thrived in trying to make things better, he loved sports, the arts fascinated him, and he was stimulated by discussions on substantive, diverse topics.

Leadership Takeaways
Truth, Trust + Tenacity provides the reader with a comprehensive profile of the salient characteristics, behaviors, and actions of those who have genuinely earned the title of an authentic leader. They are highlighted and discusses by the author as follows, however, not necessarily in any order of sequential importance:

- **Leaders don’t cast blame** — they accept responsibility, seek solutions, learn from mistakes, and move on.
- **When leaders do make a mistake** — and believe me, all leaders do—they exhibit grace. They aren’t afraid to apologize.
- **Leaders let their teams shine** — they are sufficiently confident to forego the spotlight.
- **Leaders actively participate in the implementation and execution of strategies and policies** — they know their involvement is essential to the organization’s success.
- **Leaders take safety seriously and know that all individuals matter** — too many organizations give lip service to both and end up losing people … and profits.
- **Leaders understand the impact of their actions and they know that, as much as is practical, their messages need to be personalized to have more meaning and impact.**
- **Leaders don’t belittle those who disagree with them; instead, they welcome the truth.**
- **Leaders understand that incivility impedes productivity — and profits.**
- **Leaders know that being civil is a more powerful motivator than incivility.**
- **Leaders encourage others to speak up — and out.**
- **Leaders understand the impact they can have on others — they seek to inspire.**
- **Leaders understand the power of words — and use them well.**
• Leaders appreciate every job that is done — it doesn’t matter whether it’s in the C-suite or the mailroom.

• Leaders understand that everyone matters — and everyone deserves respect.

• Leaders understand that respect isn’t an entitlement linked to a particular job title.

• Leaders look for the right individual traits when setting up teams — they don’t randomly put people together.

• Leaders take care of their teams — they support their efforts without micromanaging.

• Leaders embrace a higher standard that they instill in their teams — they set the tone for teams to follow.

• Names really do matter: leaders make sure that the brands they are responsible for are presented accurately.

• Change for change’s sake is a bad idea.

• Execution is essential.

• Look before you leap: do your homework and consider your choices carefully and with respect to any parties who could be offended.

• The right special events can have a significant — and positive — impact on your organization and its bottom line.

• The arts are ground zero for entrepreneurs and innovators — as the song goes, “If you can make it here, you can make it anywhere.”

• The skills most people look for when it concerns organizational success can be found in the arts.

• Integrating arts in the workplace improves morale, increases productivity, and reduces turnover.

• There is a plethora of similarities between the best leaders and actors — in a good and positive way.

• Leaders know how to be decisive — they don’t second-guess their decisions.
• **Leaders inspire — they understand the impact they can have on an organization’s employees and its bottom line.**

• **Leaders understand the need to remain calm under pressure.**

• **“Improvise, adapt, and overcome” has become an adopted mantra of the Marines — itself a model of leadership.**

• **Leaders have a sense of mission, and they stay with something until that mission is accomplished.**

• **Leaders embrace diversity — in fact, they celebrate it. They go out of their way to welcome ideas from people who are different from them.**

• **Leaders are passionate and pass along their values, whether to a colleague, a neighbor, or a child.**

**Author’s Key Recommendations**

This book emphasizes civility, good manners, and common courtesy ... all necessary ingredients in becoming a successful leader. It underscores truth, trust, and tenacity which are the hallmarks of authentic leadership. It outlines a blueprint to build trust in and throughout one’s organization. It reveals the author’s passion for leadership, and his big heart to make a difference in the lives of others.

*Truth, Trust, + Tenacity* is a well-researched and thoughtfully-organized book, written in easy-to-understand, accessible language. It contains inspiring quotes which introduce major themes which are more fully discussed in motivational stories, anecdotes, and experiences. It provides all existing and aspiring heads of business, government, and the nonprofit sector with valuable leadership lessons. It incorporates the author’s extensive experiences, including his years serving in the military.

Eich’s leadership ideas and insights as discussed in this book are well-supported. It is a treasure trove of “how-tos” as well as a practical guide on leadership. It is useful for leaders at all levels — irrespective of the particular industry involved. Most importantly, the book provides a prescription for encouraging ordinary leaders to become good leaders, and good leaders to become great leaders.

This book is useful for a broad spectrum of leaders, coaches, mentors, and leadership practitioners. Sharing this book with others will ostensibly galvanize the major talking points and inevitably lead to serious and meaningful dialogue in the workplace, the classroom, and in government. The reviewers strongly urge its reading.
About the Reviewers

M. Ganesh Sai is the author of 5 books, including Success Can Be Yours, Short Stories to Share—Get Inspired, Smartness Guide—Success Tools for Students, Skills for Your Career Success: Touch Your Tipping Point, and Soar Like Eagles! Success Tools for Freshers. His articles have been published Personal Excellence and Journal of Values-Based Leadership. His areas of interest include Success, Leadership, Motivation, Career, and Personality Development. M. Ganesh Sai can be reached at: mgsauthor01@gmail.com, http://mgshyd.wordpress.com and via Twitter @mganeshsai.

M.Ramakrishna Sayee is the co-author of 4 books including Success Can Be Yours, Script Your Success Story—Sky is the Limit, Smartness Guide—Success Tools for Students, and Skills for Your Career Success: Touch Your Tipping Point. He has been published in Personal Excellence and Journal of Values-Based Leadership. His areas of interest include Success, Self-improvement, Motivation, and Personality Development. M.Ramakrishna Sayee can be contacted at mrkhyd123@gmail.com and through his blog: http://mrkhyd.wordpress.com.
Leadership of Humanitarian Organizations Working in Less Developed Countries: A Best Practices Analysis

JOHN OLIPHANT
ROCHESTER, NEW YORK

Abstract
Many people from the developed world, who intend to help the poor in less developed countries, actually end up doing harm by creating more dependence, demonstrating ignorance of the local culture, not understanding the importance of long-term relationships, and offering solutions to problems without ever getting input and buy-in from those they intend to help. There is very little published research in scholarly journals regarding how those from the developed world can best approach humanitarian relief and development work in the developing world. In this qualitative analysis using a collective case study design, humanitarian relief and development organizational leaders share best-practices that focus on the following recommendations: 1) Empower and develop the indigenous people, 2) Focus on long-term relationships and partnerships with the indigenous people, and 3) Work on understanding the local culture.

Introduction
It is clear that there are many people who live in developing nations that lack the resources and services that people in the developed world take for granted. Examples of these include an abundant and readily available food supply, safe drinking water, access to appropriate sanitation and hygiene resources, free public education, shelter from the elements, and access to necessary healthcare (WHO, 2016; Larson, Minten, & Razafindralambo, 2006; Das, Hammer, & Leonard, 2008).

When those in the developed world become aware of the plight of people in less developed countries, many feel compelled to help. Unfortunately, there are numerous examples throughout history of people with good intentions who end up creating more
dependence and actually causing harm to those whom they intended to help (Corbett & Fikkert, 2009).

There are many case reports of people sending items to meet short-term needs (e.g., clothing, shoes, medications, toys for children, etc.), but less of a focus on getting at the root causes of poverty and actually partnering with those in developing nations to do the hard work to help them break out of their current cycle of poverty (Corbett & Fikkert, 2009). It is imperative that those organizations that work in developing nations have a clear understanding of best practices from other people and organizations that do this type of work with integrity and respect. It is of particular importance that leaders of humanitarian relief and development organizations take the time to understand the culture and people whom they intend to serve so that true empowerment and sustainable progress can be made (Oliphant, 2016). The goal of this research project is to gain a deeper understanding from experienced humanitarian relief and development organizational leaders regarding these issues. As the lives of fellow human beings are at stake in the developing world, this type of work cannot be approached lightly.

**Literature Review**

**Background**

A review of the literature regarding best practices for humanitarian relief and development organizations to follow when working in less developed countries is surprisingly lacking in research-based scholarly sources. There is a smattering of articles from peer reviewed journals that peripherally pertain to this subject, but most of the information that is available comes in the form of books written about the plight of the poor and various approaches to humanitarian work focused on poverty alleviation.

Corbett and Fikkert (2009) attempt to clarify the true origins of poverty in the developing world as they feel that too many of the interventions that are tried by outside humanitarian groups are only treating a symptom of the underlying “illness” and/or the aid organizations completely “misdiagnose” the problems and the interventions end up being ineffective or even harmful (p. 54). The authors promote a paradigm where the wellbeing of each person is significantly based on the health of four different relationships. They feel that if any of these relationships is broken, it can lead to various forms of poverty. The different forms of poverty are outlined in the following table:

<table>
<thead>
<tr>
<th>Who Each Person Should be in a Positive Relationship with to Avoid Various Forms of Poverty</th>
<th>The Type of Poverty that Occurs if This Relationship is Broken</th>
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<tbody>
<tr>
<td>God</td>
<td>Poverty of Spiritual Intimacy</td>
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<tr>
<td>Self</td>
<td>Poverty of Being</td>
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<tr>
<td>Others</td>
<td>Poverty of Community</td>
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<tr>
<td>Rest of Creation</td>
<td>Poverty of Stewardship</td>
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(Corbett & Fikkert, 2009, p. 61)
When discussions occur about people who have made an amazing impact in the world because of their efforts to help the poor, physician and anthropologist Paul Farmer’s name is often mentioned. His work in Haiti has received widespread publicity and was first extensively documented in the book, *Mountains Beyond Mountains: The Quest of Dr. Paul Farmer, a Man Who Would Cure the World* (Kidder, 2003).

Kidder (2003) documents Farmer’s intense belief that the poor deserve access to quality healthcare and respectable living conditions. Farmer’s tireless efforts to promote those concepts are coupled with his struggle to recognize that achieving complete success in obtaining those results might not be possible. Despite the challenges that must be overcome, Farmer believes that society must push forward and not give up the fight to create a new reality where the perils of poverty are finally eliminated. Farmer confronts the apathy of the wealthy of the world and their lack of engagement in working towards poverty alleviation for all (Kidder, 2003).

Since Farmer’s work in Haiti began long before the devastating earthquake there in 2010, it is not surprising that Farmer became involved in the post-earthquake relief effort and wrote about that experience in his book, *Haiti After the Earthquake* (2011). In this book he looks at the history of how Haiti became the poorest country in the Western Hemisphere through multiple political and economic circumstances and how the devastation of the earthquake only exacerbated the existing problems. Despite a massive influx of relief dollars after the earthquake, much in Haiti remains mired in the effects of chronic poverty because the fixes for the acute problems caused by the quake did little to address the chronic issues that had been brewing for generations. This book provides one more voice among many about how poverty will never be eliminated without understanding and tackling the deep-seated issues that cause societal poverty to occur.

Before beginning an analysis of best practices in humanitarian development efforts, it is important to understand who is actually doing humanitarian work around the world. Bock (2011) describes that humanitarian work in developing nations may be done by one or more of the following groups:

- Non-governmental organizations (NGOs) are private organizations that tend to have a presence in-country and may have close partnerships with the local people. These may be small organizations or very large, such as CARE, Save the Children, and Catholic Relief Services. Some NGOs are faith-based such as the Mennonite Central Committee and others are secular.

- Donor governments often work through an agency that is funded by the donor country, such as the US Agency of International Development (USAID) and there are also multilateral organizations such as the United Nations’ Development Program.

- Contractors who tend to be hired for specific projects and are rarely focused on engaging with the local population, NGOs, or other local civic groups.
 academic institutions may have faculty or students engaged in studying local issues in the developing world and may lend professional expertise to NGOs and others in the form of serving as consultants or project managers for various innovative solutions that are being implemented.

**Best Practices in Humanitarian Relief and Development Efforts**

Sohail, Cavill, & Cotton (2005) showed when NGOs partnered with local community groups and municipalities to work on upgrading and maintaining vital urban infrastructure, that combination resulted in more sustainable results than when NGOs failed to create such partnerships and functioned independently. This concept of outside groups partnering with local groups in the developing world was indicated in multiple sources as an ideal arrangement.

The poverty that exists in developing nations often has an impact on access to healthcare, which is generally worsened by a shortage of qualified healthcare providers. The World Health Organization (WHO) has recommended that partnerships be created between NGOs and local medical facilities and providers, ideally coordinated through the respective country’s Ministry of Health, to improve access to care (Olusanya, 2007). This again provides evidence that outside organizations working in developing nations are most effective when they attempt to understand the local needs and integrate services whenever possible (Olusanya, 2007).

In addition to partnerships, Corbett and Fikkert (2009) advocate for developing long-lasting and meaningful relationships with people in the developing world so they can work together to understand the root causes of their poverty and find appropriate solutions that are culturally appropriate and have buy-in from the relevant local stakeholders. Without a deep understanding of the local culture obtained through prolonged cultivation of trusting relationships, it is unlikely that outside individuals or organizations would ever create effective and long-term poverty alleviation solutions (Corbett & Fikkert, 2009).

Stearns (2010), the President of World Vision U.S., clearly approaches his philosophy about poverty alleviation and humanitarian work from a Christian conceptual framework. He uses many Biblical examples from the life and teachings of Jesus Christ about how, if one is to be a true Christian, one must care deeply about the plight of the poor, widows, orphans, and other marginalized groups and believe in the inherent value of each person. He would say that this concern for those often-oppressed people-groups must also be a call to action. He places a heavy emphasis on each person’s responsibility to be part of the solution and how we must never ignore what is happening to our fellow human beings in the developing world. He warns about the all-too-common scenario, which finds many Americans caught up in the pursuit of comfort and the elusive American dream, while “our neighbors” in the developing world are suffering.

Economics expert William Easter (2013) tackles the problem of poverty in the developing world from a more secular viewpoint than either Corbett and Fikkert (2009) or Stearns (2010), but many of his conclusions dovetail nicely with the other authors. He advances
the belief that only a model of economic development and poverty alleviation that respects the individual rights of poor people will be capable of having the desired effect of ending poverty around the world.

**Inappropriate Practices in Humanitarian Relief and Development Efforts**

As previously discussed, partnerships between those in developed and developing nations are considered a best practice, but the work of Pallas and Urpelainen (2013) looked at some of the dynamics that come into play when an NGO from the developed world (commonly referred to as the North) and NGOs from the developing world (the South) attempt to work together. The authors describe the unequal power dynamics that are often in play, as the Northern NGO tends to be in a place of greater power than their Southern partners. This may lead the Northern NGO to drive the agenda of their partnership, potentially disregarding the Southern NGOs input on the issues at hand and possible solutions. Corbett and Fikkert (2009) describe this as, “The poison of paternalism,” (p. 115).

Pallas and Urpelainen (2013) point out how different motivations and operational styles may affect these partnerships. They say if the Northern NGO is heavily outcomes focused, they may push hard to get a result and then leave the area after the first big victory. Conversely, they describe Northern NGOs that might be heavily focused on participation. These NGOs may be involved with their Southern partners for a prolonged period, but the outcomes of their efforts may not be particularly impressive.

Corbett and Fikkert (2009) describe numerous examples of poverty alleviation attempts done poorly that actually led to harm for people in the developing world. When good-intentioned attempts at helping go poorly, the harm that occurs is typically in the form of actually increasing the dependence of the poor, damaging their already low self-esteem by perpetuating their need for handouts, or removing potential business opportunities for local individuals by flooding a community with free donated items within the same commodity line (e.g., putting a local dressmaker out of business by distributing free donated dresses) (Corbett & Fikkert, 2009).

Easterly (2013) points out that many attempts at poverty alleviation are focused on treating symptoms and not the underlying causes of poverty. Easterly focuses on the political oppression that has created many of the problems that manifest as poverty in the developing world. He outlines a long history of technocratic approaches to dealing with poverty that often ignores the rights and culture of the people who are suffering from the manifestations of poverty (Easterly, 2013).

**Conceptual Framework**

The construction of this study was influenced by both humanistic and Judeo-Christian conceptual frameworks that clearly place an inherently high value on every human being regardless of any defining characteristics or demographic variables. Ideally, those who are born into circumstances with significant resources will be compelled to partner with
those in less fortunate circumstances to ensure that all people are able to reach their full potential.

Methods
A collective (or multiple) case study design, as described by Creswell (2014), was the framework that was used for this research project. A collective case study approach was determined to be the most applicable as it allowed the researcher to explore the same issues from the points of view of the leaders from three different organizations that do humanitarian relief and development work in less developed countries. Each of the organizational leader’s comments was first explored for internal themes and then those themes were compared amongst the leaders to look for thematic similarities or differences in their approach. These findings were then compared to what has been described as best practices in the literature.

When potential candidates were being considered for inclusion in this study, a priority was placed on leaders who represented organizations whose values appeared to be consistent with those identified in the literature as representing best practices for humanitarian relief and development organizations.

Examples of best practices from the literature that were used during the study participant selection process included the following: 1) An emphasis on creating partnerships and developing long-term relationships with those in developing nations based on a deep belief in the value of all people (Sohail, et al., 2005; Olusanya, 2007; Pallas & Urpelainen, 2013; Corbett & Fikkert, 2009; Stearns, 2010); 2) An appreciation for the value of unique qualities found in each culture (Corbett & Fikkert, 2009; Stearns, 2010; Kidder, 2003); 3) An inherent belief in the rights of all people to self-determination and an avoidance of paternalism (Easterly, 2013; Corbett & Fikkert, 2009; Kidder, 2003; Pallas and Urpelainen, 2013); 4) A belief that all people groups can be self-sustaining if they are given the tools to succeed (Corbett & Fikkert, 2009; Easterly, 2013; Kidder, 2003; Stearns, 2010; Olusanya, 2007; Sohail, et al., 2005).

Evidence that an organization endorsed the previously described best practices was based on a review of the organization’s website, available written documents produced by the organization, testimonials from those who had worked with the organization and personal interactions between the researcher and the organization’s leaders. Purposeful sampling was utilized as this study was not intended to analyze a wide variety of random organizational leaders to determine who was using best practices and who was not, but rather to confirm whether leaders who represented organizations that appeared to subscribe to many of the best practices recommendations found in the literature, do in fact abide by such an operational framework. It was further hoped that the study would provide a more developed narrative of their experiences that could inform others hoping to do similar humanitarian work in developing nations.

Three non-governmental organizations (NGOs) were recruited for inclusion in this study and leaders from all three agreed to participate. Two of the leaders represented two different organizations that work in the Caribbean nation of Haiti (designated as Mr. B.
and Ms. M. respectively) and the third leader’s organization has a primary focus in the East African nation of Uganda (designated as Mr. U.).

The purpose of the study and study protocols were reviewed in detail and each participant was given the opportunity to ask clarifying questions as needed. Informed consent was obtained and participant confidentiality was assured.

Each interview was designed to follow a semi-structured format. This method was selected so that it could be assured that a core group of questions would be asked of all participants, but that the interview format would have enough flexibility to explore any concepts introduced by the participants throughout our discussions.

Interviews ranged in length from approximately 25 minutes up to a maximum of 55 minutes. Each interview was recorded using two different audio recording devices to create redundancies in case of a potential malfunction of one of the devices. A professional transcriptionist generated very high quality renderings of our discussions that included all references to laughter or other audible occurrences beyond simply the spoken words. Each transcribed interview was coded and similar codes were grouped together to help form themes that emerged from the interviews based on the streamlined codes to theory process described by Saldana (2013).

Once all interviews had been coded, the codes were analyzed as a total group to ensure consistency of terminology. During the early review process, there were occasional variances noted in code terminology used to capture the same basic concept. These variations were modified to reflect similar phraseology throughout the coding process.

In total, 187 statements were analyzed from the three interviews. Fifty-seven different codes were used to categorize the content of those statements. Three themes emerged as the most prominent and recurring, with all of them being mentioned multiple times by each of the participants. Those three themes will be the focus of this analysis.

**Results**

As the transcripts were analyzed, codes assigned and themes identified, it was interesting to note that certain ideas were put forth with great regularity by all of the participants. These themes were consistent with the best practices recommended throughout the reviewed literature and included the following:

| 1) Empower and develop the indigenous people. |
| 2) Focus on long-term relationships and partnerships with the indigenous people. |
| 3) Work on understanding the local culture. |

**Theme #1: Empower and Develop the Indigenous People**

Each of the three organizational leaders clearly indicated that empowerment and development of the indigenous people was the number one priority of their respective organizations. Mr. U., the leader who works extensively in East Africa, described his feelings about empowerment and development as follows:
We do community-based drinking water systems throughout Uganda as well as through our second steps programs we do other catalyst projects that are aimed at poverty alleviation. Primarily we are a water development organization although we do apply our same models into some secondary projects, but it’s all about focusing on transforming communities stuck in poverty and helping them to strengthen internally and organically that helps transform that.

Empowerment is a huge priority for us. I mean for our organization and the values that we have, it really is about empowerment and working ourselves out of the job that is absolutely one of our end goals. We would love to be completely unnecessary and so with that, you know everything we do is not just about meeting a need. If it were really just about providing clean water, it would make a lot of sense to just go into business doing this. We could make a lot of money and keep people dependent on our service, and just roll with that. There is a supply and demand environment for that kind of commodity; I mean there are a lot of people doing big business in water these days.

So part of what that looks like is employing and really bringing into the decision-making process of our organization the national population. So making sure there are Ugandans, it’s not just our crew going out and doing work, it’s the people administrating decisions in Uganda that are Ugandan. So I think that’s one part of it. But all the time there is a fog that we can’t see through because of the cultural divide and yet we have to recognize we are serving another culture that is on the other side of that fog. So we have to go into that trusting and relying on what we can learn and listen to from the other side. I think it’s a big step to say what is it. Are we just going to send a bunch of Americans over there to administrate the other side of this, or are we going to actually empower?

The development model that that becomes is asset-based community development, which is the belief that there are already assets in the community. So we embrace that wholeheartedly for many reasons.

One of the options we are looking at long term is—is there a point where this organization goes from being a primarily US-based entity, a legal 501(c)(3) here, as primary place of existence for the organization—the corporation—or is there a time in the future where this really becomes primarily a Ugandan-based NGO where the board of the organization becomes primarily Ugandan?

Because that’s part of our conversation. That’s a reflection of that value of ultimately what does the handoff look like? Because that would make sense that at some point this becomes just a place to draw expertise, tools, techniques, and resources and things, but it’s to support a vision that’s led and implemented on the other side.

Mr. U. had a particularly fascinating way of describing the supportive role he wants his organization to play in the life of the East African people he intends to serve. He described it as follows:

*Oftentimes, in the moments where we are not holding the reigns at all in a situation, we are really taking direction, intelligent direction from local partners. Those are*
some of the best moments for us as an organization because we are basically saying we are here to submit ourselves to a culture and a community and we are not looking to drive you, we are looking to add value.

Honestly, [this is] one of the best analogies that we talk about within our organization (maybe because one of the people on our staff is an English teacher this seems to come up). But if you look at language when you are writing something, we are not supposed to be the subject and the predicate. We are not supposed to be the noun and the verb of the statement of Uganda. We are supposed to be the adjectives and adverbs, the supporting and enhancing vocabulary. We are not supposed to ever be the subject and the verb. If we displace that, it’s a problem. To take it a little nerdier into the grammatical analogy, God forbid we ever become a dangling participle, which is a modifying phrase that has lost sight of its subject. Yeah, but that idea that if we look at it as writing a story, the story of a nation, if in the statements that are made by these people’s lives and we displace that subject and noun, that’s a problem.

The two leaders whose respective organizations carry out their work in Haiti also shared similar sentiments. Ms. M. describes her feelings about empowerment and development as follows:

Yes, empowerment is our number one priority. Well, as far as building the homes, the teams do help, but the Haitians actually build their own homes. To train them on how to live so disease doesn’t spread, all of those things, it all goes along with the house building—believe it or not. Teaching them to build housing that is earthquake proof, because of what they went through, and to teach them the idea to have clean water and to know sanitation and sewage and that kind of thing. Each part of that to make a healthy community, not just hand them a house.

In the medical area as far as empowerment goes, we want to train the medical staff down there to be able to provide the care for the children when we are not there. Even thinking along the lines of when they have something wrong with them not just to blow it off and think, “Oh, I am just going to be sick,” but to actually go to the clinic or hospital or whatever is a big shift for their thinking about empowerment. Even having them come up with this solution on their own and you just kind of guide them there.

Mr. B. had the most extensive history of working in a developing nation amongst the three interviewees. His comments regarding the importance of empowering and developing the indigenous people were remarkably similar to the other participants. He expressed his feelings as follows:

Our long-term goals are really to get them self-sustainable in that community or whatever community we work in in Haiti. To get them to the point where they don’t really need us to go down, but they will be able to send their own children to school and have access to medical care that’s provided by Haitians. They will know enough about nutrition and that kind of thing so they don’t require us.
I don’t think it’s our organization. It’s their organization. They perceive it as their organization. It’s them. We just show up and they treat us nice and we make sure that they have the resources. It’s their organization. They completely own it... It’s Haitian. In fact, we will take it to the next step and try to dissolve the US side (of the organization) and just create a fund foundation, like funding mechanism and the governing entity will actually be a Haitian NGO (non-governmental organization). Our long term goal is to devolve everything to them.

Empowerment is the only priority. One of the things we have learned is there are these technocratic approaches which basically say, “We start with a blank slate and we have got all the answers and we will bring all the answers with us,” and we have taken a completely different perspective. We have seen a lot of failures in those technocratic approaches. It’s working with people to develop their capacity to do what they want to do. That capacity can be technical in some cases, but more often than not it’s really just about confidence building and mental models and reframing and having people think differently about themselves and what they are capable of doing.

Getting the local plumber to commit to do some work on some social things he may not be aware of, but yet, if you asked him, he may be able to help with some of the drains—that kind of thing. It’s community organizing, community mobilization, and community awareness. Haitians have this word called “formasyon,” which is getting out and talking to people and making people aware. Mobilization. Once people start mobilizing and they buy into the notion of mobilizing and that they are empowered and can make decisions and coordinate and collaborate, it takes a life of its own. You don’t need to do a lot after that.

Each of the leaders shared thoughts about practical ways to empower and develop the indigenous people. Mr. B described one approach his organization has used as follows:

We discovered the way in which work gets done in Haiti and the way in which daily life is organized is around something called a “lakou,” which is an extended family unit that everybody works and lives together kind of thing. So we have developed a notion in health called santé’ non lakou, helping the lakou which really focuses in on what are those interventions we can do at the lakou level where we can educate people at the lakou level about where do they get their water, how do they treat their water, how do you identify malnutrition, how do you know when someone has preeclampsia, how do you—do you know what I mean? If you can get the family thinking about those things at the lakou and then they reach out to their community health worker, that community health worker can report it back to the hospital then we can get somebody out there. We hopefully never see them in the hospital.

Ms. M. explained some of the educational interventions her organization has undertaken with the goal of developing and empowering the people her organization serves in Haiti as follows:

When we first started coming down there and teaching the mothers, the teachers, and the children about nutrition we found out things like they would send the
children (to school) with energy drinks like Red Bull in their lunches and just completely unhealthy nutritionless food. Teaching them about portion control and portion sizing, not necessarily because they need to lose weight, but they need to get each food group in their diet. Protein, fiber, and all of those things — that they need it. It's not that they eat a whole day’s worth of fruit and they think it is just eating food, but to seek out the different types of nutrition they need.

As far as training goes, again, to kind of reiterate what I said, look at the solution to whatever the problem is and train them so they learn and can keep doing it after you leave.

Each of the interviewees expressed a strong belief in the intelligence and potential of the indigenous people in the various countries in which they serve. Mr. U. described his feelings about this idea as follows:

Really what we are saying is we believe that there is something trapped in Uganda, something trapped inside the hearts and minds and passions and dreams of the Ugandan people that doesn’t have an opportunity to express itself in the world. We are interested in unlocking those things in individuals, unwrapping the potential of communities and unleashing the destiny of a nation. If that sounds audacious, it is.

Our goal is to see the entire nation of Uganda have access to clean drinking water through various solution sets with the end result being we see stronger upticks, a better educated culture and reduction in overall health issues and concerns and we see some exciting and interesting things happening out of the people in Uganda. What can you do with your time, your life your passions when you do not have to commit so much time to the pursuit of clean water?

Mr. B. described his feelings about the people of Haiti as follows:

The people we work with are so smart. The Haitian folks we work with are just so— they are natural systems thinkers and think in broad systemic ways. They understand how to grow their own food; they understand the nature of disease in their community, where it comes from and how to prevent it. What they don't have is certain resources. So talking through that with them to identify the resources they do have available to them, so never starting from a deficit model, but always starting from what are the assets and resources you have available to you to help you do those things right, and then helping them identify the partners that could bring the resources needed. Sometimes those resources are right in their backyard.

Ms. M. had the following to say about her impression of the Haitian people and how empowerment can help them fully utilize their talents and abilities:

It's a boost of self-esteem, you know? They are not stupid people. They are extremely industrious and brilliant and they just have to be encouraged to utilize that part of their internal structure that they already have.
Theme #2: Focus on Long-Term Relationships and Partnerships with the Indigenous People

While all of the leaders that were interviewed expressed an emphasis on empowerment and development of the people with whom they work in developing countries, they all made it abundantly clear that the way to accomplish those objectives is through an emphasis on investing the necessary time and energy to foster quality, long-term relationships and partnerships with the people with whom they are working. The leaders describe how damaging it can be if people from the developing world show up and try to tell people what to do and act like they have all of the answers, instead of trying to get to know the indigenous people and develop an understanding of what the community assets are and what areas need work to help them move forward. Mr. B. feels strongly about the importance of not only partnering with his Haitian colleagues, but also making it clear that they respect the Haitians and that they don’t pretend to have all of the answers. He describes it as follows:

I think respect for government and being respectful of the fact that you are operating in another country and they have their own laws and standards. I have seen a lot of practitioners step into those environments and assume, “Hey we are Americans and we are here to save people—we don’t have to abide by your standards, your rules, your laws.” Those kinds of things. It’s serious business. I think sometimes we treat it a little bit like tourism. Those things disturb me greatly. When I see that it troubles me. So I am sensitive to that. We do very little defining of what is needed. They define anything that is needed and we sort of march together to make it happen.

It’s relationship-building. You don’t ride around in a big white SUV. You walk with people and talk with people and you spend time socializing and connecting in ways that not a lot of big organizations do. I think respecting those is very important.

Ms. M. articulates a very similar philosophical approach when describing the work that her organization does in Haiti. Once again, the emphasis is on relationships and letting the indigenous people take the lead within their partnership to ensure that all work that is done is approached in a culturally sensitive and appropriate fashion.

We mostly work hand-in-hand with our people on the ground and ask what the needs are. We try to get most information from them and then, of course, we process it to see whether or not that’s something that we feel is in our boundaries as an organization. If it doesn’t fall within the categories that we listed, then typically we don’t touch it only because you can’t spread yourself too thin financially and that kind of thing.

We try to get all of our information from the Haitians. Of course when we go down there we see needs and then we bring them to them and say, “Okay, this is what we see. Is this a stupid idea? Is this a good idea?” And they will tell us if it’s stupid and say no. That’s not going to work here.

Don’t make false promises. Make relationships. Walk with them. You have to walk them through the process. So many people in developing countries have been just left. The people in our community love (our organization) to the point where they
paint (the organization's name) on their shoes and their backpacks and their houses. It's a good name because they know how much it's helped their community. They see us as being the catalyst that really helped them get through after the earthquake which is really an amazing thing to see years later that I think really made a difference.

Mr. U. shares very similar beliefs about the importance and centrality of relationship-building as a key factor in successful poverty alleviation work in developing nations.

We really respect and honor local people. It's not a patronizing relationship. They recognize we really do love Uganda. It's a love relationship. It's not just about getting the job done. We love it. That's part of the focus and that comes through. They talk about and we hear a lot that we are working in a way that's really meeting a need that reflects the way life flows there. We work through organic sets of relationships.

I think also just recognizing we are always looking for feedback and pooling feedback from the partners that we work with. We ask community leaders in communities where we have done other water systems how it was working with our organization. What did you feel was challenging? What do you think went well? We listen to that stuff. There is a lot of trust in one another to say this is your area, you own this area of the organization and I am going to defer to that. It's a leadership style of submitting to one another. You recognize it as a positive strength everywhere in the organization.

Mr. U. goes on to explain how he feels that poverty is much more than simply an economic problem, but that poverty also has roots in broken relationships for many people.

It's interesting because one of the guys I befriended within the last year ... has been working in social entrepreneurship and microfinance and different aspects of poverty alleviation for a very long time and he sent an email even within the last week and he talked about poverty as basically a lack of money. My response to that was to say that approach is to reduce the human experience to an economic equation, and that's not my experience. That's not my experience as a human being. It's not my experience observing and in relationship to the people that I live with or to the people that I serve in Uganda.

My experience says that we are relational beings, not economic beings. Finance is something that measures relationship and expresses relationship in different ways, but the poverty issue then — I think it's fairly easy for people to resonate with the idea that we are primarily relational, not primarily economic.

I don't get a lot of resistance on that idea. So then you have to say poverty, and it assumes and extends from that very logically and quickly, that poverty must be a relational problem, so you are looking for broken relationships not broken economics. It's not that there is no place for economics in this, obviously that's an environment and tool set that's part of the solution and part of diagnosing the problem.

It really comes down to broken relationship with yourself, not knowing who you are, not having a clear sense of identity. There is a poverty of identity there. You see it
expressed in insecurity. You see it expressed all sorts of different ways that impacts the relationships that you can have.

That can happen because of things that are happening in your own life, a broken sense of self or the way you personally process broken systems around you whether it’s a family environment or an impoverished community you live in. Another big area is broken relationships with other people. If there isn’t that healthy connection to the people that you do life with, whether it’s on a daily basis in your household or whether it’s in your community, the way you do commerce or education or broken relationships on a national or global scale, that results in certain kinds of fallout of poverty.

So obviously material poverty as we know it—the economic issue can only be accurately understood by looking at the broken relationships that resulted in it.

Theme # 3: Work on Understanding the Local Culture

The third theme that emerged after interviewing the leaders in this study was the great importance of striving to understand the local culture within which the US-based organizations were working in developing countries. The leaders made it clear that not placing a heavy focus on this theme can derail all of the goals of the well-intentioned organizations and lead to significant harm for the very people the organizations are trying to help.

Mr. B. sums up his feelings about this concept as follows:

You don’t know anything. Start there. Assume you don’t know anything because so many of the solutions that are really viable and work here (in the USA) just don’t work in these environments and these locations (in developing nations). They don’t respect cultural differences and don’t respect the history of the place. These places aren’t clean slates, right? That’s a classic assumption made by some people. We have this great idea and we will just impose it in this environment because that’s a clean slate. That ignores history, traditions, culture and the values that exist already. It ignores the capacity of people that exist there already. At the end of the day you waste a lot of resources and you miss opportunities.

I will pick two areas. One is definitely on the health side and mostly on the sanitation side of things. Organizations come in and build latrines. There are latrines all over Haiti. Everywhere you go there are latrines. They are not maintained and no one has any sense of ownership to them. Some of these ones that I have seen are so beautifully built they actually make better chicken coops than they make latrines. That’s what they become—or storage sheds or something. It’s hard to convince people to keep a latrine as just a latrine when it’s actually built better than their house. So the problem was there was no buy in. A group of volunteers, white North American volunteers fly down and spend 5 days building a latrine and they pick the site where it will be and they decide what it will be made out of. The volunteers feel good and then they go home.
Another example I can give you of that is we think traditional doctors compete with witch doctors and voodoo practitioners in Haiti. They don’t. They (witch doctors and voodoo practitioners) are actually some of our best advocates. But if you ask a western medicine practitioner – a biomedicine practitioner and you say, “Okay they are going to come see you and then they are going to see the voodoo priestess or priest and some charlatan ... a snake oil salesman, they will do all 3 of that no matter what you will do.” If that’s going to happen, what would be the smart strategy? We ought to meet with the voodoo doctor and the charlatan and talk to them about what you do and what they do and how they might actually attract a person to go to a biomedicine doctor. You know what I mean? If you start with a clean slate and assume all that stuff away and you just impose your thought, you miss the opportunity. And you ignore the fact that 70-80% of the patients that come to you to see a biomedical solution are at the same time going to see a voodoo doctor who’s probably giving them some reasonably good advice, not biomedical advice, but probably psychological advice.

So I would just say learn before you assume anything. I think it takes 3-4 trips to a place before you really know it. Do you know what I mean? And you see what you can and can’t do.

It’s something that helps that people realize they don’t understand many things. So working together, you can build a deeper understanding of the community. I think that’s been a most recent epiphany for our doctors and us is to really start looking at how to not exclude, but incorporate these other pieces of the system that we need to better understand.

Ms. M. describes how her organization places a high priority on training in the area of cultural sensitivity any volunteers from the US that are preparing to go to Haiti to ensure that nothing happens that could damage the relationship building and efforts towards empowerment and partnerships that are underway.

My job when I train teams is to teach them about cultural perspectives of the Haitians and to not come in and act as Americans who know everything. When the volunteers are culturally prepared, I think it’s easier to bridge the gap and to work with the Haitians than it is to come in and just do everything for them and act like we have all the answers.

We just do regular meetings before each trip. Definitely try to teach some of these philosophies that come from books we believe are helpful and teach them they are not the great white hope coming from America and to not be disrespectful. Just like with anything else, training is absolutely key. I believe that preparation for teams, learning about the culture, learning about the people and their history and all of that stuff goes a long way towards relationship building within a country. Even learning some of their language skills and whatever you are going to be doing, whatever task it is, do as much research as you can to give them as much information as you can.

Ms. M. further explains how some mistakes have been made in the past despite good intentions, but those good intentions were not combined with cultural awareness.

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Definitely, Haiti had a plethora of assistance after the earthquake and everybody came in and they were going to help and they were going to do these things and there were all these ideas about how to help them. I kind of watched some certain things go down.

We weren’t training out teams very well right after that. We didn’t have that real bent or knowledge and I think now when we go down they think we will give them all kinds of things. We are trying to shift that thinking and it’s been a challenge. We get asked for iPods and iPads and you name it. They just think that you are rich and you can solve all of their problems. When you try to tell them, “No,” and, “This is your thing now and we are trying to help you do that,” they push back. They don’t understand. It’s hard to break that culture.

I think one of the basic examples I can use to illustrate other issues I have seen involves groups that provided housing for them after the earthquake. Some organizations that we witnessed would put up these little wooden board houses and they were not secure, not earthquake proof, not anything. I think in the long run since I’ve watched that progress the houses are falling down and now the people have nowhere to live rather than maybe raising a little bit more money and providing them even a one room block house. There are a lot of homeless people again because they didn’t, I don’t think they spent the money wisely in the beginning. Even sanitary conditions I would say, because wood in Haiti breeds mold and all kinds of things and it just doesn’t help them at all.

Mr. U. was very forthright about the learning curve he has had over the years since he first became involved in international poverty alleviation work. Many of the early missteps happened as a result of a lack of cultural competence regarding those with whom he was working in Uganda. He describes some of those learning opportunities in hopes that others can benefit from his unfortunate experiences.

I think it’s not fair to just assume that other people are the only ones making mistakes, because we didn’t start out doing it right… Most of the time before you do something well, you do it poorly. You have to have grace and forgiveness for yourself. So, a simple example—we take volunteer trips three times a year to Uganda. So we will have collections of donors and people that want to be involved in helping us do field work. We take them over there and we go out to some of our sites when we are done working and we are connecting with people or we are trying to find new places to do water development. In between those sites we drive around a lot. It had become a practice to bring bags of candy and sometimes we would throw candy. We would see kids alongside the road and we would throw candy to them. I remember a guy, who is now on staff with us actually, but he wasn’t then. He was working with another organization. He was driving with us and he sees this and he goes, “What are they doing?” And I’m like, “They are throwing candy to the children.” And he is like, “Why is this a good idea?” And it was just confronting the idea that in Uganda one of the big things you deal with is this idea that white people will fix everything, and they pay for it! [Laughter] So they will come in and they will just do everything for you and you don’t need to take care of this because someone else will take care of it for you.
It’s basically a God-complex on the helping side and on the help side it is dependency, and he said obviously the single act of throwing candy to children, it means something different in this culture. Like if I drove through a village in the US before the school bus and I am like, hey I know all these kids are getting out of the first day of school for instance and I know they are all out waiting at the bus stop. So before the bus comes, like 15 minutes before that, we will drive through the village and throw candy to the kids, it would be great.

Well, it means something different in our society because this is not a dependency environment and I don’t represent a God-complex demographic here. But you do that in Uganda where there has been decades and decades of these powerful messages saying, “Your culture is not as good as ours. Your language is not as good as ours. Your form of government is not as good as ours. Peg your currency to ours.” All of these messages that basically say, “You and your culture are inferior.”

It is a dysfunctional action. So that’s a small one. Another example with a bit more tooth to it — there was a group locally that was getting together and sewing pillowcase dresses. The idea was something as simple and cheap as a pillowcase can turn into a dress for a young girl in East Africa and all it takes is a couple of straps, a couple of snips, and a couple of stitches and it’s a dress. It sounds so magical, right? So they were getting together for these dress making parties and someone had contacted me saying, “Hey would you like to bring some of these to Uganda?” and I was like, “Yeah sure.” This was early so I was like you know, hey, we will take anything. That would be great. They have all kinds of needs. So we bring like 100 of these pillowcase dresses — and they weren’t all pillowcases, but they were all simple sack dresses and we go to one orphanage where we were doing a water project and we bring these dresses and of course for the donors I wanted to get some pictures.

It was all girls, and already I had something inside me stop and say, “We are not doing anything for the boys.” It’s not that we have to serve everybody, but admittedly it’s a rough point where you go, “Hey on the basis of gender, even though you are all orphans we will only do something nice for the girls.” I had a voice in the back of my head say, “Wait, something might be wrong with this whole scenario,” as I was watching the boys standing off to the side watching what was going on. You know and I do recognize that poverty does impact women and young girls significantly harder than it does boys generally. There is a lot of metrics on that, but in the actual transaction that I was in I am recognizing I may be amplifying a sense of poverty and worthlessness in these boys when they go, “Huh, they didn’t bring me anything. And I would go talk to my mom about it, but I don’t have one because I am an orphan!” I am like, “Oh my gosh!” So this is going on in the back of my mind.

Second of all, I am realizing there is something not quite right in this interaction as I am going, “Hey can you try your dress on, and then I would like to get a picture with you.” Well here is what I found out through conversations with people who love us and care about us and know that we want to grow. These were Ugandan friends. They said, “You need to know those dresses are not appropriate.” He said, “In Uganda we take dresses down to the ground. That’s partly because we are conservative and
partly because life here is very active and moving and there is lots of squatting and bending and climbing and things to do life.”

So it’s too short, and they said that style of dress really is considered what they call a dressing gown. So like if you are doing your laundry you can wear this because they really only have maybe 1-2 sets of clothes. So he’s trying to be nice. What it came down to is they look at it as underwear. So basically, I came to these young girls and said, “Hey look. I brought you a bunch of underwear. Can you put it on and then I want to take pictures with you.” Oh my gosh! And it’s a horrible feeling to realize you did that. Like, I did that. So to have to back up and come to the people on this side who ask, “So how did it go?” and say, “Hey, boy, first of all I just want to say thanks for getting all these people together to mobilize them and try to meet a need. There is some feedback I would love to share with you to help make this more effective.”

Honestly that group was not interested in changing their design. They were not all that happy about the fact their gift wasn’t appropriately received. They felt out of sorts, because I am saying in order for this to actually be good, it needs to be longer, it needs to be like this. You do understand you are not giving them something they can wear to school. You are giving them something that they can wear around the house to do chores, and that is valuable, but please just understand it accurately. They were all bent out of shape about it. I never worked with them again, because I was like, hey we are focused on serving and learning and growing and submitting ourselves to what we are learning. That was tough.

Discussion / Implications

The information gleaned from the participants of this study can be very valuable for those who are contemplating undertaking similar efforts. Their philosophical approach in leading their respective humanitarian relief and development organizations aligned very closely with the previously described best practices found in the reviewed literature. The important concepts presented by these organizational leaders can add depth to our understanding of how to best approach this important work.

Humanitarian relief and development organizations often rely heavily on volunteers who sign up to take short-term missions trips and many of those volunteers have no previous training or experience in this type of endeavor. Those who are responsible for organizing such trips would do well to integrate into pre-trip training programs the wisdom and advice the leaders have shared during their interviews in this research study. Each of the leaders pointed out the importance of taking this work very seriously and all recognized that even the most well-intentioned people will make errors in judgment until they have come to terms with several key concepts.

It is clear from the literature and this study’s participants that all people who desire to do humanitarian work in developing nations must make empowerment and the development of the indigenous people a top priority so that any assistance that is provided doesn’t simply result in on-going dependence and perpetuate cycles of poverty. This objective, by its very nature, requires organizations to make a long-term
commitment to the process. The leaders in this study felt so strongly about the importance of empowering the people whom they serve, that they all hope for a future where their US-based organizations are no longer needed.

Because there are no quick solutions to the complex societal problems faced by people in less developed countries, the leaders in this study discussed the great importance of developing long-term relationships and partnerships with the people with whom they serve. When the working paradigm becomes one that is focused on empowerment, long-term working relationships, and partnerships, the third recommendation from our leaders flows naturally from the others.

Each of the leaders placed a heavy emphasis on understanding the local culture and basing all action items for the organization from that context. They warned that it is not appropriate to think solutions to problems that might be utilized in the US will either be effective or well received if attempted in a developing nation without the full vetting and support of the indigenous people. They suggested flipping the whole approach to problem solving around and recommended starting with local leaders and asking them to identify the problems that exist and the barriers that need to be overcome to move forward. The US leaders generally favored an approach where their organizations fell into a supportive role, while following the lead of those in the developing country.

The leaders pointed out that people in developing nations have had many people make promises that are never kept and this needs to be avoided at all costs. Obviously, if the maintenance of long-term relationships is a priority, making promises that can’t be kept would be very damaging.

Limitations
The primary limitations of this study are the number of participants included in this phase of research. Future research with additional participants may result in the capture of expanded insights and suggestions for leaders of organizations doing humanitarian relief and development work in less developed countries. Despite these limitations, the information gained from this purposeful sample of leaders of organizations whose missions and visions align very well with the best practices noted in the literature, can add to our understanding within this field of study.

Conclusion
In this paper, the challenges that exist for organizations that do humanitarian relief and development work in less developed countries have been explored. It has been described how many who intend to do good work to help the poor, actually end up doing harm by creating more dependence, demonstrating ignorance of the local culture, breaking promises, not understanding the importance of long-term relationships, and offering solutions to problems without ever getting input and buy-in from those they intend to help.

The leaders that were interviewed have offered their collective wisdom, based on many years of work in less developed countries. They have shared the lessons they have
learned through their own personal and professional experiences as well as those gleaned from relevant literature, advice from colleagues and their personal faith and other philosophical influences.

It is hoped that this research can help others who are considering participating in humanitarian relief and development work in less developed countries, to more fully understand the complexities that are involved and to provide some solid strategies to guide their efforts.

After reading this paper, there should be a clear understanding that organizations that are doing humanitarian relief and development work in developing nations should embrace the following strategies: 1) Empower and develop the indigenous people, 2) Focus on long-term relationships and partnerships with the indigenous people, and 3) Work on understanding the local culture.

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References


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### About the Author

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Abstract
This qualitative study documents the experiences of African American women leaders in the pharmaceutical industry in the context of the transformative leadership model. Transformative leadership is a theory that recognizes that the success of individuals and organizations (including pharmaceutical companies) may be impacted by material realities and disparities that exist in a larger societal context. Consequently, transformative leaders seek to promote change (Shields, 2011). Eight African American leaders were interviewed regarding their leadership experiences in the pharmaceutical industry. The interview text was then coded based on the seven tenets of transformative leadership. The results indicated that, collectively, all participants exhibited all tenets, with each participant illustrating at least four of the seven tenets. Three tenets were common to all participants. They included tenet one (acknowledging power and privilege), tenet three (deconstructing and reconstructing knowledge frames), and tenet seven (demonstrating moral courage and activism). While African American women leaders in the pharmaceutical industry represent a small percentage of industry leadership, they are impactful leaders and contributors to its transformation. The findings have relevance to both scholars and practitioners in management leadership generally, as well as to leaders within the pharmaceutical industry.

Introduction
The pharmaceutical industry is an industry that reports itself to be in need of transformation as it is tasked with increasing the level of productivity and competing in a growing and dynamic global economy (Hashemi, 2012). Pharmaceutical companies have become more complex and interdependent than in the past, necessitating a change in leadership approaches (Green & Aitken, 2006). Transformative leadership is a
leadership model that seeks to promote change (Shields, 2011). Consequently, leaders who demonstrate the characteristics of transformative leadership may have an important role to play in the future of the pharmaceutical industry.

**The Pharmaceutical Industry**

This $700 billion pharmaceutical industry is characterized by Hashemi (2012) as complex, mature, highly concentrated and regulated, technologically driven, and having a high cost structure as well as a risk adverse consumer base. Activities related to mergers and acquisitions, and pricing and reimbursement, have also impacted the industry (Hashemi, 2012). “The knowledge-intensive nature of pharmaceutical R&D makes the ability to capture, communicate and exploit knowledge a key determinant for success” (Rowlands & Morgan, 2006, p.84). This fact, combined with the industry’s reliance on external partners and the intra-functional and inter-functional interactions within the organization, illustrates the interdependent nature of the pharmaceutical industry (Rowlands & Morgan, 2006). According to Rowlands and Morgan (2006), it seems imperative that organizational cultures within pharmaceutical companies evolve to embrace collaboration and knowledge-sharing in order to ensure their competitiveness. Additionally, it is necessary that leaders within the pharmaceutical industry commit to changes in style and approach (Rowlands & Morgan, 2006).

Along with the complexity that embodies the pharmaceutical industry, there are a variety of challenges and opportunities for the industry’s multiple groups of stakeholders. Some of these items can be considered as material realities and disparities — necessary factors in order for transformative leadership to occur (Shields, 2011). An example of the material realities and disparities that impacts the pharmaceutical industry includes the low levels of participation by African Americans in clinical trials (Sanders, 2011). The lack of role portrayal by African Americans included in direct-to-consumer television advertising roles represents another material reality and disparity (Ball, Liang, & Lee, 2009). Additionally, traditional approaches to orphan drug development represent yet another instance of a material reality and disparity that impacts the industry. Orphan drugs are indicated for rare diseases affecting a small number of people when compared to the general population and consequently, may not have sufficiently large patient populations to make these drugs financially viable (Muthyala, 2011).

Additionally, low levels of African American women occupy leadership positions within the industry. This significant fact is well documented by various U.S. government statistics and may represent an opportunity with respect to the industry’s need for transformation and a new approach to leadership. Specifically, according to the Equal Employment Opportunity Commission (EEOC) in 2010, African American women comprised 7.6% of all employees in the pharmaceutical industry, 3.4% of first/mid-level managers and only 1.5% of senior executives (http://www1.eeoc.gov/eeoc/statistics/employment/jobpat-eeo1/2010/index.cfm#centercol).
Transformative Leadership as Conceptual Framework

There are scholars who suggest that as the world has experienced a transformation and become increasingly complex, a leadership gap has emerged. “We are now in an age of complexity and transformation” (Montuori & Fahim, 2010, p.2). The resulting leadership gap has provided the opportunity for the practice of additional leadership approaches including transformative leadership (Montuori & Fahim, 2010). Characteristics embodied by effective transformative leaders include innovation, charisma, and individual creativity (defined as one committed to effecting change) (Montuori & Fahim, 2010).

There are seven tenets that comprise the core of transformative leadership. Each can be applied to various types of organizations, including companies within the pharmaceutical industry, and are summarized as follows:

1. The acknowledgement of power and privilege and its impact is not usually regarded as the starting point of leadership, yet it is critical to understand how these elements are viewed by those who have traditionally held positions of influence, make decisions, and create policy for organizations (Shields, 2011). Transformative leadership requires a thorough assessment of asymmetrical power based on relationships within any organization (Avant, 2011). Consequently, transformative leadership recognizes and seeks to address the salient reality that some groups and individuals within a given organization are advantaged. As a consequence, some groups may be included in the decision-making process of the organization. Concomitantly, transformative leadership recognizes that other groups may be excluded from forming decisions, and, within the hierarchical sphere, are disadvantaged and often marginalized (Shields, 2011).

2. The moral aspects of transformative leadership result in an organizational focus on purposes related to equity, excellence, public and private good, and individual and collective advancement. Transformative leaders must have clarity with respect to their individual purposes, but must also engage others to ensure that such purposes are shared (Shields, 2011). Specifically, transformative leadership requires reflection on the leader’s personal beliefs and attitudes in order to understand how they may impact individuals as well as the broader community (Avant, 2011).

3. Deconstructing and reconstructing knowledge frameworks are important tasks for the transformative leader. In doing so, the transformative leader is able to distinguish between the differences in experiences that exist between those who are and are not members of the dominant culture. Additionally, any inappropriate attitudes and assumptions that may exist are highlighted (Shields, 2011). In many ways, this tenet of deconstructing and reconstructing knowledge frameworks is akin to the leader challenging the current process or status quo, and provides an environment within which individuals can feel good about their work and their contributions to the community (Northouse, 2013). Transformative leaders possess and integrate knowledge that is reflective of their cultural
awareness and ability to function within a cultural context. For the transformative leader, such awareness is indicative of one’s awareness of not only his or her own culture, but one’s competencies in effectively navigating across other cultures as well (Avant, 2011).

Following deconstruction, transformative leadership calls for the leader to initiate the process of reconstruction, or reframing attitudes and assumptions (Shields, 2011). Transformative leaders work toward building a framework of inclusion, thereby increasing societal consciousness about the acceptance and valuation of differences. Intention in this regard is critical, given the lingering effects of societal disparities.

4. The transformative leader will seek to balance critique, an important step in the deconstruction process, and promise (Shields, 2011). It is necessary within the critical analysis to reveal the interplay between power and ethics within the organization. Doing so can help ensure that organizational and social arrangements are aligned with the rights of all individuals (Langlois, 2011). Four questions can be posed by the leader to support critique and to help determine the relationship between power and ethics:
   - Who benefits from this situation?
   - Is there a dominant group?
   - Who defines the way in which things should be structured?
   - Who defines what should be valued or undervalued? (Langlois, 2011, p. 92).

Additionally, transformative leadership requires a critique of a given organization and its systems. This should include an examination of practices and policies, as well as their implications for integrating underrepresented groups and effecting social justice (Jun, 2011).

Strategies for promise necessitate environments in which beliefs and norms can be challenged and do not result in the marginalization of some populations. Consequently, this tenet identifies the need for the leader to address inequities both within the organization and the broader community (Shields, 2011).

5. Effecting genuine and equitable change — another imperative for transformative leaders — involves going beyond the documentation of inequitable instances to uncover and include material deficits and necessary reforms. “Transformative leaders are explicit about both the goals to be achieved and the processes required to attain them” (Shields, 2011, p. 9). Transformative leaders are considered to be change agents and are positioned and equipped to strive for societal justice:
6. Working toward transformation (which includes liberation, emancipation, democracy, equity and excellence) is a tenet of transformative leadership. Recognizing that typical organizational goals include traditional and measurable outcomes, transformative leaders may highlight goals that are atypical for the organization. Ravitch (as cited in Shields, 2011) makes that point that goals should be worth striving for and should be relevant to all parties. Transformative leadership recognizes the need for goals to be purposeful. “Transformative leaders base their decisions on this moral dialectic and not on technical strategies and solutions” (Shields, 2011, p.10).

7. The demonstration of moral courage and activism is also a critical component of transformative leadership. This tenet is one that requires leaders to possess clarity of self as well as an understanding of their values and beliefs. Shields (2011) also suggests that operating in a completely transformative way may result in isolation or rejection of the leader. Transformative leaders may, in fact, experience a dilemma in that they may find themselves associated with the dominant structure of authority and power while simultaneously needing to reach beyond and challenge traditional norms. They must take risks and build alliances in order to advocate for those who are underrepresented. “This is not only the quandary of the transformative leader but the mandate as well” (Shields, 2011, p. 11).

To authentically engage in addressing inequities that have resulted from institutionally-created disparities can be exhausting (Bieneman, 2011). “For that reason, transformative leaders need to be resilient and spiritually grounded. They must be able to thrive despite adversity and they need to be willing to explore the creative tension of opposites, while working to minimize conflict. It is a delicate balance at best” (Bieneman, 2011, p. 227). Transformative leaders are required to have clarity with respect to their own values and beliefs — the foundation of
their individual identity. They must participate in advocacy, possibly taking positions that may require the illustration of moral courage. Lastly, they must be able to live with the tension that may result from transformative work (Shields, 2011).

Transformative Leadership as an Extension of Transformational Leadership

Transformational leadership is regarded as a process which exists between followers and leaders. Consequently, this process incorporates the needs of both, and produces a shared responsibility that emerges from the interaction between these two groups (Northouse, 2013). Transformative leadership extends its links to include “the ends of equity, inclusion, and social justice” (Shields, 2011, p.5). Because transformative leadership represents an extension of transformational leadership (Shields, 2011), it is important to outline important, key differences in their core components.

The starting point represents a key difference between transformational leadership and transformative leadership. Transformational leadership has as its stating point the need for a given organization to operate smoothly and efficiently. Transformative leadership has as its starting point external material realities and disparities that have an impact on individual or group success (Shields, 2011).

Transformational leadership is concerned with achieving organizational change and success within complex and diverse systems. Transformative leadership is concerned with critique and promise at its foundation, with the goals of individual and organizational learning and societal transformation (Shields, 2011). The distinction between transformational leadership and transformative leadership lies in the latter’s emphasis and concern for deep and equitable change in the broader sense (which includes community and social conditions). The former emphasizes change within a particular organization (Shields, 2011).

Purpose of the Study

This study gives voice to this group of African American women leaders by documenting their experiences in global pharmaceutical companies and reviewing them in the context of transformative leadership as the theoretical framework. The question addressed by this research is: how do African American women leaders in the pharmaceutical industry illustrate the seven tenets of transformative leadership? These women who constitute this small percentage of industry leadership (less than 5% of industry leadership) may well be instrumental in assisting the pharmaceutical industry in transforming itself.

Significance of the Study

This study has both practical and scholarly significance. For the pharmaceutical industry as a whole, the application of the transformative leadership model may provide an interesting lens through which to define and view industry leadership, particularly for African American women. Giving voice to the experiences of the individual African
American women participating in this study will allow for the representation of both diverse and rich leadership experiences. The experiences reported provide a unique view of leadership experience for a small and impactful group from within this dynamic industry. This work also adds to the body of knowledge relative to transformative leadership as “few studies have operationalized transformative leadership and examined its effect in real life settings” (Shields, 2010). Additionally, this work may have implications for various industries that find themselves in need of transformation.

**Methodology**

This research study utilized a qualitative methodology approach to gather data for analysis. Semi-structured interviews were conducted. A series of open-ended questions were used to gain an understanding about the participants’ experiences, values, and behaviors in the context of their respective leadership positions within the pharmaceutical industry. Each interview was audio-recorded and transcribed. Any mention of names, titles, companies, specific drugs, or compounds was redacted. Additionally, the researcher made field notes during and after the interviews (Creswell, 2013).

**Selection**

Recruitment relied on a snowball strategy, a widely used recruitment method in quantitative research within the social sciences (Noy, 2008). Eight interviews were completed with African American women in leadership positions in the pharmaceutical industry. Three of the top fifty pharmaceutical companies were represented along with multiple-function areas, including sales, marketing, corporate services, human resources, and research and development. Participants occupied mid-level or senior-level leadership positions within their companies. Titles held by the participants included manager, director, vice president. Their years in the pharmaceutical industry ranged from ten to twenty-seven and one half years.

**Data Analysis**

A profile was created for each of the eight participants as an effective way of analyzing the data gathered during the interview (Seidman, 2006). Hypothesis coding was used to delineate the interview text using the seven tenets of transformative leadership as codes. It should be noted that hypothesis coding in not a strategy that is reserved exclusively for hypothesis testing. This coding strategy is an appropriate technique for content analysis of qualitative data (Saldana, 2013). In keeping with this approach, each participant’s transcripts were coded based on the seven tenets of transformative leadership and a profile constructed with respect to each participant’s display of each tenet of transformative leadership. Consequently, for each participant, a text chart was constructed and used to outline the supportive text for each of the codes (transformative leadership tenets), as a summary for the researcher and the reader (Saldana, 2013). Triangulation of different data sources (audiotapes of the interviews, transcripts, and field notes) was used to increase the trustworthiness of this study.
Findings and Results

Collectively, all of the participants in this research study illustrated all seven of the transformative leadership tenets through their interview text. Each of the women in this study identified material realities and disparities facing the pharmaceutical industry. These included issues related to workforce diversity and inclusion, community relations, and targeted promotional efforts. Each of the participants exhibited at least four of the tenets that comprise transformative leadership. Additionally, all of the participants provided support through their text for the following three tenets: tenet one (acknowledging power and privilege), tenet three (deconstructing and reconstruction knowledge frames), and tenet seven (demonstrating moral courage and activism). Specifically, all participants understood the results of traditional hierarchical power structures and privileges that were ascribed to particular groups. All participants recognized the need to encourage and lead change in thinking within their companies and the potential for change to result in a broader and more diverse understanding of business opportunities and societal impact. Lastly, all participants illustrated a commitment to high moral standards as well as concern for inequities, and subsequently a willingness to advocate for members of underrepresented communities both inside of and outside of their companies. Table 1 provides a summary of the transformative tenets illustrated by each participant. To maintain confidentiality, participants are referred to as Participants A – H.

Table 1: PARTICIPANT SUMMARY BY TRANSFORMATIVE LEADERSHIP TENET

<table>
<thead>
<tr>
<th>Tenet/Code</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Power and privilege</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>2. Organizational focus</td>
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<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>3. Deconstructing-reconstructing knowledge frames</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>4. Critique and promise</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td></td>
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<td></td>
<td>X</td>
</tr>
<tr>
<td>5. Bringing about change</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>6. Working toward transformation</td>
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<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>7. Demonstrating moral courage-activism</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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</tr>
</tbody>
</table>


Participant Profiles

A summary discussion of each participant’s profile follows:

Participant A. Participant A reported having been in her current position for two years. Her educational background included a bachelor of arts degree in hospital administration. She has worked in the pharmaceutical industry for nineteen years.

With respect to Participant A’s illustration of transformative leadership, a review of the text provided support for four of the seven tenets. They were: acknowledgement of power and privilege, deconstructing and reconstructing knowledge frames, bringing about change, and demonstrating moral courage and advocacy. An example of her work as a transformative leader was evident in her description of a project where she successfully secured a grant to fund a hospital-based physician and patient education program for HIV/AIDS. She describes her activities as partnering with the customer (hospital) in response to a need that she discerned within the market (and community). She describes this work as particularly fulfilling due to the impact of the program in equipping physicians to better serve a community comprised primarily of low-income African Americans. For this participant, tenet five (bringing about change) was the fourth tenet in her profile. Examples provided to support this tenet were also related to the development and funding of educational programs targeting underserved communities.

Participant B. Participant B worked in the pharmaceutical industry for fourteen years. She had been in her current role for nearly four years. Prior to joining the pharmaceutical industry, she worked in sales in another industry. Participant B earned a bachelor of arts degree in English. Five of the seven tenets were evident for Participant B. They were: acknowledging power and privilege, deconstructing and reconstructing knowledge frames, critique and promise, bringing about change, and demonstrating moral courage.

Participant B’s passion in ensuring the advancement of women and other under-represented individuals within her department and other areas of the company provided an example of her work as a transformative leader. Her description of the multiple employee development programs she implemented within her company illustrated her commitment to build a leadership pipeline. Further, Participant B made the point that addressing the leadership gap for women, African American women in particular, in the pharmaceutical industry was a shared task between the company’s current leadership and aspiring individual leaders. As a result of her work in this regard, she was credited with creating and implementing career development programs to assist women and other aspiring leaders. Participant B also reported personally reaching out to individuals to notify them of opportunities that she was aware of (by virtue of her leadership level) that were likely to become available and helping these individuals position themselves as candidates for consideration. She was acutely aware of the relatively small size of the candidate pool of African American women leaders and was passionate in her desire to inspire, encourage, and prepare diverse candidates to compete for leadership positions.

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“I wish that we had more [African American women] in the pipeline” (Participant B, personal conversation, June 21, 2013). In support of this thinking, she described some of the calculated risks that she had taken to encourage the organization to consider candidates who, with the right level of organizational support (such as coaching), could be successful. She encouraged the organization to evaluate factors such as an individual’s judgment (which indicates the ability to make good and right decisions and to learn from mistakes) and self-awareness (which indicates an awareness of an individual’s strengths and weaknesses).

For Participant B, the illustration of tenet four (critique and promise) and tenet five (bringing about change) differentiated her profile. Her discussion regarding these two tenets included recruitment and employee development practices relative to workforce diversity.

**Participant C.** Participant C reported twenty years of experience in the pharmaceutical industry. Seven of these years had been in her current position. Her educational background included a master’s degree in health administration and a law degree. Participant C exhibited five tenets of transformative leadership, namely, acknowledging power and privilege, organizational focus, deconstructing and reconstructing knowledge frames, balancing critique and promise, and demonstrating moral courage and advocacy.

An example in which Participant C illustrated her role as a transformative leader emanated from her ability to encourage those who she supports in the organization to think through the impact of various decisions not only concerning her company, but more broadly as well. She described her role as “subtly moving people in the right direction…. there’s a lot of teaching in the role” (Participant C, personal conversation, June 22, 2013). She described her work as part of a team whose task it was to evaluate the status of her company’s patient assistance program in which low income individuals were reimbursed for the cost of drugs. While her primary role is to provide specific advice based on her expertise and training, she indicated that she had been able to influence decisions with respect to the scope of the program. Participant C encouraged an evaluation of the impact of program changes on the communities served by the program, as well as ensured that decision-making was more distributive and reflected broader input. Participant C differentiated her profile with the demonstration of tenet two (organizational focus) and tenet four (critique and promise).

**Participant D.** Participant D reported ten years of experience in the pharmaceutical industry. She had been in her role for two years. Her educational background included a bachelor of science degree with a major in biology. She joined the pharmaceutical industry following her work in the clinical research organization (CRO) and hospital industries. The four tenets of transformative leadership illustrated by Participant D included acknowledging power and privilege, deconstructing and reconstructing knowledge frames, bringing about change, demonstrating moral courage, and advocacy. Her work on the development of various drugs reinforced her understanding of the health disparities that exist in the African American community. Through her work, she
Illustrations of Participant D’s transformative leadership involved educating and advocating for the recruitment of African Americans to join her company, as well as setting high ethical performance standards for her team. In her role, she has directly addressed one of the most significant concerns in the African American community regarding the pharmaceutical industry: participation in clinical trials. In doing so, she has been able to provide balanced information regarding clinical trials. “There are clinical trials out there that would give you constant care, free exercise, free medications, free education on what you’re doing, what you’re taking, how you’re feeling. And we as African Americans don’t tap into it” (Participant D, personal conversation, June 22, 2013).

**Participant E.** Participant E had worked seventeen years in the pharmaceutical industry. She had recently changed companies and had been in her current role for less than one year. Her education background included a master’s degree in public health. Participant E illustrated four of the seven tenets of transformative leadership. They were acknowledging power and privilege, deconstruction and reconstructing knowledge frames, bringing about change, and demonstrating moral courage and advocacy. Her commitment to these areas was apparent in her account of recruitment activities that targeted qualified African Americans to join a highly scientific area. Participant E also illustrated a commitment to effecting change with a strong commitment to diverse team formation and its associated perspectives. She noted the importance of accuracy and being in compliance, two critical factors related to a research and development function. “We have got to make sure that one plus two equals three at the end of the day. We can’t end up with four or two because.... then we won’t be in compliance” (Participant E, personal communication, June 24, 2013). She also reported her strong ethical stance causes her to speak up if a situation challenges her values or ethics.

**Participant F.** Participant F reported seventeen years of experience in the pharmaceutical industry. Her educational background included a master’s of business administration degree. Her interview responses illustrated four of the seven tenets. They were acknowledging power and privilege, deconstructing and reconstructing knowledge frames, bringing about change, and demonstrating moral courage and advocacy. Participant F provided a number of examples regarding her commitment to sharing her knowledge with others (both inside and outside of the organization). She recognized the impact of knowledge gaps that can exist for African American communities regarding the pharmaceutical industry and the health care system as a whole, and sought to address them. Internally, she was committed to providing coaching and mentoring to underrepresented groups such as African American women and would, at times, initiate these relationships.

Participant F differentiated her profile with the illustration of tenet five (bringing about change). Interestingly, the examples to support this tenet included not only the recruitment of diverse employees from external sources, but also her work in mentoring
others within the organization. For her, mentoring was seen as a means to facilitate the promotion of diverse candidates to higher levels within the company.

**Participant G.** Participant G had worked in the pharmaceutical industry for sixteen years. She had been in her current role for five and one half years. In addition to a master’s degree in business administration, she also earned a law degree. Participant G illustrated all seven of the tenets of transformative leadership. It is possible that as a senior-level, African American leader, her role positioned her well to impact change and transformation in the broadest sense (inclusive of her work within the company as a leader and outside of the organization through board service). Her commitment to building an organization that incorporated diverse views in decision-making was noteworthy, as well as her passion for fostering African American talent in business and within the pharmaceutical industry in particular.

Participant G’s illustration of tenet six (working toward transformation) differentiated her profile from all of the other participants except that of Participant H. In this study, tenet six was illustrated only by Participant G and Participant H.

**Participant H.** Participant H has worked in the pharmaceutical industry twenty-six and one half years. She had occupied her current role for three years. The highest degree she earned is a master’s in public health. Participant H illustrated all seven of the tenets of transformative leadership. Her convictions were strong with respect to educating the organization and advocating for those who are underrepresented. Her examples of leadership in various situations over the course of her career were impactful from both a business and community perspective. She emphasized that the actions she took as a leader had been substantiated not only by data and research, but in many ways had been grounded in her values and ethical points of view.

Importantly, she highlighted her ability to read and understand the interpersonal dynamics of the organization as an important contributor to her success. When asked to describe her leadership experiences as an African American woman leader in the pharmaceutical industry, she offered the image of a hot air balloon:

> You know, a hot air balloon goes up slowly but it can come down hard if the person’s not navigating that balloon; it could be a hard landing.... And the reason, why I described it that way is because the industry has gone through peaks and valleys, which requires a change in one’s leadership, depending on who’s leading the company (Participant H, personal communication, July 9, 2013).

Support for Participant H’s illustration of all seven tenets was provided in numerous examples related to workforce diversity as well as her input in developing educational and marketing programs targeted to various communities.

In summary, the eight African American women leaders in the pharmaceutical industry included in this study illustrated the individual and collective characteristics of transfor-

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mative leaders. Each displayed at least four of the seven. The two most senior participants in the sample (Participants G and H) illustrated all seven tenets and were the only participants to illustrate tenet six (working toward transformation – which includes equity and excellence and highlighting goals that are outside of typical organizational data-driven goals).

Conclusion
By reviewing the experiences of these women in the context of transformative leadership, this study provides examples of transformative leadership in practice in a corporate setting. This evolutionary leadership model may have a high degree of relevance and applicability to the pharmaceutical industry by delineating the material realities and disparities it faces. The tenets of this leadership model may represent important considerations with respect to the leadership approaches for the industry. Tenet seven, in particular, (demonstrating moral courage and activism), which was illustrated by all participants, provides a link to the larger societal benefit which could be associated with developing and marketing medicines as well as the decisions that are made as part of that process. Transformative leadership may also be relevant to discussions of corporate social responsibility. Discussions in this area can include workforce diversity and inclusion, community relations, and targeted promotional practices — all important considerations for this industry.

References


About the Author

Dr. Yvette Lynne Bonaparte is a collaborative and metric-driven scholar and practitioner in the areas of marketing and leadership. She has a twenty-year track record of success in private industry and has held leadership positions in the areas of brand/product management, global marketing, customer insights, and program management with some of the world’s best known corporations. She has also consulted with leading organizations within higher education and the health care industry in the areas of strategic marketing, and diversity and inclusion.

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THE GREATER PLANETARY GOOD: FROM A PRECEPT TO A PROGRAM

DR. MARK MANOLOPOULOS
MELBOURNE, AUSTRALIA

Introduction
Global challenges like the environmental crisis may be better understood and more effectively addressed by redressing neoliberalism’s fundamental failure to foster the greater planetary good. What is urgently required is an adequate conception of this good and a strategy leading to a reconstitution of global society that conforms with this good. The article attempts to contribute to these daunting but necessary tasks by (1) conceiving the greater planetary good as a critical letting-be fostering biospheric survival and flourishing; and (2) proposing a practical three-stage strategy involving the conception, advocacy, and implementation of a blueprint of a global society.

Where We Seem to Be
The fundamental assumption driving this paper is the need for significant reformation or transformation of contemporary global society. This worldwide System, which crystallized in the 1980s and has rapidly gained ascendancy ever since, may be roughly described as “neoliberal.” N. N. Trakakis (2015) provides an excellent synopsis of neoliberalism, citing its various key characteristics. A core aim is free trade in the context of an ever-more self-regulating market, and government contributes to this goal by greater deregulation, less interference, and greater privatization of the public sector (2015, pp. 292-293). Trakakis rightly notes that “Underpinning these principles is an . . . ‘economic rationalism’ . . . where all forms of rationality are collapsed into economic ways of thinking (e.g., cost/benefit analyses)” (2015, p. 293).

I often wonder whether the “assumption” that the present System requires reform or transformation demands rational and/or empirical justification among critical thinkers (hence, the inverted commas around the word): is it not obvious that structural change is required? Probably not: meeting little resistance in its global conquest, neoliberalist political economy appears to be generally met with tacit acceptance even among scholars. Of course, endorsements of the current System might vary wildly, from a certain negative affirmation, perfectly encapsulated by the famous formulation of
democracy recited by Winston Churchill as “the worst form of Government except for all those other forms” (cited in Langworth, 2008, p. 574) to a Fukuyamaian triumphalism that declares neoliberalism the apex of humanity’s sociocultural evolution (Fukuyama, 1992). Whatever one’s degree of approval, capitalistic democracy is so entrenched in our hearts and minds that one finds it near-impossible trying to even imagine some kind of alternative, especially in the aftermath of the communist failure. However, in the short time since the fall of the Berlin Wall and the publication of Fukuyama’s *End of History*, global society has witnessed multiple and accelerating systemic failures, including the Global Financial Crisis (GFC), the “War on Terror,” and so on. At minimum, such phenomena urge us to rethink neoliberalism and even beckon us to critically consider significant systemic reform or regime change.

But one may cogently respond by recalling Churchill’s recitation: representing a system as the least worst and thus as anything-but-perfect or even very good allows more candid neoliberals to admit that the System is bound to have structural tensions and occasional ruptures (Niskanen, 2009, might be cited as an example in this regard [though I reject his logic—how could ethics be “undemanding”?]). This is quite a compelling point: it is easy to undermine Fukuyamaian triumphalism (and even Fukuyama appears to have distanced himself from neo-conservatism [2006]), but it is quite another thing to challenge a position with a certain humility inscribed within it. It is difficult to counter the reasonableness of a sentiment like: “Sure, our present System isn’t perfect, so it’s bound to have perturbations, but it’s better than the alternatives (if there are any) . . .” Hard to disagree with that. However, there is perhaps one crisis that most acutely exposes neoliberalism’s radical deficiencies; one crisis that most emphatically calls for the reformation or transformation of global political economy: the environmental crisis, of which the much-publicized, climate change challenge is but one of its many dimensions.

It would be reasonable to assume from the preceding discussion that I shall now proceed to identify and discuss the ways in which the environmental crisis exposes neoliberalism’s structural tensions and limits, or, to put it in starker terms, how capitalistic democracy is bringing the Earth to its knees — but I shall not proceed in this manner: several studies have already made significant inroads in this direction (refer to, e.g., Klein, 2014; Koch, 2011; Magdoff & Foster, 2011; Mathews, 1996; Peet, Robbins & Watts, 2011). Instead, I seek to outline a certain conception of the greater planetary good that would fundamentally inform global social organization. One of the advantages of proceeding in this way is that rather than developing an explicitly negative critique, I attempt the more constructive task of proposing a suitable way-of-being: one that is fastidiously informed by our material conditions and thus thoroughly realistic and rational, ethical and ecological.

Several provisos also need to be specified before proceeding any further. First of all, we should categorically reject any assumption that capitalistic democracy is the only source and driver of environmental degradation, which may be an “occupational hazard” for enthusiastic analysts of the nexus between neoliberalism and, say, anthropogenic climate change. The roots of the crisis run deep across time and place; it obviously
precedes and exceeds neoliberalism. For instance, the Roman Empire wrought environmental havoc via deforestation (Williams, 2006; cf. Hughes, 2001). We should also be cognizant of the fact that alternative social formations existing in parallel with capitalistic democracy have also been ecologically devastating. Striking examples in this regard are various communist regimes in the twentieth century, particularly the USSR (Goldman, 1972; Komarov, 1980; Feshback & Friendly, 1992), while China remains infamous for its air pollution and other biospheric challenges (Shapiro, 2012). Nevertheless, as the above-cited research compellingly shows, global neoliberalism exacerbates and spreads the crisis with alarming efficacy.

Other sources and drivers of eco-violence are social institutions that are often trans-historical and transnational — a fact that further undermines the notion that the eco-crisis is a purely neoliberal affair. Emblematic in this regard are the various puritanical religions whose emphases on asceticism and otherworldliness have been unleashing negative effects on this world and its bodies (White, 1967; Kinsley, 1995). Of course, this does not automatically entail that religions are irreducibly anti-ecological: the dynamics between these institutions and environmental degradation are ambiguous and complex (Santmire, 1985; Kinsley, 1995) —indeed, aspects of various religions and spiritualities often inspire and inform ecological practice (Kinsley, 1995; Tucker, 2003), especially when it comes to earthier indigenous traditions (Grim, 2001).

Another factor that further reinforces the fact that the eco-crisis is not a merely neoliberal phenomenon is the proposition that we individual human subjects appear to be (intrinsically?) prone to unethical practices, including eco-violence. Discourses as divergent as Christian theology and Freudian psychoanalysis nevertheless converge on the notion of the human propensity for unethical behavior, of which greed, selfishness, covetousness, destructiveness, etc., all feed into our anti-environmentalism (the former tradition calls this propensity “original sin” while the latter explains it in terms of a divided self whose unconscious brims with devilish desires [refer to, e.g., Lee, 1949; McClelland, 1959; Gellner, 1985]). However, we must not exaggerate any individual propensity for evil, especially when we note that our social formations also fundamentally inform how we behave as individuals. Žižek’s (2012) incisive remark regarding the relation between the structure and the individual in the context of the GFC and its greedy financiers also applies to the eco-crisis (even though Žižek obviously exaggerates the structural dimension at the expense of personal responsibility by providing an “either/or” formulation of the problem): “let us not blame people and their attitudes: the problem is not corruption or greed, the problem is the system that pushes you to be corrupt” (Žižek, 2012 [no page number]). All of this is good news for those of us attempting to analytically determine to what extent neoliberalism drives and intensifies the eco-crisis and consequently to what extent we require ethico-structural change: history attests that bad personal behavior remains remarkably consistent over time, while social formations come and go; so, if we alter the System, we have a shot at overcoming the crisis, as well as possibly/probably curbing unethical agential behavior.

The key here is that our reformatory/transformative strategies move beyond understandably “commonsensical” but ultimately naïve approaches exclusively/
excessively grounded in the autonomous agential subject; we should be more attuned to the practices and structures that shape us individuals more than we know or feel. I attempt to incorporate these and related insights in the suggested leadership program, a strategy that might be able to get us from where we seem to be to where we ought to be — but first I articulate what this “ought” might be vis-à-vis a certain conception of the greater planetary good.

**Where We Ought to Be**

We may begin to form an adequate concept of the greater planetary good by simply observing the self-evident reality that encompasses us: we are corporeal beings “thrown” into existence (Heidegger, 1966a) who find ourselves among other material beings. And, perhaps a little less obviously, we subsist on a planet whose life-sustaining ecosystems are susceptible to human interference and destruction — a counteractive destructibility. The truth and import of such banal empirical observations may be obscured by their very obviousness. As Ludwig Wittgenstein incisively pointed out: “The aspects of things that are most important for us are hidden because of their simplicity and familiarity” (2009, p. 104). So, what may we deduce from these banal observations? We can discern in such observations a fundamental and general ethical principle (the significance of the qualifier “general” in terms of exceptions is discussed in due course) that forms a key building-block for the concept of the greater planetary good: earthly entities and ecosystems that come-to-be should be allowed-to-be. This letting-be might be described in terms of “ontological rights” (cf. Crowe, 2009): by coming-into-being, entities and ecosystems have a right to be, and we humans ought to respect this right for them to appear and persist in their being by letting them be.

The principle and practice of letting-be, which contemporary familiarity may be largely attributed to twentieth-century hippie counter-culture, is actually endowed with a long but generally under-researched philosophical and religio-spiritual heritage. To begin with, there is the ancient Taoist notion of *wu wei*, which has to do with non-doing or actionless action (Liu, 1991). There is also the old German word *gelassenheit*, whose root term *lassen* means “letting” or “allowing.” This word was utilized by the controversial fourteenth-century Christian philosopher, theologian, and mystic, Meister Eckhart (who was tried by the Inquisition but seems to have died before a verdict was delivered), denoting notions of non-willing and detachment. In the early twentieth century, Martin Heidegger recalled Eckhart’s usage but took up the concept of *gelassenheit* in a more secular way in order to configure it in terms of “openness” and “releasement” (Heidegger, 1966b; Watts, 2014, pp. 91-94). Debra Bergoffen (2006, p. 99) notes how pioneering feminist Simone de Beauvoir (1948) also drew on the notion of letting-be in

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*The aspects of things that are most important for us are hidden because of their simplicity and familiarity.*

—Ludwig Wittgenstein
her development of an existential ethic. The basic reason for this very brief historical retracing is to indicate that the principle and practice of letting-be is certainly much richer and more discerning than might be suggested by its contemporary enframing in pop-philosophical or pop-psychological discourse and ultra-permissive culture — especially its disfiguring reduction to the hyper-relativistic or nihilistic non-ethic of “anything goes”: the two must not be confused or conflated. Their radical difference is brought into sharper relief as I proceed.

The practice of *gelassenheit*, then, is characterized by the seemingly paradoxical praxis of “actionless action” or “active passivity” — such “inactivity” is considered paradoxical in light of contemporary society’s hyperactivity, a busy-ness involving the incessant objectification, commodification, and destruction of entities and ecosystems. Whatever entity or system comes-to-be is not immediately, or principally construed, as a product to be reconstituted, stored, consumed, and squandered by us humans but rather allowed-to-be in its own being. Indeed, letting-be generally maintains a certain respectful “distance” from Earth others, providing the time and space for them to arise and persist in their being. By letting things be, we humans would finally (and quite easily) be able to co-exist with earthly entities and environments. Of course, such a practice does not preclude a loving relation to/with these others, but it must preserve this space or opening to let the beloved be. (The eco-practice of letting-be therefore stands in some contrast to a well-meaning but possibly intrusive environmentalism seeking deep “communion” with Earth others.) Furthermore, associated with this practice is a letting-go, for in order to let things be, we humans need to let them go. This is particularly crucial in the context of capitalistic democracy, which is driven by desires and practices associated with the objectification, commodification, possessiveness/hoarding, and destruction of entities and ecosystems. Letting-go-to-let-be thereby stands diametrically opposed to the global practices of hyper-production and hyper-consumption.

Thus far, I have been outlining a concept of the greater planetary good in terms of the principled practice of letting-be. But this is only half the story: by letting things be, we also allow them to survive and flourish. Hence, the greater planetary good involves the survival and flourishing of entities and ecosystems. Before further elucidating this dimension of the greater planetary good, I should first add that this does not mean that letting-be should be merely reductively understood as something we do “just” as a means for survival and flourishing (“means” are often denigrated by lofty ethicists), for it is *also* an end in itself: its justification does not depend on its efficacy or outcomes (its justifications—if it needs any—are ontological, rational, ethical, ecological.) We should also note that the dynamic between these two aspects of the greater planetary good is circular or interdependent: by us humans letting things and ecosystems be, we foster their survival and flourishing, which, in turn, requires letting them be, and so on. “Letting-be” and “survival and flourishing” are two sides of the one “coin” — the greater planetary good.

Now, as is the case with the notion of letting-be, what we have with the coupling “survival and flourishing” is a very “obvious” or “commonsensical” formulation of this good. But, as I noted earlier, the obvious is often hidden by its simplicity and plain-sightedness.

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Even this dimension of the greater planetary good appears obvious: our large-scale eco-oppression and destruction demonstrate that we humans are dismally failing in realizing this good (for instance, species extinction and ecosystem degradation are occurring at alarming rates [Pimm, Jenkins, Abell, Brooks, Gittleman, Joppa, Raven, Roberts & Sexton 2014; Heywood, 1995]).

But what do I mean, exactly, by the broad and vague pairing “survival and flourishing?” As I proceed, I explain why such ambiguity is both inevitable and integral to the concept’s rigor. To assist me in this endeavor, I draw on Hans Sluga’s impressive Politics in Search for the Common Good (2014). In that work, Sluga compellingly contends that there may be various configurations of the common good (2014, p. 2; note that “common good” and “greater good” are considered interchangeable in the present context), and he recalls “justice,” “freedom,” and “individual well-being” in this regard (2014, p. 2). Sluga then proceeds to express a somewhat justified skepticism in terms of identifying one authoritative conception of the greater good: “If there were a determinate common good, we would have an easier time at passing judgment on our political reality” (2014, p. 4); and yet, Sluga then proceeds to mention—but only in passing and only if compelled to name one single good—it would be “survival or flourishing” (2014, p. 4).

My immediate reaction to Sluga’s formulation was delight, given that his conception accords more or less with an aspect of my definition of the greater planetary good—but why “more or less?” Sluga names this pairing as the fundamental/irreducible good “for society,” and my hunch is that his conception of society is probably anthropocentric (excessively human-centered); in other words, Sluga is likely referring to human society. Such a reading appears to be vindicated by the fact that only a few pages earlier, Sluga speaks of the somewhat related notion of “community” in the following way: “We can, moreover, envisage the community for which such a good is sought in different ways, as tribal, local, national, international, or even global, as egalitarian or hierarchical . . .” (2014, p. 2). There is no mention here of the good of the biospheric community. But if Sluga’s conception does, in fact, suffer from this delimitation (and we cannot know for sure, going by the text), it is easily overcome by reconfiguring “(human) society” as “planetary society”—the society of all entities and ecosystems. In a radically egalitarian maneuver, democracy would thus be transformed into an ecocracy.

There are also some very valuable and insightful aspects to be gleaned from Sluga’s terse formulation. First of all, (and most generally), his tentativeness and even perhaps hesitancy to offer a basic definition is admirable; when we advance ambitious conceptions (even if in passing), we should vigilantly retain a certain measure of doubt and openness to the possibility of being wrong, given that our thinking is fallible. (The trick, of course, is to maintain the proper tension between ambition and humility.) The other more specific but somewhat concealed and even possibly unintended insight is the ambivalence inhabiting the phrase “surviving or flourishing.” At first sight, the significance of the “or” is unclear: is Sluga applying it here in the conjunctive and/or disjunctive sense? Given that he himself does not offer clarification, we can only speculate. On the one hand, he stipulates that he is about to offer “a single good” so the “or” may be understood as a conjunction. On the other hand, the two terms are usually
understood to mean two very different things: *either* “mere survival” *or* “abundant flourishing.” While there is perhaps no need to definitively choose between the one and the other, I think interpreting the “or” as a conjunction is insightful in the sense that “survival” and “flourishing” might be understood as the two poles existing at each end of the continuum of being. Such an understanding may have several benefits, including the ability for us to suspend problems associated with trying to determine whether and to what extent an entity or ecosystem is “either” surviving “or” flourishing. I thus conjoin the two terms — i.e., “survival-flourishing” — to stylistically indicate the strategy of deliberately reading Sluga’s coupling as a continuum. Another benefit of reading “survival or flourishing” as a spectrum is that we may better discern their truest polarities: annihilation (versus survival) and oppression (versus flourishing). The most radical opposition does not lie between survival and flourishing, but between survival-flourishing and annihilation-oppression.

We are now closer to concluding our sketch of an adequate concept of the greater planetary good (“adequate” rather than “comprehensive,” for the paper’s other basic aim is to outline a strategy for systemic change that may steer us along a path to a global society informed by this good). What remains to be accomplished is a further degree of refinement in terms of limit-cases to letting-be and survival-flourishing. But, first, an immediate objection arises: do such delimitations undermine the notions' cogency and force? On the contrary: recognizing their limits and thus their non-absolute status does not make them any “weaker,” but rather signifies a prudential awareness of the fact that there will often/always be particular contexts for which they may need to make allowances. For instance, as universally authoritative as “Thou shalt not kill” may be, it cannot possibly apply to *all* scenarios. For example, in the limited case of self-defense, it would be profoundly unreasonable and unjust if someone who defends themselves from a gratuitous attack and kills their attacker in the process is punished for the killing. Hence, a notion is all-the-more rigorous when its limits are identified and confirmed.

This is particularly the case when it comes to the ostensibly, open-ended practice of “letting-be”: its qualifiers and limits guarantee its rigor. With such conditioners, this notion is recognized as a nuanced, *critical* letting-be — which radically differentiates it from a “letting-be” construed as an “anything goes” permissiveness. What, then, are key limit-cases to this notion as it is understood and presented in the broader conceptual context of the greater planetary good? One of its key limits is constituted by the very fact of creaturely intertwinement, of the radical interconnectedness of earthly entities, an interconnectedness that essentially impedes any thoroughgoing letting-be. Jay McDaniel rightly notes two such impediments, which may be understood as “necessary violences”: “life inevitably involves the taking of other life. Every time we wash our faces we kill billions of bacteria; every time we eat, we support the death of plants, and often, animals” (1990, pp. 126-127). The principle and practice of letting-be is inevitably and non-unethically transgressed in cases of such “necessary violences” (Manolopoulos, 2009).
Another exception to letting-be occurs on the level of the individual, for *gelassenheit* applies to the self as much as it applies to the socio-ecological. To begin with, one generally lets oneself-be. But there will be exceptional conditions and/or contexts (e.g., untreatably susceptible psychopathologies, excruciating terminal illnesses, traumatic abuses, etc.) in which the individual adamantly desires to end their life. While suicide remains deeply stigmatized and even often criminalized, a progressive global society would recognize its validity in certain extreme cases — the right for individuals to decide to no longer be. Assisted suicide or euthanasia would likewise be an exception to the general principle of letting-be, though it would obviously involve stringent standards and would be strictly regulated to ensure its proper practice.

Another significant limit-case for letting-be pertains to ecosystems: while many of the Earth’s ecologies foster survival-flourishing, there are certain natural processes that inhibit survival-flourishing. Consider desertification: whether an expanding desert is essentially a natural process and/or generated or intensified by human action, it often/usually impedes the survival-flourishing of things. Hence, rather than letting such a process be, we humans ethically transgress this principle by transforming it into a more supportive one. Such intervention is justified when we recognize (as Žižek [2013] does) that “Mother Nature” is not always nurturing as natural disasters emphatically demonstrate — a fact that over-zealous environmentalists might be prone to ignore.

Having sketched a concept — or perhaps more precisely, given its ethico-prescriptive dimension: a *precept* — of the greater planetary good, I now attempt to outline a practical reformational/transformational process that may guide us toward a global society fundamentally informed by this good.

**How We Might Get to Where We Ought to Be**

The process of global change that is being outlined here involves three basic steps/stages. The first is the formation and functioning of a global network of thought leaders hailing from various key social fields (politics, economics, education, etc.) who would collaboratively produce a blueprint of a world order that would be driven by and produce something like the greater planetary good sketched above. The organization would be an international community that effectively addresses and redresses existing systemic crises and minimizes the risk of the emergence of new ones. One of the most fundamental questions that the network would tackle is whether the dominant political economy of capitalistic democracy requires structural reform or whether it needs to be transformed/replaced as one particular individual, I (or any one person) would be incapable of offering a definitive answer in this regard, which accounts for why I have been utilizing the ambivalent coupling “reformation/transformation” throughout the present work. The network, on the other hand, would thoroughly debate this issue, taking the requisite time to thoughtfully work through a solution. I myself would be very surprised if the network concluded that global neoliberalism is the “best” or “least worst” of all possible political-economic systems — especially if it is informed by something like the precept outlined in the present work. But only if/when such an authoritative body is created could we ever determine somewhat definitively whether social reformation or
transformation is required. The question of the most suitable form of global social organization may be an issue in which the network is split, mirroring the possibility that two alternative systems may be equally good/least bad; what might be required in such exceptional circumstances is a democratic vote by the network participants to determine the outcome.

This first stage of this proposed process of systemic change presupposes Reason’s capacity to create solutions to very vexing structural problems. This procedure is thus “logicentric” (Reason-centered). I contend that rationality has the capacity to achieve such a task—in the same way, it might be argued, that Enlightenment Reason played an integral part in many progressivist accomplishments over the past few centuries (refer to, e.g., Israel, 2001, 2006, 2011), but any sustained validation of this claim exceeds the scope of the present work. I also contend that the network of thinkers could collaboratively produce a blueprint: if individuals such as Plato (1974) and Thomas More (2005) have been able to produce somewhat flawed but nonetheless brilliant blueprints, then it is not unreasonable to surmise that the most powerful minds in the world could collectively create an adequate architectonics—the network is not expected to produce a blueprint of the “perfect” society. It is also worth noting here that the blueprint would be flexible enough to accommodate unforeseeable contexts and contingencies. Of course, the greatest hurdle is not whether humanity’s combined cognitive capacity could achieve such a feat but whether the network could cooperate sufficiently enough to produce a viable blueprint. We can only ever find out if/when such a network is formed and functioning.

Given that the network would be a network of thinkers thinking through fundamental social issues obviously means that the suggested systemic-change process is heavily cognitive. This feature differentiates it from much leadership research. As Michael Mumford and others pointedly remark: “A superficial reading of the literature on leadership (Bass & Bass, 2009; Yukl, 2011) seems to point to a conclusion. Leaders do not need to think—they must act” (Mumford, Watts & Partlow, 2015, p. 301). I concur that leadership studies have focused far too heavily on action at the expense of cognition. Prior to the 2000s, very few scholars paid much attention to the cognitive dimension (e.g., Fiedler & Garcia, 1987), though I am particularly encouraged to note that Mumford and other scholars are redressing this shortcoming (e.g., Mumford, Zaccaro, Harding, Owen Jacobs & Fleishman, 2000; Mumford, Connelly & Gaddis, 2003; Mumford, Friedrich, Caughron & Byrne, 2007; McKenna, Rooney & Boal, 2009; Marcy and Mumford, 2010; Vessey, Barrett & Mumford, 2011; Harter, 2015). The logicentric nature of my proposed leadership strategy appears to go significantly further in shifting the emphasis from human actors to rational processes and products: in this case, the key “product” being the blueprint. (I am exceedingly fond of Cicero’s exhortation in this regard: “follow reason as leader as though it were a god” [1952, p. 170]). In any case, at least there is now a
growing body of research that identifies, explores, and advances the crucial role of cognition in leadership.

Now, once a blueprint is “finalized” (to reiterate: the blueprint would be flexible enough to accommodate the unforeseeable and exceptional), the network would then begin the process of advocating it. The network participants would present the blueprint to their own networks (colleagues, students, etc.), who would then promote it to their own networks, so that the blueprint would begin to gain social traction in ever-broadening “concentric” circles, gaining the attention of artists and activists, workers and the unemployed, and so on. In other words, the aim here would be for the architectonics to gain ever-increasing popularity, ultimately generating mass appeal. Internet technology and social media would thus be anticipated to play an integral role in this regard. The anticipated popularity of the blueprint is premised on the reasonable assumption that our multiplying systemic crises will only intensify, creating greater public awareness, debate, and the need for reformation/transformation. Hence, the blueprint would be embraced due to its provision of rigorously thoughtful solutions to the world’s problems (i.e., its immediate practical-functional dimension) but also because the envisaged society would be significantly more reasonable, more just, more joyful, etc. (i.e., its long-term inherent value).

The aim of the blueprint’s advocacy process is thus to gain a worldwide following. In other words, a rationally-derived blueprint would be something of a “leader”: the focus would shift away from shaky human agency to a more stable locus of leadership. (Cicero’s seemingly hyperbolic remark about “following reason” now begins to appear more plausible and applicable).

So, once the blueprint is popularized and the masses are mobilized, we would arrive at the third stage of the process: “people power” would be leveraged to institute the required structural changes (assuming, we recall, that the network of thought leaders concludes that there is indeed a better alternative to the existing System, be it reformation or transformation). The global movement’s sincere intention and expectation would be that those who stand to lose by systemic change (i.e., existing power elites) voluntarily allow such reform/transformation to occur, given the overwhelming display of solidarity by their opponents. If there is resistance (which is possible and even perhaps probable, given what would be at stake), then the movement would be forced to apply some pressure in the form of “civil disobedience,” such as protests, strikes, and so on. This pressure would be fundamentally informed by the exemplary thought and practice of leaders such as Gandhi (1961) and Martin Luther King (1964).

But what if such non-violent strategies are ineffective? In other words, what if they do not produce the desired outcome of social reformation/transformation? If non-violent measures do not succeed, then the movement would be in the unenviable position of having to seriously consider, threaten, and even enact violent action, i.e., the forced removal of oppressive-annihilating structures in order to implement the blueprint. Obviously this is a shocking and extremely disturbing possibility, especially for us rationalists who infinitely prefer peaceful processes of change, but it would be considered by the movement as a desperate last resort. But doesn’t any recourse to
force directly contravene the principle of letting-be that I have been strenuously advocating in this work? In a literal sense, yes; but here we encounter another limit-case: as it is figured here, gelassenheit would allow the imposition of violence upon those humans and human systems that disallow humans, other creatures, and ecosystems to be. In other words, the principle of letting-be may be contravened to disallow those agents and systems who disallow the being of earthly entities and ecosystems. Or to express it differently: good violence resists/stops bad violence—for only good violence may sometimes be the only way of overcoming bad violence. As contentious as this proposition may be, its rigor is most evident in the previously-cited practice of self-defense: the bad violence of unjustified attack may be overcome with the good violence of justified counter-attack.

Given the contentiousness of this proposition, it is unsurprising that affirmative treatises have rarely been presented, such as Frantz Fanon’s *The Wretched of the Earth* (1968), although Slavoj Žižek has bravely and rigorously recuperated this line of thought, variously figuring good violence as “ethical” (2004), “divine” (2008), and “defensive” (2013). Self-defense is the most obvious type and example of “good violence”: what makes it justified is the very acceptable rational argument that entities have the right to protect and preserve themselves. Extending this rigorous logic, we may contend that the transformative movement’s violence would be a counter-violence to the systemic violences (environmental, economic, political, etc.) that batter the world each and every day. But, as I have emphasized, recourse to such force would only be a desperate last resort if all peaceful options fail.

I also urge that we not become too distracted at the present time by the question of good violence: my immediate objective is to stimulate research and debate about the most rational and effective leadership process involving the critique of neoliberalism and its reform or replacement, a process perhaps informed by a notion of the greater planetary good in which earthly entities and ecosystems are allowed-to-be in order to survive and flourish. Of course, I have here proposed one possible path for transformation, and I am very open to alternative options if/when they can be demonstrated to be equally/more rational. I also recognize that my proposed strategy may not turn out to be foolproof in terms of completely eradicating greed and corruption: as I argued earlier and drawing from both Christian and psychoanalytic discourses, it seems that we humans have a proclivity to what is traditionally (and today unfashionably) called “sin.”

So I remain somewhat skeptical about their thoroughgoing/complete eradication at the level of the individual and the structural, though we open-minded ones remain open to these kinds of possibilities. Hence, Žižek’s remark cited above requires some modification: the problem is both this human proclivity to sin and “the system that pushes you to be corrupt” — and my proposed strategy attempts to reduce/minimize systemic violence and the violence that “pushes us” to be corrupt, while recognizing that such behavior may/will not be fully eradicated. But this recognition is precisely one of the drivers of my call for transformation: what we are simultaneously enduring and perpetuating today is atomic and systemic greed and corruption.

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References


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Introduction
Well before civil rights legislation and equal opportunity policies created cracks for some African American women to make their way into leadership positions within corporate, academic, and legal arenas, African American women forged paths of leadership and power in religious, civil rights, and local community organizations, as well as through less formal channels. African American women led as abolitionists risking freedom and life to end slavery on personal and national levels. They led as late 19th and early 20th century clubwomen gathered to protest negative treatment and perceptions of African American women and to ensure the franchise and educational opportunities for all African Americans. They also led as anti-lynching and anti-rape activists including Ida B. Wells-Barnett and Rosa Parks and through serving as “surrogate mothers” to extended family and community members (P. Collins, 2000; Giddings, 1984, 2009; Gilkes, 2001; McGuire, 2011). Indeed, African American women’s leadership is as old as their presence in the United States. If truth be told, this visible leadership of African American women — often in response to the grave injustices fomented by racism and sexism — was used to frame them as insufficiently feminine vis-à-vis White women and as a threat to African American men’s ability to demonstrate traditional masculinity (P. Collins, 2000; Giddings, 1984; Parker & Ogilvie, 1996; Wallace, 1979). Indeed, even as leaders
in public and private spheres, African American women’s positions often were seen as illegitimate and used for castigation rather than praise. This visibility in an era where there were distinct spheres that placed men in public arenas and relegated women to the privacy of the home was used to further distance African American women from being seen as appropriate, capable, and competent in their roles in society. This continues today.

**Overview of Critical Race Feminism and Intersectionality**

While the gains of mainstream feminism meant that women’s experiences and strategies concerning leadership started to be integrated into research literature, the reference points remained centered on Whites. African American women were often not considered in early conversations around women professionals (Jean-Marie et al., 2009; Kanter, 1977; Parker & Ogilvie, 1996; Turner, 2002). It is only more recently that African American women’s experiences in leadership have been intermittently included in studies on gender and leadership. Parker and Ogilvie (1996) contend that African American women have a unique positionality that cannot be subsumed under solely racialized or gendered understandings of leadership. As such, the intersections between and among social statuses need to be considered in any theoretical framing.

Though a growing presence among leaders in (still) predominantly White and male corporate, legal, military, academic, and non-profit institutions, there is a lacuna in academic research and thought regarding African American women’s presence and experiences (Stanley, 2009). We take up the question: If leadership is defined as White and male and if too many popular and academic constructions frame all the women as White and all the Blacks as men (Hull et al., 1982), then what of African American women who fit none of these? What advice do we give struggling, early career Black professional women and those in a mid-career plateau?

In *Black (W)holes and the Geometry of Black Female Sexuality*, African American scientist and feminist scholar, Evelynn Hammonds, explains that “as theorists we have to ask how vision is structured and following that, we have to explore how difference is established.... This we must apply to the ways in which Black women are seen and not seen by the dominant society and to see how they see themselves.... (1994:141).” For some African American women, the hostility, alienation, and other interactional and institutional barriers are such that they may force some African American women to abandon chosen paths and desired roles (Parker & Ogilvie, 1996; Sands, 1986; Turner, 2002). Here, however, we turn our attention to those African American women who do manage and negotiate those places of leadership never intended for them. Underrepresented and rarely recognized, African American women in professional and leadership positions often find themselves viewed (and viewing) through a funhouse mirror that casts only warped distortions of themselves (Hobson, 2013). In this paper, we use a *Critical Race Feminism* viewpoint to consider these multiple gazes as we take up Hammonds’ call and explore the notion of African American women professionals looking through a glass darkly and finding few accurate reflections of themselves.
Critical Race Feminism (CRF)

**Definition and Theoretical Structure: Its Importance as a Theoretical Lens**

Critical Race Feminism with its focus on femininity in the context of race is well suited epistemologically to straddle the multiple positions engendered in being African American women, highlighting the reality of sexism and racism that frames the lives of real people (Crenshaw, 2009). Although no established criteria officially list the tenets of CRF, it does follow a particular theoretical perspective which places race and gender subordination as its primary analytical foci, while appreciating its place in a multitude of inequities. CRF brings the concept of race back into feminist discourse by championing the voice of Black women to challenge racism and sexism in a masculine world (Wing, 2000). Many African American feminists have chided traditional feminist discourse as monolithically White, unreflective of the day-to-day experience of African American feminism. They wish to challenge the de facto assertion that women only have one voice and that voice is by default White (Lorde, 1984). CRF tells a tale of multiple race and gender positions (among many others) rendering Black women’s experiences within the world, visible.

CRF emerged from Critical Race Theory (CRT) and shares many of its emancipatory goals. Just as CRT was born from the need to create a racial perspective in Critical Legal Studies (CLS) in the late 1980s, CRF has exposed the need for a feminist critique when exploring racial inequality. Therefore, CRF situates itself under a panoply of experiential takes on domination such as *Latino Crit* that focuses upon the Latino/a experience of marginality, *Queer Crit* that centralizes the outsider experience of the LGBTQ community, and *Tribal Crit* that examines the deleterious effects of U.S. colonization on indigenous people. These takes aim to explore the deeply multifaceted environment of inequality which privileges those of White European heritage who are male and straight at the top of society, while the Other(s) remain — as Derrick Bell so aptly described — damned as a perpetual face at the bottom of society’s well (Bell, 1992; Crenshaw, 2002; McKinley & Brayboy, 2013; Parker, 1998). Just as with CRT, emancipatory social justice is a primary aim of CRF: one that is attained through an understanding of the overlapping interrelations of gender, class, race, and sexuality in society. CRF grounds itself in the reality of the invisibility of gender/race subordination of Black women. The historical plight of Blacks in professions has led to White apathy to racism and a feeling that nothing can be done. Instead, modern notions of White anti-racism have coalesced into an attitude of *racelessness* that is lauded as progress; instead, it is colorblindness that perpetuates racial indifference at the same time it institutionalizes inequality in the professional workplace. Institutions cannot identify what they will not see nor hear what they cannot understand, leaving Black female professionals muted in the effort to redress their liminal position. In this sense, the theoretical value of CRF is to provide a voice to explore the grievances of the raced and gendered “Other” to allow these claims to be taken seriously in the institutional setting and to make true race and gender equality, while simultaneously understanding that this path is long and hard with no easy detours. It is here that subtle aspects of discrimination must be addressed if organizations are, in some way, able to achieve reconciliation with Black professional femininity.

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Power
Since the 1960s and 1970s, there has been growth in the number and visibility of members of marginalized communities — including women of all races, racial and ethnic minorities, and LBGTQ people of all races who are in leadership positions. This growth, however, has not been pervasive through all ranks. Leadership positions occupied by marginalized groups have been largely relegated to the lowest rungs of organizations with fewer occupying positions in the middle and fewer still at the very top. As such, people of color, in general, and African American women, in particular, remain underrepresented in the highest positions of power within organizations across industries. This is evident when looking at a 2011 report that shows that although 34% of African American women are employed in management, professional, and related occupations, African American women represent 1% of corporate officers and 1.9% of Fortune 500 board positions. Work by Lucas and Baxter also reveals that White men constitute approximately 33% of the workforce, but possess 75% of board seat positions and 95% of chair positions in large, Blue chip companies (Lucas & Baxter, 2012; Taylor & Nivens, 2011). Additionally, according to a 2016 report from Catalyst (a nonprofit organization dedicated to gender inclusion in the workplace), African American women comprise 7.4% of all employees, 3.8% of first- and mid-level officials and managers, 1.2% of executive and senior-level officials and managers, and 0.2% of CEOs within S&P 500 firms. The traditional White male leader remains ascendant both numerically as well as in assumptions about who leaders are and who leaders should be (Byrd, 2009; P. Collins, 2000; Rosette, Leonardelli, & Phillips, 2008).

As Stanley (2009: 552) points out, race, gender, and power in the United States are such that African American women fall so outside the conception of leadership that when they are “in predominantly White organizations, power dynamics may cause disempowering experiences for African American women that can occur in the form of challenging, resisting, resenting, undermining, or even ignoring a person’s authority.” When thinking about African American women’s power within organizations where they work, Pettit (2009: 639) refers to the power that African American women hold in their leadership roles within White-dominated organizations as “borrowed power because whiteness is still the final authority (639).” This authority is disempowering for African American women. It also can compel what DiAngelo (2011: 55) names as “White fragility” — an “insulated environment of racial privilege [that] builds white expectations for racial comfort while at the same time lowering the ability to tolerate racial stress.” When racial stresses, provoked through discussions of race, race-based disparities, or racism occur, DiAngelo asserts that White fragility activates and causes defensiveness in Whites’ attitudes and behaviors until the power pendulum swings back in their favor. Racial stresses occur when Whites’ expectations are not met as could be the case when 1) stereotypes are challenged; 2) people of color are centered rather than marginalized; and 3) in the collision of these such as when African American women occupy leadership roles. As Whites retain political, economic, and social power, they also preserve the power to ensure that any disruptions that occur are but temporary and that status quos are maintained. Indeed, when moments of Whites’ discomfort around race occur, White
fragility responds with a “socially-sanctioned array of counter-moves against the perceived source of the discomfort, including: penalization; retaliation; isolation; ostracization; and refusal to continue engagement” (DiAngelo, 2011: 61). In addition to the fragility of African American women’s power within organizations, White fragility causes a number of forms of distress for African Americans who are exposed to this (Smith, Allen, & Danley, 2007).

Bell and Nkomo (2001) describe this pressure that African American women face (as they want to be authentically African American women in a workplace culture that demands that they sublimate) as an “invisibility vise.” This invisibility vise poses a major strain to African American women who are caught within it and leads to perceptions that include isolation, disrespect, devaluation, overburdening, and feeling torn between race and gender as well as community and career (Turner, 2002). This invisibility can also limit their access to networks and mentoring; their contributions are neither viewed as worthy of promotion nor increased compensation. Simultaneously and paradoxically, while invisible, African American women are also hyper-visible in that their scarcity in numbers, perceptions about their incompetence and un-deservingness, and the controlling images that precede them lead to intense surveillance and monitoring (Holder et al., 2015). Myths about African American being hypersexual, for example, lead some African American women leaders to feel they had to manage misperceptions that they had gained prominent positions through their sexuality rather than their intelligence and hard work (Byrd, 2009). In this, they seek to distance themselves from the controlling image of the jezebel who uses her deviant sexuality to curry favor, gain financial rewards, and acquire access to power (P. Collins, 2000).

In order to fully appreciate — and remedy — this disempowerment and to claim actual rather than borrowed power, as CRF posits, an intersectional approach is necessary. Intersectionality calls us to recognize the ways that the totality of our statuses and locations — race, gender, social class, nationality, sexuality, ability status — shape our realities, experiences, perceptions, and treatment across social interactions, institutions, and structures (Crenshaw, 1989). For African American women, the impossibility of unraveling their interwoven statuses into a single stranded understanding of race or gender, for example, means that these must all be jointly analyzed; their lived experiences cannot be understood or extrapolated through the experiences of other groups. Patricia Hill Collins’ (1998; 2000; 2004; 2006) work has been pivotal to the establishment of intersectionality in academic and popular discourses. Through an intersectional, African American feminist lens, P. Collins (2000: 274) envisions power as both a “dialectical relationship linking oppression and activism, where groups with greater power oppress those with lower amounts” and “as an intangible entity that circulates within a particular matrix of domination and to which individuals stand in varying relationships.” This complementary definition creates space to see power as it is experienced, embodied, transferred, and transmuted. It also enables a view of power as interlocking, multivalent, and relational. Equally without an awareness of the benefits of an intersectional approach, we must accept the very real risk that subordination will in fact reproduce and reinforce itself in mono-vocal gendered, antiracist strategies that ignore feminist practice, and similarly race oblivious feminist resistance that
inadvertently subdues people of color. We must see race as a site of alliance between men and women as gender should be a site of coalition for Black and White anti-racists (Crenshaw, 2009).

**Controlling Images and the Black Lady**

Patricia Hill Collins (2000) discusses the concept of “controlling images,” which have served to paint African American women as outside and threatening to White/mainstream American ideals encompassing sex, mothering, femininity, and work. These images can be discrete and overlapping, contradictory and coherent. They include descriptions of African American women’s deviant sexuality (as evidenced in the mammy and jezebel images), poor parenting (as evidenced in the mammy, matriarch, and welfare mother images), gender inappropriateness (as evidenced in the matriarch, welfare mother, and Black lady images), lack of work ethic (as evidenced in the welfare mother image), and overly ambitious (as evidenced in the Black lady image). Collectively, they are then used to paint unflattering, mythological, and powerful pictures of African American women that potently shape and confine their representation symbolically and literally in places including popular culture, political rhetoric, policy decisions, and professional settings. In the wake of those controlling images deployed against them, it is African American women who “represent the ultimate Other who defines the presence of White or male subjects” (Patton 2000: 132). As these images cast them as inadequately feminine, African American women as “Other” also bring into sharp relief the construction of White femininity. These offer ideological cover for exploitation and domination based on racial, gender, class, and other statuses that have defined the U.S. since its inception and continue today. Whereas these controlling images serve as a master status for all African American women — regardless of personal characteristics, experiences, and positionalities — African American women face a particular set of constructions and experiences in their professional lives.

The “Black lady” controlling image is particularly relevant to the current work. According to P. Collins (2000: 81), through the deployment of this image, African American women in professional spaces bear the weight of several of her other controlling images as this extended quote demonstrates:

> [T]his image seems to be yet another version of the modern mammy, namely the hardworking Black woman professional who works twice as hard as everyone else. The image of the Black lady also resembles aspects of the matriarchy thesis – Black ladies have jobs that are so all-consuming that they have no time for men or have forgotten how to treat them. Because they so routinely compete with men and are successful at it, they become less feminine. Highly educated Black ladies are deemed to be too assertive — that’s why they cannot get men to marry them.

Reminiscent of the image of welfare mother, P. Collins then asserts that the Black lady is depicted as dependent upon the government; she is often deemed to be unprepared, an underqualified, affirmative action recipient, or a diversity hire in today’s parlance who is displacing Whites in general, and White men in particular, in positions that should be theirs. Threatening White men’s naturalized economic and leadership positions makes
her an obstacle to patriarchy and male dominance. Indeed, African American women striving for, or already in, powerful positions are often regarded through the lens of P. Collins’ (2000) “Black lady.” In recounting the experiences of legal scholar Lani Guinier — whose nomination by Bill Clinton for Assistant Attorney General for Civil Rights was derailed by the conservative attacks that mischaracterized her as a “quota queen” in an era marked by growing disdain for affirmative action, in particular, and civil rights legislation, in general — Hartman (1994: 441) notes that high-achieving African American women are portrayed as the “overachieving and out-of-control black lady, sister to the feminazi….to reaffirm one of the founding truths of the white republic — black bodies are excluded from the ‘we the people’ that established the citizen subject.”

These controlling images are made visible in the treatment of African American women in leadership roles who face exclusion, lack credibility, are often dismissed, and have advanced ideas often attributed to others (Holder et al., 2015). Controlling images and their aftermath provoke what Harris-Perry (2011) termed “a crooked room.” Harris-Perry (2011: 29) reminds us that “when they confront race and gender stereotypes, black women are standing in a crooked room, and they have to figure out which way is up” in order to find their center, maintain integrity, and survive in situations inimical to their best interests. Navigating these means that African American women must take on additional burdens that will “straighten the shame-producing images of the crooked room” (Harris-Perry 2011: 265).

Black women, through action and thought, redefine the narrative of the crooked room. Without choice, they existentially embody past and present tropes such as the welfare queen or sapphire to survive. Yet at what cost? Across social class, the racialized and gendered socialization that African American women experience in their homes and communities tends to inculcate within them traits associated with power and leadership, such as autonomy, confidence, and independence (P. Collins, 2000; Ladner, 1972; Parker & Ogilvie, 1996). As these have been created around and by White men, indeed, African American women’s leadership styles share a lot of traits with White men’s (Parker & Ogilvie, 1996). Simultaneously, however, African American women are also socialized to have caring, nurturing, and self-sacrificing leadership traits (Beauboeuf-Lafontant, 2009: Parker & Ogilvie, 1996) in tandem with White women. As a result, and incorporating those elements of leadership that are not particularly associated with White men or White women, Parker & Ogilvie (1996) advocate for the recognition and study of a distinctly African American, women-based idea of leadership. Rather than assume that African American women’s leadership is emulative of White men’s, it is instructive to view it through a prism of creative resistance to domination and marginalization (Byrd, 2009; P. Collins, 2000; Parker & Ogilvie, 1996). It is also instructive to bear in mind that those traits, like directness, often valued in leaders are devalued and conflated with controlling images to provide proof positive that the loud, angry, African American woman is the reality rather than a stereotypical myth (Parker & Ogilvie, 1996). Furthermore, the ability to gamble that is often seen as a necessary component of a risk-taking leadership in general does not read the same across leaders. An exemplar of this is found in a recent experimental study where African American women were rated more harshly after failures than were White men in the same scenario.
Leadership

Black women are often perceived as a round peg in a square professional hole. They simply do not fit. Lucas and Baxter (2012) assert that women in general suffer in the labor market and often self-select not to participate in leadership positions. For those who decide to do so, their position is seen as inauthentic. This reality becomes more pronounced where women of color are concerned since they do not fit the established paradigm of the White male. From an institutional viewpoint, this pits African American women against the establishment; they exist in a somatic sense as a living embodiment of opposition to many organizational values. Tropes of Black femininity remove traits of institutional authenticity and are often seen as unwomanly, unreasonable, overtly confrontational, and therefore unsuited to much of business practice. Thus, pressure on the institutional suitability of the Black female professional emanates from all sides.

Multidimensional Discrimination From Superiors / From Subordinates

While there is often discussion of the discrimination that African American women face in the workplace, this is not limited to those above them in the organizational hierarchy. There are also suggestions (Brake, 2013) that workplace discrimination does not only occur from superiors to subordinates but also from subordinates to superiors, placing African American women in a double bind where their competence, professionalism, and authority are questioned by both those who would hire, evaluate, and promote them and by those who report to African American women in leadership roles. Other work confirms that African American women leaders report a lack of respect from a number of levels within their organizations. Research finds that they experience greater levels of resistance to their authority from those they report to, those who report to them, and from their colleagues (Bell & Nkomo, 2001; Byrd, 2009). Similarly, for those in finance, legal, and academic settings, challenges to authority come from all sides including clients and students (Byrd, 2009; Holder et al., 2015; Turner, 2002). In these cases, and recalling the earlier discussion of borrowed power, African American women’s authority is subverted and is more symbolic than actual, leading to what can be termed as an “outsider-within” status (Byrd, 2009; P. Collins, 2000).

African American women’s access to this borrowed power is predicated upon how well they are seen as representatives of organizational objectives and how well they fit within the organizational culture. Reminders of their marginality reinforces their outsider-within status (P. Collins 2000) and threatens their grasp on authority. One way this occurs is that African American women are often literally not viewed as looking like professionals or leaders. This is evidenced in research that cites African American women who recall being mistaken for students when they are actually faculty; secretaries when they are actually managers; and assistants when they are actually leaders (Bell & Nkomo, 2001; Terhune, 2008). African American women who cannot or do not resemble a standard based on Whiteness are penalized in workplaces for failing to convey so-called professional images. They experience a particular “disadvantage in crafting this professional image due to negative stereotypes, lower expectations, and workplace
norms that run counter to their cultural values and that reward white male standards of behavior and appearance” (Rosette & Dumas, 2007: 407). This image is not only symbolic, but embodied. As scholars note, it is easier for White women to demonstrate an image conceived as both attractive and professional (Rosette & Dumas, 2007; Weitz, 2001). One example is hair. Several African American women have filed lawsuits, for example, against their workplaces after being reprimanded, passed over, or dismissed for the ways they wear their hair. In 2014, the Pentagon issued an edict banning a number of natural hairstyles — that is, hairstyles worn by African American women, such as twists, dreadlocks, and cornrows, that require no chemical or other extensive treatment to alter its inherent texture. After outcry from quarters including a letter signed by then Congressional Black Caucus Chair Marcia Fudge and more than 12 of her women colleagues, the “biased and racially insensitive” policy as the letter described it was rescinded (Bates, 2014). Indeed, professional African American women have a host of perceptions and biases regarding their hair that White women do not. Research indicates that while some White women do not place any importance on their hair when it comes to professionalism, no African American women agreed (Weitz, 2001).

The innocuous notion of hair belies its representational importance — its potential symbolic harm to the professional status quo. This feature must be controlled in African American femininity if a path to a leadership position is sought. Thus, as Carbado and Gulati have emphasized, one’s identity must be worked. For African American women, this involves curbing ethnic identity: hairstyles must be traditional and deportment harmonized. Traditional becomes a coded institutional speech act urging the importance for the Other to get as close as possible to the White male ideal of professionalism. Ethnic gender identity is subsumed for the greater institutional good, molded to acceptable White male institutional norms (Carbado & Gulati, 2000, 2003).

Certainly, “even though White women report negative attributions about their performance relative to White men, Black women are negatively differentiated from White women even when their identity is successfully worked, creating an even wider performance attribution gap between White men and Black women” (Parker & Ogilvie, 1996: 201). Offering support for the adage that African Americans must work twice as hard to be seen as half as good as Whites, studies show that African American women professionals think they are held to higher standards than their White counterparts (Bell & Nkomo, 2001; Byrd, 2009; Holder & al., 2015). Similarly, another study shows that compared to White men, African American women had to have higher levels of educational and work experience to arrive at the same station as White men (Elliot & Smith, 2004). When they do take up leadership reins, many African American women who hold positions with some leadership or managerial element are often “ghettoized” in roles that are seen as “Black” such as those promoting diversity, serving African American clients or audiences, or in support roles rather than those with more revenue-producing and decision-making foci (P. Collins, 2000; S. Collins, 1997; Holder & al., 2015).
Functional Narcissism – Can Black Female Success Ever Look Like White Male Success? Should It?

As a function of homosocial reproduction (Elliot & Smith, 2004; Kanter, 1977; Rivera, 2012), leaders select and reward others whom they identify as like them. This has profound implications for African American women professionals who are in organizational settings led by White men who continue to make the lion’s share of decisions on recruiting, hiring, mentoring, sponsoring, and promoting the next cadre of leaders. This process of homosocial reproduction means that White men shape organizational structures and leadership hierarchies in ways that replicate White male-dominated spaces, creating cumulative disadvantages for everyone else that only increase as higher levels of power are at stake (Elliot & Smith, 2004). Homosocial reproduction means that in a zero-sum game, White men are seen as more deserving of an investment or expenditure of capital from their higher-placed ties, leading to the continuance of advantages such as leadership opportunities for White men. This effect is amplified as career ladders are ascended such that networks pay more for White men and less for African American women when climbing to the top (Elliot & Smith, 2004). Other research demonstrates a lack of return on networking for people like African American women who are regarded as Other. The benefit of interactions in informal work situations such as holiday parties, team-building activities, and post-work dinner and drinks, are higher for demographically similar individuals than when these occur across varied demographics (Dumas et al., 2013). This can also be harmfully internalized as African American women perceive the Othering they experience as amplified feelings of their dissimilarity from those in the in-group. African American women may respond by limiting interactions with others in their workplace to only those that are essential, increasing their contact with others with whom they share a common racial and gender status, or self-isolating (Dumas, et al, 2013; Ibarra, 1995). This also inhibits the size and potential payoff of diverse social networks. As both White men and African American women maximize their social networks with similar others, inequality continues.

Those African American women who do rise within organizations do so through merit rather than connections as they must earn higher educational credentials and employment experience to compensate for the lack of mentoring and sponsorship that White men enjoy. This reversal of the conventional wisdom on meritocracy that posits White men as benefitting from their hard work and African American women as benefitting from affirmative action handouts goes unrecognized. Accordingly, as African American women “move up organizational chains of command, their out-group, or ‘other,’ status often becomes more evident, leaving them more susceptible to informal processes of exclusion and assessment as symbols of an ‘other’ category rather than as individuals” (Elliot & Smith, 2004: 369).

In fact, many White male captains of industry actually display the psychological disorder of functional narcissism that should, in fact, place them firmly as group outsiders. Such traits include a grandiose sense of importance, obsession with success/power, belief in their specialness, and a lack of empathy — all resulting in promotion and compensation disparity. These attributes are enshrined in the mythos surrounding successful
businessmen such as Steve Jobs or Donald Trump, characteristics that are somehow indicative of success. This disorder is valued in White men and in some men of color as the essence of how to achieve professional success; it acts as the gold standard of the market commodification of our world — one that is gendered male and raced White. So how can the African American professional woman navigate this landscape? Can she ever embody these traits of success? Is it in her advantage to do so? Earlier in the article, we highlighted the danger of the sapphire trope should she be outspoken, career-focused, or too independent. Black professional women walk such a tight rope of authenticity that if she falls off, she will negatively embody the traits of a functional narcissist, and so be doomed/deemed to be “Pseudo Man,” un-female (automatically masculinized) and therefore the antithesis of real (White) femininity. In essence, she will be inherently deemed unsuitable to the professional workplace let alone to positions of leadership (Brake, 2013; Hobson, 2013).

Discussion
The question may be asked “What do we tell Black professional women?” In the workplace?

Sheryl Sandberg, the chief operating officer of Facebook, has risen to prominence with her neo-feminist assertion that women must lean into their careers to find success and fulfillment. Having gained notoriety with a popular 2010 TED talk and a subsequent best-selling book three years later on the need for more women leaders, Sandberg admonishes women for leaning back, for not being present at the corporate table, and dropping out of work. Firstly, she suggests that it is the agency of women that is all important to career success. Women, therefore, must be present physically at the corporate table—making decisions with men on equal footing. Secondly, in the private sphere of the home, she must make her partner a real partner — one who shares equally in all domestic/child-rearing duties. Thirdly, Sandberg demands that women “do not leave before, you leave.” She alludes here to the supposed tendency of women to mentally opt out of the career ladder when they start to consider having a family. At the core, she calls for women not to underestimate their true value and therefore self-select to drop out of the workplace.

This narrative has sparked resistance from a number of established feminists who take issue with much of Sandberg’s theoretical positions. Bell Hooks give a pointed critique of “leaning in” — highlighting its colorblind underpinnings. The problem of limited female achievement is perceived as a White female problem with White female solutions. The intersection of race and gender is simply ignored. Further, by ignoring the structural aspect of sexism in society, Sandberg ignores a mainstay of established Feminist thought: that of the need to challenge patriarchy in both the public and private spheres wherever found. Female success, then, is truly aided by men as well as women choosing to resist a patriarchy wrapped in the garb of age-old, colonial assertions about race, class, and gender. Worse, as alluded to earlier, feminist practice that eschews intersectionality risks perpetuating race and gender inequality — a charge that Hooks, among others, squarely level at Sandberg (Hooks, 2013). Discussions on and about leaning in and the inability of Black women to do so due to race and gender inequities
serve to entangle Black women in a cycle of internalized blame for career immobility. This perpetuates a cycle of diminishing self-worth which hides structural sexism from women and replaces it with a narrative of personal inability. It removes the impetus to engage in structural reform of the raced and gendered patriarchal status quo and push for institutional, structural, and policy changes. Instead, exhortations to lean in places the onus to change on women at an individual level, as a magician’s trick, so as to leave the established order well alone.

It is in this way that Sandberg makes a patriarchal bargain as conceived by Kandiyoti (1988) where women successfully strategize within masculine “rules of the game” but must ultimately acquiesce to gender inequality to gain limited power. By ignoring patriarchy while strategizing corporate success for women, Sandberg chooses to allow the continued proliferation of gender domination to go unchallenged, which by default shores up the male power structure. Indeed, it is in the interest of the project of White masculine domination to allow such a bargain as a form of interest convergence. Women, for example, are currently perceived to be entering the legal arena in record numbers proving the success of corporate diversity agendas (at least for white women), but this ignores the fact that women tend to congregate in the area of family law in much larger numbers because patriarchy in the law suggests that women and family naturally conflate (Sommerlad & Sanderson, 1998; Berger & Robinson, 1993). This, in turn, feminizes/ghettoizes family law as undesirable to real male lawyers who enter corporate law instead and get paid handsomely because they are valued more (Dudziak, 2009; Kandiyoti, 1988). Yet what of Black femininity in this bargain? Do they stand alone? We surmise that race and gender subordination place Black women in a precarious bargaining situation. Being stereotyped as sapphiric quasi-men in relation to true White femininity, they are regarded as a threat to White masculinity and undeserving of any quarter. Simultaneously, they can expect little tangible support from White women who are also in competition for what is left of the professional cake after White men have left the table.

Given that definitions and perceptions of competence and deservingness of mentoring, sponsorship, and access to positions of influence reflect the image of their creators — elite White men who act as gatekeepers — it is important to note that those who are perceived as imbued with leadership characteristics must be seen as equals and merit assessed by similarity to one’s self (Rivera 2012). This places African American women at a particular disadvantage as reflected in Feagin and O’Brien’s (2003) research on elite white males: “[T]hey do not recognize African Americans, especially as a group, as such sovereign equals... [and they] generally have difficulty in recognizing black men and women as being much like themselves” (14). At the same time, Whites disavow the presence of contemporary racial and gender discrimination in their rhetoric and increasingly their policies, preferring to believe that anti-discrimination laws and policies have paved the way for a purely meritocratic and unbiased landscape and attributing any remaining power and presence disparities to the individual and cultural failings of people of color of any gender and women of any race (Feagin & O’Brien, 2003; Rivera, 2012).
Conclusion
This paper utilizes a Critical Race Feminism perspective to show how as occupants of an outsider-within strata, African American women in professional and leadership roles are at the edge of inclusion and exclusion, of power and disempowerment (P. Collins, 2000). This allows a particular vantage point where prisms of gender and race offer a refraction point that gives insight into the collision of controlling images, homosocial reproduction, and leaning in.

African American femininity has its own particular set of leadership characteristics which present a nuanced view of corporate citizenship and power relations.

So to look through a glass darkly at Black women professionals as this paper chooses to do is to engage a Du Bois-like double consciousness that is gendered in nature (Du Bois, 2005). It perceives the colorblind existence of Whites and its inherent advantages while also acknowledging the shadow racial hierarchy that places Blackness at the lowest rung. It does not ignore the intersection of gender that forms a double bind of the Black female warring soul that must struggle with being told they are past gender and race, while being simultaneously subjugated by racial prejudice and sexism in equal measure. It is a conscious decision to reject this worldview and instead see African American femininity as a valued resource. Firms could choose to engage in an emancipatory social justice agenda, radically transforming imbedded, patriarchal structures grounded in race that guarantee the success of white masculinity at a cost to everybody else. Acceding power to Black women professionals among many while promoting C-suite leadership positions to the gendered and/or raced Other, begin the process of righting an age-old wrong and places our corporate community on a path to real equity for all.

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JOURNAL OF VALUES-BASED LEADERSHIP


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Abstract
The aim of this article is to first define effective leadership and power, highlighting the differences between the two. The focal point is that power and effective leadership are not interchangeable and should not be treated as such. Power is a tool while effective leadership is a skill. Simply because a person wields power does not necessarily mean that he or she is an effective leader. Conversely, we will discuss how a leader is unquestionably endowed with a certain degree of power in order to maintain that particular position. Finally, because leaders have power at their disposal, we will explore ways in which power can negatively affect a leader, rendering that individual largely ineffective and exposing the extremely fragile relationship between these two terms.

Leadership
Defining Effective Leadership
Inherently, every organization is headed by an individual or group of individuals occupying an elevated position of authority within the company. More importantly, though, every successful organization is headed by an effective leader or an infrastructure of effective leaders. Hence, choosing key decision-makers is paramount to the success of an organization. But what makes an effective leader?

Throughout this article, it is important to keep in mind that a distinction exists between leader and effective leader. This distinction is an important one because every leader is not necessarily an effective one. In the most elementary of definitions, Webster’s Dictionary defines “leadership” as “the power or ability to lead other people” and “leader” as “something that leads” (Merriam-Webster, 2011). “Leader,” then, is simply the title of a person who leads others. In this sense, the term leader can be
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interchangeable with boss and manager as they both technically lead their subordinates. No matter what the title, one commonality exists: it is a relationship between people.

That said, ask any person what being a leader means to him or her and you will undoubtedly hear a different response every time: a leader is someone who can oversee a team in order to accomplish collective goals or someone who can inspire others to perform at their highest potential. Most of these responses hint toward the definition of an effective leader and that is likely because when people think about a person of authority, they typically picture a virtuous, competent individual. With this understanding, we continued our research with a focus on effective leadership. After all, it is the desire to become, or the longing to work for, an effective leader that we seek.

Despite being the subject of research by many philosophers, psychologists, and management scholars for decades, the definition of effective leadership is increasingly complex and evolving. That said, two key themes surfaced through our exploration: not only is it a relationship between people, it is a relationship between people who are working toward a common goal. Warren Bennis expounds, “Leadership is grounded in a relationship. In its simplest form, it is a tripod — a leader or leaders, followers, and the common goal that they want to achieve. None of these elements can survive without the others” (Bennis, 2007). Effective leadership, then, is grounded in an “us” mentality where the leader is in the role to aid the group in achieving its goal. The leader is neither a glory-seeker nor a self-aggrandizer.

In order to better understand effective leadership, it was necessary to evaluate the characteristics of an effective leader. In doing so, we found ourselves reverting back to the comparison of an effective leader to a manager/boss (or, as noted above, simply a superior) — a concept that many can easily understand from personal work experience. Most people can pinpoint a time when they realized that they were working for a manager, but not necessarily an effective leader. In this scenario, a manager is typically perceived as someone who is focused on completing a certain task, primarily for the purpose of supporting his or her own personal gain, and who is not generally concerned with group cohesion and success of others or the group as a whole. In some extreme situations, managers can even hinder the success of other group members in an effort to secure their own positions.

As discussed in Harvard Business Review’s Three Differences between Managers and Leaders, “management consists of controlling a group or a set of entities to accomplish a goal. Leadership refers to an individual’s ability to influence, motivate and enable others to contribute toward organizational success” (Nayar, 2013). “One of the central tasks of a leader is to facilitate social coordination and cooperation to enhance group success” (Mead, 2010; Van Vugt, 2008). So, again, the difference between a manager and a leader is essentially an “us” versus a “me” mentality.

In a Business Daily News article, Brittney Helmrich tried to crack the code to identify effective leadership by asking 33 different business managers, owners, and experts to provide their own definitions of effective leadership (Helmrich, 2016). Interestingly, she received 33 different answers. We found this article to be intriguing because we could
relate to, and believe there was some truth inherent in, the substance of each answer. Several of these responses are summarized as follows:

- “Leadership is the ability to help people achieve things they don’t think are possible. Leaders are coaches with a passion for developing people, not players; they get satisfaction from achieving objectives through others. Leaders inspire people through a shared vision and create an environment where people feel valued and fulfilled.”
  — Randy Stocklin, Co-founder and CEO, Readers.com

- “Effective leadership is providing the vision and motivation to a team so they work together toward the same goal, and then understanding the talents and temperaments of each individual and effectively motivating each person to contribute individually their best toward achieving the group goal.”
  — Stan Kimer, President, Total Engagement Consulting by Kimer

- “Leadership is caring more about the cause and the people in your company than about your own personal pain and success. It is about having a greater vision of where your company is trying to go while leaving the path open for others to grow into leaders”
  — Jarie Bolander, COO and co-founder, Lab Sensor Solutions (Helmrich, 2016).

In deciphering all 33 responses in tandem with the relevant literature, we noted an underlying theme: Leaders consistently demonstrate “softer skills”¹ in their interactions with others in order to inspire and achieve a common goal.

Take trust, for example. We hypothesize that one of the most critical components to effective leadership is establishing a trustworthy relationship. We have also found that trust is directly linked to whether a leader is perceived as ethical. In her book, Ethics, the Heart of Leadership, Joanne Ciulla expresses a belief that ethics is the heart of leadership and a good leader is both ethical and effective (Ciulla, 2004). She continues to explain that “Followers must first choose to accept a leader before leadership may commence. Followers accept leaders they can trust and trust is gained two ways: by looking at the leader’s history and observing them in the present” (Ciulla, 2004). So it follows that effective leaders must be able to demonstrate ethical and trustworthy behaviors in order to be viewed as someone of influence.

In one of my (York) favorite books, Good to Great, Jim Collins introduces the importance of these softer skills through a comparison of companies that were able to leap from good to great results with those that failed to improve or sustain that improvement (Collins, 2001). The data suggested that one common trend related to the characteristics of the company’s leaders — all good-to-great companies demonstrated what he refers to as “Level 5 leadership” (Collins, 2001). The 5 levels of leadership are explained in Table 1 below:

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¹ “Soft skills” are personality traits or characteristics that enable us to work effectively with other people. Many define soft skills as one’s “EQ” (Emotional Intelligence Quotient).

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Table 1

<table>
<thead>
<tr>
<th>LEVEL 5 - Executive</th>
<th>Builds enduring greatness through a paradoxical blend of personal humility and professional will.</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEVEL 4 - Effective Leader</td>
<td>Catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards.</td>
</tr>
<tr>
<td>LEVEL 3 - Competent Manager</td>
<td>Organizes people and resources toward the effective and efficient pursuit of predetermined objectives.</td>
</tr>
<tr>
<td>LEVEL 2 - Contributing Team Member</td>
<td>Contributes individual capabilities to the achievement of group objectives and works effectively with others in a group setting.</td>
</tr>
<tr>
<td>LEVEL 1 - Highly Capable Individual</td>
<td>Makes productive contributions through talent, knowledge, skills, and good work habits.</td>
</tr>
</tbody>
</table>

(Collins, 2001).

Summarily, Collins found that effective leaders demonstrated both extreme personal humility and intense professional will — an unwavering focus on making their companies great (Collins, 2001). These leaders set their egos aside for the greater good of meeting the team or company's objectives. “It’s not that Level 5 leaders have no ego or self-interest. Indeed, they are incredibly ambitious — but their ambition is first and foremost for the institution, not themselves” (Collins, 2001). In fact, Collins’s study found that in over two-thirds of studied companies, the presence of a gargantuan personal ego contributed to the demise or continued mediocrity of a company (Collins, 2001).

Continuing with the theme of humility, we noted other softer skills which were commonly cited in effective leaders. For example, Daniel Goleman found that “emotional intelligence” proved to be twice as important as IQ or technical skills. The key components of emotional intelligence were delineated as self-awareness, self-regulation, motivation, empathy, and social skills (Goleman, 1998). Yet another vital skill attributed to effective leaders — which could also be considered a soft skill — is self-confidence. This is seen in a person who is secure in his/her abilities and position and does not feel easily threatened by another who has skills or other positive attributes. Insecurities in a leader will absolutely trickle down and negatively affect a leader’s ability to be effective. Unfortunately, insecurities plague most people and are usually deeply-rooted.

In conclusion, while we believe an effective leader must have a foundation grounded in the traditional leadership skills such as a vision for success, intelligence, technical skills, etc., we also conclude that effective leadership is distinguished by the so-called “softer skills” like trust, humility, emotional intelligence, and self-confidence.

**Becoming an Effective Leader**

We have all heard the phrase “that person is a born leader.” While this is certainly an easy way to compliment individuals on their leadership capabilities, it has in fact been the study of many organizations, universities, and psychologists. This is primarily due to companies spending billions of dollars annually on leadership development initiatives to
uncover effective leaders. The salient findings of several of these studies are summarized as follows:

As it relates to leaders being “born,” preliminary results from a study of identical and fraternal twins indicates that approximately 30% of variation in leadership style was accounted for by heritability; the remaining variation was attributed to differences in environmental factors (role models or early opportunities for leadership development). This study, among others, puts forward a view that the “life context” one grows up in and works in is much more important than heritability in predicting leadership skills (Avolio, p. 425).

Similarly, in a recent study from the University of Illinois, Champaign-Urbana, a fifteen-week academic course was able to significantly improve the leadership skills of the participants, supporting the theory expressed above that leadership skills are primarily learned behaviors (Winch, 2015). Another theory agrees that leadership can be taught and suggests that the most effective way to develop leadership skills is through the “70-20-10” model: 70% refers to learning through on-the-job experience, 20% to social coaching and mentoring, and 10% to formal skills development programs (LeStage, 2014). It may be inferred, then, that classroom-style learning may certainly serve as a foundation and periodic refresher on leadership skills. That said, organizations would be better served by spending their time and resources on creating a culture whereby employees are learning from effective leaders through day-to-day interactions and coaching. Although there is still plenty of research to be completed in this area, it seems to follow that leadership skills can be honed with the right level of focus, coaching, and work experience.

**Examples of Effective Leadership**

Some of the most preeminently cited examples of effective leaders include Nelson Mandela, Abraham Lincoln, and Martin Luther King, Jr, all of whom began with a vision, effectively communicated that vision, and built a team of supporting leaders to strive collectively to attain change — whether in the form of advocating for freedom in South Africa, ending slavery in the U.S., or leading the Civil Rights Movement.

In our experiences as well, effective leaders are not simply discernable by how they act, but rather how they create a culture of leadership around them (Forbes, 2016). Some of our (York) most successful teams or group environments have thrived in a culture of leadership whereby everyone in the group has an opportunity to lead in some way; where all team members demonstrate ownership and accountability and are fully engaged in their daily activities.

When I (York) reflect on the leaders of my organization, I am constantly humbled by the effectiveness of our leadership team. Over the last several years, our leadership team has become more fully engaged with its employees. In a company where the average age of an employee is 27 years old (i.e., Millennials) and supervisors are primarily Gen X or Baby Boomers, this heightened interaction commanded careful crafting. For example, the younger generation demanded better technology to more effectively and efficiently
perform their work. In return, the company invested in smart phone apps and mobile platforms, and implemented Google for work collaboration tools (Google Hang-outs, Google Drive and Mail, etc). To me, this is one of many examples that demonstrates that leaders must have an ability to adapt their thinking and mindsets in order to drive their teams towards a common goal. Leaders should not be myopic nor risk-averse.

At PwC, we strive to cultivate a sense of “leadership at all levels” within our audit teams wherein leaders do not only communicate their vision to the team, but strive to achieve a common vision collectively within the workforce. What commonly occurs is that those in supervisory roles who successfully elicit group feedback and participation immediately begin to discern comprehensive leadership skills and accountability, resulting in a group collectively espousing a common goal. Additionally, PwC invests in, and provides opportunities for, individuals to lead and demonstrate leadership skills at the very beginning of their respective careers. As a result, the organization continuously invests in the development of its employees. Dignifying each employee by investing in his/her skills development, genuinely listening to suggestions, and comprehensively engaging such employee in the company’s operational process all serve to cultivate a team-oriented environment.

Whether the reader can personally relate to this author’s (York) experiences at PwC, one’s own personal experience with managers, bosses, and other supervisors, or even to selected historical figures, identifying a capable leader is typically not a challenge. Based upon our research and opinion, an effective leader is someone who can elevate his/her foundation of technical skills and singular vision through humility and emotional maturity to achieve a common goal while creating leaders at all levels. Effective leadership, then, is a skill.

**Power**

**Defining Power**

As was the case with defining leadership, one simple and universal definition of power does not exist, although theorists have been struggling to do so over millennia. As author Robert Dahl stated, “. . . the concept of power is as ancient and ubiquitous as any that social theory can boast” (Dahl, 1957). Oxford Dictionaries defines “power” as “the capacity or ability to direct or influence the behavior of others or the course of events.” Psychological science defines it as one’s capacity to alter another person’s condition or state of mind by providing or withholding resources while Robert Dahl reduces it to a mathematical equation (Definition, 2016; Dahl, 1957).

Literature identified some consistencies to help provide a workable definition. First, as with leadership, the concept of power can be equated as a relationship between people. Second, acquiescence by the subject over whom power is exerted is fundamental and the required reaction of the dominated person is essential for power to even exist. In the most general sense, power is as Dahl has suggested: a relationship between people where A has the power over B to the extent that he/she can require B to do something that B would not otherwise do (Dahl, 1957). Power then, for purposes of this article, is
something that a person possesses over another person; it is a tool that a person uses to achieve the desired result.

Considering that power is a tool used to denote a certain relationship between people, ostensibly the most influential theories or studies regarding the concept of power emanate from the fields of psychology or sociology and are discussed below.

**Bases of Power**

French and Raven (1959) categorized and defined the types/bases of power that exist in human domination which are more fully explained in Table 2:

**Table 2**

<table>
<thead>
<tr>
<th>BASES</th>
<th>DESCRIPTORS</th>
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| Reward Power  | • The power whose basis is the ability to reward.  
• Can lead to better performance as long as the employee sees a clear link between performance and rewards.  
• Associated with short-term results.                                                                                                                                                                                                                                                                                                                                     |
| Coercive Power| • The power whose basis is the ability to punish.  
• Often associated with negative side effects and short-term results.                                                                                                                                                                                                                                                                                                                                                                  |
| Legitimate Power| • A person’s ability to influence another’s behavior because of the position the powerful person holds.  
• Sometimes referred to as position power.  
• Can be depended on initially but can create dissatisfaction, resistance, and frustration among employees.                                                                                                                                                                                                                                                                                  |
| Referent Power| • Defined as a feeling of “oneness” between the powerful and the subject or a desire for such an identity.  
• Based, in part, upon the subject’s attraction (not just in the physical sense) to the powerful person.  
• The subject has a desire to be closely associated with the powerful person.  
• The greater the attraction, the greater the identification, and consequently the greater the referent power.  
• Develops out of admiration for another.  
• Can lead to enthusiastic and unquestioning trust, compliance, loyalty and commitment from subordinates.                                                                                                                                                                                                                                                                 |
| Expert Power  | • Based on the powerful person’s knowledge, skills, or ability and depends on the subject’s perception that the powerful person has these qualities.                                                                                                                                                                                                                                                                                                                                                       |

(French, 1959; Lunenburg, 2012).

In later years, Raven referred to a sixth basis of power which was not included in the original publication due to a disagreement with French over its suitability for inclusion (Raven, 1992). This power, *Informational Power*, was defined by Raven as the use of information by a supervisor to convince the subordinate to acquiesce (Raven, 1992). Another suggested basis of power, *Empowerment*, was introduced in *The Power Pyramid: How to Get Power by Giving It Away* (1990) and Lunenburg’s *Power and Leadership: An Influence Process* (Tracy, 1990; Lunenburg, 2012). It was suggested that empowerment – achieving power by giving it to others – is an emerging basis of power. As noted by the
LEADERSHIP

Identifying and defining these bases was a quintessential step in understanding the concept of power. Copious studies have been conducted since their introduction in an attempt to provide additional definitional reference. Those of most importance consist of the studies that demonstrate which bases garner short-term versus long-term results and which evoke negative emotions/resistance versus a certain kinship and respect. Ultimately, people who exert power will typically employ more than one basis. Aligning with the authors’ conclusion that power is a tool — coupled with the salient characteristics of an effective leader previously discussed — we hypothesize that an effective leader utilizes different bases (Referent, Expert, and Legitimate) more often than a person who simply holds a particular position of power (Reward and Coercive).

For example, in one of my (Jones) past working environments, much emphasis was placed on the particular title or position held in the firm. It was simply understood that I was an Associate; therefore, I had to perform certain tasks relevant to that title. Failure to do so would ultimately stymie any quest for promotion to Partner or worse, lead to termination. Associates were frequently reminded that they were replaceable. I would repeatedly ask to assume new opportunities to further develop my cases yet my requests were consistently denied. If I challenged authority or had a different perspective on a legal argument, I was informed that I lacked sufficient experience to posture such an opinion. In this environment, I never felt that my superiors had much concern for individual growth or desired to harvest my talents for the good of the organization. Because of the lack of effective leadership and the inefficacious use of authority within this organization, there was, unsurprisingly, a high turnover of Associates — including myself. Conversely, however, I have also worked for several well-respected and seasoned trial attorneys who served as sources of inspiration and motivation through their practices and methodologies. These people invested in me, empowered me, listened to my ideas, and allowed me space to professionally flourish by giving me opportunities to develop my cases more fully and I respected them immensely for it. In summary, then, my first related experience displayed the use of coercive and reward power while the second demonstrated an example of referent and expert power. In reference to the latter, those holding positions of authority could genuinely be referred to as effective leaders.

The Motivation Behind Power

Another study, *The Evolution of Prestige*, aimed to define the motivation behind power (Gil-White, 1999). Gil-White and Henrich differentiated between dominance and prestige motivations for power (Gil-White, 1999). “Dominance reflects an approach in which individuals attain and use power via force and the selfish manipulation of group resources” (Mead, 2010). Prestige reflects an approach whereby people attain influence

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2 Like Dahl, Gil-White and Henrich also considered power as a relationship between people.
because they garner respect and employ valuable skills or knowledge to help the group achieve its goal (Mead, 2010). Gil-White and Henrich were not the only theorists who differentiated between a self-interested motive and a group-interested motive; a distinction was also made between personalized power (using power for personal gain) and socialized power (using power to benefit other people) (McClelland, 1970, 1975; Winter, 1973; French & Raven, 1959). In that regard, we believe personalized power and dominance power are one in the same as are socialized power and prestige power.

Clearly, the motivation behind power has a dividing line between “for me” or “for us.” We find these pieces particularly useful in defining the theory of power as the motives behind one’s desire for power may dictate which bases are utilized and thus determine whether that person is an effective leader or simply a person in power. Table 3 below depicts the differences between dominance/personalized power and prestige/socialized power:

Table 3

<table>
<thead>
<tr>
<th>Dominance/Personalized Power</th>
<th>Prestige/Socialized Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Status by force or threat.</td>
<td>• Status through achievement.</td>
</tr>
<tr>
<td>• Imposed status.</td>
<td>• Freely-conferred status.</td>
</tr>
<tr>
<td>• Personal gain.</td>
<td>• Influence and not authority or power.</td>
</tr>
<tr>
<td>• Marked by furthering your own interest.</td>
<td>• Opinions are heavily weighed (not obeyed).</td>
</tr>
<tr>
<td></td>
<td>• Prestigious leaders get their way because others believe that they should (they have earned the right).</td>
</tr>
<tr>
<td></td>
<td>• Characterized by words such as respect, awe, devotion, reverence, esteem, approval, and love.</td>
</tr>
</tbody>
</table>

(Gil-White, 1999; Goode, 1978).

Knowing the motivation behind power can explain why someone chooses to employ a certain basis over another. For instance, we hypothesize that a person who is motivated by dominance/personalized power will utilize the Reward and Coercive bases and one motivated by prestige/socialized power will utilize the Referent and Expert basis. Therefore, and taking it one step further, a person whose aim is simply to maintain a power position is motivated by dominance/personalized power whereas a person whose aim is to be an effective leader is motivated by prestige/socialized power.

The Perception of Power: Good Versus Evil

Exploring the categories of motivation behind power led to the discovery of a prevailing theme in literature regarding power: power is evil and power corrupts. This theme is so prevalent that it appears power has developed a more negative than positive connotation. Recall that such was not the case with leadership. We blame Niccolo Machiavelli for pioneering this siege of negative press on power for it was Machiavelli who wrote that “[i]t is much safer to be feared than loved” (Machiavelli, 1955). Machiavelli’s teachings in The Prince laid the groundwork of power as a game that is still discussed in modern literature. For example, David Kipnis’s study in Does Power Corrupt? essentially found that power increases the likelihood that a person will attempt
to manipulate others. Further, he revealed that “... subjects with power thought less about their subordinates’ performance, viewed them as objects of manipulation, and expressed the desire to maintain social distance from them” (Kipnis, 1971).

Consider a more mainstream example, national bestseller *The 48 Laws of Power* by Robert Greene (Greene, 2000). Greene’s step-by-step instructions on how to obtain power are inherently repugnant. I (Jones) personally submerged herself in *The 48 Laws of Power* only to emerge positively riveted — not in the way of a person obtaining useful real-world knowledge, but merely as a reader of fiction. I found myself correlating *The 48 Laws of Power* to the antics of the antagonist characters of *Game of Thrones*. However, I had to remind myself, this book was not meant to be fiction, but rather to be nefariously utilized as a “how-to” in the real world context. While there are many useful anecdotes contained within, the predominant takeaway was that in order to become powerful, one must conceal, manipulate, and dominate. This is reflected in several of the chapter titles: “Conceal your Intentions,” “Court Attention at all Costs,” “Get Others to Do the Work for You — but Always Take the Credit,” “Use Selective Honesty and Generosity to Disarm your Victim,” and “Pose as a Friend — Work as a Spy.” Unfortunately, Greene’s book has perpetuated the acquired understanding that power is an “evil” thing.

Alternately, Keltner (2007), in *The Power Paradox*, attempts to debunk the Machiavellian approach and aims to resurrect an element of positivity to the concept of power by breaking it down to its simplest form (D.K., 2007). Keltner states that “[p]ower is not something limited to power-hungry individuals or organizations; it is part of every social interaction where people have the capacity to influence one another’s states, which is really every moment in life.” “To be human is to be immersed in power dynamics” (D.K., 2007). This would be akin to a child exerting power over a parent to respond automatically to satisfy its basic needs of eating and sleeping yet reciprocally, the parent has the power to determine the content of the food and the schedule for bedtime.

The authors ascribe to the Keltner explanation. And if we believe Keltner, then power really is not necessarily repugnant; power just *is*. It *is* in each and every one of us and is used in all daily interactions, both personal and professional. It is not inherently evil nor is it not inherently praiseworthy. But, if used incorrectly, power *can* be evil and it *can* corrupt.

**Power and Effective Leadership are not Synonymous**

The problem we are experiencing in our respective work cultures, social circles, and political affiliations, is that people tend to assume a powerful person is also an effective leader. However, the concepts of power and effective leadership are not synonymous and should not be treated as such. In fact, given the right circumstances, it can be detrimental to growth and organizational success to assume the two are complementary. Power is just one of many tools that effective leaders have at their disposal whereas leadership is an acquired skill. Simply put, all effective leaders have power but not all powerful people are effective leaders.

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All effective leaders have power but not all powerful people are effective leaders.

Being an effective leader means you inherently have power: it comes with the territory whether the aim was to be powerful or not. Consider, for example, Mahatma Gandhi. Gandhi was an extremely effective leader who had no title of authority and never had a desire for power, but was very powerful nonetheless. He was endowed with power because he was an effective leader. Expressed differently, Gandhi inherited power through his leadership. Reviewing and reflecting upon his practices, Gandhi influenced people by use of the referent and expert bases (as previously discussed). He connected with people from all backgrounds, always displaying empathy and emotion. In turn, his followers truly revered him. In that respect, Gandhi proved the strength and longevity of these bases of power.

Next consider, in the alternative, Adolf Hitler. It is most difficult to transition from discussing Gandhi to examining Hitler as the end goals and individual motivations were so cataclysmically different. But that is why they are the perfect examples in this scenario. Unlike Gandhi, Hitler desired power and led through coercion, fear, and legitimate authority. Ultimately, however, Hitler’s leadership reign lasted a little over a decade and suffered a terrible collapse and full reversal, while the effects of Gandhi’s leadership continue post-mortem. This ties in the theory that people with dominance motivation use certain bases of power that end in short-term results. It also buttresses Collin’s theory of company leaders who were not able to sustain long-term growth due to lack of humility and modesty.

In our respective working environments, we have met many powerful people who held a superior office, but were not effective leaders. As executive and leadership coach Dr. Christi Hegstad opined, “. . . leadership is a way of life while a boss only exists where their power does.... a boss exists within an organization, whereas a leader can lead at work, at home, at the grocery store and at all places in between” (Forbes, 2016). Hegstad asserts that a title does not necessarily create an effective leader. Unfortunately, in many organizations, certain individuals are given a leadership title for simply “doing their time” in a particular job title or at a particular place of business without any real thought as to whether that person achieved a place of respected authority. People ascend to this role, especially in the legal environment, because the hierarchical structure is strictly defined and adhered to (Associate to General Partner to Capital Partner).

Another reason that we hypothesize that power may be confused with leadership is the growing perception that leaders must exude a grandiose personality. In Good to Great, Collins states, “The great irony is that the animus and personal ambition that often drive people to positions of power stand at odds with the humility required for Level 5 leadership” (Collins, 2001). He expounds that all too often the board of directors and
other owners will look for an individual with a “larger-than-life” or “egocentric” attitude to progress their organizations, where what they really need is a leader — someone who can demonstrate humility, modesty, and channel ambitions into transforming the company for the greater good, not for personal gain (Collins, 2001). Collins essentially hits the nail on the head as to why not all powerful people can be effective leaders.

In the end, power is a tool that is available to every leader, but just because one possesses power does not mean an effective leader will materialize. When used correctly, power can be used to accomplish desired goals; however, when power is used for selfish reasons — to accomplish a personal goal or desire — or due to a leader’s insecurities, it can wreak havoc on the organization and halt positive growth. Therefore, power is very temperamental for leaders and should be used carefully and thoughtfully.

How Power Can Render a Leader Ineffective

The Essential Tension Between Leadership and Power demonstrates the circumstances under which a person in a leadership role might use power for personal gain and thus negatively affect the organization (Mead, 2010). Maner and Mead (2010) began their study by highlighting the different motivations behind power, including dominance/personalized power and prestige/socialized power, both previously explored. As Maner and Mead stated, and as is our theory as well, “. . . power can be used either to benefit the self or to benefit the group” (Mead, 2010). We hypothesize that when a leader is motivated by self-gain, she or he is not an effective leader but is simply a person in power or occupying a position of delegated authority.

Maner and Mead predicted that leaders high in dominance motivation prioritize their own power over group goals when the power gap is threatened. They defined the power gap as the need for group members to relinquish some control to a leader who can achieve their goals making those group members vulnerable to exploitation (Mead, 2010). They predicted leaders low in dominance motivation would prioritize group goals rather than their own. They also hypothesized that leaders high in prestige motivation (characterized by displaying desirable traits and abilities that benefit the group) would be inclined to make decisions that benefited the group (Mead, 2010).

Maner and Mead next identified what threats exist to leader that could expose their self-interest and make them chose to use power in a way to further personal objectives. In that regard, they emphasized that “. . . most social structures have been marked by malleability, instability, and potential for change” (Mead, 2010). This instability threatens a leader. In turn, the leader begins to see other members as potential competitors and thus, subsequently engages in methods to protect the power already in place. The opposite is true for leaders in secure positions although it is very unlikely for a leader to be within a completely secure position unless it is a position with a term limit (Mead, 2010).

The first experiment focused on whether leaders would withhold information from other group members that would be considered valuable in performing a group task. The findings reflected a tendency for leaders high in dominance motivation to withhold
information from other group members in an unstable leadership condition. By withholding information from the group, these leaders decreased the likelihood their group would perform well and thus receive commensurate rewards. There were no such effects on individuals low in dominance motivation or in participants’ desire for prestige. They also found that leaders shared information freely when they were in stable and secure roles. In sum, when leadership was threatened, leaders motivated by dominance prioritized their own power over the group’s performance and potential (Mead, 2010).

The second experiment focused on circumstances that would cause a leader to exclude a group member. What they found was that an unstable environment increased the tendency of a leader high in dominance motivation to exclude the high-scoring group member. This had no effect on participants low in dominance motivation. After this experiment, they polled the participants and nearly half of them indicated that they excluded the high-scoring group member in order to protect their power. In sum, they found that “[w]hen faced with a tradeoff between protecting their powerful role in the group and enhancing the group’s capacity for success, leaders high in dominance motivation prioritized their own power over group goals” (Mead, 2010).

Interestingly, in the third and fourth experiments, Maner and Mead tested the results of intergroup competition on a leader. What they found was that the presence of intergroup competition caused a high dominance leader to perceive the highly-skilled group member as an ally. Hence, the shift in competition from within the group to outside the group caused the high dominance-motivated leaders to shift their view on the group member from competitor to ally (Mead, 2010).

In the final experiment, participants were given the option to assign roles to various group members. They were informed that one particular group member was very skilled. Their findings were similar to experiments one and two: leaders high in dominance sought to reduce the threat to their power within the group and did not assign power roles to highly-skilled members. Faced with intergroup competition, however, leaders high in dominance motivation shifted focus and assigned a more authoritative role to the skilled worker (Mead, 2010).

These studies suggest that high dominance motivation leaders prioritize power over group goals. Second, the prioritizing of power over group goals was only present when a leader’s position was threatened or unstable. Finally, the introduction of intergroup competition caused a leader to shift priorities to boost a group’s success (Mead, 2010). Interpretatively, Maner and Mead insinuated that all leaders have power. They also highlighted the detrimental effect of power on a group when used for selfish reasons or when used by a leader who was not fit for the role (due to insecurities outweighing group needs).

**Conclusion**

In this article, we demonstrated that effective leadership and power are two separate and distinct concepts: power is a tool while effective leadership is a skill. Being an effective leader means that that individual is endowed with authority but the same is not
true for powerful people: they are not always effective leaders. In order to sustain power, one must be an effective leader. Because leaders have power at their disposal, and power can either positively or negatively affect a group, the relationship between the two is extremely fragile. The success of an organization depends on the leader’s ability to balance the fragile relationship between power and leadership.

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3 PwC refers to the United States member firm, and may sometimes refer to the PwC network. Each member firm is a separate legal entity.
Leadership in Academia: 
*Dean’s Disease – Its Sources, Seductions, and Solutions*

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Abstract
This paper analyzes the behavioral dysfunction known colloquially as “dean’s disease” in terms of the classic group of mortal sins to which we are all susceptible and the particular problems faced when serving in an administrative capacity in academia. Practical remedies for those afflictions are suggested based upon the available literature, more specifically Bediean (2002) and Spritzer (2004) as well as the author’s own experience.

Introduction
Deans and potential dean candidates should be informed about behavioral changes they likely will experience should they accept an administrative appointment. For purposes of this paper, “administration” denotes positions above the rank of faculty with the exception of department chair. The chair is a nurturing role thought to be played by sane people still in touch with the noble altruistic instincts that brought them to academia, whose interests remain parallel to the best impulses of the faculty. This paper seeks to explain the sources and remedies for some symptoms of the moral affliction of “dean’s disease.”

Historical Development and Analysis
The dark side of academia has a long and predominantly oral history. It was Lord Acton, perhaps speaking of academia, who said “power corrupts, absolute power corrupts absolutely” — a statement I will not attempt to dispute. It is my purpose to advise potential victims of behaviors they may not have seen in themselves before. Although dean’s disease can be debilitating, it need not be if precautions are taken before accepting the position. First, no one should accept the position of dean or interim dean if he/she is not patient, tactful, goal-oriented, and persevering.
Two modern restatements of the moral decline known as “dean’s disease” are found within the literature. The first, by Bediean (02), contends that deans cross over to the dark side almost immediately after assuming the role, and “develop a sense of superiority that makes it difficult for their faculty to communicate with them” (p. 164). Bediean does not mention the fact that the faculty members also alter their behavior toward the dean. They divide into two groups: one that approach with dean with proposals that generally involve a raise in pay for the faculty member, and the other that shuns both the dean and the early crowd. While the dean laments that they used to be his/her friends, the metamorphosis is said to begin.

In Bediean’s analysis, the symptoms begin when the dean begins to feel some power over the faculty. He contends that the dean’s position gives them coercive power consisting of verbal threats, confrontation, and punitive actions, as well as reward power in the forms of salary hikes, teaching assignments, praise, and recognition. Bediean believes that reverent power and expert power may be missing from the wheelhouse of the new administrator although the reasons for this are not part of his analysis. If the dean does not come up with solid ideas and tangible accomplishments, he/she will never wield the power that comes from the respect of the faculty.

In the second stage, the dean develops an overinflated sense of self. The isolation of the dean, coupled with two new peer groups — the council of deans of other colleges — and the CEOs on the advisory board, further skew the perspective of the dean. In the third stage, the pursuit of power becomes an end in itself. The dean begins to engage in exclusively self-serving behavior with little sense of conscience or guilt.

The second diagnosis by Spritzer (04) has been presented to new business deans at AACSB seminars for more than ten years. Spritzer posits a productive period, called the honeymoon, during which the dean and the faculty cooperate in a number of beneficial projects for the college, and achieve substantial successes. As diminishing returns set in, a long period of maintenance is the best possible next scenario. During the downturn in the life cycle, the dean begins to “do things that will result in him or her not being the dean anymore.” This is usually as far as the description goes in the new dean’s seminar, lest deans flee the seminar with a draft of their resignation letters. Those contemplating a turn at administration deserve to know what these things are. A review of the seven deadly sins will illustrate these things more fully.

The 7 Deadly Sins and a Prescription for Success

Pride is first of the deadly sins, and the most serious. The dean will favor his/her own ideas, and grow defensive about suggestions from the faculty. The dean will favor the faculty that he/she had a hand in hiring. The dean will bask in past accomplishments, and not seek new initiatives. In this mode, it is likely that the dean will resist new mission and strategy initiatives. Pleased with prior successes, the dean is not likely to want to revisit the battlefield that is values, mission, and objectives.

Deans suffering from excessive pride in their own ideas need to create occasions for receiving constructive criticism. New deans often visit each faculty member in their office.
during the first semester — this should be repeated by all deans at least once a year. A dean who dreads another mission, values, and objectives round needs to keep a journal and document thoughts on changes in these things as they occur to make note of happenings that are inconsistent with mission as well as those that are consistent. Inconsistencies will highlight ideas worthy of being incorporated into the next round and having documentation will make the process of initiating changes easier. Find some interest that you have in common with your most difficult faculty members, and spend some time with them practicing that interest. This is the reason so many deans play golf, and many admit to naming their golf balls.

The next sin is envy. The dean will become interested in conspicuous consumption and will begin to fight with other deans over resources. The provost will regard this as shallow money-grubbing behavior, and will grow hesitant to take seriously any requests for increased funding. The provost also competes with the other deans and the athletic department for private money, and will soon find that many private donors are already marked for the president only. The dean will become discouraged, and then sullen and spiteful. A dean suffering from excessive envy must stop fighting with other deans over money. Find other sources of money; the provost will value that much more, and good relationships with colleagues are not worth squandering for the small stakes funds available for the taking in Council of Dean’s meetings. Set up meetings with business leaders, take a gift, and try not to make it look like an “ask” for money. Instead, pose questions about the college and afterwards take notes about what the person said in order to ascertain the most accurate view of how the community feels about the school. Someone who flunked out of college or went to a rival school carries some baggage, but it probably is not what you think. As they say in development circles, you must find out what is in their heart now (Ostrower 1995, Burnett 2002, Prince & File 1994).

Spend time developing an advisory board. It is absolutely essential to have a large group of community leaders in your corner (Kezar 2006, Taylor 2010, Watson 2015). They must be asked to solve problems and take away memories of the most advanced multi-media extravaganzas you can produce. Join the Chamber of Commerce, roll up your sleeves, and work. Do not let anyone tell you which civic club to join — visit several and choose one that suits your personality. Try to avoid exercising your debating skills about politics or religion.

Lust is the sin of treating others as mere objects for physical pleasure. In this mode, the dean is content to let one committee member do the work of the entire group, burdening that individual, and making a mockery of participatory decision-making. At worst, the dean will pick the faculty member and charge him/her with pre-established findings. After all, the dean may have received his/her own goals from the provost via e-mail.

A dean bothered by lust — treating others as objects by letting a few individuals do all the work — must ponder how perfectly obvious that is going to be especially to those few. It is much better to cultivate teamwork among the faculty than risk having key players leave
the institution for a lighter load. Rotate assignments regularly — it keeps the skills of the faculty fresh and may limit oratory about how things were done fifteen years ago.

Consider changing linked assignments. For example, if the university committee member always chairs the college committee, think of involving two people instead of one, on staggered terms. Charging a committee personally is a valuable opportunity to exhibit willingness to listen, and expectations for behavior. At no time should the committee be picked because of its probable outcome, or worse, directed to come up with a particular finding. This is most dangerous when dealing with search committees. If the dean simply doesn’t like someone, it should not be known by the committee.

Anger is manifest as hostility and desire for revenge. This is often seen when reading evaluations and mumbling, “I know who this is from.” A key piece of dean lore is to convince the faculty that you have the memory of an elephant, and will remember any offense long enough to get even for it. The dean will begin to act like a pit viper shedding its skin. Passive-aggressive tendencies will become less passive and more modus operandi. This affliction can often be identified by the dean’s language which begins to take on more and more shocking turns; when cursing like a sailor, politeness disappears.

A dean seething with anger must learn to cultivate assertiveness rather than aggression. No one will be unhappy if you become clearer in your directives rather than meaner. Remember—revenge is followed closely by retaliation and like a trade war, it will always escalate, not go away.

Other ways to be clearer — especially with faculty within your own college — are bi-weekly newsletters, and the posting of past minutes of all key committees.

One way to tame one’s language is to invite other people to meetings — perhaps staff members of student services, information technology, or the fitness center. Only the most boorish dean will curse with guests in the room. Your guests will be pleased not to have been overlooked, not knowing that they might have otherwise been overwhelmed by your language. Patience is, of course, the classic remedy for anger. Treat your secretary as your secret pal and do something nice for him or her, because those closest to you hear the most awful things muttered under your breath.

A dean should use all available opportunities to offer written explanations for non-personnel actions. Far better to stimulate discussion than to hide or appear to hide decisions that affect the college. The minutes of all meetings should be available on line. The authorship of a biweekly newsletter is a burden that pays off abundantly in good will and positive spillover effects. Do not hesitate to send copies to the advisory board, as they primarily just want to feel involved.

Evidence of the sin of gluttony will be found in the girth of the dean or the dean may turn to alcohol or drugs. In an effort to dull anxiety, the narcotic of choice is self-deception (Goleman 2005). Other drivers of corporate narcissism are found in the many works of Manfred F.R. Kets de Vries (1989).

A dean suffering from gluttony will benefit from a regular exercise schedule. This healthy move is the key to keeping stress at bay, and being the dean is going to be stressful. Put
the exercise schedule on the calendar and rather than cancelling exercise appointments with yourself to deal with an issue at work, invite the unexpected guest to go with you or make an appointment to see you later. As for the traditional vices that self-medicate stress, strictly heed the advice that you don’t have to do everything that makes you feel good; at the very least, don’t do it at work or at any place even associated with work. This includes dean’s association meetings. The best decisions are made stone cold sober as are the best impressions.

Greed or love of earthly possessions is found in activities such as hoarding the travel budget on the pretense that one more conference will be in the interest of the college. This behavior is easily recognized by the desirability of the location of the conference. Accreditation associations explicitly encourage frequenting their meetings with the message that new standards cannot be fully understood without occasion to discuss them with the dean’s only friends: deans at other schools.

Greed is usually manifested by hoarding the travel budget and the best remedy for this is to schedule a vacation a year in advance at one’s own expense. Send the chairs to the accreditation meetings; they’ll pay more attention to them, and get more out of them. Any travel funds should be passed to the chairs with directions to apportion them to the most deserving of the productive faculty.

Sloth is found in its purest form: an aversion to work. The formerly anxiety-ridden, now self-deluded dean can finally get some rest in ignoring key deadlines and postponing unpleasant tasks. This is the most dangerous of the seven sins for deans, as these behaviors are impossible to miss. The dean becomes an expert at delegation, and applies this new skill at every turn. The dean will be surrounded by “yes” men and women and not hear a word of discord. Ironically, the dean’s supporters remember saying that the dean would do a good job as soon as he/she learned to delegate. At this point, the dean is doing a bad job by attempting to delegate everything. Of course, only a few of the faculty are engaged sufficiently to cooperate, which galvanizes the rest of the college in an unstable and dangerous behavior known as poor morale.

Sloth is perhaps the most difficult of afflictions, but as it results from a dean feeling sorry for him/herself, it can be conquered by taking control of the dean’s schedule. A dean can be too available to the staff and faculty. Empowering them to solve their own problems will allow you to schedule some creative time which will be productive and energizing. A wise man once said that leadership is the fine art of making people do what you want without making them mad. A dynamic, energetic leader will have the time to do this.

**Conclusion**

In conclusion, dean’s disease is a real malady which can be effectively circumvented only by continual vigilance and meditation upon the seven deadly sins of deanship. Those who are inclined to seek further guidance of a more spiritual nature will enjoy the work of Clements (2002) and Conger (1994). Of course, some of the challenges of deanship do not result from any moral failing of the dean (Dhir, 2008, Smith 2006). The
most difficult problems will be personnel problems. For advice on this, see Gunsalus (2006). For advice on the middle manager problems dealing with the external world expectations, see Gallos (2002, 2008). Those courageous enough to pursue administration will have been warned.

References


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**About the Author:**

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The Spiritual Quest of Steve Jobs: Connecting the i-dots Gazing Forward, Glancing Back

SATINDER DHIMAN
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The Making of a Creative Genius

By critical acclaim, Steve Jobs is considered to be a creative genius and a great visionary leader. More than one pundit praising Jobs’ ability to transform industries with his inventions, called him a modern-day “Leonardo da Vinci.”¹ He wanted to leave his permanent mark on the universe: “We’re here to put a dent in the universe.”² And what a mark he did leave, if influence is any measure of a person.

“I like living at the intersection of the humanities and technology,” Jobs said once. When introducing the iPad 2, Jobs summarized his strategy this way: “It is in Apple’s DNA that technology alone is not enough — it’s technology married with liberal arts, married with the humanities, that yields us the results that make our heart sing.”³ It was a chance dropping in a class about Chinese calligraphy that primed the future leader of Apple with an added sense of aesthetics and which, to this day, makes the hearts of Apple customers sing. With the passing of Steve Jobs, one cartoon (used as a featured image for this essay) stood out: St. Peter introduces Jobs to Moses with the caption: “Moses, meet Steve. He’s gonna upgrade your tablets.”⁴ As below, so above!


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Many believe that the inner clarity and conviction that Steve Jobs attained was the result of his deep explorations into his spiritual self. It is well known that Jobs was mystified by Eastern philosophies. He went to India during the ’70s as a teenager before co-founding Apple. It proved to be a life-changing experience and a great turning point in the real spiritual sense.

The Spiritual Quest Begins

After reading Harvard professor Ram Das’s Be Here Now, and Paramahansa Yogananda’s Autobiography of a Yogi, Steve Jobs traveled to India in 1974 with a friend, Dan Kottke, who later became Apple’s first employee. His trip to India was disappointing and revelatory at once, as he himself realized and recounted: “We weren’t going to find a place where we could go for a month to be enlightened.” Yet in a far more important sense, during his short fling into various Indian ashrams, Jobs picked up the importance of cultivating inner centeredness and composure and looking at the world from the inside out. This orientation seemed to have served him well throughout his life as a leader of Apple.

Jobs’ India connection, though, preceded his trip. As a penniless college drop-out, he would walk seven miles every Sunday to get a free meal at the Hare Krishna temple. He also retained a lifelong admiration for Mahatma Gandhi. In 1997, Apple’s “Think Different” ads, which featured his personal idols, included the Mahatma.

The Book That Influenced Jobs the Most

Jobs’ interest in Eastern spirituality was solidified later when he dabbled in Zen Buddhism at the Los Altos Zendo. The greatest influence on Steve Jobs, however, was the book Autobiography of a Yogi — “the guide to meditation and spirituality that he had first read as a teenager.” His biographer, Walter Isaacson, tells us, “then re-read in India and had read once a year ever since.” It was the only book Isaacson notes that Jobs downloaded on his personal iPad. Jobs’ credo “Actualize yourself” seems to have come directly out of Yogananda’s philosophy of Self-realization.

It has recently come to knowledge that copies of Yogananda’s classic autobiography were handed out at Steve Jobs’ memorial, as reported by Marc Benioff, CEO and Co-Founder of Salesforce.com in a Tech Crunch Disrupt SF 2013 conference interview. Benioff shares his story of opening the brown box that was given to every guest during the memorial service. Jobs had apparently arranged to give

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Yogananda’s *Autobiography of a Yogi* in his own memorial service as a last gift to the attendees!9

Paramahansa Yogananda was the first great spiritual master of India to live in the West for a long period (over thirty years). In what may be described as the most intimate, first-hand account of a master’s spiritual unfoldment, Yogananda, in his *Autobiography*, memorably chronicles his encounters with many saints and sages during his youthful search throughout India for an illumined teacher; ten years of training in the hermitage of a revered yoga master; and the thirty years that he lived and taught in America. It also records his meetings with Mahatma Gandhi, Nobel Laureate Rabindranath Tagore, Luther Burbank, and other celebrated spiritual personalities of East and West. The *Columbia University Press* review extolled *Autobiography of a Yogi* in these glowing terms: “There has been nothing before, written in English or in any other European language, like this presentation of Yoga.”10


Hailed as “a book *about yogis by a yogi*,”11 it is indeed a rare marvel of self-mastery through mind-control and self-realization. Here is an illustration of the great power of love and of the mind over matter, narrated in the inimitable style by Yogananda in this book:

> The secret of improved plant breeding, apart from scientific knowledge, is love.

Luther Burbank uttered this wisdom as I walked beside him in his Santa Rosa garden. We halted near a bed of edible cacti. “While I was conducting experiments to make ‘spineless’ cacti,” he continued, “I often talked to the plants to create a vibration of love. ‘You have nothing to fear,’ I would tell them. ‘You don’t need your defensive thorns. I will protect you. Gradually the useful plant of the desert emerged in a thornless variety.”12

**Holy Curiosity and Divine Sense of Wonder**

Steve Jobs learned some important lessons from the book: the importance of holy curiosity and sense of wonder,13 self-effort, self-realization and, above all, fearlessness in facing life and death. Jobs, who in his 2005 Stanford Commencement Speech

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10 See reviews published on the back cover of 1972 edition of *Autobiography of a Yogi*.


13 One thinks here of Carlyle’s observation in *Sartor Resartus*: “The man who cannot wonder, who does not habitually wonder (and worship), were the president of innumerable Royal Societies and carried . . . the epitome of all laboratories and observatories, with their results, in his single head, is but a pair of spectacles behind which there is no eye.” Cited in *Autobiography of a Yogi*, p. 384. Autobiography is full of such soul-uplifting insights.

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memorably described death as “very likely the single best invention of life,”
departed from this world exclaiming: “Oh wow. Oh wow. Oh wow.” In the same speech, signaling the importance of loving what we do, he noted, “Your work is going to fill a large part of your life, and the only way to be truly satisfied is to do what you believe is great work. And the only way to do great work is to love what you do.”

**Humility, the Hardest of Leadership Virtues**

Reflecting on the cartoon referred to in the opening of this entry, Nick Gier quips: “If there is a heaven, then Steve Jobs has not only met St. Peter and Moses, but he’s also been pitching his great ideas among all the saints of human history. They will learn a lot from him, and perhaps they will teach him a little humility.”

Perhaps, nature does not like to give two gifts to one person. If flair for novelty was Steve Jobs’ greatest gift, it certainly did not come wrapped in the gentle cloak of humility. Nevertheless, his constant effort to remake himself, to self-actualize his total potential, does seem to point to an unremitting commitment to spiritual quest — the hallmark of all good and great leaders. Of all virtues, said Ben Franklin in his famous *Autobiography*, humility is the most difficult to cultivate. By the time one gets to be good at it, one becomes proud of it!

**Capturing Steve Jobs’ Human Side**

“He wasn’t a saint. I am not saying that. None of us are. But it’s emphatically untrue that he wasn’t a great human being.”

This quote from Tim Cook, Apple’s CEO, shows us that spiritual leadership is not about *being a saint*; it is about *becoming a great human being*. In their recent book on the evolution of Steve Jobs as a visionary leader, Brent Schlender and Rick Tetzeli quote Tim Cook who tells the untold story of his friendship with Steve jobs. According to Cook, Jobs was a passionate person, a caring leader, and a genuine human being. He believes that Walter Isaacson’s biography did Jobs a tremendous disservice by unfairly portraying him as a sort of greedy, selfish egomaniac. It didn’t capture his humane side — Steve Jobs, the person.

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16 Steve Jobs’ 2005 Stanford Commencement Address.


*JOURNAL OF VALUES-BASED LEADERSHIP*
Cook recalls that when he offered his liver to Jobs, he refused, stating, “No, I’ll never let you do that. I’ll never do that!” “Somebody that’s selfish,” Cook recounts, “doesn’t reply like that.”²⁰ According to Tim Cook, Jobs cared. He cared deeply about things. Yes, he was very passionate about things, and he wanted things to be perfect. And that was what was great about him. He wanted everyone to do their best ... A lot of people mistook that passion for arrogance.²¹

Steve Jobs had his share of human failings. He never pretended to be a saint. His 2005 Stanford Commencement Address shows him to be searching for deep spiritual answers to the perennial questions of life. In him, we find a curious integration of Jim Collins’s level five leader, marked by a paradoxical combination of compelling humility:

“stay hungry, stay foolish”

and the fierce professional will to make:

“a ding in the universe.”

Truth about Steve Jobs’ Last Words!

Since early November 2015, several social media sites and blogs have been circulating a fake essay on happiness and the mis-pursuit of wealth touted as the Last Words of Steve Jobs. Some highlights of this fake essay are reproduced below:

- I reached the pinnacle of success in the business world. In others’ eyes, my life is an epitome of success. However, aside from work, I have little joy. In the end, wealth is only a fact of life that I am accustomed to.
- At this moment, lying on the sick bed and recalling my whole life, I realize that all the recognition and wealth that I took so much pride in, have paled and become meaningless in the face of impending death....
- Now I know, when we have accumulated sufficient wealth to last our lifetime, we should pursue other matters that are unrelated to wealth...Should be something that is more important:
  - Perhaps relationships, perhaps art, perhaps a dream from younger days.
  - Non-stop pursuing of wealth will only turn a person into a twisted being, just like me.
  - Material things lost can be found. But there is one thing that can never be found when it is lost – Life.
  - Whichever stage in life we are at right now, with time, we will face the day when the curtain comes down.
  - Treasure love for your family, love for your spouse, love for your friends. Treat yourself well. Cherish others.
  - On the face of it, it makes a good, albeit emotionally-touching, read.

²¹ Ibid.
The fact is: Steve Jobs never said these words. Not even close.

**Here are some facts:**

On the evidence of the eulogy by Jobs’ sister, novelist Mona Simpson, who was present during Jobs’ last hours, we know what Steve Jobs’ final words really were. This eulogy was published in *The New York Times* on 30th of October 2011. In that eulogy, she described her brother’s last moments as follows:

“But with that will, that work ethic, that strength, there was also sweet Steve’s capacity for wonderment, the artist’s belief in the ideal, the still more beautiful later.”

His final words, hours earlier, were monosyllables ... repeated three times.

Before embarking, he’d looked at his sister Patty, then for a long time at his children, then at his life’s partner, Laurene, and then over their shoulders past them.

Steve’s final words were:

**OH WOW. OH WOW. OH WOW.**

No one since his death in 2011 until November 2015 said anything about these purportedly last words that suddenly appeared on the Net this month.

Steve Jobs’ official biographer, Walter Isaacson, who met regularly with him during his last three years of life and had over 40 exclusive interviews with him, makes no mention of the fake essay in Steve Jobs’ biography. Nor do any other books about Steve Jobs mention this quote. If Steve Jobs really wanted this wisdom to be circulated to the wider public, he would have at least mentioned something about it to his biographer or family members or anyone at Apple Inc. We have no evidence of it at all.

From all available evidence, it is clear that Steve Jobs was not afraid of death, as he made it very clear in his memorable 2005 Stanford Commencement Address:

“Death is very likely the single best invention of life...Your time is limited, so don’t waste it living someone else’s life...Don’t let the noise of others’ opinions drown out your own inner voice. And most important, have the courage to follow your heart and intuition.”

*Steve Jobs did not pursue wealth;* he pursued an abiding dream and a compelling vision—*to make a dent in the universe.* It is common knowledge that Steve Jobs’ salary at Apple was $1. He had not been awarded any new equity since 2003, despite being its largest individual shareholder. His annual salary had been $1 since 1998. Top Apple executives, including Jobs, were/are employed at will, without severance or employment agreements, tax reimbursements or supplemental retirement benefits. Thus from all accounts and intents, it is clear that Steve Jobs did not pursue wealth as an end, as the
fake quote falsely mis-appropriates. Steve Jobs pursued a vision for Apple that was much grander and larger than any wealth of the world.

Hence, this falsely attributed set of quotes presented as Steve Jobs’ last words were NOT his last words.

The Art of Storytelling

In his seminal Stanford commencement address, Jobs told three remarkable stories. His first story was about connecting the dots looking backward.22 He recounted his struggles in early life, including the touching story about his adoption. The second story was about his rise, fall, and rise again with Apple. The crux of the speech, and its most compelling part, came in the third story which describes his bout with cancer.

“My third story is about death.” Steve Jobs continues, “When I was 17, I read a quote that went something like: ‘If you live each day as if it was your last, someday you’ll most certainly be right.’ It made an impression on me, and since then, for the past 33 years, I have looked in the mirror every morning and asked myself: ‘If today were the last day of my life, would I want to do what I am about to do today?’ And whenever the answer has been ‘No’ for too many days in a row, I know I need to change something.”23

Perhaps certain things become clearer with the impending inevitability of death. The day before Steve Jobs passed away, he told his sister, Mona Simpson, that he was going to a better place.24 Jobs’s sister reminisced in the eulogy she delivered at his memorial service: “Death didn’t happen to Steve, he achieved it.”25 Jobs seems to have made his peace with the universe, finally.

About the Author

Professor Satinder Dhiman, Ph.D., Ed.D. is Associate Dean, Chair & Director of the MBA Program, and Professor of Management at Woodbury University, Burbank, California. Professor Dhiman has also served as the Chair for a special MBA Program for Mercedes-Benz executives, China. He holds a PhD in Social Sciences from Tilburg University, Netherlands, an EdD in Organizational Leadership from Pepperdine University, Los Angeles, and a Master’s degree in

22 Perhaps the Danish philosopher, Søren Kierkegaard, expressed the sentiment more accurately: “Life can only be understood backwards; but it must be lived forwards.”
23 Ibid.
25 Ibid. Emphasis added.
Commerce from Panjab University, Chandigarh, India, having earned the Gold Medal. He has also completed advanced Executive Leadership Programs at Harvard, Stanford, and Wharton. He is recipient of the prestigious 2004 ACBSP International Teacher of the Year Award and the Steve Allen Excellence in Education Award, 2006.

Dr. Dhiman’s work has been published in multiple national and international journals, and he has authored, co-authored, and co-edited ten books on management and leadership during last 7 years. His current research on fulfillment, which is also the theme of his book, *Seven Habits of Highly Fulfilled People* (Personhood Press, CA, 2012/2014), is focused on transformative habits of mind for attaining lasting joy and fulfillment in both personal and professional life. In his most recent book, *Gandhi and Leadership* (Palgrave Macmillan, USA, 2015), Dr. Dhiman offers perceptive insights into the spiritual and moral mainstay of Gandhi’s exemplary leadership and its abiding influence on the world today. In his recently co-edited volume, *Spirituality and Sustainability: New Horizons and Exemplary Approaches* (Springer, USA: 2016), the editors and contributors present the view that there is no sustainability without spirituality. Several forthcoming titles include *Holistic Leadership: A New Paradigm for 21st Century Leaders* (Palgrave-MacMillan, USA: Fall 2016); and *Leadership Today - Practices for Personal and Professional Performance* (Springer, USA: Summer 2016).

On April 18, 2013, Dr. Dhiman also served as the opening speaker at TED-x Conference @ College of the Canyons, CA. He serves as a Chair of ACBSP Peer Review Team (PRT) and accreditation mentor to several universities in the USA, Canada, Europe, and India. He has been recently elected as the President of International Chamber for Service Industry (ICSI), 2014-2016. Dr. Dhiman is the founder and Director of *Forever Fulfilled*, a Los Angeles-based Wellbeing Consultancy that focuses on workplace wellness and self-leadership.
Introduction

Abstract

The aim of this conceptual paper is to discuss the association between favoritism — which includes nepotism — and the individual psychological well-being. Becker (1957) distinguished between two kinds of discrimination namely, a positive one which is discrimination in favor of, such as nepotism and a negative one which is discrimination against (Graham, 2013; Taylor & Turner, 2002; Williams, Yu, Jackson, & Anderson, 1997). Importantly, Becker (1957) highlights that “the social and economic implications of positive prejudice or nepotism are very similar to those of negative prejudice or discrimination” (p. 7). The consequences of being discriminated against have been studied for several decades, which allows one to investigate the relationship between favoritism and mental health by utilizing the discrimination literature as an initiating guide.

Favoritism and nepotism are forms of discrimination and sources of corruption (Bekker, 1991). Favoritism is present in both individualistic societies and collective ones; it is a common behavior across the world that has been defined as “preferential treatment of relatives, friends, and neighbors or other acquaintances. It is a widespread pattern of social interactions in many parts of the world – known as blat in Russia, guanxi in China and wasta in the Arab world” (Loewe, et al, 2007, p. 3). In surveys of 318 American HRMs and 126 Jordanian HRMs, Abdalla, Maghrabi, and Raggad (1998) showed that few managers in both countries agreed with statements supporting nepotism as a practice; rather, many managers sided with statements supporting anti-nepotism.

Wasta is an Arabic word that is used in reference to both favoritism and nepotism (Hutchings & Weir, 2006). The Arabic root for the word “wasta” means connectionism
Favoritism and Job Satisfaction

Favoritism has been investigated from an administrative perspective to show how it predicts job satisfaction. In collected surveys from 222 full-time employees of 8 different Pakistani public sector organizations, Sadozai, Zaman, Marri, and Ramay (2012) revealed that favoritism had a positive relationship with job satisfaction. These results might be from individuals who are likely to benefit from favoritism as they collected the participants in this study by using convenience sampling and they indicated that several individuals in the organization obtain positions that they are not qualified for and obtain positions through individuals they know (Sadozai, et al., 2012). Conversely, in a collected survey from 257 hotel employees in Turkey, Arasl, Bavik and Ekiz (2006) showed that favoritism has a negative association with job satisfaction and work environment. Arasl and Tumer (2008) investigated job stress in relation to favoritism through surveys from 576 respondents who worked for a banking industry in Turkey. The study revealed that favoritism was perceived as a stressor for the organization’s personnel, which lead employees to look for another job because wasta resulted in their job becoming a source of stress and discomfort.

Favoritism and Work Productivity

Through surveys that were collected from 166 Jordanian and 345 Egyptian human recourse managers, Hayajenh, Maghrabi, and Al-Dabbagh, (1994) demonstrated that high levels of favoritism and nepotism were associated with lower long-term goal achievement, lower effectiveness of organization policies and high levels of stress and frustration amongst the workers. In surveys of 376 male and female students in Kuwait University and the Public Authority for Applied Education and Training in Kuwait, Almuhanna (1999) showed favoritism was linked to a lack of objectivity in the hiring processes and a lack of clarity in the job description which according to MacLeod’s (2003) study leads to subjective evaluation that reduces the motivation level of the employees who are discriminated against. In addition, perceiving favoritism and nepotism in an organization has been found to have a relationship with having an...
intention to quit. According to Porter (2011), losing employees costs an organization a substantial amount of capital when taking into consideration new employee preparation such as training, orientation, the hiring process, and interviewing.

**Favoritism in Tribal Societies**

Favoritism has been investigated from sociological (Faisal, 1990; Faisal & Abdella, 1993). Administrative (Al-Taweel, 2011; Loewe, Blume, & Speer, 2008) perspectives in an Arab tribal society. In interviews with 175 people from governmental and non-governmental organizations, citizens and foreigners, and 180 anonymous standardized surveys in the Hashemite Kingdom of Jordan, Loewe et al. (2008) declared that individuals associated favoritism with unity and trustworthiness among relatives and friends. In addition, the interviewees indicated that it was hard to get things done without depending on *wasta* because it was impossible to overcome bureaucratic obstacles by following another way. In addition, the notion of helping others and being generous were significant features of Arab culture; a person who was known to not to help their relatives and people who knew them would be considered a person who was lower in status, and lacking in generosity.

Similarly, two decades ago, favoritism as a sociological phenomenon was studied from the perspective of male college students, which showed that favoritism was a social norm (Faisal, 1990; Faisal & Abdellah, 1993). In a survey of 214 male Saudi university students, Faisal (1990) attempted to study favoritism, *wasta*, as a social norm that individuals engaged in as an attempt to create a balance between traditional social structures and new social structures. A high percentage of the participants believed that the complexities of life were the reason why favoritism appeared, and favoritism is not “social deviance.” Moreover, the participants highlighted that *wasta* was a standard to measure loyalty to the family and the tribe and more than half of the participants believed that it was a standard to measure friendship; and a lack of *wasta* signified that an individual would be lost and people’s businesses would be interrupted or stopped.

**Investigating Favoritism from Psychological Lens**

The existing literature about favoritism has neither investigated being favored nor favoring others in relation to psychological well-being (Mohamed & Mohamad, 2011). It is important to note that “[p]sychological well-being is a fundamentally micro-level construct that conveys information about how individuals evaluate themselves and the quality of their lives” (Ryff, Magee, Kling, & Wing, 1999). Self-determination theory can be a great psychological lens to investigate the consequences of favoritism from a micro level on the individual who is being favored and the one who favors others (Deci & Ryan, 1985; Deci & Ryan, 2000; Ryan & Deci, 2001).

**Investigating Favoritism through Self-Determination Theory**
Self-determination theory (SDT) is a macro theory of human motivation, which considers the innate psychological needs as a key to gain a deep understanding of human motivation; it is a concept that can be used to conduct inquiries about behavior, individual motivation and psychological well-being (Deci & Ryan, 2000). It stands upon the concept that human beings have three psychological needs; autonomy, competence and relatedness that are the foundation for self-motivation (Ryan & Deci, 2001; Reis, Sheldon, Gable, Roscoe, & Ryan, 2000). These needs are universal and applicable across gender and culture. The autonomy need is defined by Deci and Ryan (2000) as an individual's innate desire while conducting a task to experience choice and freedom which can be done through giving the individual psychological spaces (Broeck, Vansteenkiste, Witte, Soenens, & Lens, 2010). For instance, individuals are autonomous when they willingly devote time and energy to accomplish tasks. The competence need is defined as an individual's innate desire or wish to be operative in interacting with their surrounding environments and be involved in difficult tasks in order to assess the individual’s abilities, which provides a feedback to the individual regarding his/her effectiveness (Deci & Ryan, 2000). For example, individuals are competent when they feel able to handle or meet daily challenges. Ryan (1991) defined the relatedness need as an individual desire to feel connected with others, especially the significant ones in their lives. The need for relatedness is an individual’s innate desire to be associated, connected, linked to a group and be an active member of that group, a part of something, and being cared for (Van den Broeck, Vansteenkiste, Witte, Soenens, & Lens, 2010). The essential notion of this theory is that satisfying the basic psychological needs will predict positive results on the individual and drive him/her to reach the ideal stage of performing and well-being (Deci & Ryan, 2000).

Scholars who utilize the self-determination theory (SDT) as a theoretical framework of their studies have showed that satisfactions of the basic psychological needs predicted optimal well-being and high levels of job satisfaction and performance (Lynch, Plant, & Ryan, 2005; Sheldon & Filak, 2008; Sheldon, Ryan, & Reis, 1996). Studying employees (186 staff from all administrative levels: 54% women, 46% men) of a psychiatric hospital via collected surveys, Lynch, Plant, & Ryan (2005) demonstrated that the satisfaction of each need was found to be positively correlated with optimal psychological well-being such as a high level of well-being, job satisfaction, and vitality. In using a 2 (autonomy need) x 2 (competence need) x 2 (relatedness need) factorial design within a game-learning experience, Sheldon and Filak (2008), found that all the basic psychological needs had a main effect on participants’ motivation, performance, and mood. After collecting surveys from 60 college students to examine daily fluctuations in well-being, Sheldon, Ryan, and Reis (1996) used hierarchical, multiple linear modeling to demonstrate that within-person, daily variations in the attainment of competence and autonomy were associated with maximal well-being — such as demeanor and vitality.

Similarly, Baard, Deci, and Ryan (2004) suggested that there is a relationship between satisfaction of the basic needs and the well-being (anxiety, depression) indicated by a study of 59 employees who work for operation centers of a major banking corporation. Additionally, the more autonomous the workers were, the higher association with positive results in terms of performance and well-being. Also, results from in-person interviews...
surveys with 87 residences at a nursing home showed that receiving autonomy support was associated with lower depression and higher levels of wellbeing and vitality. Also, residents’ satisfaction of their autonomy need and relatedness need were linked with less symptoms of anxiety and depression (Kasser & Ryan, 1999). In another study that was conducted by receiving daily reports for two weeks from 76 college students, Reis, Sheldon, Gable, Roscoe, and Ryan (2000) revealed that the satisfaction of the basic psychological needs (autonomy, competence, relatedness) was strongly linked to greater psychological well-being in terms of stress, depression, anxiety, and other components.

The previous studies showed that *wasta* is a critical phenomenon that individuals engage in as a way to feel related to others (Loewe, Blume, & Speer, 2008), a concept which Deci and Ryan (2008) called the “need for relatedness.” In other studies, the results showed that benefiting from *wasta* is associated with being perceived as incompetent, leading the individual to question his or her ability (Mohamed & Mohamad, 2011). This can be linked to the need for competence in the self-determination theory (Deci & Ryan, 2008). However, there is no study about *wasta* that links to the need for autonomy. Utilizing self-determination theory will increase understanding about *wasta* in relation to the need for autonomy, competence, and relatedness.

The current study proposes that benefiting from favoritism is more likely to make the individual feel a high level of choice/freedom as the beneficiary has more options which results in satisfying the individual’s autonomy need. Additionally, the present study proposes that the favored individuals were more likely to perceive themselves and their abilities positively as they would exert their efforts, but regardless of the results, they would have several plans and supports as well. Thus, such individuals would achieve the satisfaction level of his or her competence needs. Furthermore, the beneficiary is more likely to feel connected to others and feel that individuals who are surrounding him or her care which results in the individual satisfying the relatedness need. Similarly, an individual who has connections to provide favoritism might feel a level of competence in terms of accomplishing a task, unlike another person who cannot provide favoritism to others. Also, providing favoritism might be the predictor of the level of relatedness that an individual has towards the people to whom he/she shows favoritism as well as to people in positions of power within the surrounding societies and organizations. Finally, lacking or having the ability to provide and receive favoritism may predict negative consequences with respect to the individual’s basic psychological well-being and mental health in comparison to others who have the ability to do so.

**Discrimination and Well-being**

Turning to the literature regarding racial discrimination in the U.S. will inform this proposed study on *wasta* as a form of discrimination by highlighting how discriminatory practices are related to well-being (Becker, 1957; Fershtman, Gneezy, & Verboven, 2005). Understanding the literature related to racial and socioeconomic discrimination will elucidate the association between *wasta* and well-being. Racial discrimination in the U.S. has a similar history with *wasta* as once being accepted as the social norm. Scholars who have inquired about discrimination from a psychological lens demonstrate that
being perceived as treated unfairly is accompanied by negative well-being such as stress, depression, and anxiety (Moomal, et. al 2009; Nyborg & Curry, 2003; Klonoff, Landrine, & Ullman, 1999; Rivas-Drake, et al, 2009). While research has shown that favoritism and nepotism are primarily perceived as negative practices (Almuhanna, 1999; Al-Shamari, 2012; Aydogan, 2009; Yaghi, 1991), and discrimination has a relationship with the individual's well-being (Moomal, et. al, 2009; Nyborg & Curry, 2003; Klonoff, et al, 1999; Rivas-Drake, et al, 2009), there is a need to understand the potential relationship between positive discrimination and psychological distress. There are several studies that have investigated negative discrimination which is discrimination against one such as racial discrimination (e.g., Graham, 2013; Nyborg & Curry, 2003; Taylor & Turner, 2002; Williams, Yu, Jackson, & Anderson, 1997) or socioeconomic discrimination (e.g., Gee, Lively, Larsen, Keith, Stone, & MacLeod, 2007; Bower, Thorpe, Roland J., & LaVeist, 2013) in relation to well-being. For instance, in a meta-analysis of 134 articles, Pascoe and Smart Richman (2009) showed a strong relationship between perceived discrimination and a variety of mental health symptoms (e.g., depression, anxiety, stress, etc.).

Countless studies indicated that experiencing discrimination is correlated with negative symptoms of mental health; one study aimed to investigate the relationship between perceived racial discrimination and well-being by collecting face-to-face surveys from 573 Caucasians who lived in low-income neighborhoods. Bower, Thorpe, Roland J., & LaVeist (2013) demonstrated that there was a strong association between perceived racial discrimination and depression and anxiety. Similarly, in a mixed-methods study that was conducted by performing in-person interview surveys with 412 participants and carrying out five focus groups (every focus group had ten participants), Gee et al. (2007) showed that for black and white participants, discrimination was found to be associated with depression. The author assumed that this result might be due to the participants' characteristics of being from socioeconomically-disadvantaged groups. The more participants were in need of the services, the more they felt discriminated against.

Furthermore, Nyborg and Curry (2003) investigated experiences of racial discrimination as a predictor of psychological symptoms in a cross-sectional survey of eighty-four 10-15-year-old African-American boys. Correlational analyses suggested that higher levels of personal experiences of racism (e.g., being called names because of being Black, being treated like a criminal) were associated with higher self-reported internalizing symptoms (e.g., depressive symptoms) and externalizing symptoms (e.g., aggressive behavior), and more negative self-concepts and greater helplessness. The analyses further suggested that racism might have been linked to greater psychological symptoms, in part, through the greater amounts of anger it engendered. Thus, the findings helped to highlight a number of potential negative effects that discrimination could have on individuals' psychological well-being.

Racial discrimination was strongly related to high levels of stress, anxiety, and depression. Williams, et al. (1997) surveyed 1139 adults who were 18 and older from the Detroit area and showed that there was a strong relationship between experiencing discrimination in the past year and higher stress levels. Similarly, by surveying 434
African-Americans and 463 non-Hispanic white participants, Taylor and Turner (2002) revealed that major life events and everyday discriminatory stress had a strong relationship with the occurrence of stress. Anxiety was also linked to discrimination. For example, in surveying 129 black American participants, Graham (2013) showed that experiences of racial discrimination had a significant relationship with anxiety and stress symptoms. Moreover, a study showed that internalization of racism — acceptance of the negative beliefs that an individual from marginalized groups has toward his or her group — was found to be a mediator for the relationship between racial discrimination experiences and anxiety and stress symptoms.

**Discussion and Conclusion**

Positive discrimination (favoritism, nepotism) has to be further investigated by utilizing psychological lenses to discover its extent of predicting psychological distress. The reviewed literature on favoritism, which is recognized as positive discrimination, has showed that positive discrimination leads to individuals who are not being favored to be discriminated against and the consequences of positive discrimination (e.g., nepotism and favoritism) are more likely to be similar to the negative discrimination (e.g., racial and socioeconomic discrimination). Negative discrimination has been studied from psychological lenses for decades and the findings show that discrimination predicts negative consequences of psychological distress. The literature suggests that favoritism and nepotism are not healthy behaviors within organizations as it predicts lower job satisfaction and productivity.

In conclusion, the aim of this article was to open a window to investigate positive discrimination through a psychological lens. There is a need to discover the potential relationship by utilizing psychological theoretical frameworks and carrying out qualitative and quantitative studies to gain insight of this phenomenon from a micro level. In order to meet the purpose of the current proposed lens, related literature on the consequences of discrimination and favoritism have been provided. In addition, potential consequences of favoritism in relation to basic psychological needs have been argued.

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### About the Author

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LEADERSHIP AND SPIRITUALITY

When individuals are asked to offer their thoughts on a particular concept, they scan all of their life experiences and then attempt to offer their thoughts. This essay is no different. Many who came before us have defined the concept of “Leadership and Spirituality.” For example, Thomas Merton always considered a man’s real self to be the spiritual self (Merton, 1999). If this is true, then can leadership ever be separated from spirituality? Furthermore, Robert Greenleaf, founder of the Greenleaf Center for Servant Leadership, always attempted to convince leaders that true leadership comes from serving others: to lead is to serve...to serve is to sacrifice (Greenleaf, 1996). Although Greenleaf doesn’t specifically mention this within a faith-based construct, the concept resembles the Jesuit tradition of “a man for others.” Stephen R. Covey consistently states that, “Correct principles are like compasses: they are always pointing the way. And if we know how to read them, we won’t get lost, confused or fooled by conflicting voices and values” (Covey, 1992). In fact, many years ago, Dr. Covey was asked by one of the authors of this essay as to why he chose to write a book on principles. His response was: “Because unfortunately, many leaders need to be reminded to have ethics, morality, and principles as their personal and leadership compass or true north” (Lynch, 2001).

So at first glance the title “Leadership and Spirituality” may cause some people to wonder if these terms might be mutually exclusive. After all, leadership is a very public and group-centered dynamic. In our contemporary society, spirituality would seem to be something that may be private and individual. The purpose of this essay is to explore the concepts of leadership and spirituality in order to ascertain whether, or how, spirituality can influence leadership. This is not as easy a task as it may seem at first glance given
the variety and often conflicting definitions of both leadership and spirituality in our contemporary society. Therefore, it is necessary first to find a basic definition for both of these complex human realities.

Using Howard Gardner’s notion of existential intelligence in a 2002 article on the psychological view of spirituality and leadership, Jeffery Solomon, of the Harvard Graduate School of Education, defined spirituality as “a meaning system par excellence because it provides a framework for making sense of so many of the intangible qualities of life, such as one’s purpose within the grand scheme of life and perhaps even the universe. Ideally, people strive to align everyday actions and contexts, including their work lives, with the values of their spiritual meaning systems” (Solomon, 2002). On a most basic level, then, spirituality is a meaning system which assists an individual dealing with the mystery of life and influences that person’s behavior, both in the internal realm and in dealing with others in their leadership roles.

Like spirituality, the concept of leadership is weighed down with multiple and often contradictory descriptions. In an article on the spirituality of leadership, Howard Gray of Boston College also borrows from Howard Gardner to provide us with this definition of leadership: an empowerment for influencing people toward ways of thinking, ways of action, and ways of renewing a tradition (Gardner, 2011). Like Gardner, Gray affirms that every leader has a story, an audience, an organization ― the chance to embody what he or she seeks to accomplish, direct and indirect ways to present the message, and the exposure to give credibility to his vision (Gray: 2000).

In order to gain more insight into the important role that spirituality can play in the life of someone in a position of leadership, it might be fitting for us to consider the remarkable life of the late Pope John Paul II and the current Pontiff, Pope Francis. For more than a quarter of a century, John Paul was a major force on the world stage — not only for Catholics, but also for people of other religions or no religion at all. His message from the first days after his election until the day of his death was simple and clear: “Do not be afraid, live a life filled with courage and hope” (Harris, 2013). Most recently, Francis has opened new doors on how the Catholic Church looks at and influences the world.

For Catholics, the Pope stands among them as the successor to the apostle Peter, who was chosen by Jesus Christ to be the leader and source of unity within the church. For Catholics, the Pope is quite literally the “Vicar of Christ” on earth. For many other men and women throughout the world, John Paul and Francis represent values and attitudes that transcend creeds and beliefs. Even those who disagree with them on many issues, see them as possessing the qualities that, in some measure, every leader needs to embody. Their amazing appeal to young people is a testimony to those characteristics of leadership which are so evident during their life. The spontaneous calls for John Paul II being declared a saint, following his death, testifies to a spirituality that touched people to the core of their being (Lyman, 2013). What are the leadership qualities that drew so many to them? How did their spirituality influence that leadership? What can anyone involved in leadership, or aspiring to be a leader, learn from their lives?
John Paul was a scholar with two earned doctorates. His early studies in theology were in secret during the Nazi occupation of Poland. While he mastered the classic disciplines of anyone aspiring to the Catholic priesthood — philosophy and theology — he also was interested in literature, poetry, and drama. As a playwright, he pondered the meaning of human life and its mystery. His skill as an actor made him able to communicate to others and draw them into pondering the mystery of life through entertainment. He skillfully utilized the arts, his knowledge, and experiences as a way to lead others into a better understanding of themselves and their place in the world. A leader needs to be knowledgeable, well read, and able to draw from his or her knowledge to inspire and motivate others.

In order to be an effective leader, one could assume that John Paul knew that a priest had to acquire knowledge of the world, himself, and God. As a mentor and guide to young people when he was a university chaplain, he would often go on camping and canoe trips with them. Yet, even during this time, he would take an hour or more to be alone in order to read, reflect, and pray. The current Pontiff, Francis, was first a chemical technician following graduating from technical school. Later, after deciding and becoming a priest, he initially taught literature and psychology while continuing a life of service in many and various capacities for the Society of Jesus (Jesuits).

“"It is now, more than ever, necessary that political leaders be outstanding for honesty, integrity and commitment to the common good” — Pope Francis

Francis said in 2015, “It is now, more than ever, necessary that political leaders be outstanding for honesty, integrity and commitment to the common good” (McGregor, 2015). William Vanderbloeman, who operates within an executive search environment, states in his book that Pope Francis exhibits the following leadership attributes: be accessible, don’t ignore social media, flatten your organization, take risks, and value input from your subordinates (Vanderbloeman, 2014). Although Francis has spent a large portion of his life as a priest, one needs to remember that he also had a career before the priesthood. The values he acquired prior to the priesthood also assisted in forming his leadership style — validating those characteristics described by Vanderbloeman.

Effective leaders need to know their strengths and weaknesses in order to truly inspire people to work together for a common goal. This is a life-long process. A truly effective leader continues to view self-knowledge as something that is not static, but always growing. Life is filled with surprises, especially when we think that we have everything all figured out!

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The papacy has been shaped by nearly two thousand years of customs, traditions, and rituals which might tend to isolate the Pope from the people. This was certainly not the case with either John Paul or Francis. Because of their deep spirituality and personality, they projected to others their genuine inner selves: two men humble and transparent to others. Without compromising their authority within the church, they engaged others with their humble and direct approaches to people.

The term “servant-leader” has become quite popular today as a style of leadership. In the book of Matthew in the New Testament, Jesus actually offers a definition of leadership. Jim Hunter paraphrases the verse quite simply, explaining that anyone who wishes to be the leader must first be the servant (Hunter, 2004). John Paul and Francis project this service in the reality of their day-to-day dealings, whether with the rich and powerful or the poor and disenfranchised. How well both exemplify one of the most ancient titles for the Pope: “Servant of the Servants of God” (Howell, 2003). Throughout history, so many other popes had held this title; John Paul and Francis both believe and live it because of their deep sense of humility.

Humility is not a characteristic that some would associate with leadership. Yet this spiritual virtue is one that effective leaders may do well to acquire. Effective leaders do not hide behind the titles and trappings of their jobs. Academic degrees, certificates, and other symbols of power — like the corner office of the corporate world — do not make effective leaders. The spiritual value of humility allows leaders to see themselves as having been given much in the way of talent and abilities. Other people will more readily follow a leader who is willing to work with others to bring out in them the best that they can perform. Leaders who are in touch with themselves and see themselves in this way will more readily achieve the goals of the organization and allow those who work with them to maximize their contribution to a common goal. Hunter further reminds us that “humble leaders can be as bold as a lion when it comes to their sense of values, morality and doing the right thing” (Hunter, 2004). Both John Paul and Francis certainly are humble, but yet hold themselves and others accountable. Most recently, this is evidenced by recent Vatican transfers instituted by Francis.

In addition to the cognitive dimension of the personal development of a leader — which also can be nourished through reading, study, and meditation — leaders need to possess a strong, affective dimension in their personalities. This can be nourished by spirituality and reflected in interaction with others. This affective dimension can be evidenced by how the leaders live their lives.

The leadership of John Paul and Francis bring a sense of hope, dignity, and pride to those they touch. This type of leadership and spirituality serve as an inspiration as young people, in particular, see their style as genuine and loving. This style also serves to challenge them to believe in themselves and for those who share the faith, to believe in God’s plan for their lives. This gives courage to followers to live with integrity in a world with varied and contradictory values.
Effective leaders take time to develop and foster the affective dimension of their lives. For many, being grounded in a spiritual framework assists them to be able to reach out to those they lead and show them their true care and concern. The ability to touch people’s hearts is a gift and a quality that enhances the role of leadership.

We live in a world that most of the time is very unforgiving. The ability of a person in leadership to forgive is both critical and difficult. Forgiveness is a process that can take a lifetime, a process that perhaps is impossible without a spiritual foundation. One of the most moving pictures of Pope John Paul II is an image of forgiveness. The Pope visits Mehmet Ali Agca, the man who tried to assassinate him, in his prison cell and reaches out his hand in forgiveness (Miller, 1983). Another image of John Paul, this time a feeble old man, portrays another facet of leadership that is linked to a strong spiritual conviction. He is seen at the Western Wall of the Temple in Jerusalem where, as it is the custom, he puts a note into the wall, acknowledging and apologizing for the sin of anti-Semitism by Christians (Bard, 2000). How important it is for people in leadership to take responsibility for the actions of those who belong to the group. Pope Francis’s current images emanate from his trips to Cuba and North America in September 2015. One cannot forget his constant contact with the poor, the old and young, those in prisons and the school children (Anderson, 2015). In addition to Francis’s preference to live life as simply as possible, living outside the realm of royalty gives a certain presence to a humble character — a characteristic previously mentioned.

A final quality of leadership that can be enhanced by a person’s spirituality is the ability to stand up for what you believe in. From both within the Catholic Church as well as from the outside, John Paul and Francis have been criticized for many of the issues and values they support. Whether it was for meeting with a world leader, their affirmation of the church’s teaching on the dignity of human life from conception to natural death, or climate change, they never back down. A leader who has the courage of his or her convictions stands up for what they believe is right, and they discern what is right from the inner spirit — “True North” — which is their guide (Covey, 1992).

At the beginning of this reflection, there was an attempt to give definitions of both leadership and spirituality. The qualities of leadership and spirituality found in the life of the late Pope John Paul II and currently Pope Francis embody both of those definitions. These individuals’ unique life stories and their influence on the world provides anyone involved in leadership with much to ponder. People of good will, faced with the challenges of leading others, can learn much from their spirituality which profoundly influenced their style of leadership. Although few of us will face the challenges that they did, all of us can learn much from the way in which they lead those entrusted to their care.

Both of these leaders serve others, and in doing so, others walk confidently and proudly. Success will also follow if they, too, are willing to serve first! With this responsibility to serve comes an awesome responsibility to give back. As with all of us, we use our personal life experiences for reflection, and for us that is Roman Catholicism, but the concepts spoken about herein transcend the boundaries of a specific faith. In fact, Black

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Elk, Holy Man of the Oglala Sioux, states that his spirituality was not limited to traditional Indian religion, but represented a convergence of traditional and Christian themes (Black Elk, 1953). Tenzin Gyatso, the 14th Dalai Lama, further establishes that to truly live an ethical life, the needs and happenings of others come first, which, if practiced, have positive implications for our society in general (Gyatso, 2006).

Throughout this essay, it is clear that we have made connections between leadership and spirituality by using “holy people,” yet most leaders among us do not carry religious titles. That stated, servant leadership or the spiritual capacity of the leader, is within all good or great leaders. It is widely known that General Norman Schwarzkopf was the general who wept in the dead of night, worrying about combat deaths yet to come at the beginning of Desert Storm. Lt. General William Carpenter, Jr., who served with Schwarzkopf in Vietnam, states, “The most important thing he cares about is ground troops, and he’s not about to get them chopped up (Schudel, 2012). In his autobiography, Schwarzkopf speaks directly of the well-being of the men and woman who are sent off to war as a sacred trust and having no time for glory hounds, i.e., self-serving staff officers (Schwarzkopf, 1993). Leadership lessons learned from this general sound eerily similar to that members of the Fire Department of New York (FDNY). Battalion Chief John Salka references leadership as where officers work side by side with firefighters and will only leave when the last firefighter leaves (Salka, 2004).

In conclusion, and by the examples we offer, spirituality, although rooted in a belief of one’s faith, transcends the boundaries of just one faith or career choice. If you truly practice servant leadership, your leadership is spiritually-based. It is our belief that it is our obligation to give back to those who were part of our life experiences while “paying it forward” to those with whom we come in contact (Ramsay, 2004). This style of leadership can change the world, and if spiritually serves as our leadership compasses, both personal and corporate greed can be reduced for the benefit of the world.

References


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**About the Authors**

**James J. Lynch, Ed.D.** has served in a variety of capacities as a school administrator for over thirty-five years, the last 10 years as a Superintendent of Schools and is currently the Superintendent for the East Greenwich, N.J. School District. He has also served as an Adjunct Professor at several colleges, presented at numerous conferences, is the author or co-author of several books and articles on a variety of topics and has served for the United States Department of Commerce as an examiner for the Malcolm Baldrige National Quality Award. Additionally, he has served as an Organizational Development Specialist.

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— PROFESSOR M.S. RAO, HYDERABAD, INDIA —

"I shall pass this way but once. Therefore, any good that I can do, or any kindness that I can show, let me do it now for I shall not pass this way again."

— William Penn

Introduction

The dual purposes of this paper is to 1) share the author’s vision to help create one million students to serve as diverse, global leaders and 2) share tools and techniques for them to excel as chief executives — quickly. This “blueprint” provides an outline for chief executives to lead for the first 100 days. It emphasizes the importance of female leadership, inspires global youth to develop and enhance soft leadership skills (i.e., people-orientated rather than task-oriented; transformational leadership rather than transactional leadership; others-centered leadership rather than self-centered leadership), and describes innovative tools and techniques to excel and more importantly, to make a difference to the world.

I am passionate about shaping students and enjoy spending time with them to understand their challenges and to hopefully provide them with solutions. As my vision is to build one million students as global leaders, I consider spending my time with them as an investment. And it is a great opportunity for me personally to understand their psychology, perceptions, expectations, and aspirations with respect to career, success, entrepreneurship, leadership, and life.

Vision: Build One Million Global Leaders

I share my lifetime goal with students and participants regularly during my teaching and training programs. I also share it in my articles, blogs, books, and social media. I am very passionate about this prestigious, nonprofit project.

I have already trained more than 30,000 students so far, and I conduct classes, seminars, workshops, and leadership training programs for students and employees. Whenever the educational institutions invite me to provide training programs, I honor
their request and visit, with excitement, to share my passion, vision, and knowledge. Apart from my active involvement in grooming one million students directly, I am currently building a core team of 50 die-hard followers through a five-bucket approach who will assist me to accomplish my goal.

**Execution:** If one ardently desires to change society, he or she will need citizens who are highly committed and dedicated. Hence, I am looking for students with a positive, right, and strong attitude to carry forward my passion and vision to build a better society to achieve the ultimate objective of global peace and prosperity.

Presently I have constructed a team of several students and corporate executives who share my passion and vision with others. They connected with me through teaching and training programs. I send them e-mails and connect with them on social media. Sometimes they phone me. I have been building this team for the last 9 years, and I am still doing it by interviewing prospective candidates.

**Top 50 Hard Core Team Members:** During my teaching and training programs, there are students and participants who follow my ideals and ideas, and seek my career guidance and counseling. I have tentatively created a blueprint consisting of “5 Levels of Leadership” to help fashion these global leaders:

1. In the first level, I invite students who are interested in my passion and vision for discussion and counsel them. During the discussion, I look at various aspects including attitude, academic excellence, gratitude, persistence, team spirit, leadership abilities, continuous learning dedication, and above all, heart to make a difference in the world. I share with them my passion and vision to build one million students as global leaders. If I find that they are seriously interested in sharing and spreading my passion and vision with others on a nonprofit basis, I include their names in the dedication list of my upcoming leadership books. This dedication provides them with a reference for employment interviews as well as lifetime acknowledgement.

2. I assess their prospective level of contribution and commitment towards my cause apart from their performance. If I find that they contribute to society through Non-Government Organizations (NGOs) and other nonprofits, I will promote them to the second level. Periodically, I will have personal interaction with them to gage their progress. If there is any need for my presence to inspire others who aspire to grow as global leaders, I will attend and address the conferences/workshops/seminars free of cost. Those who are found lacking in commitment and dedication towards this cause or are insincere about their intentions will not gain entry to the second level.

3. At the third level, I provide them free leadership training programs depending on our mutual convenience. I steadfastly monitor their performance. If these potential leaders maintain continuous enthusiasm to spread my vision and passion and share knowledge with others, I will elevate them to the fourth level.

4. I will review whether they are providing leadership training programs voluntarily on a nonprofit basis to others to groom them as global leaders. If I find that they
are performing well and in congruence with their commitment, I will publish their interviews with photos in my authored book outlining their aspirations and expectations; principles and philosophies; and commitment and contribution to society. In this way, they are gradually exposed to international interaction.

5. At the fifth level, I will take the 50 best brains who contributed with heart to serve society and introduce them to my international connections to enable them to grow as global leaders. At this level, all 50 core team members must take a pledge to mentor and train 50 more core team members as global leaders during their lifetime and again, on a nonprofit basis, with the goal of instituting positive changes around the world.

To accomplish my vision, I make use of social media including my four blogs, Facebook, LinkedIn, Twitter and Google+. I post articles on career, leadership, motivation, success, and learning and development regularly on my Facebook Page and share same with students. This has truly become the launching to successfully accomplish my lifetime vision to create one million students as global leaders by 2030.

**Transformation:** Over a period of time, more leaders are created by me and by my “Top 50 Hardcore Team Members.” We work as a collective unit to make a difference in the world. When a stone is thrown into water, it takes time for the ripples to reach the shore. My initiative started to create ripple effects to make a positive change among some students. Once the ripples reach the shore, I can expect total transformation of youth for the global good. I intend to infuse my passion and vision into the young brigade who are filled with lots of fire in their bellies but lack the right direction. I would like to become a change agent to shepherd the youth to groom them as global leaders. During my teaching and training programs I find students with abundant energy and enthusiasm to lead those who are unsatisfied with the way things are happening around them in society. We may consider them an impatient cohort but when we observe closely and clearly, youth is more worried about India. They are looking for fresh blood to lead from the front.

My role is to ensure that the right people are in the right place at the right time to enable them to secure global opportunities. When a drop of rain falls into an ocean, it is without any significance. However, when the same drop of rain falls into a shell, it becomes a pearl. My task is to make sure that the drops of rain fall into the shells and become pearls. Hence, I would like to ensure that the students don’t lose their significance by pursuing the wrong paths. I want to ensure that they follow the right paths, careers, and areas at the right time and cultivate them as global leaders.

**A Strong Leadership Pipeline:** Building one million global leaders becomes a strong leadership pipeline for the world as currently baby boomers are retiring and there is an urgent need to train leaders at all levels — especially at the senior level. These global leaders can contribute aggressively to make a difference. They can make India a prosperous nation and a super power in the world. They can work in any part of the world to create a better world. I am optimistic that I can contribute my best as an individual by building a passionate team of 50 to build one million global leaders by 2030. In case of my untimely death, my “Top 50 Hardcore Team Members” will continue my vision with a
tremendous passion. Hence, I am committed and dedicated to my cause, and above all, I am confident about my passion, vision, execution, and transformation of students as global leaders with a global mindset to make a difference to the world.

**An Action Plan for New CEOs**

When Tim Cook took over from Steve Jobs as the head of Apple Computers, the expectations were higher as his predecessor was a legendary innovation leadership guru. When Jeff Immelt took over from Jack Welch as the head of General Electric, the expectations were higher as Jack Welch was rated as one of the best corporate leaders in the world. It is a Herculean task for new CEOs to step into the shoes as CEOs especially when their predecessors were legends.

**First 100 Days for CEOs:** CEOs who can make solid first impressions and deliver are destined for success. It is a great opportunity for these new CEOs to use this time to project an image — formal versus informal, hands-on versus hands-off. Hence, they must be careful during this initial time period in office. The concept of the first 100 days in office is widely used in the world of politics. It is also known as the honeymoon period in some parts of the world. It is the period of “make-or-break” for new CEOs. These are the crucial and critical days whether you are a chief executive or a politician. Commenting about the accomplishments of his mission, John F. Kennedy once remarked: “All this will not be finished in the first hundred days. Nor will it be finished in the first thousand days, nor in the life of this administration, nor even perhaps in our lifetime on this planet. But let us begin.”

A study by the Center for Creative Leadership reveals that 40 percent of leaders going into new roles fail in their first eighteen months. Additionally, Scott Weighart, Director of Learning and Development, Bates Communications rightly remarked, “In your first 100 days as CEO, you’re living life in a fishbowl.” Hence, new CEOs must take precautionary measures during this honeymoon period to achieve their leadership effectiveness and ensure organizational excellence.

One study shows that the most pressing challenges for CEOs are strategic alignment and speed of execution. Hence, new CEOs must address these issues earnestly during the first 100 days in office. If CEOs prove well initially, they will succeed; otherwise, they will ultimately fail miserably. All stakeholders restrain from criticism during this honeymoon period as this is the grace time given for new CEOs to get adjusted and work as per their vision and at their own pace. The media will also restrain from criticism but it observes everything under its microscope. Hence, the new CEOs must be careful to make use of this time wisely to connect with all stakeholders and create a positive impression to survive and succeed in the corporate world.

**Problems and Prospects for Insider and Outsider CEOs:** Outsider CEOs encounter vastly different kinds of challenges vis-à-vis insider CEOs. Whether one is elevated internally as

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a CEO or hired externally as a CEO, that individual must embark upon a series of action steps to achieve long-term success. If an individual is hired internally, that person will have both merits and demerits. The merits will include experience, a hands-on knowledge of the organization, and an understanding of the pulse of the people within the organization. The demerits include lack of experience as a CEO and the formidable challenges of undertaking a new role accompanied by a new set of stakeholder perceptions and challenging tasks. If one is hired as a CEO externally, it takes time for that individual to understand the organizational climate and culture. However, one advantage is the freedom from perceptions as people will initially refrain from judgment.

**A Blueprint for New CEOs:** New CEOs must clearly focus on key areas aggressively. The crux of the issue here is how to identify the areas that need the most attention. Hence, they must identify core areas that need resources and energy, and focus upon them with vigor.

As a new CEO, one is always under scrutiny by all stakeholders. Make sure that the first few days as CEO are highly organized and focused to create an everlasting impression as a successful CEO and leader. According to Ram Charan,3 “The majority of CEOs who are fired are not terminated because they lacked vision, but because they failed to engage their own organization in what appeared to be well thought-out strategies.” Hence, new CEOs must take significant precaution to hone clear-cut strategies and link them effectively with solid execution. At the same time, be cautious to present and project yourself professionally as a leader by blending your intelligence, trustworthiness, humaneness, courage, and discipline both proportionately and judiciously. Also, it is imperative to incorporate one’s technical, business, and social acumen.

Osman Sultan, CEO of du Telecom, suggests,4 “As a new CEO you must draw a diagram and put yourself in the center. At the top of the vertical line, put your board and shareholders; at the bottom of this line, the management team and employees. On the left of the horizontal line, put what we can call the ‘market-driving factors’ — customers, distributors, industrial partners. On the right, the external, ‘non-market-driving factors’ — regulators, media, academia, and so on. Then quickly identify the people on each of these fronts that you can trust to deliver. This is the radar screen you should look at every morning to ensure that you’re not losing control of any of these things that could snowball very rapidly in any startup. As a CEO, you cannot afford the luxury of not being active on all these fronts.”

For a new CEO who undertakes this challenging role, there are certain dos and don’ts to stand out from others. The following provides a template containing action steps new CEOs should follow to create a positive impact in the minds of all stakeholders:

- Understand various aspects of the company including its vision and mission.

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LEADERSHIP

- Meet all stakeholders to find out their expectations and aspirations. If you are an outsider CEO, you must travel widely to connect with them. Get the big picture right.
- Speak less and listen more to identify three major changes you would like to bring out to improve the company’s bottom lines.
- Be transparent to build trust among all stakeholders.
- Don’t follow the strategies of your predecessor as what worked for him/her might not work for you.
- Conduct organizational assessment after receiving input from all relevant sources. Create a CEO template within your mind which must be flexible to execute.
- Craft your own vision and use diversified communication vehicles including emails, memos, videoconferences, and face-to-face meetings to articulate it effectively.
- Identify the priority areas to improve the company bottom lines. Create action plans dividing them into short-term and long-term goals.
- Create a winning formula based on your recreated vision. For instance, Franz Humer, CEO of Hoffmann-La Roche, set the right priorities during his initial period; he persuaded all stakeholders and brought Hoffmann-La Roche from an industry laggard into an industry leader.
- Be a team leader. Build a strong team capitalizing on their strengths and engage team members effectively.
- Make sure that the employees are rightly placed with their roles and responsibilities to leverage their strengths. At times, good employees are wrongly placed in the organization. Spot and place them properly.
- Integrate the informal and formal elements of the organization.
- Align people, plans, and practices with organizational goals and objectives.
- Replace poor performers by good performers following the sage words of Jim Collins – “have the right people on the bus, and the wrong people off the bus.”
- Encourage innovative ideas among employees.
- Provide feedback to your employees regularly; guide and inspire them.
- Anticipate both internal and external threats and create contingency plans accordingly to counter them effectively.
- Reorganize business lines to enhance operational excellence.
- Accelerate the pace but don’t be in a hurry to cut costs quickly as you will not be able to know where the real problems may lie.
- Be flexible and customize your leadership style as per the company’s vision and mission and the people around you.
- Seek early wins to build your momentum.
- Contemplate how you would like to be remembered ultimately. Do you want to be remembered as a soft, unfair, flexible, or situational CEO or a CEO with a blend of both task and people-orientation? Create your own CEO brand accordingly to stand out from other CEOs.
Whether you become a new CEO of a company or a leader of an industry or political party, you must follow these steps meticulously to achieve your goals and objectives. Manage internal organizational dynamics and external environmental threats effectively. Take your feedback regularly to bring out behavioral changes within you. Learn lessons from your own experiences and from the experiences of others to enhance your leadership effectiveness to soar like an eagle.

A good CEO must be a judicious blend of strategy and execution and possess a proportional blend of business, technical, and social acumen. Hence, the new chief executives must intelligently mix all these qualities; meet all stakeholders; listen to them; create a corporate culture connecting them on one common thread; build effective teams; craft their vision; and articulate it effectively during the first 100 days in the office to achieve long-lasting success in the corporate world. Remember the sage words of Stefan Stern, Financial Times business journalist, “CEOs who carry out a big deal in their first year outperform their peers in the long run.”

**Build Leadership Pipeline for Women Leaders**

Eleanor Roosevelt once remarked, “A woman is like a tea bag, you can’t tell how strong she is until you put her in hot water.” Although leadership is not gender specific, we find very few women leaders globally due to cultural, religious, social, and other discriminatory factors including the proverbial glass ceiling. The good news is that currently women are emerging in significant roles of authority and excelling globally to carve a niche for themselves. Female leaders like Melinda Gates, Michelle Obama, Hillary Clinton, Angela Merkel, Sonia Gandhi, Indra Nooyi, Ursula Burns, Meg Whitman, and Sheryl Sandberg stand out due to their extraordinary contributions in their respective areas of skill and knowledge, thus becoming sources of inspiration for upcoming women leaders. Despite traditional limitations and constraints, women are proving their credentials and capabilities on par with, or excelling, their male counterparts.

Women occupying key leadership positions is gaining momentum in all sectors. However, presently the percentage of women leaders is still low when compared with male leaders. This is basically due to gender discrimination and above all, perceptions of men towards women that prevent women from excelling as global leaders.

**Are Women Better Leaders than Men?** There is a debate globally whether women are better leaders than men. A research study conducted by Jack Zenger and Joseph Folkman shows that the majority of leaders (64%) are still men. Their study substantiates that women are better than men in various aspects. Women have several strengths to their credit and the major six aspects include taking initiative; practicing self-development; displaying high integrity and honesty; driving for results; developing others; and inspiring and motivating others. However, women have more challenges than men such as they are expected in many societies to manage their families, take care of their children, and do other household chores. Additionally, they encounter organizational politics and gender discrimination in the workplace.
Women are basically leaders as it is a well-admitted fact that behind the success of every man there is a woman. Historically, many women led behind the scenes by guiding men. Businesses, too, can improve if they encourage women to lead as they can bring significant value to the table, thus improving organizational bottom lines.

There is a strong feeling that men are promoted due to undemonstrated potential while women are promoted due to performance. This is basically because leadership is synonymous with men, not women. Hence, there must be a shift in the attitude and perception of people toward leadership and women. Both men and women leaders are two sides of the same coin and the coin is incomplete without everyone. Hence, leadership is incomplete without the active participation of women leaders. Global, Inc. must spot, support, and groom women leaders to keep them in the leadership pipeline to achieve organizational excellence and effectiveness.

**A Blueprint to Build Women Leaders:** Currently, the efforts to fashion women as leaders globally has been met with lukewarm results. Hence, there must be a coherent and unambiguous strategy for grooming women into leadership roles and responsibilities. Here are some of them:

- Encourage girl scouts globally when leadership skills are cultivated early in life.
- Remove the prevailing strong feeling that men are promoted due to potential while women are promoted due to performance.
- There must be coordinated efforts and an integrated approach by all stakeholders — including organizations, women associations, NGOs, and governments — to build women leaders globally to achieve expected objectives.

According to the *Forbes Insights* study with Grant Thornton, more women are occupying leadership positions in the Asian Pacific region and throughout China. The research further shows that the global status for women occupying leadership roles is very promising. However, much needs to be done to prepare women for positions of authority.

Women must work harder to prove themselves to excel as leaders in a patriarchal, male-dominated society. Remember that society cannot grow when one sex is denied equal opportunities. It is essential to let both sexes grow equally based on merit and talent. Empathy and heart are required by men to forge leadership opportunities for women — especially when acknowledging that females constitute half of the world’s population! While men and women are biologically different, this difference cannot be used as a subterfuge to forestall or prevent outright the equal participation of women in all leadership roles. If women participate in leadership roles and responsibilities, we will all discover a better society with abundant prosperity and stability.

**Ten Tools to Motivate Your Employees**

Employees must be motivated to add value to the products produced and the services rendered in order to improve the bottom lines of their organizations. It is the leaders who should take up this Herculean challenge in the workplace. Here are ten tools and techniques to motivate employees in the workplace:
1. **Apply Different Strokes for Different Employees.** Understand the expectations and aspirations of the employees and determine whether they are motivated by money, power, prestige, promotions, love, and knowledge. Give them what they want; it works well as an effective motivation tool.

2. **Engage Employees Effectively.** Allow employees to participate in decision-making as it enhances employee engagement. Align their efforts and energies towards organizational goals and objectives constantly. They feel that they are part and parcel of the organization and contribute their best.

3. **Empower Your Employees.** Theodore Roosevelt once said, “The best executive is the one who has sense enough to pick good men to do what he wants done, and self-restraint to keep from meddling with them while they do it.” Empowerment gives you ample time to concentrate your energies and efforts on much more significant organizational challenges. It encourages your employees to come out of their comfort zones to think more broadly and to execute their tasks more effectively. It improves the decision-making skills of your employees. It enables them to grow as leaders in the long run, and you can keep them in the leadership pipeline.

4. **Create a Collaborative Mindset.** Collaborative attitudes are better than competitive ones as the former leads to fraternity and enhanced performance while the latter results in envy and ill-feelings among the employees. Collaborative mindsets generate synergy within the system, thus improving the organizational bottom lines.

5. **Encourage Job Rotation.** When superiors place their subordinates in various jobs, they build cross-functional skills and empathize with others by understanding the ground realities. In addition, they will be able to guide others as they learn executing various tasks effectively. Job rotation is indeed a leadership developmental tool as it acquaints employees with various leadership roles and responsibilities and equips them with several skills and abilities, thus developing conceptual skills which are needed for leaders at higher levels.

6. **Praise Publicly.** Catch people doing right things and praise them. It encourages other employees to demonstrate similar behaviors, serves as a motivation tool, and improves performance and productivity — and you earn respect as a leader. In addition, it changes the mindset of the people.

7. **Criticize Privately.** Call the erring employees privately to your office and provide sandwich feedback. Sandwich feedback starts with a positive compliment, follows with comments concerning correction of behavior, and concludes with a positive compliment. It sounds constructive for the receiver and paves the way for better behavior.

8. **Break the Organizational Barriers.** The Gen Y population appreciates working in flat and lean organizations and prefers a collegial model of organizational behavior where there is least gap between superiors and subordinates. The Baby boomers and Gen X must understand this fact and mold their leadership styles accordingly to achieve desired organizational objectives.

9. **Avoid Favoritism.** Build trust and confidence among your employees. Treat all employees equally and with respect. Remember that all employees are equal to
you. Keep your personal preferences and tastes away from your professional roles and responsibilities.

10. **Walk Your Talk.** Organizations cannot be run when leaders work from their air-conditioned offices. They can be run only when the leaders interact with the employees regularly and understand their pulse and make decisions accordingly.

Apply these ten tools to motivate your employees to achieve organizational excellence and effectiveness and excel as an effective leader. Stephen Covey rightly remarked, “Always treat your employees exactly as you want them to treat your best customers.”

### Inculcate Soft Leadership Skills to Build a Better World

Leadership basically depends on three aspects: 1) how you communicate with others; 2) how you make decisions; and 3) how you initiate action. When you can execute these three activities effectively, you become a successful leader. However, to evolve as a soft leader, you must communicate with an emphasis on soft skills; make decisions by blending your head, heart, and gut and take action keeping the ground realities and goals in your view without compromising people-orientation. There are 11 Cs that constitute soft leadership. They are: character, charisma, conscience, conviction, courage, communication, compassion, commitment, consistency, consideration, and contribution. It is highly challenging for people to cultivate these 11 characteristics. However, if people possess more than 6 traits, they get into the fold of soft leadership.

**How to Excel as a Soft Leader:** When you want to excel as a soft leader, there must not be a “character gap,” a “communication gap,” a “commitment gap,” or a “courage gap.” When you stick to these four sutras, you can excel as a soft leader. “Treat the people the way you want to be treated” is the old adage. But as a soft leader, you must treat all people with respect — especially the people who are lower to you in rank and file. The soft leaders possess humility and a servant’s attitude. In Jim Collins’ parlance, they are a paradoxical blend of personal humility and professional will. They help their people grow exponentially. That is the hallmark of soft leadership.

**Build Soft Leaders Globally:** Presently, people appreciate partnership rather than traditional command-and-control leadership. They believe in the concept of “give respect and take respect.” There is a drastic change in the mindset of the people globally due to the rapid changes in the technologies. It is essential to explore soft leadership rather the traditional leadership styles which have become outdated.

Hence, build soft leaders in global youth who can emphasize soft skills rather than hard skills; people-orientation rather than task-orientation; transformational leadership rather than transactional leadership; others-centered leadership rather than self-centered leadership — i.e., “what is it that I can do for others?” rather than “what is in it for me?” to bring smiles and to make a difference in the lives of others.

And, always remember the words of Winston Churchill:

> **We make a living what by we get; we make a life by what we give.**
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Professor M. S. Rao, Ph.D. is the Father of “Soft Leadership.” He is an International Leadership Guru and an internationally-acclaimed leadership educator, executive coach, speaker, and consultant. He has 34 years of experience, and is the author of 30 books including 21 Success Sutras for Leaders (http://www.amazon.com/21-Success-Sutras-Leaders-ebook/dp/B00AK98ELI), Success Tools for CEO Coaches: Be a Learner, Leader, and Ladder (http://bookawards.smallbiztrends.com/management-2014/success-tools-for-ceo-coaches-8/) and Smart Leadership: Lessons for Leaders (http://www.amazon.com/dp/B00D9S8SCW). His vision to build one million students as global leaders by 2030 can be referenced at: http://professormsraovision2030.blogspot.in/2014/12/professor-m-s-raos-vision-2030-one_31.html. His vision program was ranked as one of the Top 10 Finalists in the “Not for Profit” category of Leadership 500 Excellence Awards in 2015.

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