

University of Oklahoma

College of Liberal Studies

LEADERSHIP & ETHICS: SELF PERCEPTIONS FROM LEADERS

A THESIS

SUBMITTED TO THE GRADUATE FACULTY

in partial fulfillment of the requirements for the

degree of

MASTER OF LIBERAL STUDIES

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Norman, Oklahoma
1997

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BY



Table of Contents

Chapter 1	Introduction	1
Chapter 2	Methodology	1
Chapter 3	Leadership Review	1
A	Baker's Moral Hierarchy	
B	Transactional vs Transformational Leadership	
C	Stogdill's	
D	Kouzes	
E	Bass	
Chapter 4	Leadership with Successful Leaders	
A	Description of these leaders	
B	Description of their leader	
C	Description of their leadership	
D	Description of their interview	
Chapter 5	Leadership literature	
A	Transactional leadership literature	
B	Transformational leadership literature	
C	Moral leadership literature	

Table of Contents

Chapter 1	Introduction
Chapter 2	Methodology
Chapter 3	Literature Review
A.	Maslow's Need Hierarchy
B.	Transactional vs Transformational Leadership
C.	Vision
D.	Communication
E.	Rewards
F.	Empowerment
Chapter 4	Interviews With Successful Leaders
A.	Overview of three leaders
B.	Examination of each leader
1.	Biography
2.	Interview information
3.	Analysis of individual interview
Chapter 5	Conclusions
A.	The gap in the leadership literature
B.	Ethics is important
C.	More needs to be done

Chapter 1

Introduction

Mark and Sandy were two new employees of a large international corporation. Having grown up poor, they both felt fortunate to have seen their hard work finally pay off with this opportunity. Both held down full-time jobs while in college and were enthusiastic about the careers that lay ahead for them. Everyone would agree that they were the two hardest workers in the department. It was not uncommon to see their cars in front of the office late at night and on weekends as well. In addition, they were always coming up with the most innovative ideas, always trying to think of ways to make things a little bit better.

At the end of their first year, however, something changed. No longer did they offer innovative ideas or work extra in the evenings and weekends. They both received the highest possible marks on their job performance reviews, but instead of special pay increases or promotions that they thought might reflect their extra hours and innovative ideas, they received a 5% pay increase just like everyone else in the office. Jim, a department co-worker who never worked late or seemed to do extraordinary work, did get a promotion. Mark and Sandy were confused by the whole review system. Why give annual reviews if everyone gets the same raise? What were the criteria in this company for promotions? Why didn't the supervisor or anyone else bother to tell them that the extra work and hours would mean so little?

Marci was the branch manager of a company that had gone through a downsizing process over the last couple of years. Her location employed about 200 people and up to this point remained unaffected by the sell-off. In many monthly branch

meetings with workers, the topic of downsizing would come up, but Marci was always pleased to announce that she was unaware of any plans to sell off “our” branch. In addition, she assured everyone with the comment, “I promise that just as soon as I know something, you will know something.” Marci was a big believer in open communication and saw no reason to hide anything from the people who worked with her at the branch.

Then one day Marci got a call from the regional manager. It was bad news. At the last quarterly meeting at the home office, the decision was made to close down her branch. She would be OK. The regional manager told her of plans to transfer her to another location. Her 200 employees, however, would have to be let go. The return on equity (ROE) and return on investment (ROI) numbers dictated that layoff packages be put together for everyone but her. He also told her that the company wasn't ready to announce publicly the situation just yet and to keep it quiet.

That night Marci had a very difficult time sleeping. What was she to do? She promised her employees she would let them know if she ever had any information, but she never thought the information would be accompanied with the condition that she keep quiet. What was her responsibility to her employees? Shouldn't they know as soon as possible so they could plan for their next job? She also had a responsibility to her family. She was assured a position at another branch. If she told, was she cutting her own throat? How could she keep her news a secret? Surely, her employees would find out from other friends within the company at other branches. Finally, what would she do in the next monthly meeting when asked, “Have you heard anything in reference to layoffs or our branch being shut down?” Would she lie and tell them that she

knew nothing?

Bill was the supervisor over Dan and Sally. All were hard workers who would go the extra mile to see that the job was done right. Dan and Bill, however, had a personality conflict that was hard to define. They rubbed each other the wrong way. Sally was aware of this, but approached it with the attitude that you don't have to like everybody you work with. After a while, however, things started to happen that bothered Sally. Dan was up for a promotion and was overlooked even though she felt he was the most qualified. Dan requested to go to some training sessions that would further his career in the company, but Bill turned the request down even though others had gone in the past. He said that the office was too busy. Sally felt that Bill wasn't distributing the work evenly. He was giving Dan more than everyone else and would then reprimand him for being slow or inaccurate.

Sally believed that Dan was a very good employee. She felt that the problems Dan and Bill were having were personal, not professional. She thought that Bill was discrediting Dan professionally because he didn't like him personally. Dan was very upset with the situation and told Sally he was looking for another job. This troubled Sally greatly for she thought Bill was trying to run Dan out of the company and unfairly so. She struggled with her thoughts. What was her responsibility to Dan? What was her responsibility to the company and her fellow employees? Was the situation their problem and not hers? Should she just suppress what she thought was right? If she came forward, would she lose her job? Shouldn't someone higher up in the company know what Bill was doing to Dan? If Dan gets another job will that solve the problem or will the same thing happen to the next person who "rubs" Bill the wrong

way?

Carl's family owned a machine shop in a small town. For over 100 years this company had been the largest employer in the community, accounting for about 700 jobs. Carl and the family took great pride in the fact that they had been such an important part of the community for so long. A strong bond had developed over the past century, and even during the worst of times when similar plants throughout the country were closing down, Carl's plant had never laid anyone off.

That is why the last couple of years have been so hard for Carl, the company, the employees, and the community. Through the worst of times the company took some losses financially to make sure they kept their unwritten contract of good faith with the employees and the city. Two years ago, however, Carl felt that the numbers left him no choice. The company was losing more money than ever. Even worse was that there seemed to be no stopping the "bleeding" under the present company structure. Carl's competition was coming from over seas. In the past, the company was willing to take short term losses until things got better. This time, things were different. His labor costs were too high. Under the present company structure, he would never make a profit again.

After consulting with accountants, industry analysts, lawyers, and executives within the company, Carl made three major changes: 1) He invested heavily in upgrading the plant to automate as much as possible with robots. 2) He contracted outside the company a lot of secondary machinist work that had always been done at the plant. 3) Everywhere he could, he used temporary employees and peak personnel for those times when the work load was extra heavy.

The consequences were obvious and were something that Carl felt he would struggle with for the rest of his life. Many people lost their jobs to automation or did the same work as temporary employees for less pay and no benefits. But what was Carl to do? If he did nothing, everyone would eventually lose their jobs; that would have been worse! He knew he had a responsibility to loyal employees and the community, but he also had a responsibility to the company. Should he have done nothing and run the company into the ground? How would that have benefited anyone?

These are examples of different kinds of ethical dilemmas and show that whether you are a manager, a leader, a superior, or a subordinate, a white collar, or a blue collar worker, ethical dilemmas are all around us and trouble us in much the same way. Whenever something is occurring in a way that we don't think it should occur is when an ethical dilemma hits us. These dilemmas take on another dimension when we feel powerless to do something or actually make a choice not to do something, for instance, when we see an injustice but remain silent for fear we will get fired or lose our status within the organization.

History was always one of my favorite subjects, and it seemed to me that the most colorful and intriguing figures were the great leaders in mankind's history. What made them interesting was not just who they were, but how and why they became leaders, how they maintained power, and how and why they fell when they fell.

As a cradle Catholic, awareness of ethics has always been a part of my life. References like the Ten Commandments, right and wrong, good and evil were a part of my upbringing, not only in a religious context, but also in the social context of how people should treat each other. I've always felt that leadership and ethics were con-

nected, but exactly how, was one of those things that was more of a feeling and a part of an overall philosophy than something that I could define. The two came together for me early in my professional career when I began to encounter managers and leaders who made decisions that I felt were unfair, treated people in a manner that seemed questionable, and took courses of action that I thought were unethical.

The connection between leadership and ethics is also an intuitive one. When I see leaders doing things that are within their rights, but seem unethical, I get an urge to take some kind of action, but often times don't for fear of unforeseen consequences. Even though it is sometimes hard to clearly define what is bothering me, an ethical dilemma sometimes manifests itself in peripheral ways. When I believe that something is ethically wrong, but am powerless to stop it, I sometimes can't sleep at night, lose my appetite, don't enjoy time away from work, and seem to do less and less with friends.

I have talked to many people about these same types of things, sometimes using specific examples like the ones above, and at other times just asking people about their jobs. It has always amazed me how many people think their superiors are unethical and how many people genuinely dislike their jobs. Having gone through business school myself, I knew that participative management had been the dominant teaching since the post World War II era. Even though conversations with others were just informal questioning on my part, I realized this feeling of discontent was very representative. What was going on here?

I started to ask myself questions about how unethical people could become managers and leaders. Thinking back to my own management training, I couldn't really remember anything being taught about ethics. Maybe we were all being taught

the same thing in the same way. I wanted to find out what research had been done on leadership and ethics, what the relationship was between leadership and ethics. I know that finding answers to questions about leadership and ethics will help me, but I was also hoping it would help many others as well. I'm sure there are many, troubled by the situations of their work, who have spent a lot of time watching late night comedy shows and info-mercials on how to get rich quick, as they ponder the ethical dilemmas of their lives. I hope that something truly positive and lasting can come from all that time I spent in the predawn darkness wondering if there was anything I could do to make things right when they seemed so wrong at different times in my career.

Chapter 2

Methodology

What do we mean by ethics? What do we mean by effective leadership? Can ethics be quantified? Are ethics too intangible to be measured? Who should say what is a good ethic or a bad ethic? Evaluating leadership and ethics is not a simple task, but, in the final analysis, if one is performing sound research, all you can do is follow standard methods of inquiry and go where the research takes you. This research will involve a three-step process: 1) Review of existing leadership literature as leadership is taught in classes and leadership seminars; 2) Personal interviews with current leaders who have public reputations for being especially ethical; 3) A comparison of various theories found in the literature with data gathered through the interview process.

The first part of this work deals with what current scholars say about leadership and ethics. From the existing literature we can get a clear picture of what researchers see as the major components of effective leadership. The focus here will be on content. The goal is to find out what would be most likely presented in standard academic course work in leadership or what is typically found in leadership training programs.

The second research component of this analysis will be a series of personal interviews with prominent leaders in the academic world. The interview questions would be developed based on information found in the literature review. This will ensure that the information regarding both leadership and ethics would come from a variety of independent sources. Conclusions can then be drawn based on the information from the leadership literature and the leaders themselves.

Perhaps it would also be helpful to mention a little bit about what this paper is not. It would not be sound to start with a set of ethics to analyze and evaluate. One would be assuming too much and be in danger of drawing conclusions too early. Also, this is not an attempt to come up with a blanket definition for ethics that everyone should follow. The only definitions of ethics used in this project will be the ones defined by the leadership literature and by the leaders interviewed. This is a qualitative analysis, not a quantitative analysis. The goal is not to develop a list of good ethics that leaders should follow in order to become effective leaders. The goal is to get a better understanding of the relationship between leadership and ethics. For example, after reviewing the literature and analyzing the interviews I found that part of the conclusion might include one of the following: 1) There is no meaningful relationship between effective leadership and ethics. 2) The relationship between leadership and ethics is inconclusive. 3) Ethics is important to effective leadership.

Even though the main purpose of this research is not to come up with a definition for ethics, it is important, nonetheless, to bring into the evaluation a brief summary of what scholars who study ethics for a living talk about when they discuss ethics. I bring it up here, because it is not part of the leadership literature, but part of the literature of Philosophy. Many books have been written, but few are more influential than After Virtue by Alasdair MacIntyre published in 1981. The important thing about MacIntyre is not whether you agree or disagree with his entire analysis. He brought to the forefront of the ethical discussion, the notion of moral systems and the categories of ethics of the actor, the action, and the outcome.

MacIntyre evaluates ethical thinking all the way back to Aristotle and the concept of virtue ethics. In virtue ethics the power to make ethical decisions is great. Here the person making the ethical decision is in control of, and takes responsibility for, whatever decision is made. Ethical situations are evaluated based on a set of pre-determined virtues.

MacIntyre brings us to the modern era of ethical thinking where the emphasis is no longer placed on the person making the decision, or on a set of core values, but rather, the society and the outcome of that decision. Hence, the world we live in today is the society, After Virtue. He brings to the forefront, the notion of rational ethics. The more common identification for this kind of thinking is relativism. Here ethics is determined by the culture you live in, and consistency of thought is a very important component.

Another concept that eighteenth and nineteenth century philosophy developed “after virtue” was the concept of utilitarianism. With utilitarianism, one did not rely on a set of virtues as a guide, but rather, looked at the outcome of actions to determine what path to take. Whatever course of action produced the most good was the proper one to pursue.

MacIntyre argues that these attempts at coming up with a secular basis for morality failed. In both the latter cases, relativism and utilitarianism, no action is ever right or wrong as such. This displacement of a new set of moral concepts caused drastic changes in the self and in the political and social order. MacIntyre contends that the virtues have a central place in modern morality which is rationally defensible, and the rejection of Aristotelian virtues leaves modern moral philosophers with a

whole series of logical conflicts.

Chapter 3

Limitations of The Study

There were several limitations that might seem obvious, but still it is important to mention them. First of all, leadership interviews were limited to people that I had access to. The three people that are profiled in this study have spent the majority of their careers in academic institutions. This, of course, limits the generalizability of findings, but, nonetheless, provides a good beginning point in an area of research that is seriously underdeveloped.

Next, this study is really limited to American organizations. Most of the leadership literature focuses on American organizations, and that was really the focus of this study. Seeking out leadership literature aimed at foreign countries seemed to take things off topic. Furthermore, for obvious logistical reasons, there were no interviews with leaders from foreign companies. This study focuses on leadership and ethics as they exist and operate in American organizations and institutions in the private and public sector.

Chapter 3

Literature Review

Libraries are filled from shelf to shelf with books, journals, and other writings on effective leadership. At times it seems like every scholar in just about every discipline must have written something about becoming a better manager or more effective leader. For the purpose of this research, the goal was to try to find commonalities in the literature that showed up time after time.

One such commonality is the importance of employee empowerment through participative leadership. Modern organizational theory mainly deals with the concept of participative management. Especially in the last 50 years, it has been pretty well agreed upon that the old boss-worker relationship is obsolete. Employees are more educated, have a different view of themselves in terms of their lot in life, have higher expectations about everything, and desire to be treated with a certain respect. In addition, leaders and companies realize that if they try to create a win/win environment (one where both the employees and the company benefit) promoted by participative management, then everyone is better off. Instead of making people do a job, the goal of participative management is to help people develop personally as well as professionally so they can achieve their full potential for themselves as well as the organization. This means that many of the same issues are addressed and analyzed over and over again in the scholarly research. Within this mass of writing and thinking there are some commonalities that can be drawn out as the things that define effective leadership.

It is against the backdrop of participative management that scholars look for

tools that will help leaders move all their employees toward self-actualization. Self-actualization is getting subordinates to achieve their full potential. The hope is that a better work place can be created for us all by educating leaders about their own leadership styles, what kind of organizational structure they have, and what the needs of subordinates are. To help leaders and managers better understand their situations and how to change them, the literature focuses on six main areas that dominate the discussion when it comes to effective leadership: 1) Maslow's Need Hierarchy, 2) transactional leaders and transformational leaders, 3) vision, 4) communication, 5) rewards, and 6) empowerment. Item 1 is used to help leaders better understand the intrinsic and extrinsic needs of their employees. Item 2 is a discussion of the two main leadership styles. The other four items are the common components of effective leadership as presented by the bulk of the literature. It is interesting to note that ethics is not mentioned in the mainstream literature as a major component of effective leadership.

Maslow's Need Hierarchy

One of the things that is seen over and over again at leadership seminars and throughout the leadership literature is Abraham Maslow's hierarchy of needs. In 1943, Maslow first published his need hierarchy theory. It is almost impossible to discuss participative management without covering Maslow. Sometimes it seems that no matter what subject you are reading about in organizational theory, authors are constantly referring back to Maslow. His needs hierarchy does two important things in relation to participative management: 1) It clarifies for leaders that people have different needs at different times in their lives, and it helps leaders better understand where subordinates are now and where they need to be. 2) It shows leaders that in order for

people to achieve their full potential they must reach self-actualization. It makes managers think about whether their leadership style and their organizational structure are conducive to employees achieving their full potential. Maslow's hierarchy consists of five levels and essentially says that as people we all have needs that must be met if we are to achieve our full potential.

Physiological needs are our basic survival needs such as food, water, and shelter. These must be satisfied to a reasonable degree before we become primarily concerned with safety and security. Once we feel comfortable with our safety and security, we are capable of focusing on love and affiliation with family and friends. When we get to a point where the bottom three levels are fulfilled, we then are capable of focusing on our own self-confidence and self-esteem as primary motivators. And finally we come to self-actualization. At this point we have self-confidence in our abilities and are able to make creative contributions.

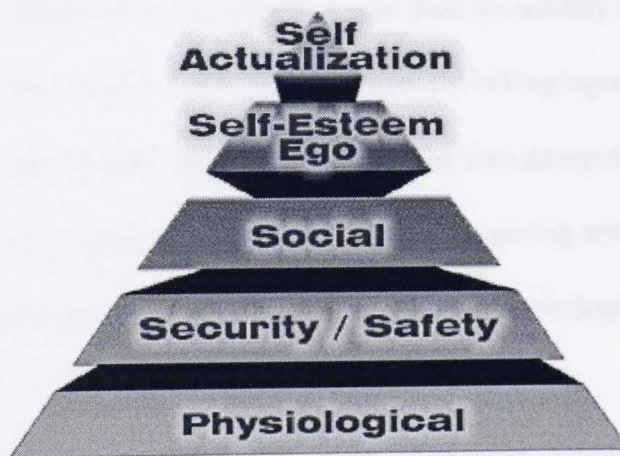


Figure 3-1

The physiological needs include those things that are considered the basic physical needs of the body: hunger, thirst, sexual desire, sleep, etc. According to Maslow these needs are so basic and so powerful that any individual becomes totally

preoccupied with satisfying these needs if they are not met. For instance, a person who is very thirsty or very hungry will think of almost nothing else until that need is satisfied. (Minor, 1980, p. 20)

Next come the safety and security needs. Included in this category are the obvious things such as guns, knives, wild animal attack, plane crashes, and drowning. The safety needs are a little more complex in our society today in the sense that people see a particular positive thing in acting unafraid even when they are. Today the safety needs might also manifest themselves in things like general insecurity and anxiety. An example Maslow gives is the need a young child has to be protected against a threatening world. The need for safety and security can have the same pervasive effect as physiological needs. If one does not have this need satisfied it can dominate attention almost to the exclusion of anything else. (Miner, 1980, p. 20)

When Maslow talks about the love/social needs, he is using these words in a much more general and comprehensive way than we usually think. What he is referring to here is the need for affiliation and general belongingness that we all have. Love/social needs include family and friends but also group memberships, company affiliations, and so forth. Love needs include both giving and receiving and should not be confused with sexual desire which falls into the physiological category. (Miner, 1980, p. 20)

Then there are esteem needs. Self-esteem can derive from two main sources. First there are the essential internal esteem needs such as confidence, strength, adequacy, and achievement. There are also the external sources of esteem such as attention and appreciation from others, reputation, and prestige. Regardless of the source,

satisfying these needs creates self-confidence; thwarting them leaves one feeling inferior and helpless. (Miner, 1980, p. 20)

Finally, there is the need for self-actualization. This is the most intangible of the needs described by Maslow, and indeed he spent a great deal of his time examining self-actualization after the publication of the theory. For all practical purposes, if you went to a leadership seminar you would come away with the idea that Maslow is referring to a person's reaching their full potential, to become whatever one is capable of being. Obviously this is different for everyone. (Miner, 1980, p. 20-21)

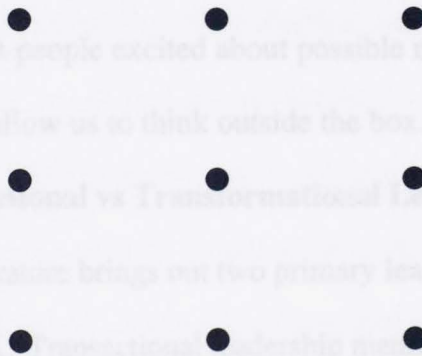
Maslow did not view the needs as completely independent in which a lower level need had to be completely satisfied before the next level could be attained, but, rather, the lower level need had to be reasonably satisfied. He saw the needs as overlapping and interdependent. For example, it is possible for someone to satisfy self-esteem needs and love and affiliation needs at the same time. However, in order to achieve self-actualization (one's full potential), most of the lower level needs must be fulfilled.

Over the years, the need hierarchy has been praised, analyzed, and criticized. For example, some think that the needs are much more interdependent than Maslow presented. A quick analysis shows us the interdependence of the needs. Some argue the physiological needs are safety and security needs. They argue that both these levels represent existence needs. Indeed, if you are not sure where your next meal is coming from, you don't feel very secure. On the other end of the spectrum, esteem and self-actualization are connected in the fact that both these levels represent a need and a desire for growth.

Criticisms of the theory are wide ranging and may or may not be valid. The important thing here is that Maslow is still taught at all levels of leadership and organizational training. One of the things that leadership seminars hope to do when they get a room full of managers and executives is to show them that there are different ways of thinking about things. At the beginning of a class or seminar, it is important to give students a sense that something new can be learned here. Maslow does just that. It's not presented as the answer to everything or the perfect model. Its main purpose is to make people aware of what their subordinates are feeling and what they might react to.

Another example that you might see at the beginning of a text book or seminar is the famous "thinking outside the box" exercise. (Snyder, 1994, p. 12-15) Students are given a sheet of paper with nine dots such as the one below in figure 3-2:

Figure 3-2



They are then told to start at any one of the points and draw four lines, connecting all the dots, without lifting the pencil from the paper. Anyone who has not seen this before, usually gets it wrong.

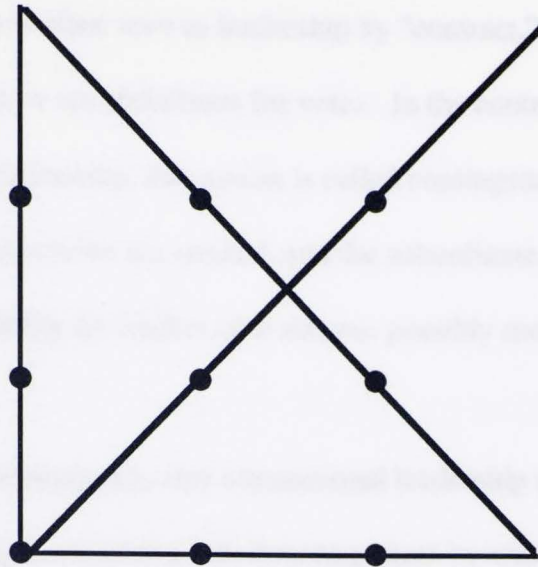


Figure 3-3

Figure 3-3 shows the creative solution necessary to solve the problem. It is important because it makes even the seasoned manager realize that there are answers to what seemed like unsolvable problems. It is also enlightening in the fact that it tells us a lot about the way we look at the world and the way we think about things. Examples like this combined with Maslow are usually presented early on and are a way to open minds and get people excited about possible new solutions. If only we can learn things that will allow us to think outside the box.

Transactional vs Transformational Leadership

The leadership literature brings out two primary leadership styles: transactional and transformational. Transactional leadership manifests itself primarily in two ways, through contingent reward and through management-by-exception. The contingent reward approach pursues a cost-benefit course when dealing with subordinates. The leader tries to recognize what the employee wants and sets goals of performance and effort contingent upon those wants and needs. Transactional leaders are responsive to immediate needs if they can produce effort on the part of the employee. Trans-

actional leadership is often seen as leadership by “contract.” For example, a politician might promise jobs or tax reductions for votes. In the context of a superior/subordinate relationship, this notion is called contingent reward. Here, goal-performance-reward cycles are created, and the subordinate eventually takes on more and more responsibility for his/her own actions, possibly moving to the next level of needs.

The other primary way that transactional leadership manifests itself in the workplace is through something called management-by-exception, also known as contingent aversive reinforcement. Here the leader only intervenes when something goes wrong. Employees learn what not to do and what standards not to fall below. This situation often occurs in organizations that have a very flat structure with many employees reporting to one individual. The supervisor is so busy that (s)he does not have time to do anything else but give attention to problems. Management-by-exception may also emerge if the supervisor has lost all ability to have control over rewards. In such cases, punitive actions are the leaders only recourse.

It is also mentioned that large bureaucratic organizations are better suited for transactional leaders due to the type of machine-like work that is involved; however, it must be noted that revolutionary leaders have emerged to bring about great change in large bureaucratic organizations. (Bass, 1985)

Transformational leaders, on the other hand, use a different approach. These leaders motivate their employees to do more than originally expected. A few examples of this would be: 1) raising the level of consciousness and awareness in subordinates, 2) getting the follower to transcend his/her own self-interest for the sake of the com-

mon good, and 3) altering and expanding the needs and wants as described in Maslow's hierarchy. For instance, Mahatma Gandhi from India and Martin Luther King Jr. were two leaders who were able to convince their followers to jeopardize their own safety and security for the greater good of the cause and the group.

In transformational leadership, the literature focuses on the emotional components involved when followers feel such a loyalty and devotion that they are willing to disregard their own self-interests. There are three main factors that can be closely associated with transformational leaders: charisma, individualized consideration, and intellectual stimulation. Charisma is an emotional component that is sometimes difficult to define but is usually easy to identify when it is present. These individuals usually have strong, attractive, and inspiring personalities with high levels of self-confidence and self-esteem. Transformational leadership also depends on the situation its followers find themselves in. When followers are in a state of psychological stress, a crisis environment, or a hopeless situation, there seems to be a greater propensity to embrace a charismatic transformational leader. The literature also points out that transformational leaders are more likely to spring from organizations that are nonbureaucratic in nature and do not have a strong traditional culture. In short, if you combine a charismatic leader with a crisis environment and a nontraditional organizational structure, conditions are ripe for a transformational leader to emerge. (Bass, 1985)

Individualized consideration is another factor for leaders to evaluate if they hope to get subordinates to perform beyond expectations and is something we most often see with transformational leaders. Here the hope is that personal guidance can build self-esteem and self-confidence. It can also be an important way to communicate

within a company. The most common organized form of individualized consideration is through a company mentoring program. Here, a certain superior is assigned a certain subordinate. The superior is there on a personal level to answer questions and provide guidance, but also to delegate important work and provide challenges that will make for a better employee.

Mentoring can also happen on an informal basis where a veteran employee takes a junior under his wing. Individualized consideration of this type can benefit both parties. The superior ensures that capable employees are filling necessary lower positions. In addition, a long term benefit for the mentor is that (s)he can have influence in many parts of an organization through people they have given guidance to in the past.

The final factor associated with transformational leadership is intellectual stimulation. Transformational leaders realize that for employees to perform at consistently high levels, resources must be tapped from within. Intellectual stimulation is not about a call for radical change, rather, it is helping followers to see things in a different way. This can be done in a variety of ways from informal processes such as increasing trust and security to presenting empirical data that might encourage someone to re-think an issue. (Bass, 1985)

Vision

“If you don’t know where you are going, any road will take you there.” This famous anonymous quotation goes a long way toward explaining why vision is so important to a leader and to followers. Of all the components of effective leadership that the literature offers, vision is probably the most intangible, and some say the most im-

portant. If one looks back through history, all great leaders (military, government, or corporate) had a vision and were doing their best to carry it forward. Why is it, though, that a vision is so important and means so much to the people who follow the leader?

Vision by itself is important, but it is also important because it says something about the leader who has it and shares it. Leaders with a vision are always looking for ways to improve things, even if things don't appear to be broken. They are courageous in the sense that they are not afraid to try things that have never been done or that others say can't be done. Great leaders see their vision as a reality that does not yet exist. When leaders really believe in their vision, they gain strength from it. With a strong sense of purpose and dedication on the leader's part, the vision works to inspire others. The power of the vision is that it feeds on itself and helps people make the decision to choose to follow.

One school of thought points out that the most successful leaders are actually the ones with the biggest and most challenging visions. The bigger the vision, the fewer competitors one will have out there fighting for the same territory. Bill Gates and Microsoft are a good example. Most software companies try to create the best word processor or the best spread sheet software in the industry. Microsoft's approach is, "if I were to connect every computer in the world together, how would I develop the software to do it?" There is no other software company in the industry today that has the same approach as Microsoft. In that sense, they have no comparable competitors.

A vision is a picture of the future, based on an understanding of the past and

the present. "A leader with a vision is able to see far into the future without being farsighted and remain rooted in the present without being nearsighted" (Snyder, 1994, p. 74). A vision appeals to people on both a logical and emotional level. It must make sense, but it also serves to inspire hope, pride, and a sense of accomplishment in those who follow.

A vision is not just an intangible goal out there to refer to at meeting and company rallies. If a vision is to be effective and take hold, it must have content and it must be communicated clearly by the leader. An effective vision usually requires that the following five components be fully understood by everyone in the organization:

1. The Message of the vision
2. The need for the vision within the organization
3. The rightness of the vision for each employee
4. The commitment of the leader to the vision
5. The role of each employee in realizing the vision (Snyder, 1994, p. 114)

However, at its best a vision is much more than a description of the future. A vision works because it is something that actually creates meaning in people's lives. If the vision has been communicated effectively by the leader, people will understand what the overall purpose of the organization is and what it stands for. Each employee, department, and work group sees their role as a valuable and exciting extension of the present. A vision gives people something to rally around and pulls the organization together.

A strong vision actually empowers people. If implemented correctly, a vision helps people to see the future and gives them a set of reasonable guidelines that directs them, not controls them, in their daily work. Leaders usually don't make specific plans when communicating their vision. They realize they can't do it all and rely on the pre-

viously untapped resources of the employees working in the organization. One of the goals is to encourage people to be creative and use their initiative and job skills to solve problems along the way. A vision can build confidence, self-esteem, and a sense of belonging.

The leader must be completely committed to the vision in order to properly inspire others. The leader has to express the vision through words and actions to send the message of his commitment. As employees begin to understand the vision they will commit to it. They begin to think about the future and their role in it. If the vision is sound and subordinates take ownership of it, there will be a time within the organization where energies are very high and can be maintained at above average levels for quite some time. (Kouzes, 1995, p. 139)

Vision is very important to people who strongly support the participative management model. One of the over-riding concepts of participative management is that people are not motivated by being pushed (i.e. Maslow). Autocratic leadership leads only to anger and frustration among employees and at best brings about compliance to rules, not commitment. People are motivated by their own basic human needs such as achievement, self-esteem, and control over their own lives. Vision is one of the tools a leader can use to connect with people to satisfy these needs. Vision is one of the leadership tools that can lead to self-actualization, the highest component on Maslow's chart.

Communication

Perhaps the most well known component of participative management is communication. Everyone realizes, from the events of everyday life, just how important

communication is. If we don't share ideas, express ourselves well, or listen closely, we find that we can't be on the same page, which leads to breakdown and confusion. In fact, "miscommunication" has become a famous, harmless buzzword for saying somebody made a mistake; let's move on from here.

What then are the elements of effective communication? In one form or another, the literature usually brings out the following five things as items to raise your level of awareness about if you want to improve communication within an organization: 1) listening; 2) vertical communication; 3) horizontal communication; 4) two-way communication; and 5) reliability. You can come to a consensus with just about anyone who recognizes the above five things as important to effective communication.

Listening is something that has caused problems for all of us at one time or another. Everyone can point to a moment in life when we didn't listen well enough and that failure caused great trouble or embarrassment. On the other side of the coin, we have probably all been victims of someone who didn't listen well enough to us, and the end result was great difficulty for everyone involved. (Kouzes, 1995, p. 146-147)

So what is at work here? Why do we not listen closely to others, and what is at work when we speak and others don't listen? The bottom line is that we all bring our own preconceived notions to the table when we get into a discussion with someone. Too often these preconceived notions drive the way we carry out the conversation. Often we give meaning to something that is not said at all. Because we have ideas about the subject, we have things to say. Many times, instead of listening, we are thinking about the next thing we want to say.

Another thing that happens during a conversation is that we will key in on a

word or phrase by the speaker that we think answers our questions. We stop listening as we plan a course of action based on our key word interpretation. In the meantime, however, the speaker continues, giving us new information that would lead us on a different course of action. At the end of the conversation we agree, thinking we are on the same track but, in fact, are pursuing two different courses of action.

Finally, we have too much going on. Everyone today is busier than ever. Often-times we are still thinking about the last meeting we had or the next meeting we are going to. We forget that the most important conversation is the one we are having right now, and we don't listen as we should. Being aware of our listening deficiencies is an important part of improving our listening skills. (Wilkinson, 1993, p. 64-66)

In order for communication to be effective within an organization, a sound vertical structure must exist. Here the old model of superior/subordinate relationships does not work. A structure where superiors tell subordinates what to do and when they are expected to do it is incompatible with participative management. In participative management, superiors recognize that subordinates have key information that can make the organization a better place to work. They also recognize that job satisfaction is greatly enhanced when workers are allowed to have more control over their jobs. Participative management goes a step farther and calls for structures to be built to facilitate vertical communications by placing individuals from all parts of the organization in regular meeting and on planning committees.

Along the same lines, horizontal communication is important if organizations are to be as effective as possible. Shipping does not work for Marketing, yet this type of peer communication is critical. If individuals within an organization have a sound

understanding of the problems that others face, they can offer better, more innovative solutions.

Within the context of vertical and horizontal communication comes the important element of two-way communication. Whether you are communicating with superiors, subordinates, or peers it is important that there is listening as well as telling at all levels. The old model of communication was one where information flowed downward. Superiors would tell subordinates what to do, and they were expected to do it. Promoting two-way communication acknowledges the fact that we can learn and improve from everyone in the organization. Collecting information is just as important as disseminating it and is critical to effective communication. (Wilkinson, 1993, p. 192-194)

And, finally, information must be reliable if communication lines are to be truly open and effective. In order for information to be considered reliable, it must meet certain criterion. First and most obviously, it must be considered accurate and truthful. Employees can receive only so much "misinformation" before they begin to distrust it and the people who give it out. If trust is lost, open communication cannot exist. Next, information must be in complete form if it is to be considered reliable. In a truly participative organization, if individuals are expected to contribute fully, they need complete information. In addition, if people have the perception that information is being held from them, this, too, can lead to a lack of trust and a breakdown in open communication. (Carnevale, 1995, p. 91-92)

Also included in this area of reliability is the concept of "active voice." Active voice is the relationship between subordinate input and the perceived result of the in-

put. A big mistake many leaders make is to believe that employee job satisfaction will be enhanced if they are allowed to contribute suggestions and ideas. Nothing could be farther from the truth. If people are continually asked for their input, but rarely if ever see anything implemented, resentment will soon set in as people will see that their input does not matter.

Communication is another component of effective leadership that is universally accepted and praised by the mainstream leadership literature. The main purpose of communication relates to expectation. Without communicating with each other, we often develop different expectations as to what should be done, where we are going, and how to get there. Effective communication keeps everybody on the same page. The prime elements of effective communication would include listening, horizontal and vertical communication, verbal and nonverbal, active voice, and reliability.

Communication and all of its components are essential if an organization as a whole wants to set its employees on a course for self-actualization. Communication manifests itself in safety and security needs all the way up to self-actualization. Just about any manager or leader can look at communication and see it as an area where there could and should be some improvement.

Rewards

Rewards are clearly recognized as a critical factor in good leadership. Much time and effort are spent coming up with just the right reward system to produce optimal results. In order to understand rewards fully it is important to keep them in the context of participative management and Maslow's need hierarchy. It is important to identify what people's needs are and to fill those needs. If done correctly, rewards can

be a valuable tool in moving people up the need hierarchy by satisfying affiliation and self-esteem needs. Reward theory focuses on two main questions: 1) What criterion are used to determine who gets a reward? 2) What does a leader give out as a reward?

Although many types of reward systems can be found, surprisingly, almost all fall into two categories, seniority-based reward systems and merit-based reward systems. Seniority based rewards are straight forward. In these organizations importance is placed on dedication and service to the organization over time. Rewards are given to those who have the most years of service with the organization. There are several reasons an organization might focus on a seniority-based reward system. First of all, it may be an organization that is highly specialized and could not find comparable employees outside their own company. An example might be a company who builds military aircraft. This is a highly specialized area, and if you lost someone with 15 years of experience, that person would be very difficult to replace. Even though there are other aircraft manufacturers in the world, encouraging one of their employees to come to your company might be very difficult and definitely very costly. Highly specialized industries have a vested interest in keeping people around in whom they have invested a great deal of time, money, and training.

Another reason an organization might focus on a seniority-based system is that they are in a mature industry where there is very little room for innovation. Instead of being dynamic, it is more important for these organizations to maintain stability. A good example might be a glass-manufacturing company. Most people who need glass for windows already have it. No one is predicting an explosion in American glass

sales. In America, the glass business is a mature industry that is very competitive. It is important to have people around who understand every aspect of it in order for the company to remain strong. Having people around a long time is an important thing. **effort.** The downside to seniority-based reward systems is that sometimes they are discouraging to some very good younger people in an organization. As important as stability is, it is also important for the organization to be infused with new ideas and talent. Some seniority-based reward systems are so entrenched that when younger people look to the future they have a hard time seeing it. Many times people will look up and realize that they will be “stuck” in the job they are in until someone around them dies or retires. This is often not the kind of outlook that fosters high self esteem and leads to self-actualization. **P. 40-43)**

Merit-based reward systems, on the other hand, tend to favor people who work the hardest, are more innovative, or produce tangible, notable results. Here, rewards are not reserved for those who have been with the company the longest but are primarily given to those who seem the most worthy. Merit-based reward systems recognize the importance of connecting performance with rewards. “The outcomes of our present action play a major role in determining our future actions. People repeat behavior that’s rewarded, avoid behavior that’s punished, and drop or forget behavior that produces neither result.” (Kouzes, 1995, P. 275) **These people do not find their**

In order for merit-based reward systems to work effectively, three things must be present: 1) People must know what is expected of them; 2) Subordinates must receive feedback on the work they are doing; 3) Reward must be given to only those employees who meet the standards. A good example would be Mark and Sandy in the

introduction, the two people who worked all the overtime and at the end of the year received the same pay increase as everyone else. All three of the above guidelines were violated. From that point on, Mark and Sandy stopped putting in all the extra effort. (Kouzes, 1995, P. 276)

The other element of reward systems, what to give out as a reward, also can be broken down into two main categories, intrinsic and extrinsic rewards. Intrinsic rewards are those that come from within and are built into the work itself. The employee gets satisfaction from doing the job or accomplishing the task. These are non-monetary, intangible rewards. Extrinsic rewards, on the other hand, are the tangible rewards that leaders give out. This would include such things as money, time off, promotions, etc. (Kouzes, 1995, P. 40-43)

Intrinsic rewards are the ones that companies focus on a lot for two main reasons. First, they are the type of rewards that don't have an up-front cost (on the books anyway). Second, they are a necessary component in building the kind of self-esteem that will lead to fulfillment on the job, both personally and professionally. Throughout our careers, we have all probably worked with someone who seemed to be in a good situation but walked around the office unhappy most of the time. Such people are in a job that they were trained for, are making a good salary, don't work any overtime in the job, and yet they seem discontent. These people do not find their jobs intrinsically rewarding. Although intrinsic rewards are internal, there are things that leaders can do to enhance the way people feel about themselves and their jobs.

One of the things leaders can do to help build self-confidence and self-esteem is increase expectations of people. This is the philosophy of self-fulfilling prophecy. In

the old boss/worker relationships, very little was expected of employees except to do what they were told. If we expect people to fail or be incompetent, they probably will be.

A common example might be what is known as educational tracking. There is a school of thought in modern academia that at a very young age we track people into being successful learners or unsuccessful learners. When children first begin to learn to read and write they are broken up into “regular” learners and “remedial” learners. The remedial learners who need extra help are already seeing themselves as “not very good with books.” In addition, the regular learners also see themselves as better learners and look down on the remedial learners. Finally, as these children grow older, they are put in a “college bound” or “non-college bound” track once they enter high school.

An even more common experience might be things we hear in our everyday lives. For example, how many times have you heard someone say something like, “I’m no good at written tests!” “I’m just not a computer person at all!” “I’m the worlds slowest reader, I don’t like reading books!” Does this sound right? Is anyone born with a certain level of ability to take written tests that can never be improved? What about computers? Computers have a set of inputs and actions that have to be learned in order to make the computer work right. The more you learn about computing the better you will become at it. And finally the reading example. Some people are slow readers, but the more you read the faster you become. There are techniques you can learn to help you get through the pages. The validity of tracking has been debated, there are plenty of successful people who were in remedial reading classes as children.

The point here, however, is that these people were probably told early on that they were bad at test taking or working with computers. From that point on it was "OK" to be bad at these things, so they were bad at them and there was no incentive to improve their skills.

In participative management, the leader uses the self-fulfilling prophecy to work for the subordinate not against him. Successful leaders have high expectations for themselves and the people around them. By helping people set high goals for themselves the leader bolsters the self-esteem of those around them, often enabling them to accomplish more than they ever thought possible before. One of the greatest compliments a leader can get is when people say that their boss brings out the best in them. Building self-confidence through high expectations is one of the best ways to facilitate intrinsic rewards.

Intrinsic rewards take other forms, too. Other examples might be praise from a superior, the excitement of a future challenge, or a leader's helping hand or willingness to listen. Some things have an extrinsic component to them, but are really intrinsic rewards. An example might be when someone receives a certificate or plaque at an organizational awards ceremony. The monetary value of the plaque is very small; what is important is the recognition the employee finds in the ceremony. The plaque then becomes a source of further intrinsic value when placed on the employee's wall. The certificate on the wall is a source of pride, fulfillment, and job satisfaction as the employee recounts the events leading up to the award.

The other type of reward system, extrinsic rewards, are the ones with which we are all more familiar. Extrinsic rewards are the tangible rewards we get and give

for job performance. They include annual salary increases, Christmas bonuses, time off, new computer hardware and software, and a variety of other things. Extrinsic rewards are usually the rewards that are a part of the organization's formal reward system. (Kouzes, 1995)

The key to rewards in light of Maslow is that once you understand the concept of self-actualization, you begin to realize that there is a huge intrinsic quality to it. Many leaders and students in seminars or class rooms realize that they are a part of an organization that focuses little on intrinsic rewards. If employees are to achieve self-actualization, a reward system that involves both intrinsic and extrinsic components must be present.

Empowerment

Last, but certainly not least, is the concept of empowerment. Empowerment covers a great deal and indeed includes the other three aspects of effective leadership within it (vision, communication, and rewards). For example, giving subordinates complete and reliable information empowers them and allows them to do a better job.

Empowerment is definitely a byproduct of modern participative thinking, and its importance to achieving the higher levels of Maslow's hierarchy is clear. If one is to achieve full potential, he or she must have the necessary tools to do so. Before participative management, people would come to a job, be assigned certain tasks to complete, and the whole job would be centered around completing these tasks. The employee had little or no say about what work they did, how they were to do the work, or how to change the work even if they saw a better way of doing it.

So what are the advantages to giving power away? Why would anyone give

up control of the ship? One of the purposes and advantages of empowerment is that it gives people more control over their own jobs. Giving people more control is considered a win/win situation for the employee and the organization, and several good things usually happen: 1) The people most often qualified to see how a job can be improved are the people doing it. 2) The employee has a much higher degree of job satisfaction and therefore performs at a higher level. 3) The employee feels a kinship with the organization and therefore performs at a higher level.

To understand empowerment fully, one must first get a better understanding of the root word "power." (Bolman, 1991, p. 192-193) Participative management theory promotes the paradox of power which says that leaders become the most powerful when they give their own power away. One of the most difficult things for managers to learn is that power is not a fixed sum asset where if I have more, it means that you have less. Both a superior and a subordinate could and should have power. Extraordinary leaders learn a few things early on about power. First, that even if they only have a modest vision, there is too much to be done for one person to do it all alone. Second, is that part of the reward for having a great idea and a powerful vision is sharing it with others. Sharing the vision, the power, and the responsibility is a big part of moving people toward self-actualization. Finally, once a leader starts to share power and sees that it creates power, it usually frees them up for more creative thinking. As others grow within the vision, the vision itself grows. Sharing power is a powerful thing.

Once leaders can be convinced that giving subordinates more power is a good thing, the next question is always about what are the best ways to empower people.

There are several key things that leaders can do to empower others: 1) Allow for and provide the necessary training a subordinate might need. 2) Delegate critical tasks. 3) Delegate authority. 4) Offer visible support. 5) Share all information. (Kouzes, 1995)

Just as a leader needs tools to help people achieve self-actualization, so do subordinates need tools to help themselves along the way. This is why training of subordinates is so critical in achieving one's full potential. There is an old rule of thumb that you should surround yourself with people who can take your job at any moment. If the people who work under you become more skilled and talented at what they do, so too will you become more skilled and talented. Training also gives people a sense of belonging in the organization, that the organization feels they are valuable. The more people know the more they are able to help you share in your ideas and make suggestions about the enterprise as a whole, that you both have a vested interest in.

Delegating critical tasks is another way of empowering people. One of the things that leaders must learn is that the people who are doing the job are probably the best to make changes in it and also be responsible for it. Assigning critical tasks to people gives them a sense of ownership and responsibility at the same time. It is a big step in helping people to realize their full potential. In this day and age it is also a necessity in the sense that industry changes occur so fast. If the people who are performing the critical task have the authority to change it, an organization can take advantage of shifting tides in the market place or of the times.

Along with assigning critical tasks leaders must learn the importance of delegating authority as well. A big mistake that many leaders make is that they delegate

critical tasks (increased responsibility), but do not give those subordinates the necessary authority to carry out those added responsibilities. Managers who successfully empower others carefully review the steps required to carry out a job. For example, unnecessary approval steps should be removed. Evaluate all restrictive rules and have as few rules as possible. Encourage people to use independent judgement. Assign jobs more broadly, as projects where possible, not as tasks. It also helps if you can eliminate as much routine work as possible.

Another thing leaders can do to facilitate empowerment is to offer visible support. This includes the obvious practice of making sure people who work for you get recognized and noticed. We often associate this with someone winning an award at a ceremony or being recognized in a meeting. Some managers call this the practice of making heroes of others. These things are important, but what is often left out is making people visible to other important people in the organization. Too often this practice is given a negative spin known as "networking." Networking, however, can be a very powerful thing. It enables subordinates to solve problems by contacting the right people even when you are not there. Offering visible support empowers others and the leader as well. (Kouzes, 1995, p. 198-200)

A final example of how leaders can empower others is to share all information. Earlier it was mentioned that empowerment is in many ways a synthesis of the other three components of effective leadership. Sharing all information is an important part of effective communication, but it also is necessary if people are to truly be empowered to the point where they can achieve their full potential. Without complete information people can not carry out adequately any additional responsibility or authority

they have been given. Many examples can be given in our own experience where a decision needs to be made, but everyone is missing a key piece of information that only the "manager" knows. Understanding the down side of incomplete information is just as critical as understanding the necessity for it. (Carnevale, 1995, p. 23-25)

... and try to apply the literature to situations that actually occur. With so much information in today's work place, there are a lot of people trying their best and a lot of people failing. Much stress is created when situations arise in the work place and individuals disagree with the way the manager handled things or the final decision that the manager made. One can read the leadership literature all day long about the importance of participative management, but the real test comes with the hard decisions of everyday life.

To really get an accurate picture of effective leadership, a review of the literature must be supplemented with information gathered from actual successful leaders. The interviews are necessary because it provides some means of comparison with the data as presented by the literature. The leadership interviews are also important because they provide us with information that the literature leaves out. In addition, the interviews provide a new dimension to information that the leadership literature has already provided.

Dr. George Henderson, Ph.D.

Dr. Henderson is the Dean of the College of Liberal Studies and the Director of the Human Relations-Advanced Studies Program at the University of Oklahoma in Norman, Oklahoma. Other titles he holds include S. N. Goldman Professor of Human Relations and Reginald Professor. He received his doctorate from Wayne State Uni-

Chapter 4

Interviews With Successful Leaders

One can research a great deal about leadership, ethics, and what works and what doesn't, but the real test is about what happens when you get out in the "real world" and try to apply the literature to situations that actually occur. With so much unhappiness in today's work place, there are a lot of people trying their best and a lot of people failing. Much unrest is created when situations arise in the work place and subordinates disagree with the way the manager handled things or the final decision that the leader made. One can read the leadership literature all day long about the importance of participative management, but the real test comes with the hard decisions of everyday life.

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Dr. Henderson is the Dean of the College of Liberal Studies and the Director of the Human Relations Advanced Studies Program at the University of Oklahoma in Norman, Oklahoma. Other titles he holds include S. N. Goldman Professor of Human Relations and Regent's Professor. He received his doctorate from Wayne State Uni-

versity in 1965 in Educational Sociology, and his M.A. and B.A. in Sociology from Michigan State University in 1959 and 1957 respectively. In 1969, Dr. Henderson became a Professor of Human Relations, and from scratch created the largest graduate program at the University of Oklahoma.

Dean Henderson is a nationally renowned African-American scholar, who at the time of this writing, has twenty-seven books in print that address a wide spectrum of important issues of our time. Titles include: Our Souls to Keep: Race Relations in America; Cultural Diversity in the Workplace: Issues and Interventions; College Survival for Student-Athletes, and Education for Peace: Focus on Mankind. His name can also be found in Who's Who in America? and Who's Who Among Black Americans? His lists of courses taught, consultantships, committees, publications, and academic achievements are far too numerous to be listed here.

George Henderson is uniquely qualified to answer questions on leadership and ethics. His leadership journey is impressive when you measure his accomplishments, but it is even more so when you look at the distances he has traveled to get there.

Born into poverty, Dean Henderson rose to become one of the world's leading experts on issues of human relations. As the first African-American faculty member at the University of Oklahoma, he faced prejudice and racism with courage and tolerance.

As the Jackie Robinson of Oklahoma, he was a pioneer in more areas than even he can recount. With a combination of sound convictions and a sixteen-hour-a-day work ethic, he overcame his detractors. Some he outlasted; others he welcomed after he changed their minds, and for those who came to know him later, he is respected as a scholar, leader, mentor, and friend. He is uniquely qualified to answer questions on

leadership and ethics because while most of us try to change the mind of a superior or a subordinate, he was a part of a movement that faced changing the minds of an entire society.

George Henderson on Vision: Dean Henderson sees vision as a very important component of effective leadership. For him, vision has become a bit too much of a buzz word with only a positive connotation, he points out that a vision can be either positive or negative. What makes a vision effective is the feeling among the subordinates that the organization is becoming better. An effective vision also entails not just an end product, but an entire process that involves everyone.

George Henderson on Communication: Here Dean Henderson agrees with the literature about what makes for effective communication. Good communication requires that the leader be an effective listener. Issues must be understood before they can be addressed. In order for a leader to be effective, the information he or she receives must be truthful and complete over time. Bad news should be acknowledged immediately, and nothing should ever be withheld if one is to build trust. He talked about the importance of feedback in effective communication, pointing out that it can be a primary deterrent to open communication. And, finally, he added a personal bit of information that the literature often does not mention: Do not make promises that you can't keep.

George Henderson on Rewards: Again, Dean Henderson does agree with the literature. He believes that rewards are important components of effective leadership. If rewards systems are to be effective, they must first and foremost be fair and equitable. Rewards are valuable because they can move people along in their quest to

become better employees. It is important to reward people only for what they do well and withhold rewards in areas where they need improvement. Rewards can also be used as a rung in the self-esteem ladder. It is important to recognize people's accomplishments when they do well. A good reward system will take into account how much individuals have progressed, not just superior performance.

George Henderson on Empowerment: Dr. Henderson sees empowerment as a very important management tool. The leader's role consists of facilitating the growth of others through empowerment. The ultimate goal is to produce a better leaders. Many leaders fall short because they fail to recognize that employees are already empowered. They have the ability to sabotage projects or do extra things that help the organization. It is the leader's responsibility to create an environment where subordinates feel a part of the organization. Empowering people means giving them permission to decide how best to accomplish their jobs. Providing such opportunities is a big step toward making people believe they are part of the organization. But the leader must provide the resources and training that will allow individuals to be successful.

George Henderson on Ethics: George Henderson believes that leadership and ethics should be closely related. "If we value things such as maximizing good, ethics is a very important component of effective leadership." Organizations should seek out ethical leaders because ethics is very important for the integrity of the organization and the larger society. More than ever before, the integrity of our leaders and our organizations has come under scrutiny. If leaders are to be truly effective, people must trust them and believe their actions are fair and equitable.

Dean Henderson is an extraordinary individual with unique insights on leadership, ethics, and leadership effectiveness. He agrees with most of the literature that vision, communication, rewards, and empowerment are necessary components of effective leadership. However, he cautions us that not all visions, communications, rewards, and empowerment are good. For instance, a vision can be both bad and good. Communication can be effective but if it is done improperly, it can lead to miscommunication. An effective leader will not reward individuals if they do not do their job well. Nor will he or she give someone a responsibility they are not prepared for. He also sees ethics as an important component as well. Not just as a separate component, but as something that is important in all the other components of effective leadership as well.

Dr. Nancy Mergler, Ph. D.

Dr. Nancy Mergler is the Senior Vice President and Provost at the University of Oklahoma in Norman, Oklahoma. Her position is second only to the President of the University as the chief academic and administrative officer of the Norman Campus. Areas of responsibility include institutional planning and budgeting, program development and review, academic policies and procedures, development and retention of faculty and students, and enrollment management. She also has served as Director of the University of Oklahoma Honors Program since July of 1987 and as the Chair of the OU Scholars selection committee since July of 1989.

Dr. Mergler received her Ph.D. and her M.A. in Developmental Psychology from Syracuse University in 1977 and 1975 respectively. She obtained a B.A. in Psychology from William Smith College in 1972. Her first professorship was with Wash-

ington College from 1976-1979. She joined the Department of Psychology at the University of Oklahoma in 1979 and has been a prominent part of the academic and Norman community ever since. Her academic achievements have been numerous. She has collaborated on many publications covering a wide variety of subjects with a special interest in gerontology. Titles of just a few of her works include: Culture and Cognition: The Boundaries of Literary and Scientific Inquiry, The Plain Sense of Things: Violence and the Discourse of the Aged, and Generational Myths: The Adult Child Caught in the Middle. She is also a member of many professional organizations which include the American Psychological Association, the Gerontological Society, and the Oklahoma Psychological Association.

Nancy Mergler brings a special and valuable viewpoint to any leadership discussion. Her leadership journey is one to be admired and imitated on many levels if it is possible to do such a thing. She has made the difficult transition from academic scholar to administrative leader, an area where many fall short. She comes from an academic area, Psychology, where traditionally administrative leaders do not emerge within the university system. And, finally, she provides the unique perspective of achieving it all as a woman, facing what is still very much a man's world in academic administration.

Through it all she has emerged as one of the most highly respected and trusted people at the university. Her judgment, guidance, and points of view are sought by everyone from students to the President of the University. She handles these incredible burdens with an overwhelming sense of calm and after even a short visit with her many feel that her new title for them is friend. Her leadership is truly special.

Nancy Mergler on Vision: Dr. Mergler sees the “vision thing,” as she put it, as a very important component of effective leadership. She has a little different way of conceptualizing it. She likes to talk about a vision in terms of a commitment to a larger enterprise. Not just a commitment to the organization, or the institution, or the project, but also a commitment to the community and to the people involved. She believes a sound vision should be simple and should also have a historical context. For example, at the University of Oklahoma, when situations arise where people are making decisions about the future, she believes it is important to understand that there are alumni of the University and people in the community who have developed powerful feelings about OU. Buildings are not just buildings; they are structures that hundreds of people have invested memories in. A part of their lives is there. Whenever she can, she shares her vision for the University with others and takes special care to give everyone the same message.

Nancy Mergler on Communication: As far as communication goes, Dr. Mergler also sees it as an important part of effective leadership. She believes that the way you relay a message is just as important as the message itself. There seems to be three basic rules of effective communication that she follows very closely: 1) Disseminate information as quickly as possible, good news or bad. 2) Do not hide or withhold information. 3) Always be truthful. She very eloquently discussed the negatives of withholding or delaying information (she also added that she couldn't tell a lie even if she tried). She also discusses the climate of uneasiness and mistrust that follows when subordinates feel they are being left out of the information loop or if they find out information from someone else that they should have found out from the leader.

Nancy Mergler on Rewards: With respect to reward systems, Dr. Mergler believes that both intrinsic and extrinsic rewards are important as well as seniority and merit-based rewards. Her main point here is that the key to rewards is balance. You can't focus too much on one component over the other or then your rewards will start to work against you. This can be a problem at times at an institution such as the University of Oklahoma. Occasionally, a new employee will have to be hired into a position at the same rate or higher as people who have been there for years. The key here is openness. Dr. Mergler believes that most reasonable employees will understand if you explain that you are not unhappy with their work and that market forces have precipitated the situation. It is the leader's responsibility to make sure that everyone knows what is expected. If you have that and your employees trust in your sense of fairness, you will not have problems with reward systems.

Nancy Mergler on Empowerment: Next, we come to empowerment. Nancy Mergler does not like to use the word empowerment or its root, power, for that matter. She feels the terms have a negative connotation for both her and her employees. For her, it creates impersonal images of organizational charts, hierarchies, and levels of power that most people don't respond to. She prefers to talk about working collaboratively with people and working toward common goals. So many times we hear about an office being like a family, but there is a real sense that this is her goal. She also feels very strongly about employee development and moving people in a direction where they are able to achieve their full potential.

Nancy Mergler on Ethics: Finally, we come to the issue of leadership and ethics. When Provost Mergler speaks of ethics and leadership, the responsibility she

feels seems to come through. Here she always speaks of the institution's well being, the students well being, and the communities well being as top priorities when she makes a decision. She points out that it is difficult to know what is in the heart and mind of another, but that if the perception of ethics and the perception of fairness and caring do not exist, it is very difficult for effective leadership to thrive.

She shared a very interesting story that was very telling. She talked about the concern she had for the present work force and how with what went on in the 1980s (leverage buy outs, corporate raiders, etc.) many people lost their jobs, careers, and a part of themselves. She was concerned that the work force of today was less trustworthy of leadership because of what went on at that time. I then asked her if there was a good way to lay people off, and to my surprise she told me that she had nearly turned over her entire staff since she had come aboard eighteen months ago. She pursued a strategy of finding people's strengths and weaknesses, gave everyone plenty of notice, and helped people find other positions within the University when she could.

Provost Nancy Mergler was a very compelling person to sit down and talk leadership with. One only has to walk into her office and observe the harmony to know that she is doing a lot of things right. Her contribution supported the leadership literature in many areas. For example, when it comes to rewards, she puts a premium on fairness, equity, and balance. She is also a strong believer in open communication and clear, accurate, and complete information. In addition, she understands the importance of empowering others and how everyone benefits when you do so. As far as ethics went, she had a little bit more difficulty coming up with a firm definition than some of the other people that were interviewed, but the content of her management

style has a strong ethical thread everywhere you look. It's as though she is subconsciously submerging her own self interests when the interests of the University or others comes into play.

Dr. Tom Boyd, Ph.D.

Dr. Tom Boyd is an Associate Professor of Philosophy and Kingfisher College Chair of the Philosophy of Religion and Ethics. He received his Ph.D. from Vanderbilt University in Religion in 1973. He also received a B.D. from Vanderbilt Divinity School in 1963 after spending one year at Yale Divinity School. In 1962 he acquired an M.A. from the University of Oklahoma in Philosophy and in 1956 received a B.A. in Philosophy from Bethany Nazarene College.

His career as an academic is truly an astounding one with a listing of courses taught, published works, honors, and positions held that covers no less than 26 pages. A few of the titles include: Is Spirituality Possible Without Religion?, Of Truth, Tangents and Tolerance, and Notes on An Ethic for Public Health Services. His awards include the Oklahoma Medal for Excellence in Teaching from the Oklahoma Foundation for Excellence in 1996, Professor of the Year Award from the University of Oklahoma Student Association in 1995, and the Regents' Award for Superior Teaching in 1994.

Tom Boyd has touched the hearts, minds, and souls of thousands of students, staff, and faculty in his extraordinary career as a teacher, mentor, and leader.

"Intellectual giant" is the term most commonly used by students, faculty, and other staff who have known him over the years. His counsel is sought by everyone from first semester freshman to university Presidents and Regents. He has chaired countless

committees and boards and brings a credibility to any decision he is involved in. Dr. Boyd is also an ordained Presbyterian Minister and brings an invaluable point of view to any discussion of leadership. He brings together the rare combination of university leadership, academic focus on philosophy and ethics, and the personal vocation of a religious ministry.

Tom Boyd on Vision: On vision, Dr. Boyd makes it clear that a vision is absolutely necessary for effective leadership; otherwise, you can't get where you are going. When people write about utopia, they have a vision of what a perfect society should be. A vision is a projection of possibilities for the future. He then goes on to point out that a vision is not necessarily moral and what we should be striving for is a morally responsible vision. For example, if you were working on germ warfare, something that could annihilate millions of people in a very short time, would that be an ethical vision? In order for a vision to be a part of effective leadership it must include everyone involved in the human sense. If a vision is to be effective, you must always ask yourself the question, what is your moral obligation to the world in planning the vision?

Tom Boyd on Communication: Dr. Boyd went farther than any author or person interviewed when it came to the importance of open communication. He feels that building trust is the key to effective communication, "If I build trust by keeping promises, then if there is a confrontation we can do it in a gracious way."

When asked the question about breaking bad news to employees, he did agree with the literature in most of the important areas. He focused on complete information and getting the information to them quickly. If it were a budget cutting situation

where people had to be eliminated, he would give as much lead time as possible, write letters of recommendation, make calls whenever he could. His goal would be to have another job waiting for the person when the time came to leave.

It was here that he went a step farther. In his view, if he has really been an effective leader, should this situation arise, he should be able to call everyone in and make the decision together. Let's just say that one of five people has to be laid off. He would call all five in, present the situation and then ask, "How can we go about this without deciding who will be laid off and how can we help the person laid off?"

Tom Boyd on Rewards: Dr. Boyd understands the value of rewards in effective leadership. Here he did not vary much from the literature when it came to issues of fairness and equity in reward systems. One gets a strong sense that he feels rewards are a by product of effective leadership. In other words, if the other things are done right, the rewards will come for everyone. A comparable example might be a football player who wins the Heisman Trophy. It is very difficult to say at the beginning of a football season that you are going to win the Heisman Trophy. If, however, your line blocks well, the defense plays well, the passing game is strong, you win a lot of games and play for the National Championship, chances are you will be a leading candidate for the Heisman Trophy.

Tom Boyd on Empowerment: In Dr. Boyd's view, empowerment is an incredibly critical component of effective leadership. Leaders are the most dependent people in the world, and they must have supporters or they will cease to be leaders. He feels that in order to understand empowerment, you must first understand something about its root word, power.

In issues of power there are always three questions one must ask: 1) What counts as power in this system? 2) Who holds this power? 3) To what end and by what means do we exercise this power? Too often, leaders underestimate the power of subordinates. Power is subtle and more sophisticated than most people think. Gossip is power! Anger is power! And sometimes these things surface in a passive-aggressive way.

Power is subtle in other ways, too. Many times leaders think they are empowering subordinates and have very open lines of communication lines. Dr. Boyd talks about the power of “who gets to speak?” The next time there is a meeting or break room conversation, or official social gathering, look around and watch who is speaking. Who gets to speak and who doesn't? Who gets listened to and who gets ignored? What actions are taken after someone speaks?

It is a good reminder of how important it is to create a community of empowered people. Dr. Boyd believes that participation should have a quality of relationality to it. Every time you see someone, you should really care about them. Only in this way can a good leader instill the kind of trust that breeds true loyalty.

Tom Boyd on Ethics: The strongest supporter by far for ethics as being an important component of effective leadership was Tom Boyd. He feels that it is clearly the most important component of effective leadership. Dr. Boyd believes that ethics has been too theoretical and too abstract and that it has a very tangible presence in just about everything we do. He points out that ethics is about human relations and how we treat other people. When a student comes to him, he approaches the situation from the standpoint of, “How can I help this person get an education?” Not, “I have five

minutes, what do you need?" or "Can you make an appointment with the secretary?" or "Can this wait another time?" We are all obligated to each other, and if ethics doesn't manifest itself in our everyday work lives where does it belong?

Tom Boyd introduced me to the idea of the moral complex which consists of ethics of the actor (virtue ethics), ethics of action (cultural relativism), and ethics of outcome (utilitarianism). Dr. Boyd feels that too many people create a comfortable duality for themselves where they say, "I don't believe in doing this personally, but business is business!" They are saying they are not responsible because of the relative environment they are in.

Dr. Boyd points out that this is very dangerous and that if you put the focus on the actor instead of the action, ethics in leadership takes on a very different perspective. He goes on to point out that systems and organizations can be pathological and immoral such as the final solution in Nazi Germany. Ethics requires us to ask about the effectiveness of what and what form it should take. If we focus on the actor, we see how important the ethics of the leader are. The course of action would flow from the virtue of the individual, not the unpredictable circumstances surrounding the situation.

To say the least, my interview with Dr. Boyd was extremely interesting and enlightening. His perspectives on leadership and ethics have answered a great many questions for me and have opened doors which were previously closed. His view of leadership was very consistent with that of the literature until we came to the importance of ethics. He sees ethics as the most important component of effective leadership because it pervades all the other components as well as having a critical role all by

itself. In his view, the ethics of the leader matter because without it we are merely automatons making decisions based on the circumstances and situations around us. He believes that subordinates can sense if a leader's decisions are coming from within and it is that belief that builds the kind of trust necessary for truly effective leadership.

Chapter 5

Conclusions

At last we come to an evaluation of the information we have collected. A great deal has been covered by the literature and by the interview process. The leadership literature is impressive. While reading most of it, one can't help but be inspired by a great many things, not just the ideas, but the men and women who have devoted their lives to the subject of good leadership. The time, however, has come to sort this information out and see where real-life successful leaders agree and disagree with the current literature. A further analysis can also help us discover how and why the literature and research developed the way it did. Also, there seems to be some holes in the literature, which are revealing. After the literature review and the interviews with leaders, there are three significant things that seem worth noting: 1) The literature does not include ethics as an important component of effective leadership, yet in the interviews leaders saw it as the most important thing or one of the most important things. 2) Ethics is an important component of effective leadership. 3) Much more needs to be done.

Item 1 is probably the biggest surprise to most. When saying the literature does not include ethics as an important component, remember that is putting it in the context of the mainstream literature. That is not to say that if you went to a library you couldn't find a book anywhere on ethics, business ethics, or even leadership ethics. For the purposes of this research, we are talking about what you would most likely have presented to you if you were an executive attending a leadership seminar or someone taking leadership course work or an organizational behavior curriculum.

Given what these three leaders had to say about the importance of ethics why does the literature stay away from the subject? After careful examination and thought perhaps there are several possibilities to consider. One of the main reasons has to do with academic integrity or perceived academic integrity. Part of the scientific method of modern research is to back up your ideas with quantifiable results. A very common component of the leadership literature is a numerical analysis of some kind. There are charts, graphs, surveys, and some even include an evaluation of the research instrument they used to garner the numerical results. This is not an attempt to invalidate or take lightly the importance of numerical results. The fact is that quantitative results are a very important research tool and report mechanism. As a construct, ethics is measurable, however, as the answers of the respondents suggest, ethics is a subtle issue with nuances that escape what a positivist epistemology can reveal.

The qualitative nature of ethics is not the sole reason that it has been neglected in the literature. A great deal of qualitative research is done all the time in academia on all sorts of topics. Indeed, there is a very qualitative nature to things like vision, communication, listening, etc. and no one hesitates at all to write about them in the leadership literature.

Perhaps there is something deeper at work when it comes to ethics. In doing this research, one of the things I discovered was the uncomfortable reaction I got from people when I told them I was doing a qualitative analysis of the relationship between leadership and ethics. It takes about two seconds before a whole series of standard objections arise. "Whose ethics are you talking about?" "How can you possibly measure someone's ethics?" "Who are you to say what ethics are good and what eth-

ics are bad?" "What is your religion?" "Ethics" is a buzz word in the academic world that is sometimes associated with organized religion. There is a fear in our society today that some ethical system connected with an organized religion will be "rammed down our throats" in the work place and we want no part of something like that. People connect values and ethics with sins and moral systems and fear that someone will attempt to academically prove that "sinners" make poor leaders while "righteous" people make good leaders.

From an academic standpoint, many scholars feel that their credibility would be questioned along these lines. That they would be accused of moralizing or having a hidden agenda if they brought ethics into the discussion. They dread the thought of having to take up large parts of chapters explaining how objective they are time and time again. In addition, scholars often have multiple points to make when doing research. Many feel that their other points would be diminished or even ignored and that critics would bring ethics to the forefront of the discussion.

Having said all that, the second thing that stands out for me is that ethics is still seen as an important component of effective leadership by academics. The leaders I talked to see it as either the most important component or one of the most important. Dr. Boyd, for example, said, "Ethics has been too theoretical and too abstract! Ethics requires you to ask questions like this: Effectiveness at what and what form does this effectiveness take?" So what is going on here? How could people who study superior/subordinate relationships their whole lives be overlooking this very important aspect of effective leadership. Surely this is not the first research to do a series of interviews or to hear leaders say how important ethical treatment of employees is.

Perhaps one explanation of what is going on is this. Even though the literature does not discuss ethics specifically, researchers may actually be implying ethics by the components they choose. The current academic paradigm is very strong and sees vision, communication, rewards, and empowerment as ethical issues. Perhaps researchers feel that the above four components are self-evident truths which they are increasing awareness about. The impression one gets from reading the literature is that the positive good from the above four components is so strong that becoming aware of them is the biggest deterrent to poor leadership.

This still doesn't explain, however, why managers, leaders, supervisors and students who attend all these seminars and classes are still so poor at satisfying their employees. Well, perhaps there are a couple of reasonable explanations for that too. "It all sounds a lot better in the meetings" was a comment that a former manager of mine used to make just as every meeting we ever had ended. Studies show that most people still answer negatively when asked, "Are you happy with your job?" and "Are you happy with your boss?" This is after almost 50 years of promoting the values of participative management. My former boss may have had part of the answer in his post meeting comment. Even though the literature leaves out ethics as a primary component, most of the literature has some really good ideas and is very sound. It is, however, very hard to find a lot of the leadership seminar ideas being implemented in any kind of organized way in the work place. Unfortunately, a lot is just simply being left in the class room. I think it is a very real truth that applying anything in the "field" is much more difficult than talking about it in a meeting. I'm sure this has happened to all of us at one time or another. We go to a seminar. It is an exciting and interesting

environment. We are presented with some good ideas. We even think of ways this would work in our office. Then we get back to the office, we are slammed with phone calls and problems, a short time passes and we are back to the old grind. Changing other people's behavior is a difficult thing to do even if they did get excited at the seminar like you did.

This, however, still doesn't explain everything. It was mentioned earlier that scholars present vision, communication, rewards, and empowerment as self-evident truths that need no justification. At its very core this seems to be true. Just ask yourself, "Is a vision for the future a good thing?" "Is open communication a good thing?" "Is rewarding employees a good thing?" "Is employee empowerment a good thing?" Just about everyone's initial response is "yes" to these things.

It is not that these things aren't important, but that the current paradigm is incomplete. What seems to be missing is a discussion about the ethical aspect of each of the four components. We need to ask, what is an ethical or unethical vision? What determines ethical or unethical communication? What is an ethical reward versus an unethical reward? And finally, how do we ethically empower people? The leaders I interviewed, through their different courses in life, seem to have all figured out that you must think about these things in an ethical context or they lose their effectiveness. They can even be counterproductive.

When considering vision, it is not enough for a leader just to have a vision! This vision must take into account the situation of the subordinates who are being asked to believe in it. For example, Hitler and Stalin had visions! More commonly, what if a CEO takes over a company and his vision is to break the company up, sell

the component parts, lay everyone off, and jump out with a “golden parachute” just before the collapse. One does not have to look very deep to realize that not all visions are ethical, not all visions lead to self-actualization of employees. Perhaps if one were to try to define what an ethical vision is a good starting point would be one that considers the growth and potential of its employees.

This really becomes evident when you listen closely to some of the things the leaders say. Clearly, they are pointing out that the four components of effective leadership have an ethical dimension. When discussing vision and how downsizing has become a part of many organizational visions in the 1980's and 1990's Dr. Henderson says, “The vision is always in relationship to the organization becoming better if people are going to buy into it. You could have a vision of an organization disintegrating, but very few employees would want to buy into that vision.” In relationship to the downsizing issue Dr. Mergler responds, “Would they like to do that for the well-being of the company? The organization? Could they have done it in a more humane way for the individuals?” And finally, Tom Boyd leaves no doubt about the importance of the ethical dimension of vision, “I would say you could even start talking about the ethics of the vision. Again I go back to Al Capone or Bugsy Segal or Adolph Hitler. They had a vision! It's a perverse vision! It's morally outrageous. You need and ethics of the vision! Is this worth doing? What does this contribute to the universe?”

Can't similar things also be said about communication as well? The literature actually is a little better when it comes to communication. When discussing open communication things like accurate information, complete information, and listening to others does come up. These are good things and are a part of ethical communication,

although not specifically defined as such. But is all “open communication” ethical communication? In addition to being able to give input and receive feedback shouldn’t effective communication get results. Too often the focus is on an open door policy of saying what is on your mind or being a part of the meetings and not geared toward real change.

This theme of the importance of ethics continues when you move to the comments in reference to effective communication. In reference to communicating bad news Nancy Mergler puts it this way, “You have to disseminate the bad news as quickly as possible.” “The way you relay a message to the constituents within the organization and to the external community is critical.” “Believability of the message and included in that message has to be that you truly care about the institution.” Dr. Henderson agrees: “First one has to acknowledge that it’s bad news. By not knowing the truth it means you’re not able to take the steps to improve the organization.” Tom Boyd also stresses the importance of the ethical dimension of communication when he says, “Real communication entails...accountability and attentiveness.” “I’m obligated to you because you’re a person and I’m supposed to care about you. If I couldn’t keep the appointment today, I’m upset! When you make a promise to somebody, you’re obligated!”

Reward systems are much the same way. The literature talks about the necessity of intrinsic and extrinsic rewards. But can’t reward systems also be a negative thing. What about when everyone gets the same score and the same raise at annual evaluation time? What about when a new employee is hired in at a starting wage considerably higher than other people who are currently in similar positions. In the inter-

views, leaders also talked about how important equity and fairness were when considering rewards. Rewards were applied in situations that would help employees to see where they made mistakes and can improve their performance. Aren't they really talking about the ethical component of a reward? Aren't they really talking about using rewards to move people toward their full potential?

Here are a few things our leaders had to say about rewards: "Perhaps the most difficult thing about the whole issue of rewards is fairness and equity. Rewards can be a negative if the individual getting them perceives them to be inequitable." Says George Henderson. Dr. Mergler also touches on the issue of fairness from a different perspective, "If you have a system that is totally dominated by either seniority or merit, eventually you are going to get a skewed system."

And finally, we come to empowerment. Is empowerment just a matter of giving people more control over their jobs and sooner or later they will be self-actualized? Can't we all think of a lot of examples where people were given too much power and abused it? Where someone was entrusted with something very valuable and broke that trust? These are the critical areas where the literature seems to fall down a bit. If you assume that empowerment is a self-evident truth that will lead to only good, you are being very superficial and sending managers back to offices with a dangerous piece of information. If you start asking the question, "What is ethical empowerment?" you begin to realize that empowerment is only effective if it is put in the context of a tool that helps the subordinate to grow.

The leaders make some of their strongest statements in relation to empowerment. Dr. Boyd says adamantly, "I want everybody in the systems I work in to be a

part of the system and feel powerful.” The key question is, “To what end (visions), and by what means, effective means, do we exercise power?” Dr. Nancy Mergler sees it as an important part of everything she does, “I don’t like the word power. I think we are all working toward a higher purpose and cause. I think most women managers will use a collaborative approach to meeting goals and working collaboratively with people.” Dr. Henderson agrees as well, “Empowerment means individuals having permission and the ability to...accomplish the task they are responsible for.”

Finally, here are a few more quotes on the subject that I thought were worth noting:

“Leaders are the most dependent people in the world.”

Tom Boyd

“If we value things such as maximizing good, ethics is a very important component of effective leadership.”

Dr. George Henderson

“I do think it’s important that the leader takes the institutions well-being as a very high priority.”

Dr. Nancy Mergler

“What is worth being effective at and what kind of effectiveness can destroy people? Because you could say Bugsy Segal is an effective leader! He knows who to kill! But that creates incredible moral problems!”

Dr. Tom Boyd

“What you are talking about in terms of ethics is truth telling. Do you have truthful people within an organization? Part of truth telling is letting individuals know the positive and negative aspects of the so-called vision.”

Dr. George Henderson

It seems crystal clear from the expressions of these very successful leaders that ethics is and has been a very important part of their leadership lives. The point is that ultimately leadership for the common good is all about ethics. It is in every move, every decision, every choice about how to serve people well. It is not something sepa-

rate from everyday acts of everyday living.

Finally, much more needs to be done. I do not feel that the existing research adequately examines ethics when it discusses leadership. Here, I would like to raise a level of awareness in three areas. First, I would like to call on researchers to be more innovative and creative when they deal with leadership so it adequately includes ethics as an important component. Second, I would like to call on researchers to be more courageous in examining ethics if the research takes them there. For the sake of academic integrity, I would like to call for tolerance and open mindedness of all sides.

When asking future researchers to be more innovative and creative, it is simply a call for them to use one of their own teaching tools and “think outside of the box.” The first problem here is that researchers often don’t identify the ethical component properly. It is an element that is outside of the scope of their training. A lot of leadership research has been done in the last 75 years and much of it contains the four main components described earlier. From the quantity of research covering the same items I think sometimes it is hard to see things in a different light, to “think outside of the box.”

Perhaps some suggestions would be helpful. For example, an area where more innovation and creativity would help is in coming up with new ways to measure ethics in research. As mentioned earlier, when interviewed, the leaders said that ethics was the most important component or one of the most important components of their leadership. Surely other people who have studied leadership have come across such responses in the past. One possible explanation of why it keeps getting left out is that researchers don’t quite know how to handle the information. As was mentioned ear-

lier, when describing this research topic, one of the first questions was, "Leadership and ethics! How are you going to measure someone's ethics?" If researchers are having trouble measuring the ethical aspect of leadership, they should try to develop new tools to measure it. Leaving it out does not diminish its importance.

Another suggestion might be that scholars look outside of organizational behavior and leadership theory for more answers. I've already touched upon the aesthetic problem of ethics being confused with religion and agendas, but why not take advantage of all the sound research Philosophy gives us on moral systems. Referring to a combination of ideas from Dr. Boyd and Alasdair MacIntyre, here is an expansion of the way moral systems effect leadership. Regardless of whether we have a religion or not, we all have a moral system. These moral systems are critical in leadership because they determine the way people make decision and view the decisions of others.

Moral theories fall into one of three categories: 1) Ethics of the actor-virtue ethics would fall into this category 2) Ethics of action-here we would find cultural relativism 3) Ethics of the outcome-this is a utilitarian view of ethics. Within these three main categories a number of theories may be found in addition to the popular ones used in the descriptions above.

First, let's briefly examine the ethics of the actor. Virtue ethics goes all the way back to the days of Socrates and Plato. Its basic principle is that being precedes and determines doing. People act according to the sort of persons they are and the values they hold. In other words, the virtue ethicist would establish a set of rights and wrongs, rules and regulations and future actions would be determined by those previously set rules. Plato said that a person was virtuous if they held the following four

qualities: temperance, courage, wisdom, and justice. The main question behind ethics of the actor is how one determines what these virtues are. Are they innate or are they learned? It is the nature versus nurture argument that we hear so much about today in regard to many issues. Plato believed a little bit of both, that a natural moral sense does exist, but must be cultivated through nurturing.

Second are theories involving the ethics of action. They are much more complex than virtue ethics. Ethics of action has dominated modern thinking in the West over the last two centuries and includes cultural relativism. Most people think of cultural relativism when they refer to ethics of action, but actually, relativism is only one of the major theories that would fall under ethics of action. Situational ethics and the ethics of power would also fall into this category. Here in order to determine what is morally right or wrong one looks to the social and cultural context in which one lives. This is the basis for cultural relativism. When someone says something like, "Just because you think it is right, doesn't mean that it is right, and just because you see it as wrong, doesn't mean that it is wrong" they are espousing the ethics of context. A person looks to their society to determine what the agreed upon morals and norms are and then acts accordingly. Here a person's moral acts are determined completely on the basis of how they were nurtured.

Finally, we come to the third major category of moral systems and that is the ethics of outcome. This is commonly known as utilitarian ethics. Here something is determined as ethically right based on the outcome. Regardless of the norm, motive, or virtue being used, what makes something good is what results from it. In utilitarianism what produces the greatest good for the greatest number of people is considered

the moral choice, even if the original motives for that choice can be considered perverse.

The point of the above brief descriptions is to make note that ethics is a function of synthesizing the actor, the action, and the outcome. This paper does not claim to have discovered that synthesization which will reveal a “perfect” moral system. It is important to point out, however, that most people view themselves as sticking firmly to one of the three, but the operative reality is that we have a dominant moral system and we move to the other two when we need to. Our ethical actions are products of the moral system we adhere to, consciously or unconsciously. Our strategies for making ethical decisions are governed also by our moral systems. If this were somehow integrated into leadership training perhaps leaders could get a better understanding of how they’ve made decisions in the past, both good and bad. For the purposes of this study, perhaps the ethical person could be defined as one who is equally concerned with all three. When a leader is confronted with a moral decision, they should be concerned about following certain principles, about the action that they take, and about the outcomes that may or may not result.

A final suggestion in reference to calling on other disciplines for answers would be to turn to a close cousin of Organizational Behavior, and that is Sociology. In the main stream literature there is very little written about the employees role in all of this. Sociologists often use a term called “master status.” In sociology, master status is a combination of self definition and how others perceive us. For now lets just focus on the self definition aspect. Master status is the primary way we are identified in society. It is exceptionally important for social identity and often shapes a person’s

entire life. For example, a doctor, dentist, or lawyer's master status would be just that. Also, a trash collector's master status would be a trash collector. Jack Nicklaus's master status would be a professional golfer. (Thompson, 1994, p. 92-93)

Where master status might come into play for our purposes is in the whole notion of self-actualization. Have you ever run into a person who seemed to have everything going their way in life, but for some unexplained reason they were always moody and unhappy? One possible explanation might be that they were in one master status category, but wanted to be in another. For example, let's just say someone is making very good money with a large company as an accountant, but deep down they wanted to be a novelist. Can this person ever be fully actualized as an accountant, even if the leader does all the right participative things?

Traditionalists would probably say that through open communication this should come out, but actually open communication often refers to information within the organization. In addition, this person may not even be sure why they are so unhappy. If you asked them what they would do if they could do anything in the world, they may not be able to tell you. Perhaps superiors and subordinates should focus on what people want out of life, not just how to make your present job better. (Macionis, 1995, p. 155-156)

Part of the call for needing much more to be done in the area of leadership and ethics requires that scholars be a bit more courageous when they come across ethics as an important component in their research. When I talk about being more courageous I am referring to the reflex to shrink from those who question academic integrity. We live in a highly charged environment. All around us are activist groups, organizations

with agendas (some hidden and some not), and many causes which we agree and disagree with. People don't trust each other and don't seem to know each other very well. It seems like people categorize you immediately as either right wing or left wing, conservative or liberal. Some see organized religion as a culprit with a set of rules and regulations that remove all objectivity. Others see it as the only thing that will really change the way people think and feel about things and about each other. Some see political correctness as the answer to our problems. That it raises our awareness level of others around us and helps us to see things we would not have seen otherwise. Still, others see political correctness as an enemy of academia that squelches diversity of thought in an attempt to clone the American mind. At times it seems that thought and word police are everywhere to correct every misstatement or challenge every politically incorrect idea. We can't worry about the things that others project into our work. If it is valid it will last and if it is not it won't.

An finally, for the sake of academic integrity I would like to make a call for more tolerance on both sides: leadership, organizational behavior theory, ethics, job satisfaction, self-actualization, etc. All of these things are very complex issues and most leaders know how important they are. The problem is that at times a feeling exists that our approaches to them are far too simplistic, we hope for an easy fix after a three-day leadership seminar. At times, it seems like we have given so much power to the term "participative management" that we ignore the details and the reality that it is all based on how one person treats another at every level over and over again.

The call for tolerance is not to accept every idea that anyone presents, but to accept reasonable research in areas where it leads us. Ethics seems to be one of those

reasonable areas where much more needs to be done. For fifty years we have followed a path that has led us to much great progress. Research in the area of leadership and ethics would not take us away from that path; it would only enhance it and reinforce it.

It may never be possible to come up with all the answers, nor may it be possible for everyone to be in a position where they can always achieve their full potential. What we can do, however, is try to work toward that. Superiors and subordinates alike have a responsibility to themselves, to each other, to their families, to those who have gone before, and to those who will come after to be the best that they can be, to make a better world and a better work place. My hope is that no one will ever again have to stand in the predawn darkness, hands at their side, staring at the stars, wondering how it could have all gone so wrong.

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LEADERSHIP & ETHICS: SELF PERCEPTIONS FROM LEADERS

A THESIS

SUBMITTED TO THE GRADUATE FACULTY

in partial fulfillment of the requirements for the

degree of

MASTER OF LIBERAL STUDIES

By

Robert J. Dougherty

Norman, Oklahoma

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