Dissertation submitted in partial fulfilment of the requirements for the HEC Degree of Executive MSc in Consulting and Coaching for Change

# THE 4E'S LEADERSHIP FRAMEWORK

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December 2004

# The 4E's – Envision, Enable, Empower and Energize

"The society which scorns excellence in plumbing as a humble activity and tolerates
shoddiness in philosophy because it is an exalted activity will have neither good
plumbing nor good philosophy: neither its pipes nor its theories will hold water"
(John W. Gardner)

## Dedications

To John W. Gardner – we never met, but your influence is ever present

To Ingrid and all of our children for their love, patience and consistent encouragement

## Acknowledgements

The full time staff, guest tutors, colleagues, and friends in orange shirts on the Consulting and Coaching for Change Program, 2003 – 2004, at Oxford University and HEC

Radiohead, the Hunter Valley, Tim Berners-Lee, Douwe Egberts, Porsche, Ken Richardson and the ageing hippies

This would not have been possible …

*Abstract*

The paper presents a contingent and scaleable Framework for Leadership activities built around a set of organizing principles – Envision, Enable, Empower and Energize. This reflects literature review, best practices from the corporate world and practical experience in both business and non-profit Leadership positions. The Framework is designed to provide both a measurement method and a process for improvement. It is not a test of absolute Leadership ability, skill, behaviour or performance.

The 4E's Framework includes both operational and organizational aspects of Leadership, and can be used either by individuals or teams, underlining its scaleability.

Data from self assessments is evaluated, suggesting face, content, internal, and divergent validity of the Framework. The analysis also identifies differences in self-perception of Leadership activities across the world and at various experience levels.

A global case study with one of the world's leading NGO's provides an example of practical utility of the 4E's Framework, and forms the basis for future analysis of predictive validity.

## 1. Introduction

*"The first and last task of a Leader is to keep hope alive"*
*(John W. Gardner)*

Of the legion of authors on Leadership, Gardner (1990) expresses succinctly the idea that Leaders have a responsibility (both morally and practically) to provide aspiration for others. This aspiration is not limited to operational results but also includes organizational renewal. In Gardner's view, "keeping hope alive" involves the development of others to be better able to accomplish their goals. It is in this context that the 4E's Framework has evolved, with the belief that Leadership development is not just for the "person in charge".  Everyone has things to get done and people to motivate, and everyone has to deal with change - everyone can benefit from Leadership development.

Leadership is a multifaceted activity, rather than an abstract concept. Effective Leadership is all about change (Kotter, 1990; Grint, 1995) combining action, people and organizational skills (Fiedler, 1967; Hosking, 1988).  Leadership is a process (Bass, 1978) and it can be learnt (Gardner, 1990; Grint, 1995).  Leaders and Followers are inseparable (Burns, 1978), and Leadership is a moral activity (Burns 1978; Gardner, 1990; Heifertz, 1994).

In many ways the Leadership process is the same as it has been throughout history, even though today's world demands increased focus on leading in fast moving situations and across complex Networks. The 4E's Framework is not designed to be a "final definition" of Leadership, which seems in any case to be a dubious objective (Grint, 1997).  Instead it is designed to be a practical and integrated set of contingent activities against which Leaders can assess themselves and help develop their people and their Enterprises. It is integrated in the sense that the Leader's task related activity and organizational requirements are both included. It is contingent, in that the exact activities laid out in the Framework can be modified to accurately reflect the Enterprise's needs. And it is built around a measurable scale which can guide improvement and suggest a personal development process over time.

The Framework has several conceptual underpinnings which will be explored in the Paper.

- o Leaders and Followers are Interdependent
- o Leadership requires Values Congruence
- o Leadership is an Organizational Process
- o Leadership is about Successfully Handling Complexity
- o Leadership and Change are Synonymous – Leaders Innovate
- o Leadership is a Teachable Process

The 4E's Framework has two dimensions – Operational and Organizational – with similarity to the "task structure" and "Leader-member relations" of contingency theories (Fiedler, 1967).  It extends work by authors such as De Vries (1994) and Nadler (1998), and is defined:

- o **Envision** – Values-driven setting of goals and strategies
- o **Enable** – identifying tools, technologies, organization structures and people
- o **Empower** – creating trust and interdependence between Leader and Follower

o **Energize** – the personal Leadership motor to drive the entire system

This Paper is organized as follows.

First, there is a literature review covering Leadership and related organizational issues, which leads to some working conclusions about common ground in Leadership theory.

Second, the development of the 4E's Framework is traced, reflecting its corporate heritage and the author's learning over a 30 year period in Enterprises at different levels of Leadership responsibility. This experience is central to the success of the LeaderValues web site, which is now one of the most popular Leadership resources on the Internet.

Third, short biographical analysis of historical Leaders illustrates the Framework.

Fourth, the 4E's is compared with other models, with particular reference to Internet-available Leadership tools.

Fifth, the detailed results from self assessment respondents worldwide are then analyzed, taken from the LeaderValues website, as is the feedback on the assessment's utility from a sample of these respondents.

Finally, the author and partners use the 4E's Framework as part of a consulting practice, so the Paper closes with a case study of a program with the global Save the Children organization.

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Note: The words "Leader", "Follower" and "Enterprise" are treated as proper names for emphasis only, and should not be taken as having any particular theoretical significance. We also use Envision, Enable, Empower and Energize (and certain other words, such as Framework) with capitals to highlight the 4E terminology.

## 2. Organization and Leadership

*"History never looks like history when you are living through it"*
*(John W. Gardner)*

Humanity has operated in organization structures of varying descriptions for millennia. At its core an organization is a formally structured group of people identified by shared interest or purpose, with processes of coordination to deliver outcomes.

Organization has both "inside" and "outside" meaning - that is, allowing individuals and groups to effectively interact and also to influence the wider world. To quote Miles & Snow (1994):

*"The term 'organizational form' suggests not only an internal arrangement of resources but an external orientation as well. Moreover, the concept of form implies an operating logic that governs both internal and external processes when the form is put into use.*

*Organizational form … is an arrangement of resources ready to receive and act on a set of inputs in a predictable sequence of steps … [it] not only arranges resources and directs actions, it also … provides a practical rationale for collective actions, clarifying the contributions of each unit and explaining how it relates to others in the organization"*.

Consequently organizations propagate goals, extend Values, deliver instruction, build solutions, develop education, and solicit feedback. And they have always had Leaders, either predefined or emergent.

Organization theories have developed apace in the last 60 years.

- historically organization was seen largely as a control and output mechanism (Fayol, 1916), although Kant (1790) began the process of systems analysis which became a central idea in the second half of the 20<sup>th</sup> Century
- t-groups and action research provided new methodologies (Lewin, 1947 and others), and in the 1950's motivation and human resource issues came to the fore (Maslow, 1954)
- this in turn led to "Organizational Development" (OD) and its various disciplines (reviewed in Amado, 2001)
- systems theory was established (Bertalanffy, 1950) and developed via cybernetic feedback (Wiener, 1948) and systems dynamics (Forrester, 1958)
- Jaques (1952) began development of the theory of Requisite Organization
- the 1960's saw the rise of "structure follows strategy" (Chandler, 1962)
- in the 1970's formal organization design (Galbraith, 1973) and organizational learning (Schön & Argyris, 1978) were important paradigms
- strategic differentiation aimed to gain competitive advantage (Porter, 1985)
- Total Quality (Ishikawa, 1985) fuelled associated team based theories and activities
- transnational models and matrix structures appeared (Bartlett & Ghoshal, 1989)
- the 1990's were exemplified by re-engineering - "Built to Last" (Collins, 1994)

- this period also saw the first serious explorations of virtual and networked organizations (Lipnack & Stamps, 1997) as alternative economic exchanges to markets and hierarchies (Powell, 1990)
- and today, we are seeing the impact of biological and adaptive paradigms (Davis & Meyer, 2003)

Many Leadership models have been defined, often focused on the tasks of Leadership and the effective delivery of results. The ideas have co-evolved with the Organization literature:

- Leadership was historically defined by personal traits or "great man" theories (Machiavelli, 1515)
- transactional (Weber, 1920) or output based thinking tended to dominate
- writers such as Barnard (1940) and Gardner (1968) infused Leadership study with Values considerations
- behavioural characteristics were studied (Fleischman, 1953; Halpin, 1966)
- personal traits were also the subject of much research (Bass, 1960; Stogdill, 1981) although as Stogdill noted earlier (1948) this was insufficient to determine whether an individual can become a Leader
- in the 1960's contingency (Fielder, 1967) and situational theories (Blanchard & Hershey, 1969) were advanced
- the 1980's saw much attention on "cultural" issues, with Japanese management style being in the fore (Pascale, 1981) and fuelled by Hofstede's work (1984)
- visionary Leadership was discussed by DePree (1989) and analyzed by Nanus (1992)
- in the 1990's, re-engineering (Hammer & Champey, 1993) and innovation Leadership (Christensen, 1997) were de rigueur
- today a range of approaches are "on the table" – connective (Lipman-Blumen, 2000), narcissistic (Maccoby, 2004), charismatic (Conger, 1989), adaptive (Segill, 2002), transformational (Bass, 1997), ethical (Burns, 1998) – and time will tell what history will focus on

Even in this brief review, several linking themes between Organization and Leadership appear.

o Leadership is not an "abstract" concept but instead is fundamentally linked to the organization, motivation and management of others
o Organizations have been designed specifically to achieve a certain task or set of tasks, and Leadership actions have been equally focused on getting results inside these organizations
o there has been increasing focus on balancing "Enterprise needs" and "human needs"
o the drive to be "customer (or market) focused" has become ever more important, in whatever line of endeavour the Enterprise or Leader is involved in
o this bolsters the need for more effective Leadership of change to drive ever faster innovation and organizational handling of new knowledge
o there is a co-evolution of Leadership and Organization paradigms
o there is also co-evolution between science and technology and organizational and Leadership metaphors – for example, "adaptive" organizations and "adaptive" leadership, driven by the biological sciences (Morgan; Davis & Meyer – both 1998)

- Enterprise strategy, coordination and communication have been judged as directly linked and best served by formal structure (Chandler, 1962; Galbraith, 1973)
- it is now suggested that Social Networks (Stephenson, 2000) and Communities of Practice (Wenger, 1998) can be fundamentally important to delivering innovative results, and must therefore be considered by Leaders as they approach their tasks

## 2.1 Command and Control
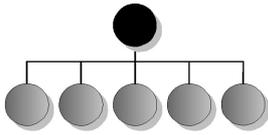


A traditional organization (hierarchy) has one person (the Leader) in charge of others, and has a clear delineation of roles. "Command and control" model was the premier model for millennia, and it is generally highly focused on maximizing operational results via appropriate tasking. The model works best when there is significant discipline in place, clear rules of activity and common goals. Communication is essentially linear, and it is the cornerstone of bureaucratic organizations. Perhaps the most perfect example was the Mandarin system in Imperial China, later mimicked by the Colonial Empires, especially the British and the French.

It is helpful to note the difference between "command" and "control", rather than simply consider the phrase as one concept. To quote Widdowson (2001):

> *"Command is associated with such concepts as decision making, motivation, direction, authority, Leadership, accountability and responsibility. Control is not the equal of command but is said to be one component of it. Control refers to the process whereby a commander, assisted by a staff, organizes, directs and co-ordinates the formation. It is a managerial function, involving the allocation and regulation of resources.*
>
> *Control is about administration, whereas command is a moral issue".*

In this definition, "command" appears to be meant in the sense of Leadership, and "control" has an administrative or bureaucratic flavour. Both concepts are inextricably linked, yet both are separately capable of development.

Given its centuries of success, it is not surprising that command and control became the prevailing organizational and thus Leadership paradigm through the Industrial Revolution. In fact it was an organizational paradigm that was well suited to the needs of the machines (Morgan, 1996), and it built a solid theoretical base.

## 2.2 Teams as a Central Modern Paradigm

Team based organizations have become today's norm to address the weaknesses of such bureaucratic and command systems. To quote Zenger (2001):

> *"…the deficiencies of traditional hierarchy emerge in environments demanding innovation and change. The low powered incentives (sic) that accompany traditional hierarchy discourage the innovation and initiative necessary in these environments".*

There are many different approaches to teams. For example, cross border teams and multifunctional teams are self descriptive, and deal with the task at hand being better executed with the right mixture of expertise.

Command and control can still be a way of Leading within certain team environments – for example in teams of multi-functional subordinates rather than the classical "divisional" bureaucracy there is no essential need to change Leadership approach. However, variations have appeared – for example, teams with a clearly designated Leader, but then he or she operates in an integrated (and often facilitative) fashion with other team members. Generally, this is where both modern armies and businesses are today.
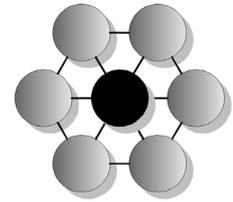
Other models are worth noting, which take more account of the skills of the team members, and the possibility of getting better results with interdependent rather than directed action.

For example, in a "first amongst equals" model, members of the team have mixed expertise, and there is a designated Leader responsible for the entire task.  But Leadership of the group changes depending on the sub-task at hand. Each individual must therefore build trust in the other team members to take the lead in different situations, so getting the maximum benefit of the skills of the entire team.  And the overall Leader must be able to become a team member when necessary and not exert direct command.
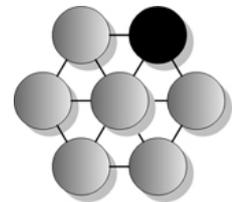
There is also a "commander's intent" model, first used in the military, where the aim is for the Leader to provide actionable guidance rather than control every task or member of the team.

In the first Gulf War the ground rules were (here liberally paraphrased) (1) if in doubt, go north, and (2) don't let the enemy cross the Euphrates. With these simple strategic rules, both tactical manoeuvres and hand-to-hand combat executed the overall vision of the commander. Soldiers did not need minute-by-minute instructions on how to proceed – it was an "Empowered" team at work, with well-understood goals and rules of operation.

To a certain extent, the Leader effectively "stands to one side" while the team gets things done.  This can only work if the entire team has common goals, strategies, tactics and (most importantly) shared Values. In a perfect world, everyone knows what everyone else knows.
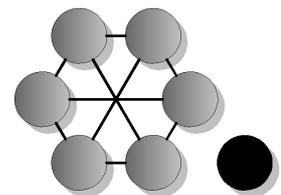
## 2.3 Operations and Organizations

As Leaders can only exist in interaction with others, the notion of organizational teamwork is fundamental to the notion of Leadership. Leaders must be task focused but must also have an understanding of organizational design and process. And Leadership development must allow for the resultant and inevitable complexity of organizations.

This concept, of the equally important operational (i.e. task) and organisational aspects (i.e. people) is fundamental to the development of the 4E's Framework.

## 3 Leadership Literature

*"Some people have greatness thrust upon them. Very few have excellence thrust upon them" (John W. Gardner)*

The lens in this brief evaluation of the literature is twofold – first, to seek practical ways of improving results through Leadership development; and, second, to ensure equal attention is paid to both operational and organizational aspects.

### 3.1 Great Man

Historically, Leadership was defined by personal traits or "Great Man" theories, and transactional or ends-based thinking tended to dominate. Often this was associated with the use of power. To quote Machiavelli (1513):

> *"… there are two ways of contending, one in accordance with the laws, the other by force; the first is proper to men, the second to beasts … a Prince should understand how to use well both the man and the beast".*

Today "Great Men" are still used for Leadership analysis, such as "Leadership" (Giuliani, 2002) or "The Leadership Secrets of Colin Powell" (Harare, 2002). Yet it remains as difficult to authentically emulate a "Great Man" today as it was in historical times (Grint, 2000).

Noting that Leadership is both contingent and more than contingent, Grint (1995,1997, 2000) suggests "Constitutive Leadership" as a better expression. This reflects the idea that Followers at a given point in time are essential to the definition of Leadership itself, whilst suggesting that Leaders interpret the environment, the challenges etc. and then attempt to "sell" their conclusions to Followers. Grint concludes that it is all a rather non-scientific process.

In his view, the duplication of "Great Men" is practically impossible and negates the designing of effective Leadership development programs using such theories as the basis.

### 3.2 Autocracy

In many ways Plato (360 BCE) set the philosophical seed for "Great Man" thinking in the "Republic" – with a focus on the qualities that must be cultivated in individuals to give them the right to Lead. An extension of this was the preference for autocratic Leadership in early European democratic philosophy. Hobbes (1651) wrote that the law defines the parameters of both democracy and Leadership.

> *"All men by nature are equal, and therefore the inequality which now is supposed from riches, power, nobility of kindred, is come from the civil law".*

He also believed that humans are driven by two impulses - fear of death and desire for power. According to Hobbes, absolute power in some form is required to keep society together. He described two basic Leadership approaches:

*"In the first the Lord acquires to himself such Citizens as he will; in the other the Citizens by their own wills appoint a Lord over themselves, whether he be one man, or one Company of men endued with the command in chief".*

Hobbes went on to advocate strong, centralized Leadership.

*"It is therefore manifest that in every City there is some one man, or Council or Court, who by right hath as great a power over each single Citizen".*

In helping justify autocratic rule, Hobbes was instrumental in establishing an intellectual Leadership Framework through to the nineteenth century. He underpinned the prevailing theory of command and control, with little thought of developing new (team) structures.

## 3.3 Participation

Locke (1690) set out a philosophy which advocated more participatory approaches. His core argument went beyond Hobbes' appointment of a Lord, saying that Leadership is *"granted by the governed"*. This insight was of course influential in the US Declaration of Independence.

Rousseau (1762) supported and extended Locke's position, building the principles of democratic social systems.

Later writers (Kanter, 1977; Manz & Sims, 1980) stressed the value of Empowering Followers to get better results. And more recently McLagan & Nel (1995) have extended participation into an "ecological" system. The notion of participation via Empowerment will be discussed as the 4E's is defined.

## 3.4 Trait Theory

In the 1920's and 30's much research was focused on establishing the traits exhibited by successful Leaders, essentially building on "Great Men" by attempting to distil the essence of the skills and characteristics of such people. Stogdill (1948) reviewed this research. Whilst he concluded that it is possible to construct lists of helpful traits, he also concluded that any idea that Leaders have universal and unique traits different from non-Leaders is inaccurate. We all share such traits to one degree or another – the difference is how Leaders actually use these traits and characteristics. It is a question of action rather then potential.

This and subsequent work (Yukl, 1989) suggested that traits even varied by situation, and in fact two different leaders with quite different traits could be successful in the same situation.

Several recent writers have attempted to revive aspects of trait theory (for instance, Bennis & Nanus, 1985). Whilst they have dealt with somewhat different issues than the historical literature, there is almost a sense of "magic" (Gemmil & Oakley, 1992) in what Leaders are. Whilst helpful, these studies still suffer from a significant deficit - how can Leaders change their characters to get different results without being false and non-authentic? And little attention is paid in these models to the organizational aspects of Leadership.

## 3.5 Behaviour

Lewin (1935) identified three fundamentally different kinds of behaviour - democratic Leadership, autocratic Leadership and laissez-faire Leadership.

Fleischman et al (1953) in the Leader Behavior Description Questionnaire (LBDQ) suggested that there is a Leadership duality in "initiating structure" and "consideration for others". This was developed in behavioural studies conducted by Blake & Mouton (1960), which led to the influential grid of "concern for production" being offset against "concern for people". In fact, this was the author's first personal experience with Leadership development tools, and the first exposure to the notion of the duality of "operation" and "organization" in the Leader's role.

It has since been pointed out (Boje and others, 2000) that the duality of behavioural characteristics as defined by Blake & Mouton is rather transactional in nature, and not necessarily sufficient to transform outcomes. Yukl (1989) also showed in quantitative studies that it is not possible to correlate "best results" with a particular behavioural approach.

## 3.6 Motivation

Herzberg (1959) noted that people are influenced by two factors. Satisfaction and psychological growth is a result of motivation issues, and dissatisfaction is a result of hygiene factors. He developed this theory during investigations of 200 accountants and engineers in the USA, and concluded that:

> *"Hygiene factors are needed to ensure an employee does not become dissatisfied. They do not lead to higher levels of motivation, but without them there is dissatisfaction.*
>
> *Motivation factors are needed in order to motivate an employee into higher performance. These factors result from internal generators in employees".*

Typical Hygiene Factors are working conditions, quality of supervision, salary, status, security, and Company policies and administration. Typical Motivation Factors include personal achievement, recognition for achievement, responsibility for task, interest in the job, advancement to higher level tasks, and personal growth.

Herzberg's breakthrough was hugely influential in both future organization thinking and Leadership theories, with much subsequent work on how to motivate others.

## 3.7 Transactional – Transformational

In transactional processes, relations between Leaders and Followers are the critical analytical element. In transformational activities, the focus is on securing the commitment of the Followers rather than their mere compliance (Burns, 1978). Transformational actions tend to come from Leaders who are both visionary in outlook and inspiring face to face.

Weber (1947) studied traditional transactional Leaders (e.g. the Prince), charismatic Leaders (i.e. heroes) and bureaucratic Leaders (in contemporary society). The pure type of bureaucracy is free of transaction in his view, being run by pre set and well understood rules,

and thus is also free of negotiation and bargaining for resources and power. His "heroes" on the other hand, transformed and changed the world, unless they were overtaken by bureaucratic authority. But what Weber called the "modern" (capitalistic) organization is much more transactional in nature.

Weber observed that there can be gradual transitions between the three types. The charismatic could organize an Enterprise with Followers believing in the vision. Then as hierarchy and rules are applied, the charismatic Leader sits on top of a bureaucracy. As the bureaucracy stultifies, it becomes feudalistic and based on tradition. And a charismatic Leader is once more needed to shake the system and break the cycle.

Burns (1978) reviewed Weber, but reasoned that transactional Leaders were really the bureaucrats, and that charismatic (he preferred "heroic") Leaders were transformational. In his view, transactional Leadership occurs when

> *"Leaders approach Followers with an eye to exchanging one thing for another.... Such transactions comprise the bulk of the relationships among Leaders and Followers".*

And transforming Leadership occurs when a Leader

> *"… looks for potential motives in Followers, seeks to satisfy higher needs, and engages the full person of the Follower. The result … is a relationship of mutual stimulation and elevation that converts Followers into Leaders and may convert Leaders into moral agents".*

Clearly, Leadership is a process. And Burns also sees it as a moral activity, a point to which we will return in the next Section. He also developed a typology which suggested four definitions of transformational Leaders - Intellectual, Reform, Revolutionary, and Heroic (or charismatic).

Interestingly, whilst Charismatic is just one type of transformational Leader for Burns, much effort has been expended on understanding this.

Howell (1997) showed that Charismatic Leaders tend to appear when the organizational context is organic – whereas transactional (or exchange) Leadership is the norm in mechanistic situations. She goes on to note that Charismatics come to the fore when the external environment is unstable, authority is dispersed (not hierarchical), decision making is decentralized, communication is lateral (not vertical), and tasks are complex.

## 3.8 Charisma and Theatre

Charisma originated in theology and referred to "a talent given by God as a free gift or favour". This was first used to describe political Leadership by Weber (1947). House (1977) described a dynamic process in which self-confident individuals, convinced of their own ideas, are highly motivated to influence their Followers – and this in turn builds the Follower's trust in their Leader's judgements. He saw this as "charisma in action".

Yet authors such as Gemmil & Oakley (1992) suggest that the pursuit of "charisma" remains something of a "black hole".

> *"The label "charisma" is like the term "Leader" itself – a "black hole" in social space that serves as a container for the alienating consequences of the social myth resulting from the intellectual and emotional deskilling by organization members".*

Challenging this, Bennis & Nanus (1985) asked 90 Leaders about their strengths and weaknesses.  There were four "buckets" of response. First, transforming Leaders had clear visions of the future that were attractive to others and that were realistic and achievable. Second, such Leaders were social architects, in the sense that they created shape for the meanings individuals held within the organization.  Third, they built trust within the organization.  And, fourthly, they used creative methods to project themselves through their own self-understanding – knowing and using their own strengths. There is some similarity here with the 4E's of Envisioning, Enabling, Empowering and Energizing, although Bennis & Nanus are focused on the organizational rather than operational side of the Framework.

Bass (1985) believed that charisma is one of four factors associated with transformational Leadership – the other three being inspirational motivation, intellectual stimulation (setting out what needs to be done) and individualized consideration (for others).  He developed the Multifactor Leadership Questionnaire (MLQ) to determine the degree to which Leaders exhibited transformational and transactional Leadership.  This measured the degree to which their Followers were satisfied with their Leader's effectiveness, and was designed to assess two transactional and three transformational factors.

| Transformational Factors | Transactional Factors | Laissez Faire |
| --- | --- | --- |
| Charisma or Idealized Influence | Contingent reward | Laissez-Faire Leadership |
| Inspirational Motivation | Management by exception | |
| Intellectual Stimulation | | |
| Individualized Consideration | | |

Bass defined Charisma as "idealized influence". In other words, this is the degree to which the Leader instils pride in others, displays power and confidence, makes personal sacrifice or champions new possibilities, considers the ethical or moral consequences of decisions, and talks about the importance of having a collective sense of mission. His studies, and many subsequent versions (in the USA and worldwide) do indeed suggest a correlation between charisma defined in this way and Follower's views of Leader effectiveness. That said, MLQ does not fully address the process by which Leaders get such results, Charismatic or otherwise.

Fiol, Harris and House (1999) suggest that charismatic Leaders employ a set of consistent communication strategies and processes for effecting change.  Boje (2000), commenting on Gardner & Alvolio (1998) noted that charismatic Leadership is an

> *"… impression management process enacted theatrically in acts of framing, scripting, staging, and performing".*

Boje's point is that all Leadership is essentially theatrical, but in the case of Charismatic Leaders there is a very effective four fold process of framing, scripting, staging and performing.

> **Framing** - the quality of communication that causes others to accept one meaning over another. Boje noted that Conger (1991) suggests presenting the organization's purpose and mission in ways that Energizes Followers.

**Scripting** - the development of a set of directions that define the scene, specifies the actors to be cast, outlines expected behaviour, and cues when events occur and actors enter and exit. As Boje defines:

> *"These scripts supply the collective definition of the situation, and scripting is what Leaders do to direct and setup the scene before a performance".*

**Directing** - Leaders are directors for performances. This can include rehearsals by Leaders to give desired impressions. Boje notes that

> *"… after September 11th, President George Bush, rehearsed with speech writers and coaches to give a more heroic 'Leaderly' image to the public".*

**Staging -** Charismatic Leaders stage-manage their "performances". George Patton always had his pearl-handled pistols, and Gandhi wore clothing he knit himself as an inspiration to others to defy British colonial rule.

**Performing -** the charismatic Leader enacts a scripted dialog and set up the frame to communicate their charismatic character. Mohandas Gandhi exemplified moral responsibility - his fasting was an example of the self-sacrifice and discipline it takes to change the world. Boje notes that

> *"Charismatic Leaders sometimes engage in self-promotion to appear competent, powerful, determined, innovative, etc. They may also perform in ways that promotes their vision of the future, and promote the organization or cause they lead".*

In summary, Leadership has two aspects for Boje:

> *"First, there is performing, learning the dialog, the verbal and non-verbal language and poetics of Leadership. Second, there is directing, writing and editing the script, casting the characters, setting the stage to create the charismatic effect".*

This paper is putting emphasis on Charismatics not because it is a preferred Leadership style or set of solutions – but rather because it serves to give examples as to how Leaders Energize their Followers. On the other hand Charismatic theory does not address the issues of strategy, tactics or organization design that are fundamental to defining and delivering the task at hand. "Theatrics" and "charisma" thus shed most light on the last of the four E's.

## 3.9 Contingency

In the late 1960's to the 70's several new theories were advanced. Fielder moved away from "Great Man" and traits, and also largely from behavioural analysis, to develop Contingency Theory (1967). This reflects the situations Leaders find themselves in, and is all about:

> *"… directing and coordinating the work of group members".*

Fielder also was clear that the essence of a Leader's personality will remain unchanged – "you are what you are". He wrote:

> "… the effectiveness of a group depends on two interacting factors: (a) the personality of the Leader (Leadership style), and (b) the degree to which the situation gives the Leader control and influence, or, in somewhat different terms, the degree to which the situation is free of uncertainty for the Leader".

His theory states that Leaders are either task motivated or relationship motivated and have power via their position. To measure Leadership, Fielder developed the Least Preferred Co-worker index. The LPC instrument is a personality-like measurement, and it uses leader-member relations, task structure and position power. Low LPC's are task focused, high LPC's are relationship motivated, and middle LPC's are self directed and socio-independent.

Contingency and LPC have been well researched, and they are helpful models. Leadership depends on the situation at hand and the Followers present – Leadership is not a fixed individual characteristic, set of traits or behaviours.

Nevertheless, the author has always found LPC wanting as a holistic theory. It seems to miss strategic or organizational construction. Once one understands the situation, what Framework is there for the Leader to Envision the future, and understand and choose strategies and tools to enable success? And where is the skill to communicate with, Empower and Energize others?

## 3.10 Expectancy Theory

Vroom (1964) suggested that all behaviour results from conscious choices among alternatives whose purpose it is to maximize pleasure and minimize pain. He noted that the relationship between people's behaviour at work and their goals was highly complex, and probably more so than most theories allowed for to that point. Employee performance is based on factors such as personality, skills, knowledge, experience and abilities. In Vroom's view, individuals have their own sets of goals and can be motivated only if they believe that:

- there is a positive correlation between their efforts and their performance
- a favourable performance will result in a desirable reward
- the reward will satisfy an important personal need
- the desire to satisfy the need is strong enough to make the effort worthwhile

Vroom's theory is based upon three tenets.

o **Valence**. This refers to the emotional orientation people hold with respect to outcomes and rewards. The implication is that Leaders must discover what Followers **value**.

o **Expectancy**. Employees have different expectations and levels of confidence about what they are capable of doing. So Leaders must discover what resources, training, or supervision Followers **need**.

- o **Instrumentality.** The perception of employees whether they will actually get what they desire even if it has been promised by a manager. Leaders must therefore ensure that their promises of rewards are really fulfilled and that Followers **believe** this will happen.

He suggested that beliefs about expectancy, instrumentality, and valence create a motivational force such that Followers act in ways that bring pleasure and avoid pain. This force can be "calculated" and can be used to predict such things as job satisfaction, occupational choice, the likelihood of staying in a job etc.

This theory helps illuminate motivational aspects of Leadership and how choices may be made - but it lacks the concept of interdependence between Leaders and Followers (discussed later) and is found wanting in evaluating task driven strategic definition and organization design.

## 3.11 Situational Leadership

Hershey and Blanchard (1969) built on Contingency and the Blake - Mouton Grid. They measured behaviour in different situations, using the complementary axes of "task" and "relationship". Their proposition was that Leaders can actually adapt their style depending on the situation they are in.

- o high task, low relationship      - telling is every Leader's first choice?
- o high task, high relationship      - requires the Leader to "sell" his or her position
- o low task, high relationship      - needs participatory activity from others
- o low task and low relationship  - Leader must delegate the task

This is a popular training (and consultancy) model, and it is clearly helpful to Leaders to be able to identify in which kind of situation they find themselves, and how they might respond.

Yet personal development across the broad palette of strategic and tactical skills once more is open to question. What does the model do to help Leaders decide the "what" they have to do, as opposed to the "how"? There are thus similar questions as with contingency theory. And, are we to change Leader's behaviours in a manipulative fashion depending on what we are trying to achieve? Finally, even though there is a focus on degree of relationship, the model does little to help the Leader authentically enter new relationships with Followers.

## 3.12 Path – Goal Theory

House (1971) noted that a Leader can affect the performance, satisfaction, and motivation of a group.  Results can be improved if better motivation is generated via:

- o offering rewards for achieving performance goals
- o clarifying paths towards these goals
- o removing obstacles to performance

He wanted to connect Leaders with Followers whilst recognizing the reality of the situation they find themselves in. Effectiveness depends on the way the Leader chooses to act.

- o **Directive.** The Leader gives specific guidance of performance to subordinates.

- o **Supportive**. The Leader is friendly and shows concern for the subordinates.
- o **Participative**. The Leader consults with subordinates and considers their suggestions.
- o **Achievement-oriented**. The Leader sets high goals and expects subordinates to have high-level performance.

House thus underlines the Situational nature of Leadership, and the interdependence of Leader and Follower. When a task already has a significant structure or process in place, directive Leadership is redundant. And when Followers are in a positive team environment, the supportive Leadership style becomes less necessary.

The theory is helpful in integrating Leaders, Followers and tasks. Still, many authors (e.g. Northouse, 2004) have recognised that it is a complex theory which can be difficult to execute. It has been difficult to objectively measure the effectiveness of the model. From this paper's perspective, partly because the theory focuses on Leadership styles, the lack of help it gives in developing strategic alignment and the "right" organization remains problematic.

## 3.13 Leader – Member Exchange Theory

Leader-Member Exchange Theory, called LMX or Vertical Dyad Linkage Theory, was posited by Dansereau, Graen and Haga (1975). It was the first theory to stress that Leaders do not treat all of their Followers the same way, as special relationships are created. It describes how Leaders maintain their position through a series of "exchange agreements" with Followers.

Leaders often have a special relationship with an inner circle of trusted lieutenants or advisors, to whom they give high levels of responsibility, influence, and access to resources. This "in-group" effectively pay for their position by working harder, being more committed to their objectives, and sharing more duties. They are also expected to be loyal to their Leader. The "out-group", on the other hand, receives lower levels of responsibility or influence. The theory puts constraints upon the Leader, who has to nurture the relationship with the "in group" whilst balancing the power this group has to ensure they do not "desert" the Leader.

On the positive side, the theory does describe reality – there really are "in groups" and "out groups", and all Leaders have people they tend to trust the most. The theory also stresses the communication need in the Leader-Follower relationship, and in fact it has been empirically tested as able to yield positive outcomes (Graen & Uhl-Bien, 1995).

Negatively, however, it is intuitively "unfair" – and there is often focus today on elimination of cliques and special interest groups. It has thus proven difficult to create tools and measurement methods. And the theory does not fully explain just how the Leader-Follower relationship is created – what is its basis, and what is it trying to achieve.

## 3.14 Values Driven

Writers such as Barnard (in the 30's), Burns (1978), Gardner (in the 60's to the 90's), and Heifertz (1994) infused Leadership study with Values considerations.

Burns dismissed Machiavelli (and Nietzsche's) theories of power as being amoral, and favoured what he considered moral Leaders without the "will to power".

> *"… naked power-wielding can be neither transformational nor transactional; only Leadership can be".*

In Burns' view, Hitler's death camps disqualify him as Leader, as does the gulag of Stalin's prisons. Thus the amoral Leader is neither transactional nor transformational and is in fact an oxymoron. To be a moral Leader, Burns believed that one must be sensitive to the needs and motives of potential Followers. The purpose of the Leader is fundamental, and the "cult of personality" is totally inappropriate. Gardner (1990) added to this and wrote:

> *"… we want effective Leadership; but Hitler was [unfortunately] effective. Criteria beyond effectiveness are needed. Ultimately, we judge our Leaders in a Framework of Values [even though] the Framework differs from one culture to the next and from one era to the next".*

Gardner called for Leaders who are able to renew Values, and who can also train others – in essence stating that such renewal is the true calling of all Leaders. We will return to Gardner in Section 5 as he is arguably the biggest influence on the author's Leadership thinking to date.

## 3.15 Connective Leadership

Lipman-Blumen (2000) suggested that modern Leadership faces two polar-opposite forces. On the one hand, there appears to be unprecedented interdependence. On the other hand, it is still an autonomous world of sovereign nations, unique individuals, and fiercely independent businesses. Her Connective Leadership model attempts to define the use of various modes of working to create many short-term but effective coalitions.



She sub-divides the model into "direct" issues (being competitive, taking charge etc.), "instrumental" (networking, trusting) and "relational" (collaborative, mentoring and the like).
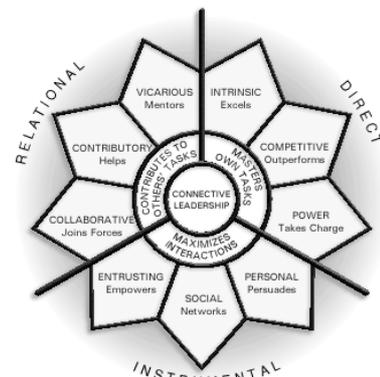
This is a comprehensive Leadership model, and it can be used for data-based self assessment. However, it appears that direct linkages with the activities of the Enterprise are excluded, leaving it to be more of an individual self-development tool.

## 3.16 Complex Leadership

Uhl-Bien & Marion (2002) have proposed the idea of Complex Leadership. They suggest that, rather than looking to influence systems directly, Complex Leaders need to foster the conditions that Enable productive, but largely unspecified, future states. They do this by feeding the natural bottom-up complexity dynamics of emergence, innovation, and fitness.

According to Uhl-Bien & Marion, micro level Complexity Theory describes how

*"…organizations arise through an emergent dynamic in which interdependent units compromise a measure (but not all) of their individual preferences to the needs of others".*

In this way, micro level

*"Complex Leadership behaviours involve negotiating through conflicting constraints".*

At the macro level, Complexity Theory is about structures and behaviours that emerge out of an interactive network.

*"Macro level Complex Leaders therefore do not focus on determining or directing what will happen within the organization; rather they seek to influence organizational behavior through managing networks and interactions".*

Uhl-Bien & Marion further suggest that

*"Transformational Leadership takes a very different perspective on micro and macro level Leadership. Whereas Complex Leadership is a process of bottom-up emergence and indirect Leadership, Transformational Leadership represents a top-down Leadership approach and suggests more direct attempts at Leadership influence".*

It is likely that their concepts could underpin development of Distributed Leadership, where Leadership responsibilities are spread broadly through an organization. The author finds these ideas stimulating, and has worked with them both in a corporate capacity and in consulting engagements. The ideas will feature in future research, especially on the use of Network science in improving Leadership effectiveness. However, there is currently a flaw in its overly damming negation of "top down" Leadership. There is a place for this, too. Whatever one's political views, consider the impact that George W. Bush is having in driving American social and international programs at present. Arguably, this is partly "emergent", but it is also a program being driven "top down".

## 3.17 Leadership Today

An ever-increasing range of theory and analysis is thus still very much "on the table", often blurring the boundaries between Leadership and Organization.

- o   A rebirth of charismatic Leadership (Conger, 1989)
- o   Servant Leadership (Greenleaf, 1991)
- o   New Science based (Wheatley, 1992)
- o   Visionary Leadership (Nanus, 1992)
- o   Stewardship (Block, 1993)
- o   Re-engineering (Hammer & Champey, 1993)
- o   Virtual Leadership (Kestner, 1994)
- o   Mystical Leadership (Hendricks & Ludeman, 1996)
- o   Leadership as Art (Grint, 2000)
- o   Adaptive Leadership (Segill, 2002)
- o   Ethical Leadership (O'Toole, 2003)
- o   Narcissistic Leadership (Maccoby, 2004)

… and time will tell what history will focus on as representative of our age.

Perhaps one certain conclusion is that no one model or assessment process can cover all of the ground involved, and that a broad set of tools may be more appropriate. For example, whilst the 4E's Framework attempts to deal with Leadership activities, it does not deal with a Leader's psychological profile or self awareness. By contrast, tools are available from, amongst many others, the Emotional Intelligence work of Goleman (1993) to provide data based approaches to getting to grips with self understanding.

Stepping back from this review, Grint (2000) stresses that there are three common elements in all deliberations on Leadership.

- o Leadership is a social phenomenon, and some form of interaction is required, usually face to face.
- o Leadership structures activities and relationships, using sense-making processes.
- o A Leader must be perceived as salient and as having higher status in terms of his or her contributions to influence others.

Whilst accepting these points, this paper will now seek to identify further "common elements" in Leadership development.

## 4 Leadership Fundamentals

*"Some people strengthen the society just by being the kind of people they are"*
*(John W. Gardner)*

This paper cannot and does not want to attempt to prescribe a set of "necessary" Leadership styles or skills, as we accept the fundamental tenets of contingency (and "constitutiveness") that Leadership activities will often depend on the presenting situation. Yet, beyond Grint's three points, there appears to be further common themes which emerge from the literature.

Northouse (2004) suggests that there are 4 such themes:

  o  Leadership is a process
  o  Leadership involves influence
  o  Leadership occurs in a group context
  o  Leadership involves goal attainment

He defines Leadership as

> *"… a process whereby an individual influences a group of individuals to achieve a common goal".*

This is helpful, although it does not address issues of systemic and organizational change.

## 4.1 Leaders & Followers are Interdependent

> *"One thing is clear; Leaders are in front of those they Lead – but … enigma surrounds the issue of whether they are pulling or being pushed by those behind them" (Grint, 1995)*

Leaders are quintessential change agents (Kotter, 1996), but they can't do it alone – they still need the help of others to get things going. They find ways to create groups of Followers, so they can together change things. There is thus some form of symmetry and symbiosis between Leaders and Followers. Both need each other. Without Followers there are no Leaders.

Hobbes (1651) said:

> *"Democracy is not framed by contract of particular persons with the People, but by mutual compacts of single men each with other".*

Munson (1921) offered a broader thought, beyond a contract for action and towards innovation and motivation:

> *"Leadership is the creative and directive force of morale".*

Given that this was written in an era dominated by rationality and scientific management, Munson was ahead of his time in many ways, and also understood that Leadership could

actually be a potentially destructive force. The key task of the Leader was seen as maintaining morale among subordinates – stressing the positive relationship between Leader and Follower.

Extending this relationship, Barnard (1938) wrote:

> *"The Followers make the Leader, though the latter may also affect and must guide the Followers".*

He went on to comment:

> *"Leaders … are made quite as much by conditions and by organizations and Followers as by any qualities and propensities which they themselves have".*

One can only be a Leader in so far as you are recognized by others, argued Ralph Stacey (2004). He also defined Leadership as a social process, but goes on to say that calling the Following group merely "Followers lumped together" is not an entirely satisfactory definition. There must be a social and process connection with the Leader.

Whereas responsibility remains firmly individual, Leadership must be some form of collective concept (Grint, 2004). Leadership, like power, is relational and not an individual possession.

Followers must follow willingly else the Leader is merely a dictator. Coercion should certainly not be in the Leader's tool kit (Gardner, 1990). Trust between Leader and Follower is essential to this willingness (Shaw, 1997). Even Genghis Khan enjoyed fierce loyalty from his troops – a loyalty he returned in full (Yates, 1996).

In a very real sense, Leaders can only really get other people to do things that are latent within them. To note Genghis again, the Mongol tribes already wanted to stop their internecine, tribal genocide – but needed him to show how to move forward together (Ratchenevsky, 1983).

Paradoxically, therefore, the Leader is also a Follower, in the sense of reflecting the wishes of others. In that sense, Grint's enigma is not resolvable. Leaders and Followers are both pulled and pushed, and in both directions simultaneously.

What does this practically mean for personal Leadership development? It suggests that any tools, critiques or exercises must reflect the two sides of the equation – the Leader's role and his or her activities, and the Follower's responses and contribution – both in an atmosphere of mutual respect and accountability. Leaders and Followers are thus completely interdependent.

Perhaps the last word on this should be given to Barnard (1938).

> *"The test of adequacy of Leadership is the extent of cooperation, or lack of it, in relation to our ideals; and this is largely a matter of the disposition of the Followers".*

In this he neatly links the Leader – Follower relationship with collective ideals, and thus Values.

## 4.2 Leadership requires Values Congruence

As noted above, Burns (1978) and Gardner (1990) were two of many scholars that stressed the Values aspect of Leadership.

Leaders must understand and then communicate their own value systems if they are to be trusted and followed. Leadership comes from within us, in the sense that deeply held Values and principles provide the road map for the way we lead, and the way other people respond (Gardner, 1990). It is always the Leader's personal value system that sustains them in their quest, whether they are a person of impeccable moral fibre, or quite disreputable.

> *"The Leadership job starts with a thorough understanding of the Follower's needs, aspirations and concerns, which needs excellent listening and facilitation skills. Most importantly, it starts with a thorough understanding of the value systems of all constituents. The Leader's value system must be congruent with that of the Followers if the relationship is to prosper".* (Yates, 1996)

On the negative side, without a clear sense of his or her own personal Values, the Leader-to-be can get hopelessly lost, falling foul of inconsistency and insincerity as he or she struggles to handle the constituents. Put another way, being an effective Leader does not guarantee ethical conduct or moral outcomes (Gardner, 1990). So, if we are to get the kind of Leader that is needed today, a strong dose of sound ethics is a pre-requisite (O'Toole, 2003).

The creation and Leadership of an Enterprise – wide value system which is in synchronization with the Values of all of its constituents will be very powerful indeed (Jaques, 1995). This needs balance in dealing with multiple constituencies (employees, shareholders, customers, members of local communities, interest groups) whilst also achieving the Enterprise goals.

Discussing Leadership and Values, Jaques (1995) says:

> *"If the CEO can establish over-arching corporate Values and philosophies, which are nested within basic societal Values, and which meet people's own generic Values, he or she can get the whole organization working effectively in the same broad direction .... it is our Values that move us, bind us together, push us apart, and generally make the world go round".*

As recent data points, polls on www.leader-values.com (2004) produced interesting results:

| What makes a Leader most effective? | | What makes a Team most effective? | |
|---|---|---|---|
| o their strategies | 12 % | clear responsibilities | 16 % |
| o their Values | 52 % | shared goals | 24 % |
| o their ideas | 4 % | shared Values | 42 % |
| o their networks | 5 % | interpersonal skills | 15 % |
| o their Followers | 27 % | talented members | 3 % |
| (190 respondents) | | (101 respondents) | |

The data is illustrative of both the power of Values and the importance of the Followers.

## 4.3 But don't confuse Ideas and Values

What is an "idea", and what is a "value", and what is the connection?

> *Idea: a thought to be presented as a suggestion, a thought about or mental picture of something such as a future or possible event, a realization of a possible way of doing something or of something to be done.* (Microsoft Encarta 2004)

Today an idea tends to be thought of as an innovation, That is, an idea that can be practically executed and which creates economic value. So, we can all have ideas, and they result in changes to a greater or lesser extent. They can be incremental, substantial or transformational innovations – all are needed in any Enterprise to keep it moving forward. Christensen (1997) calls transformational innovations "disruptive" – technologies like the printing press, and the internal combustion engine, which changed everything. He also made the point that large Enterprises tend not to "disrupt", as they are too successful with the status quo.

> *Values: the accepted principles or standards of an individual or a group.*
> (Microsoft Encarta 2004)

What is interesting is that ideas can lead eventually to Values if they are big and robust enough. As society moved from hunting to agriculture, one assumes someone had the basic idea that not killing people was "good". Later, the idea of the rule of law came along, and then liberal democracy. Both eventually became Values in "civil society". The idea of "markets" surfaced, and the Values of "capitalism" took hold. On the other hand, Marx had the idea of "communism", which lasted a while but never became an enduring value.

Ideas can be born at "Internet speed", but Values take time and energy to create and to take hold in an Enterprise. Put another way, ideas are fast, and Values are slow (Yates, 2004). Ideas sometimes lead to powerful Values, but not always.

So, what are the implications for Leaders? Simply that any Framework must be able to distinguish between the longer term core Values at work in the group, and the short or mid term ideas and strategies for change.

In the author's experience, especially when dealing with multicultural groups, it is often easy to miss the distinction, and make assumptions about the group which are not completely true. For example, in restructuring in Japan, the author found that whilst employees fully understood the economic reasons for change and the need to be competitive, it was difficult for them to grasp the concept of market focus, and to give up "lifetime employment" (Section 5).

So any development Framework must seek to analyze the value systems of both Leaders and Followers, to establish congruence and points of dissonance. Only when there is clarity and agreement can the Leader truly move ahead knowing that the Followers are, indeed, following willingly. Genghis Khan and Mohandas Gandhi were good practitioners of this (Section 6).

## 4.4 Leadership is an Organizational Process

Many scholars have stressed the process nature of Leadership, and several were noted above.

Pigors (1935) believed that any study of Leadership must consider i) the Leader; ii) the members [of the group] as individuals; iii) the group as a functioning organization; and iv) the situation. This was influential in Stogdill's work, and his (1950) definition of Leadership:

> *"Leadership may be considered as the process (act) of influencing the activities of an organized group in its efforts towards goal setting and goal achievement".*

Lewin (1947) built on this by suggesting that Leadership is essentially a phenomenon of groups. And Bennis (1959) offered:

> *"Leadership is the process by which an agent induces a subordinate to behave in a desired manner".*

Whilst this rather task driven view of Leadership emphasizes the hierarchical downward influence of Leadership, it underscores the process behind it. Gardner offered a broader and more useful definition (1990):

> *"Leadership is the process of persuasion or example by which an individual (or Leadership team) induces a group to pursue objectives held by the Leader or shared by the Leader and his or her Followers".*

Kouzes & Posner (1995) stressed the willingness of the Followers to follow.  Leadership is

> *"… the art of mobilising others to want to struggle for shared opportunities".*

The keys are "want to" and "shared opportunities" – and it becomes clear that Leadership is indeed as much an art as a science (Grint, 2000).  The implication is that Leadership cannot be imposed as the Follower has a choice and will need to feel motivated and inspired.

Maccoby (2004) commented that Leadership is a relationship, but that management is a process. Is this denying the process nature of Leadership?  Perhaps not – he merely wants to avoid the mechanistic, and instead stress the role that a Leader has in building strong and vital relationships with Followers.  Relationship building is itself a process.

Young (2004) made much Leadership being a verb and not a noun.  He contends that too much is written about Leaders as nouns rather than about how Leaders (and Followers) act.

On a related tack, Hosking (1988) suggests that organizing not organization should be the fundamental unit of analysis:

> *"… the skills of Leadership are the skills of organizing… the skills involved are … those implicated in the processes of complex, social, political decision making".*

So seems clear that Leadership is an organizational process, and that "organizing skill" is a pre-requisite for Leaders.  Yet this is still not enough to define Leadership.  Just what is it that is being organized?  What are the strategies and tactics being decided upon? How are these decisions being made?

## 4.5 Leadership is about Successfully Handling Complexity

Hodgson & White (2002) write that:

> *"Leadership is identifying productive areas of uncertainty and confusion and leading the organization into those areas to gain competitive or other kinds of advantage".*

This lays down a new challenge – that a critical task for today's Leaders is the ability to manage increasing levels of uncertainty. This was a fundamental plank in the Johnson and Johnson "Standards of Leadership" (Section 5) which drove attempts to help managers deal with the ever increasing ambiguity in their Leadership roles.

As Farson noted (Grint, 2004) Leadership development is fraught with paradox.

- People respond to what you are, not what you do
- Understanding how something works does not mean that you can make it work.
- Individuals are remarkably resilient, whereas organizations are very fragile.
- Leaders have a harder time in predicaments (this author would prefer to say "situations") than they do in solving problems

And a quantitative study by the Center for Creative Leadership and Forrester Research (2003) showed that the exercise of Leadership has at least five paradoxes – all of which compound the complexity of the role:

1. Swift and Mindful: balancing habitual responses with the need for innovation
2. Individual and Community: creating ways for individuals to be autonomous without being isolated
3. Top Down and Grass Roots: deciding when to use control while also increasing collaboration
4. Details and Big Picture: sifting through vast amounts of data while weaving it together so that it's meaningful
5. Flexible and Steady: maintaining focus and purpose in the midst of continuous change

Management of risk and resolution of paradox are critical given today's interconnectedness and multiplying constituencies. This is where strategies such as scenario planning are helpful (Van der Heijden, 1996). But, however well informed, the Leader's individual judgment on how to handle uncertainty is often the difference between success and failure.

What makes Leadership today ever more challenging is an increasing range of paradoxical pressures.

- o simultaneous convergence and divergence in science and technology
- o an explosion of information and knowledge, and occasionally wisdom, from the burgeoning "knowledge economy" – which even the most efficient of today's organizational structures struggle to keep up with
- o rapidly changing customer needs and competitive innovation, requiring more specialized responses yet also a broader understanding of technology possibilities

o the multiplication of alliances, virtual networks, outsourcing and the like, both internal and external to the Enterprise, whilst there is a drive for focus and simplification in delivering consistent financial results

In the author's experience, especially when training new business unit Leaders, providing tools and thought processes to help cope with these paradoxes is a critical development task. In another LeaderValues poll (2004) the importance of simplifying complex situations was clear.

How do Leaders best "Energize" their teams?

| | | |
|---|---|---|
| o providing constructive criticism | 5% | |
| o taking timely decisions | 6% | |
| o making complex situations simple | 28% | |
| o remaining optimistic | 19% | |
| o telling inspirational "stories" | 8% | |
| o helping deal with different opinions | 3 % | |
| o appreciating the value of diversity | 22% | |
| o other | 5% | (94 respondents) |

Leaders and their organizations are faced with increasingly complex "situations" and are consequently seeking more adaptive responses. Their customers, whether in business, public services or education, increasingly demand "solutions" rather than traditional products. Classical "control" has been made virtually impossible, making the handling of complexity a critical task.

## 4.6 Leadership and Change are Synonymous – Leaders Innovate

There is a real difference between Managers and Leaders (Drucker, 1954; Kotter, 1996). Leaders need to be great Managers, but Managers are not always great Leaders. Managers are essentially a 20th century concept, as complex, non-military work organizations have grown. Managers run organizations, and Managers have a responsibility to perpetuate their Enterprise.

However, whilst Managers can often simply institutionalize the "status quo", Leaders do not.

Managing was once defined as:

*"Knowing exactly what you want men to do, and then seeing that they do it in the best and cheapest way". (Taylor, 1903)*

And in 1911, in "Scientific Management", Taylor wrote:

*"The principal object of management is to secure maximum prosperity for the employer, coupled with maximum prosperity for the employee [but whilst] Management and workforce are inter-dependent [we should note that] Workmen are inherently capable of hard work, good will and ingenuity [but] show these qualities only spasmodically and somewhat irregularly".*

Unsurprisingly McGregor (Theory X and Theory Y) saw Taylor as a rather narrow and negative thinker. McGregor believed that scientific management adherents saw human nature wrongly – that people are immature and need direction – and he called this Theory X. By contrast, in Theory Y, people want to fulfil themselves and seek self-development. This

suggests a process of improvement, or change, in the group's behaviours and activities. It is difficult to understate the importance of this distinction when we work towards a definition of the modern Leader, Empowering his or her organization.

Kotter, in his book on "Leading Change" (1996), uses the lens of change to drive a very clear distinction between Management and Leadership. He says:

> *"Management is a set of processes that can keep a complicated system of people and technology running smoothly. The most important aspects of management include planning, budgeting, organizing, staffing, controlling, and problem solving.*
>
> *Leadership is a set of processes that creates organizations in the first place or adapts them to significantly changing circumstances. Leadership defines what the future should look like, aligns people with that vision, and inspires them to make it happen despite the obstacles".*

Change is thus central to Leadership. Without a need for change, the concept of Leadership is meaningless. Leadership is not an abstract concept - it is a practical activity, with a specific goal in mind. And it depends very much on the existing, environmental situation at the time. For example, the need for change in India pre-independence almost demanded that someone (Gandhi) arose to lead and organize the cause (Section 6).

In this sense, Leadership once more varies by situation (i.e. is constitutive, using Grint's term) as a good Leader in one circumstance may not be successful in another (changed) circumstance. A classic example of Leadership varying by changing situation is Winston Churchill, who succeeded in wartime and then failed in peacetime by loosing a General Election. He was unable to reflect the change in people's post-war needs and attitudes.

By contrast, Charles De Gaulle was a strong wartime Leader, who consistently was able to reflect the changing needs of the populace in peacetime. He still held his views on the future of France – but by reflecting the popular change, he succeeded as a Leader in both situations.

Kotter (1996) suggested that there is a sequence in any change activity. To paraphrase:

- o   Create a vision and strategy for the future
- o   Develop a powerful guiding coalition
- o   Have a sense of urgency
- o   Communicate the change vision
- o   Gain and sustain momentum

Versus Kotter's original list, this paper transposes "vision" with "sense of urgency" - hurrying to shoot before deciding what to shoot is not a good strategic choice.  On several occasions in business life the author has seen change efforts fail mainly because the real end state of the change was insufficiently thought through. And to use a well-worn example, Christ had a vision and then sent out Missionaries.  He did not first have a mission and then send out Visionaries.

One of the more powerful points made by Kotter is the need to create a guiding coalition. Certainly that was part of De Gaulle's success and of Churchill's failure in peacetime – although both were arch practitioners of coalitions in war time.

Building a complete understanding of the situation, the extant gaps in capability and strategy, the changes required to move to a "better place", and the beliefs and concerns of the "Followers" are some of the pre-conditions of a successful change effort. And so is making a studied sequence of moves. The implications for Leadership development are evident.

## 4.7 Leadership is a Teachable Process

With a process orientation to Leadership, everyone can learn, develop and enhance their Leadership skills (Gardner, 1990). Whilst we can improve, we cannot all be Churchill. De Gaulle, Kennedy, Genghis or Gandhi – but we can always do a better Leadership job with the right help. We can all learn to be better mathematicians, although though we will probably never be another Einstein. And we can all learn how to play music, even if we can never compose as Mozart did (for similar examples, see Grint, 1997). This is true regardless of the size or complexity of the Enterprise, or the field of the endeavour.

And, because we can train, the results can be measured. "If you can measure it, you can improve it" is an oft quoted maxim. Clearly the definition of the "it" is fundamental, but the focus on specific improvement areas does lead to measurable improvement. Studies by Goldsmith (1997) and others indicate that $360^0$ development tools can be highly effective.

As an example of rounded Leadership training, Heifertz is quoted by Grint (1995). He helped people reflect on their influence in the achievement of goals, whilst also dealing with the difference between situations needing "mechanistic" responses and those requiring "adaptive" response – the latter being new situations not before encountered.

Grint goes on to say that Leadership is a result of linguistic reconstruction – it is not about what the Leader is doing [per se] but the process which constitutes success.

This is reflected in Janni's work (2004) as he develops the concept of Leadership as a "performance" – and this can be taught. This parallels work quoted above on the theatrics of Leadership by Boje (2001 etc.). In this sense, because change is synonymous with Leadership, change is also a performance and can be studied and the appropriate skills developed.

Conger (in Doh, 2003) comments that Leadership may be made up of three dimensions – skills, perspectives and dispositions. He argues that the first two can be taught and learnt (although unique strategic perspectives are difficult to instil). But predispositions cannot – family, upbringing etc. Cameron (also in Doh, 2003) suggests that if we cannot teach Leadership, we should close down business schools and magazines and focus on the biology lab. Whilst some people are more attuned than others, he argues that everyone can learn.

But, where can we learn from? Unseem (Doh, 2003) notes that managers often begin by engaging with those closest to them in Leadership debate. Yet, Stumpf (in the same Paper) suggests that proven Leaders are not always the best teachers, as they often have personal idiosyncrasies that get in the way of effective pedagogical communication.

A poll from the LeaderValues web site (2004) overwhelmingly showed that "learning on the job" is the way most people seem to learn about Leadership.

How have you learnt most about Leadership?

o   Learning "on the job"           58 %
o   Coaching from other Leaders   13 %
o   Books and magazines            5  %
o   Training workshops             7 %
o   Company programs               3 %
o   Professional associations      6%
o   Other                          7%        (67 respondents)

Whilst not claimed as conclusive, this does tend to underpin the opinions of the professional educators noted above. This paper contends that Leadership can be developed, and that an action oriented approach which builds on the work at hand is most likely to be successful.

## 4.8 Conclusions

Leadership is a process which depends on shared Values within the organization, a compelling vision, innovating in the making of clear strategic choices and enabling the right tools, finding the right people, and designing and Empowering an organization to get the goals delivered.

It is about change, relationships, interdependence, comfort with ambiguity, a sense of situation, and about moral duty.

It is about self-awareness in the Leader, and the desire and / or willingness for an individual to assume a Leadership role. And Leaders must continue to learn, and encourage their Followers to learn, too. Perhaps it is, after all, in that sense about "Great Men and Women". Yet we see Leadership all around us, every day. It is more commonplace than we might think, but perhaps not as routine or understood as we would like. And we can all learn how to do it better.

The 4E's Framework thus has several conceptual underpinnings.

o   Leaders and Followers are Interdependent
o   Leadership requires Values Congruence
o   Leadership is an Organizational Process
o   Leadership is about Successfully Handling Complexity
o   Leadership and Change are synonymous – Leaders Innovate
o   Leadership is a Teachable Process

Yet there would appear to be as many definitions of Leadership as there are students of the subject.   In this research, two stand out as offering significant clues to "pull together" the suggested list of fundamentals.

Burns (1978) as part of his examination of transformational Leadership, commented

> *"[Transformational Leaders] recognize and exploit an existing need or demand of a potential Follower... [and] look for potential motives in Followers, seek to satisfy higher needs, and engage the full person of the Follower".*

And, as noted before, Gardner (1990) suggested

> *"Leadership is the process of persuasion or example by which an individual (or Leadership team) induces a group to pursue objectives held by the Leader or shared by the Leader and his or her Followers".*

Three additional comments are appropriate. First, there is a sense of energy in the activities of a Leader, whether charismatic or otherwise (as noted by Kotter, 1996). Second, and as Gardner would have agreed, common Values between Leader and Follower are critically important. Third, there is the concept of change.

Based on the review so far, a useful working definition of Leadership might therefore be:

> *"Leadership is the energetic process of getting other people fully and willingly committed to a new course of action, to meet commonly agreed objectives whilst having commonly held Values"*

## 5 The Development of the 4E's Framework

*"Life is the art of drawing without an eraser"*
*(John W. Gardner)*

One scholar in particular has been a constant and significant influence on the author. This is John W. Gardner, whose series of Papers in the late 1980's became the book "On Leadership" (1990). Whilst Gardner understood "Great Men", their "traits" and "their behaviours", the insights offered go far beyond what might be expected from a traditional analysis.

### 5.1 John W. Gardner

One of Gardner's main conclusions was that Leadership is a moral endeavour.

*"Men of integrity, by their very existence, rekindle the belief that as a people we can live above the level of moral squalor"*

He called for Leaders to renew Values and to build community. Gardner saw 8 essential components of community building and believed that Leaders should guide their construction.

1. Wholeness, incorporating diversity
2. A shared culture
3. Good internal communications
4. Caring, trust and teamwork
5. Group maintenance and governance
6. Participation and the sharing of Leadership tasks
7. Development of young people
8. Links with the outside world

Gardner envisaged Leaders as helping to direct an "attention economy" (pre-dating such calls in the Internet boom times - Davenport & Beck, 2001), and he saw them as taking a role in overlapping networks of responsibility. He was also at that time calling, like many others in later years, for better corporate governance.

His analysis of historical Leaders, both male and female, showed that there are many different personal characteristics, and yet they can all get results.

*"Leaders come in many forms, with many styles and diverse qualities. There are quiet Leaders and Leaders one can hear in the next county. Some find strength in eloquence, some in judgment, some in courage".*

Gardner states that Leadership is a process, with core tasks, which can be practiced and improved. Within this process are several common activities (the author has collected his list of tasks under four themes).

First, there is a block of tasks and actions which underpin the Values of the collective, and which clearly set out the goals in congruence with those Values. These tasks are invariably associated with some change to the status quo.

- affirming Values
- Envisioning goals

Second, there are a group of more managerial activities, including the tasks the Leader undertakes to create efficient and effective teams.

- managing: priorities, organization building, systems, decisions, judgment
- achieving unity: conflict resolution, trust

Third, there are the things a Leader must do to help his or her Followers, including:

- explaining and teaching
- motivating

And, finally, there is the intrinsic role of the Leader as a symbol of the Enterprise and as the principal agent of organizational renewal.

- serving as a symbol
- representing the group
- renewing & inspiring

Over time, these building blocks and many points of Gardner's philosophy have significantly affected the author's Leadership development work – and the four blocks of themes above helped define the 4E's Framework used today.

## 5.2 Procter & Gamble's Leadership Model

In the 1980's, Procter & Gamble's (P&G) Product Supply Organization evolved a "High Performance Work System" (HPWS) in its Paper plants.  This was influenced partly by the Japanese manufacturing revolution, partly by stagnation in productivity, and partly by Cincinnati neighbours such as General Electric,

The approach came directly from Deming's quality work (1986), building greater levels of employee involvement and skill development for all employees regardless of their function or level in the organization.

In particular HPWS promoted flexible working to solve problems with new solutions - functional flexibility (people doing a range of jobs), team focused organization designs, quality circles, and suggestion schemes.

| Deming's 14 Principles |
| --- |
| o Create constancy of purpose towards improvement |
| o Adopt the new philosophy |
| o Cease dependence on inspection |
| o Move towards a single supplier for any one item |
| o Improve constantly and forever |
| o Institute training on the job |
| o Institute Leadership |
| o Drive out fear |
| o Break down barriers between departments |
| o Eliminate slogans |
| o Eliminate management by objectives |
| o Remove barriers to pride of workmanship |
| o Institute education and self-improvement |
| o Transformation is everyone's job |

There are several definitions of HPWS. Evans & Pucik (1992) quote the term as first being used by Nadler and Tushman in 1988. The term often gets noted (or confused) with "self directed work teams", with its basis in Japanese quality circles. But whilst quality circles focus on statistical management of processes and on continual improvement, HPWS goes using seven integrated concepts:

1. Leadership that Empowers others
2. Focus on strategy and results
3. Open sharing of information
4. Team-based organization design
5. Flexible working
6. Clear and effective training practices
7. Teamwork reinforced through rewards

Bailey (2000) says HPWS is designed to:

*"… elicit a different type of participation from employees - encourage workers to apply their creativity and imagination to their work, and to exploit, in the interests of the organization, their intimate and often unconscious knowledge of the work process".*

David Hanna (1992), an ex-colleague who helped build HPWS in P&G, once wrote:

*"Every organization is perfectly designed to get the results that it gets".*

This integration of Leadership, strategy, work practices and organization design are critical to the 4E's Framework. In the early 1990's, P&G extended the thinking on HPWS to encompass Leadership, and started using a model of Envision, Energize & Enable as the core of the Leadership process. The definitions evolved, but were essentially focused on team dynamics:

- o **Envision** – the future, to help the team make things happen
- o **Energize** – the team by giving freedom in their work
- o **Enable** – by teaching, coaching or facilitating the team members

Today, on the Company website, P&G's Gary Martin (a senior corporate executive) still describes Leadership thus:

*"Envision the future and generate potent strategies and plans that 'change the game'.*
*Energize and enrol others in pursuit of stretching, breakthrough goals in everything you do".*

The model was the basis for formal training, feedback and $360^0$ work - a 1994 version is in Appendix 2, as a benchmark for the 4E's. However, it appears to the author that these 3E's, whilst useful, were insufficient, and tended to miss at least two critical concepts.

First, there is a need for a Leader (or Leadership group) to be able to put concrete organizational plans into place to meet strategic goals.

Second, the way in which teams are organized, are given both space to operate and yet have clear goals is missing from the P&G approach. In fact P&G used "Enable" in an "Enrollment" sense – gaining the support of Followers, rather than in an organizing sense (à la Hosking).

The author therefore extended and redefined the steps as Envision, Energize, Enable and Empower.  These were first published on-line in 1996 on LeaderValues. The changes were designed to be more focused on strategies, tools, and organizational construction.

- o **Envision** – Values-driven setting of goals and strategies
- o **Enable** – identifying tools, technologies, organization structures and people
- o **Energize** – the personal Leadership motor to drive the entire system
- o **Empower** – creating trust and interdependence between Leader and Follower

The model continued to evolve. In analyzing historical Leaders in the 1990's (e.g. Genghis Khan, Mohandas Gandhi and others) and speaking with outside groups it was suggested to the author that a) there is a sequence in the Leadership process which makes it easier to learn and b) there are three steps which exhibit interdependence between Leader and Follower, and one step (Energize) which is much more clearly the Leader's personal responsibility.

In 1997, the sequence thus became Envision, Enable, Empower and Energize.

Several other authors and personal experiences influenced the evolution of this Framework.

## 5.3 Nanus & Vision

Nanus (1992) stated that vision and communication can equate to shared purpose.  He goes on to write that:

> *"Shared purpose and Empowered people and appropriate organization and strategic thinking = successful visionary Leadership".*

This combination of the concepts of Leadership, organization and strategic choice delivers a robust approach to business-focused training. It certainly influenced the author by suggesting that a practical Leadership development model must encompass the real world of strategic and tactical choice.

## 5.4 De Vries and the Instrumental

In "The Leadership Mystique", De Vries (1994) created a map placing Leadership traits, external influences (Followers, situations), and Leadership tasks in context.  Of note, he, like many other authors, separated the characteristic actions of a Charismatic Leader (Envisioning, Empowering and Energizing) from the instrumental aspects of designing, controlling and rewarding people.

This certainly underpins the Procter & Gamble work (unfortunately the author has not to this point been able to trace a direct link between the two Frameworks).  But it still leaves hanging the issues of "what" the Leader must do – where do strategic choices fit, or where
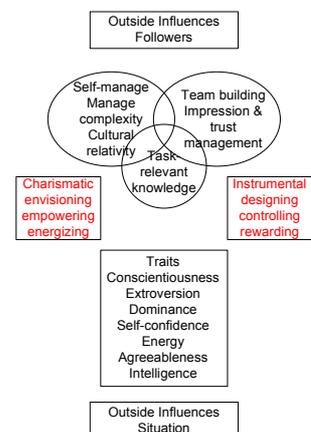
does organization design happen, for example?

De Vries' influence on the 4E's can thus be summed as opening the question of how best to connect the "charismatic / visionary", with the "instrumental / operational", whilst attempting to reflect the external context and situation.

## 5.5 Johnson & Johnson's "Standards of Leadership"

In 1996, the author joined Johnson & Johnson (J&J). Shortly thereafter, in 1997, the Company introduced a set of Leadership standards worldwide. These were developed by the senior management, in collaboration with outside consultants (including Goldsmith) and fact finding with other corporations (including Hewlett Packard, General Electric, Procter & Gamble).

The standards were tested for consistency, coherence and usefulness by senior management across the world, including the author, and were the core of the global training program. At the centre of the Standards is the Company's Credo value system. There are then five distinct sections of the Standards, whose overall purpose is to improve business results.



1. Organizational and people development
2. Customer and marketplace focus
3. Innovation
4. Collaboration and Interdependent Partnering
5. Managing Complexity and Change

These five sections, together with Values and business results, were set out as a 74 point personal Leadership assessment (Appendix 2). The Standards were never claimed to be an academic breakthrough, but did enable the Corporation to teach and develop the subject on a consistent basis across the world. To a certain extent, "distributed Leadership" was the goal.

It is worth noting that further work at the end of the 1990's suggested that aspects of emotional intelligence (EQ, from Goleman, 1995) were missing and would help develop better individual self awareness and results. These were then included in subsequent training programs, although the Standards are still today the core of J&J's Leadership development.

## 5.6 Nadler

In 1998, Nadler studied Leadership and change. Based on observing and interviewing CEOs in the USA, he described "Mythic Leadership" as having the same three components as De Vries: Envisioning, Energizing, Enabling

| Envisioning | Energizing | Enabling |
|---|---|---|
| Articulating a compelling Vision | Demonstrating Personal Excitement | Expressing Personal Support |
| Setting high Expectations | Expressing Personal Confidence | Empathizing |
| Modelling Consistent Behaviour | Seeking, Finding and using Success | Expressing Confidence in People |

His analysis of these three components focused on the personal actions of a Leader towards Followers. So he also does not deal with strategic or organizational design questions in these E's. Still, Nadler's model is instructive, as he notes that "Mythic" Leaders fall into certain traps:

- o Unrealistic expectations
- o Misdirected psychological responses
- o Stifled dissent
- o Growing expectations
- o Feelings of betrayal
- o Disenfranchisement of Management

Nadler comments that, after falling into some or all of these traps, an operational Leader (the Chief Operating Officer - COO) will step in to correct the imbalance from the CEO. Nadler thus places "Mythic Leadership" as but the first step in the Leadership of change.

| Mythic Leadership | Envisioning | Energizing | Enabling |
|---|---|---|---|
| Operational Leadership | Structuring | Rewarding | Controlling |
| Extended Leadership | Leveraging the Senior Team | Broadening Senior Management | Developing Leadership in the Organization |

This work encouraged the author to continue developing how to combine these thoughts into an integrated Framework.



In particular, this underlined the two dimensions for "Envision, Enable, Empower and Energize". To recap, first, there is the **operational axis** dealing with tools, strategic choices and customer processes etc. Then there is an **organizational axis** dealing with people, organization, rewards, and accountabilities.
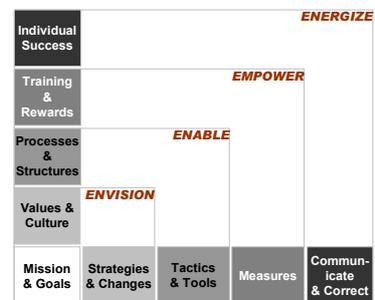
Beyond these 4E's, it should also be noted that the author has in many contexts stressed the role of Execution, as a 5th component. Experience suggests that this is also often an area in which many Leaders fail. Whilst worthy of further development, "Execution's" deliberate omission allowing focus on the fundamental building blocks of Leadership without overly getting into the day-to-day details.

## 5.7 Young

Young's "2x2 matrix" of Leadership considerations is instructive (2004), in the sense that it both complements and challenges the 4E's Framework. On the one hand, several aspects are quite well catered for inside the 4E's, as in the approximate "mapping" shown here.

|  | Internal | External |  |  | Internal | External |
|---|---|---|---|---|---|---|
| Individual | Emotions | Behaviour |  | Individual | Envisioning | Enabling |
|  | Aspirations | Competencies |  |  | Empowering | Empowering |
|  | Self-esteem |  |  |  | ??? | ??? |
| Communal | Norms | Systems |  | Communal | Energizing | Enabling |
|  | Values | Procedures |  |  | Envisioning | Empowering |
|  | Myths & Stories | Processes |  |  |  |  |
|  | Vision |  |  |  |  |  |

On the other hand, the 4E's do not deal with emotions or self-esteem, and some aspects of behaviour. It could be argued that this self-awareness is fundamental to the ability to Energize others. However, feedback received from users of the Framework suggests that whilst the 4E's could be extended, it still provides a very firm base in its current form. It covers most of the practical development areas needed to help Leaders do a better job (section 9).

## 5.8 Personal Journey

Every role the author had for 20 years has involved some form of change Leadership in large scale organizations. This provides helpful texture to the development of the 4E's.

- General Manager: responsible for creating and running one of P&G's first Europe integrated Brand programs (1985). This entailed getting Europe-wide results via co-ownership of "local" businesses with the Country GMs, and it taught a great deal about teamwork and matrix processes, as well as initial insights into multi-cultural activities. Bartlett and others studied this phase of P&G's development (1989).

- General Manager: in P&G's new Category management structure in the USA, leading one of the Company's most profitable businesses (Oral Care - 1988). This involved integrating all operations into multi-functional activities, moving away from the previous "silo" approach, which had been historically responsible for P&G's success, whilst also adopting Total Quality Management principles.

- Regional Vice President: of a newly formed group of Countries in Asia Pacific (P&G, Hong Kong, 1990). The goal was to harmonize strategies and speed up idea dissemination across geographies and in many and varied cultural settings.

  It was at this time that the P&G Leadership model (Envision, Energize & Enable) was being codified and taught as a result of studies on High Performance Work Systems. It was also at this time the author was engaged as a teacher in P&G's Strategy College.

- President: of just acquired Max Factor in Japan (1992), a business new to P&G. This entailed a major downsizing in some departments, and a strategic overhaul of all brand and retail activities. The main learning was that such efforts in Japan are more difficult and take far longer than expected. The job was only completed 5 years after it began.

  Restructure was a relatively unknown activity in Japan in the early 1990's, and the team frankly underestimated the cultural and business inertia that would be encountered. On the one hand, the plan eventually was successful, requiring successive new Leaders and teams all working essentially to the same blueprint. On the other hand, the author was personally unused to failing to meet timing goals, and needed to internalize this.

- Company Group Chairman: of J&J's Asia Pacific Consumer business (1996 – 2001). Volume grew over the period and margin improved despite the crash in Asian currency Values. Some of the change programs included:

  o Nationwide China expansion, requiring new approaches to team building, systems, process development and personal accountabilities.
  o Implementation of rationalized pan-Asian manufacturing and IT systems - including downsizing, plant closures, process and data standardization - all in J&J's historically "decentralized" culture.
  o An Asia-wide organization change effort – team building, personal Leadership development, interdependent business structures, and consumer focus and

innovation programs. Unique organization "health" metrics were used, built around J&J's "Standards of Leadership".

Four stories are quoted to illustrate the 4E's in action.

## 5.9 Envisioning

*"Please tell me about the future of this business for the next ten years".*

In 1992 a Japanese manager asked this question in front of one hundred of his peers, three weeks after the new President (a foreigner – the author) arrived to take over a failing, $350 million Tokyo Cosmetics Company. There were two basic ways to answer this – honestly and responsibly. One honest answer was "I am not sure". But the responsible answer was something like "we will have become the number 4 cosmetics player in this market, our products will be seen as the best quality, and our employees will enjoy their work".

And then there was another honest answer which was needed; "there will be less of you working here, as we need to downsize to remain competitive" – unheard of in Japan in 1992.

Perhaps the most telling moment, though, was that when the author began to speak, 100 people took out their notepads, and through the translator, copied down every word that was said. And these notes were frequently referred to from that point onwards. So what was learnt here? To go back to Gardner and then to quote Napoleon

*"Leaders are dealers in hope"*

Leaders must be ready at all times to have a coherent vision of the future which can also serve as an action plan. And Leaders must know when to be honest, when to be responsible, and when to be both at the same time. Hope must be made real.

## 5.10 Enabling

*"So, what is this new organization going to look like?"*

The answer had nothing to do with roles, responsibilities, hierarchies or matrixes. The answer had everything to do with how it would feel to be in the new organization. The young brand manager that asked this, in Thailand in 1996, had heard about the plans to move away from J&J's totally decentralized approach and implement Asia-wide franchise teams. These teams were an overdue part of J&J's organization change strategy, yet the historically decentralized culture had provided consistent innovation which was the envy of competition. How to balance the two was thus critical.

*"Today, when you have a problem, and you can't solve it, you ask your boss. And if he or she does not know what to do, they ask their boss – and so on, until eventually it lands on my desk. Next year, if you don't know what to do, you may know someone in Australia who you think might be able to help – and as it happens they have a colleague in finance in the UK, who can help. So together you solve the problem, and you report the solution to your boss. You own what goes on in your world even more than before".*

The brand manager remembered the story, and she told all of her colleagues in Thailand. It subsequently spread across all of Asia Pacific, and became a reality.

The Leader's vision of the future must become actionable – there must be enabling mechanisms, structures and tools in place.  Followers must have an idea of how they are expected to act in the process, and have an idea of the time frame.  This must all be explained in ways that are important to the listener, not to the teller. The plan must make sense.

## 5.11 Empowering

*"You can do anything you like, as long as you execute the success model first".*

In the 1980's the author was tasked with rebuilding a Pampers business across Europe. Even though the brand was the first to market, and the clear Leaders, it was being out-manoeuvred by competition - better products and sharper pricing. And yet P&G had no coherent way of managing across geographic boundaries in Europe.  So the job was to assemble, for the first time, a "Euro-team" and make it work.  And there was a catch – the author did not have direct line responsibility everywhere – only over certain things.  It was a classic matrix, and everything else was a shared responsibility with the local Country General Manager. Here were some of the questions that needed answers.

1.  What did the team want to do with the product?  It was necessary to invent a diaper that did not leak once overnight.  That was the easy thing to define – how to do it was harder.   But essentially that boiled down to looking around the world for the best possible products, whether P&G's or otherwise.  The R&D team needed to get the best product possible rapidly into consumer test.  Manufacturing needed to upgrade all of the lines ($220 million worth of new plant) and then make the product efficiently.

2.  How should the team market the new diaper?  Similar rules applied – search out the best in class first.  The most vital part of the Pampers business was in the Benelux, where the advertising and sampling had held market share in the face of competitive challenges.  And the brand teams needed to get into market test in record time.

3.  This was all fine if executed only for Germany (the author's direct responsibility, and where all the manufacturing and R&D was).  But how could the team get the British, the French and the Italians to accept the program, in the new matrix structure?

In fact, the answers were easier than expected.  Firstly, everyone was desperate for a "business fix". Second, the multicultural nature of the Euro team helped, by making everyone feel part of the solution.  But we still could not allow the Euro team to trample on national pride or responsibility.   And everyone was paranoid about the need to encourage ever more innovation, to stop disaster happening to Pampers again.

So a contract was developed. The clients in the Country Teams were asked to literally copy the marketing model from the Benelux … and when that was running they were encouraged to test any other kind of marketing plan.  The Euro team not only agreed but actually and actively helped their alternatives.

It worked, and delivered results 18 months ahead of schedule. The brand is still Leader in Europe today, and in at least two major European Countries, advertising was developed that was indeed better than the Benelux model.

So, what was learnt? Amongst other things:

- attention to every detail of the process is critical
- give other people the freedom to do the work
- success models are good, but they always must evolve
- innovation comes when the bases are covered
- teamwork is a contract

But perhaps the most important learning was that an Empowered group can do great things – and that Empowerment itself is a contract, not a free for all. This is central to the 4E's.

## 5.12 Energizing

*"If you happen to have a telex machine in your living room at home … you can contact your parents from the Student's Union".*

In front of an audience of about 1,000 people for the first time, a sense of humour began to evolve in ways that touched people. It was unintended, and probably born of nervousness. But the words touched people, brought the ideas alive, and kept the communication open between speaker and listener.

What was the story? It was Fresher's Day, and the author was Student Treasurer, in charge of explaining the (boring) details of what the Union could do for the new arrivals. At that time, Leeds University had one of the broadest selections of services for students – and was already a leading national venue for rock concerts (for example, "The Who Live at Leeds"). The Union had the biggest licensed area in Yorkshire, and a turnover of around £350,000 for which the Student Treasurer was legally responsible. And the Union was very proud of the new telex machine used by the Travel Services Bureau to make airline bookings.

But what does every student, consciously or not, want? In the 1960's it seemed that everyone wanted to be free, whilst also stay in touch (on their own terms?) with where they came from. So how could the Union help – let students use the telex machine to "call" home. Of course, this was barely practicable, but the idea touched a real nerve in the audience.

The story got repeated two more times, to new groups of Fresher's. And each time it got just a little bit sharper, a bit funnier – and a bit more personal to the listener. Reflecting back on this, what was learnt?

Leaders know how to make a direct connect with every single one of their "Followers". There is no magic here – just the common sense we all apply every day to our individual relationships. But Leaders must be able to communicate in this personal way with very large groups. How do they do this - exactly as they would in individual conversations. Leaders Energize by sharing their humour, nervousness, and understanding of what Followers want.

## 5.13 LeaderValues Website

One result of this personal journey was the establishment (1996) of the LeaderValues website, and its continual development. The site aims to help students of Leadership and experienced Leaders - with an emphasis on multicultural, transnational issues. Focus areas include mentoring, value systems, innovation, globalization, complexity and organizational change.

LeaderValues is on both Yahoo! and Google's global top 20 Leadership Development lists, and currently has over 1,200 visitors a day. The site receives more than 1.5 million page views a year. It explains the 4E's, and one of its most popular features is the online self-assessment using this Framework – which allows anonymous data capture (over 4,500 personal self assessments to date) and subsequent analysis (Sections 7 & 8).

To quote Emerald Insight, a significant provider of organizational papers and research:

> *"Resources at [LeaderValues] have been written or selected to assist leaders in all kinds of organizations to develop their skills. In addition, it examines the qualities and behaviour of famous leaders throughout the centuries. Visitors are invited to take the free (and revealing) leadership assessment ... Thought-provoking feature articles share the limelight with regular sections: "themes" offers in-depth work on change, knowledge, organization, and value systems and "4Es" discusses the four essential Es of leadership. A great read".*

> *http://juno.emeraldinsight.com/vl=3604101/cl=65/nw=1/rpsv/reviews/coolsites/s_reviews.htm*

LeaderValues gained their top 5 Star rating, the same as "Knowledge at Wharton", and "Insead Knowledge", compared with the Drucker non-profit site, the Conference Board, GBN, Strategy & Business (Booz, Allen & Hamilton) and Boston Consulting (which all achieved 4 stars).

# 6 The 4E's Framework Explained

*"If you have some respect for people as they are, you can be more effective in helping them to become better than they are" (John W. Gardner)*

The 4E's Framework has been used to analyze historical Leaders, against both axes of **Operational** parameters – the strategies, the tools, the measurements – and **Organizational**.

## 6.1 Genghis Khan and Mohandas Gandhi

Several historical and contrasting Leaders have been studied. This paper will report on Mohandas Gandhi and Genghis Khan. Ratchenevsky (1983), Morgan (1986), De Hartog (1989) provided biographical details on Genghis. Fischer (1963), Mehta (1976), Nair (1994), Dalton (1996), Parekh (1997) and Parel (1997) were reviewed on Gandhi, as well as his own writings.

**Envision**: Leadership starts with the creation of a vision, and continues with developing a set of strategic choices to achieve the changes required.

**Genghis Khan's** vision included economic prosperity for his people, power for himself, and total destruction of his enemies. Yet he also offered fairness to willing subjects. At the beginning it is doubtful that he had a specific plan to build the World's biggest land Empire, although this was part of a long-standing Mongol "dream".

Rather, Genghis recognized that rich plunder was the best means of preventing the Mongol tribes from fighting each other. He also recognized that this would allow them to preserve their nomadic way of life.

**Mohandas Gandhi's** vision of the future was a combination of the spiritual, the moral and the practical, and it was through his consistent application of his vision that he led. He clearly felt that the Indian lack of self-respect Enabled the British to rule India, so he suggested that Indians should take prime responsibility for their own situation. Gandhi wanted not only the political independence of India, but the spiritual renewal (and independence) of her people.

| MOHANDAS GANDHI |
| --- |
| **ENVISION** |
| India's political and religious independence, based on spiritual renewal of her people, and on the equality of Hindu and Muslim. Abolish castes. |
| **ENABLE** |
| South African ambulance corps. Indian "Constructive Program". The Ashrams. The Congress charter. "Swadeshi" = home industry. |
| **EMPOWER** |
| Discipline & freedom, for self and Followers. "Satyagraha" = peaceful protest. "Swaraj" = Indian Independence. Love. Respect. |
| **ENERGIZE** |
| He walked the talk – Gandhi was the program The "Salt March". He fasted. His charisma. His disregard for self - no fear - prison. His words. |

| GENGHIS KHAN |
| --- |
| **ENVISION** |
| To stop the Mongol tribes fighting, and to preserve their nomadic lifestyle. To live off the land. Realize their longstanding dream of "conquering the World". |
| **ENABLE** |
| The compound bow & short stirrup. The "Yasa" legal code. Merit based army units of 10, 1000, 10000. Peacetime "Pony express" links. |
| **EMPOWER** |
| Genghis trusted Locals running conquered cities. He promoted on merit. He was generous, very loyal, and very frank. |
| **ENERGIZE** |
| He personified strong & clear Mongol Values. Genghis always led from the front. He was charismatic. Either surrender and maintain your way of life, or be slaughtered…. |

His vision of the future of India was firmly rooted in the Gitas, yet with significant influence from Christian and other Values. Gandhi touched the hearts of millions, and to this day is seen as a moral beacon for us all.

Practically, he chose causes that were of great importance to his Followers, and brought alive his vision of what success would look like. Examples were his work to bring fair treatment to people in South Africa, the repealing of the Indian Salt Tax and then Indian Independence itself. In every case he did not just use philosophy or vague visions, but he laid out concrete objectives which people could buy into and then act upon. By contrast, his failures stemmed from not being able to execute his own deeply felt vision of a just society – and most importantly the final Partition into India and Pakistan.

**Enable**: Leadership means creating enabling mechanisms to encourage the right kind of action. These will allow the vision to come true.

**Genghis'** Enablers included good use of military technology such as the short stirrup and powerful bows. He had elite Household Guards with hand-picked commanders upon which he relied for the most difficult tasks, so retaining effective control. He also set up a "meritocratic" army, organized into units of ten thousand, not sorted by tribal affinity as was historically the case (Ratchenevsky, 1983). This reduced internal friction.

Rules of engagement were clear and rigorously enforced. For example, if a soldier deserted his troop he was executed. If a soldier failed to stop to help a fellow warrior whose baggage fell from his horse, he was executed. If two or more members of a troop made a great advance, but were not supported by comrades, the latter were executed.

He established an Empire wide legal code (the Yasa) which defined a clear administrative structure for the conquered peoples, and built a comprehensive pony express system which held the Empire together.

**Gandhi** designed few unique organizations. Yet, from arranging the ambulance corps, to setting up formal "protest" organizations and recruiting troops to fight in the War, he was no stranger to structure.

His greater Enablers were in his own actions. He literally lived the life that he wanted other people to live. He demonstrated exactly how to behave, whether in normal day to day life, or in high-profile political protest. From the philosophy and structure of the "Constructive Program", his use of a spinning wheel was both a symbol of revolution, and a method of demonstrating how to build the "perfect" Indian Society. And the Ashrams with their very formal rules were permanent examples of how a society constructed of small, village groups should operate. Nothing helped humility or cleanliness come alive better than a turn at cleaning the latrine…

Gandhi also used words as Enablers, ranging from writing protest letters to helping to construct the Constitution of the Indian Congress party. "Satyagraha" (non violence) and "Swaraj" (independence) are themselves both words of description and words of action.

**Empower**:  Leaders know how to build a positive and sustained contract between themselves and their Followers to achieve the vision.

**Genghis'** reputation might make it difficult to see that he practiced "Empowerment". However a contract between Genghis and his Followers for mutual trust and

accountability was certainly central to his reign. His commanders could come from his immediate family, lowly sheepherders, or even conquered warriors that he trusted and respected. But all soldiers from whatever rank had the possibility of becoming commanders based on their own merit.

The Mongol army fully agreed with the goals of their Leader, and accepted the rules under which they fought. They totally trusted Genghis, and would rather die than let him down. Perhaps even more importantly, Genghis allowed conquered people to maintain their own religion, political structure and culture provided they paid their taxes. A contract of Empowerment was clearly at work both in his military and civil societies.

**Gandhi's** life was a combination of discipline and freedom, for himself and for his Followers. His greatest successes came from Empowering people with the methods and the desire for "Satyagraha". When those individuals faced attack or prison, they were both terribly alone yet totally connected to their fellow protesters. They were free to pursue their goals, yet they had a contract with Gandhi and with each other. He needed to serve them, just as they served him, the cause, and each other.

Unfortunately, his belief in the goodness of everyone blinded him from the frailty of human nature. Letting people free who cannot overcome their own demons leads to unpredictable consequences. This was clear in the violence of Partition. And his belief that "Satyagraha" would have helped the Jewish people in their terrible struggle with Hitler was at best idealistic, and at worst totally inconsistent with the nature of the task

**Energize**: The uniquely personal role of a Leader is to continually Energize the other 3 E's – to Energize the Vision, the Enablers and the Empowerment of the Enterprise.

**Genghis** was consistently reflecting the real desires of his Followers. He unleashed their need to escape from a poverty cycle, rather than try to focus them on world conquest. Then he made the "enemy without" (first, China) the tool to prevent internal conflict. Whilst Genghis sought power for himself, he also was careful at every stage to offer his Followers major gains from their conquests.

He shared his animals, his clothes, his food and his plunder with his people, almost irrespective of their social position. When he went into battle, he intended to win, and his people knew they followed a winner. Even in matters of vengeance, he carefully communicated things in terms his Followers could understand and act upon.

**Gandhi's** dedication to a life of action was his greatest Enabler, with "Do what I do, not what I say" also his greatest Energizer. He had a knack of choosing causes which would have most impact, and which would have the maximum chance of touching everyone. Many members of Congress were sceptical of focusing on Salt Tax, as it had been a long-standing source of discontent. It was a minor issue in the fight for Independence. Yet, the Salt March caught the imagination of the Nation, the global media and the world.

Not only could Gandhi Energize on a large scale, but he could also Energize individuals. One example is the response of the Judge who hoped Gandhi would be dealt with leniently, despite having to serve a mandatory sentence on him. Gandhi's humility and

obvious care for his opponents meant that virtually everyone Gandhi met had an emotional response to the man and his actions. Witness the Lancashire mill workers in England, who cheered him yet should have disliked his boycott on their products. His obviously truthful and heart felt explanation, both of why he was doing what he was doing, and why he hoped the mill workers would not suffer, struck a significant cord.

Gandhi also chose his personal symbols well, from the white dhoti ("cleanliness and humility") to wearing sandals made of leather from cows that died naturally. The only decoration on the walls of his room at the Ashram was a crucifix. He took the philosophy he espoused and turned it into visual representations of his "story".

His speech during the Salt March, almost angrily denouncing the overzealous use of scarce rural resources for the benefit of the marchers was a classic case of speaking from Values. And single-handedly he stopped slaughter at partition in Bengal, with two of his most powerful Energizing tools - he fasted, and he met the "combatants" face to face, with no fear for his own safety.

Yet he also failed in Energizing. Partition showed that he had failed to overcome both the fears of the Muslims in a largely Hindu India, and the nationalism / exclusiveness of Jinnah. He also failed to generate a sufficiently multicultural, pluralist sense in the Leaders of Congress to build the right bridges. And his use of Hindu symbolism and obvious belief in the goodness of humanity at least partly contributed to his own extremist assassination.

With these brief historical examples, the 4E's Framework can be explored in more detail.

## 6.2 Envision

Envisioning starts with having a clear view of the external world, the situation the Leader and their Followers find themselves in, and addresses what changes need to be made.  This analysis is based both on data assessment and intuition, hope and sometimes fear.

| | ENVISION |
|---|---|
| Values & Culture | |
| Mission & Goals | Strategies & Changes |

This drives the formation of the mission of the Enterprise, and it builds clear, mutually agreed goals.  It is helpful to distinguish between verbal objectives (the mission), and numerical objectives (the goals). The Envisioning step forces decisions on choices – i.e. strategies.

A vision has to take account of the culture of the Enterprise.  The Leader has a choice – mould the vision and strategy to the capabilities and Values of the culture – or change the culture to achieve a different future for the Enterprise. A decision either direction will have enormous consequences for the change program undertaken.

It often seems that the words "Values" and "vision" have fallen into disrepute – we all have drawers full of unexecuted value statements and visions.  In the author's view, a codified value statement, and a clear vision is an operational strategy, reflecting choices of what to do and what not to do, with hard goals.  It is not "fuzzy and warm". It is essential.

## 6.3 Enable

Leaders must then decide what methods or tools will be used to Enable the objectives, and to encourage the right kind of action.

The overall goal is to form effective, interdependent activities and institutions. There are essentially two kinds of enabling mechanisms – both built on innovation.

The first mechanisms (along the "Operational" axis) include tools, technologies, and business methodologies. "A better mouse trap" is always a good enabling mechanism to bring about change. In every case, the tools and tactics must meet the needs of the strategic choices.  This also would be the time to review one's business model, to check its competitive advantage or pitfalls.

The second set of enabling mechanisms (on the "Organizational" axis) includes processes and structure. It also means ensuring that the Enterprise has the right people and the right skill sets to get the job done. These all build on the organization's culture and Values.  This could mean the deliberate elimination of counterproductive structure - but there will always be a structure and a set of processes in place.

## 6.4 Empower

Given a clear vision, strategy and enabling tool kit, the third step of the Leadership process is Empowering people to achieve the goals. The Leader's role becomes one of facilitation and teaching others.

This paper does not propose some form of "free for all" Empowerment. It is a contract between Leader and Follower – "You deliver this, and I deliver that.  You will get more space, the better you do.  The more I meet your needs, the stronger Leadership position I will be in.  Together we will therefore be better able to accelerate the changes we have agreed to make".

> "Leadership means Empowering people to achieve the vision. The Leader sets out a contract with his or her Followers. The Followers have a contract with their Leader, for success and failure, reward and sanction. Both are given mutual freedom, yet held mutually accountable. Both are thus Empowered". (Yates, 1996)

Said another way, effective Empowerment provides the space to get the task completed, the space to innovate, and the feedback mechanisms to improve results and to motivate. The overall impact of Empowerment is to build trust. An obvious word of warning – trust is not something a group can just agree to have.  It is built over time.

Again, there are two sides to Empowerment.  On the "Organizational" axis, the team needs to be given the training to get the job done.  This is self-evident. The Empowerment must also bring rewards to all parties, and sanctions or challenges for improvement.

On the "Operational" axis, both Leaders and Followers need to be able to measure progress against the goals, in a transparent way, which also encourages dialog and continuous improvement.

## 6.5 Energize

So, the goal is clear, the plan is in place, and the troops are both motivated and armed.

Still, there is an essential ingredient missing. Leadership demands the skills of energizing all individuals within the organization to act.

On the "Organizational" axis we summarize the issue as "individual success". For the members of the team, probably the maximum energy will result from the combination of winning (in the marketplace) and achieving a sense of personal success and satisfaction.

| | | | | |
|---|---|---|---|---|
| **Individual Success** | | | | *ENERGIZE* |
| **Training & Rewards** | | | *EMPOWER* | |
| **Processes & Structures** | | *ENABLE* | | |
| **Values & Culture** | *ENVISION* | | | |
| **Mission & Goals** | **Strategies & Changes** | **Tactics & Tools** | **Measures** | **Commun-icate & Correct** |

The more energy the team generates, the more energy the Leader has – in a virtuous circle of reinforcement.

On the other, "Operational" axis, continuous communication and course corrections are the key activities of the Leader. There is in fact a particularly important aspect of the Energizing process – the ability of the Leader to create and sustain a meaningful and authentic "story", which also reflects the earlier discussion on congruent Values between Leaders and Followers, and the difference between Ideas and Values referred to earlier. See Harkins (2000) for a useful discussion of such powerful conversations.

### The Energizing role of the Leadership story

When spoken language was superseded by text, society blossomed and the first social networks were created. The detailed copying of texts allowed the words of Buddha, Jesus and Mohamed to sway the views and Values of millions.

Genghis Khan was a master of communication in the era before mass printing of books. He built an empire with promulgation of laws via trusted lieutenants, the pony express, and distributed Leadership via trusted lieutenants. At different times, the Pharaohs, the Caesars of Rome, Emperor Ashoka in India, and the Kings of Europe achieved similar feats.

In the era of the printed press, ideas became even more powerful – hence the age of the Enlightenment. The rapid and broad promulgation of ideas and concepts had deep impacts. It led to modern science, market capitalism, freedom in the arts, and democracy.

Then, along came radio. For the first time, the average citizen could hear their Leaders every day "in one's own living room". The medium was used to good effect by Roosevelt and Churchill and to terrible effect by Hitler.

In the 40's and 60's, television, the next media innovation, affected the way we think of Leadership.  We now expect to see the Leader in action, and follow their deeds to check congruence with their words.  Words over radio are one thing – body language and visual

context is another. Perhaps Jack Kennedy was the first true exponent of effective TV Leadership, and Richard Nixon the first TV "looser".

And the two Gulf Wars made even the most terrible of human activities available "24 by 7".

A fundamental Energizer is the expression of shared Values, vision and goals in a "Leadership story", which builds understanding and the desire for action in the Followers. A great example of such a story is John Kennedy's "put a man on the moon and return him home safely by the end of the decade". Not only was this succinct and memorable, but it Energized an entire nation, its military and its industries even after Kennedy's death. The mission was accomplished.

This demonstrates "walking the talk", consistency, continuous communication with the team, personal persuasiveness and clarity.  The Leader is a kind of motor for change – the moment he or she flags or shows a lack of resolve, the team will loose energy, and results will suffer. Somebody once said "Just when you are fed up with saying it that is when he or she gets it"! A Leader cannot afford to stop saying it.

It is this intense personalization of the Energizing process that leads the author to see the fourth E as rather individual, whereas the other 3 E's are more interdependent in nature.

With this survey of the concepts within the 4E's, the paper will now briefly compare the Framework with examples of other Leadership models before turning to the empirical database and the case study.

# 7 The 4E's Framework Compared

*"One of the reasons people stop learning is that they become less and less willing to risk failure" (John W. Gardner)*

Grint (2004) suggested that there are four ways to think about Leadership research:

1. Results      – is it what you achieve
2. Process      – is it how you get things done
3. Position     – is it where you operate from
4. Identity     – is it who you are
                    …. that makes you a Leader?

In essence the 4E's Framework deals with the first two – what is achieved, and how it is done. Whilst the 4E's demographic data provide some clues about position, it does not provide insight into how the position is used. Neither does it attempt to deal with personal identity.

The self-assessment that is offered free on the LeaderValues web site is by necessity in a simplified format. But the versions tailored for specific clients include Enterprise related questions to make the reading of each of the "E's" more targeted and useful. This can only be achieved with an understanding of the Enterprise, created between the consultant and the client, rather than using a "generic" model. Appendix 1a shows the free, simplified form and Appendix 1b an outline Commercial form. Appendix 5 shows a tailored version used in the Save the Children case study, reproduced by permission.

A comparison of the 4E's self assessment with other examples will help define where the model fits in the praxis of Leadership development tools, particularly useful from a practicing consultant's viewpoint.

## 7.1 Individual Development Tools

1. **Situational models:** These suggest different behaviours for Leaders to use in different circumstances to get results. A classic example is Situational Leadership ® from Hersey and Blanchard. To quote from the website on the latest version (SLII)

    

    *"SLII is a model and a set of tools for opening up communication and helping others develop self-reliance. It is designed to increase the frequency and quality of conversations about performance and development between managers and the people they work with so that competence is developed, commitment is gained, and talented individuals are retained".*
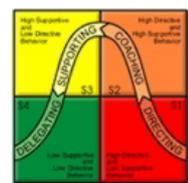
    The 4E's does include some measurements on giving feedback, timely communications and decisions. But it does not attempt to analyze the behaviours behind these actions. On the other hand, the 4E's covers issues of strategic choice, organizational design and effective tools to meet the goals – all of which are missing from SLII.

2. **Assessments of self awareness:** Myers Briggs is an excellent example, and another would be the many tools arising from the work on "Emotional Intelligence" (EQ) by Goleman.

One such assessment comes from a program developed by the Consortium for Research on Emotional Intelligence, and its "Emotional Intelligence Appraisal", which measures:

- *Self-Awareness: The ability to accurately perceive one's own emotions and stay aware of them as they occur, as well as understanding the impact of one's emotions on specific situations and people.*
- *Self-Management: The ability to use awareness of one's emotions to stay flexible and positively direct behaviour - managing emotional reactions to specific situations and people.*
- *Social Awareness: The ability to accurately pick up on emotions in other people and get what is really going on. This means understanding what other people are thinking and feeling even when it conflicts with one's own feelings.*
- *Relationship Management: The ability to use awareness of one's own emotions and the emotions of others to manage interactions successfully. This includes clear communication and effectiveness in handling conflict.*

The 4E's does not cover self-awareness in an introspective sense. Rather, as noted in discussing the Hersey & Blanchard model, the Framework focuses on strategic and tactical activities not included in EQ.

3. **Sets of Leadership competencies or skills.** These are often used as $360^0$ self assessments to improve one's individual Leadership performance.

The 4E's may be considered similar to the **High Impact Leadership (HILM) Model** [TM] developed by Bennis and Linkage Inc. (2003) which built on their well established LAI [TM] Model  Both tools are based on Bennis' research, and feature a core set of individual capabilities, as well as sets of critical responsibilities and skills.  The diagram illustrates the HILM skills and competencies and how it is offered for training purposes.

**Leadership Capabilities**
- Focused Drive
- Emotional Intelligence
- Trusted Influence
- Conceptual Thinking
- Systems Thinking

**Leadership Skills**
- Change Management
- Coaching & mentoring
- Communication
- Negotiation
- Problem Solving

**Leadership Responsibilities**
- Creating the Vision
- Creating the Organization
- Leveraging Knowledge
- Motivating the Team
- Producing Results



The High Impact Leadership Model™

HILM covers many of the same activity areas as the 4E's. However, HILM includes behavioural assessment, allowing individuals to assess their competencies and then modify their approach accordingly. The 4E's focuses instead on the action viewpoint – what are the Enterprise needs, and how the Leader can then best act to deliver against these needs.

4. **Leadership style measurements**, similar to Michael Maccoby's "Narcissistic Leader" model (2004) and related self assessment. The 4E's makes no claims for psychological profiling.

   Another example is an assessment built on the Blake and Mouton grid, offered by Don Clark. This identifies respondent's styles as Country Club, Impoverished, Authoritarian or Team Leader – but offers no operational measurements, benchmarks or team evaluations.

5. **Relationship measurements:**  One such is the Campbell Leadership Index. This is another popular tool, and is offered by the Centre for Creative Leadership amongst others. It is a multiple-source survey that provides feedback to individuals about personal characteristics that are related to the nature and demands of Leadership. The originator (David Campbell) notes that it is

   > *"Based on the belief that the essence of leadership is a person's relationship with the people that he or she needs to influence, the CLI survey quantifies the perceptions of the individual leader and selected observers, such as direct reports, peers and managers.*

   > *… results can be used to help pinpoint areas for personal development. Survey results can be used by organizations to help identify candidates for additional leadership development and to provide insight into succession planning and individual development plans".*

   The publisher's website (Pearson) notes that CLI norms are based on 1,767 individuals and 7,414 observers, and the scales used are:

   - Leadership – Ambitious, Daring, Dynamic, Enterprising, Experienced, Farsighted, Original, Persuasive
   - Energy
   - Affability – Affectionate, Considerate, Empowering, Entertaining, Friendly
   - Dependability – Credible, Organized, Productive, Thrifty
   - Resilience – Calm, Flexible, Optimistic, Trusting

   Again, the intentions and outputs of the CLI seem individually orientated and not focused on organization-wide strategic and tactical action.

6. **Personality tools**, such as the Hagberg (HCG) Personality and Leadership assessment.  This aims to provide an assessment of the key aspects of personality that influence Leadership and management performance. It is summarized as:

   - *Based on 46 aspects of personality that influence Leadership effectiveness.*
   - *Faking and social desirability scales substantially reduce deliberate or unconscious attempts to distort assessment results.*
   - *Offers a normative comparison against HCG's database of 6,000 executives and 750 CEOs.*

   

   Another example  is The Leadership Diamond ® , created by Koestenbaum. This is a model of the "Leadership mind" and a methodology for expanding it. The Diamond distinguishes four interdependent Leadership imperatives, or "orientations": Ethics, Vision, Courage and Reality. To quote the website:

*"These orientations are your inner resources, always available to help you …. The relationship among the four orientations determines the shape and size of the space within your Leadership Diamond ® . The space within the Diamond is your Leadership capacity, which is called Greatness".*

The 4E's self assessment will provide relative benchmarks, to allow the responder to assess his or her own strongest and weakest points within the results.   However the main objective is to define relative areas of strengths and weakness in performance "on the job" rather than address inner and personal needs.

## 7.2 Communal Development Tools

1. **Systems to assess Values in groups and teams**, such as Symlog offers – based on the extensive and rigorous work of Prof. Freed Bales.

   

   *"The [Symlog] instruments contain 26 descriptive items which probe and assess key factors known to directly influence effectiveness. One form of the instrument (Individual and Organizational Values) probes current and optimal Values while another form (Interpersonal Behaviours) identifies current and most effective behaviours for the specific situation".*
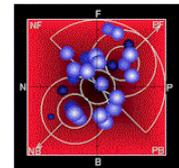
   Bales began his research over 40 years ago to answer the question, "*What is meant by the situation?*" He found that dynamic and complex situations serve as the context for all social interactions. In developing Symlog, Bales moved from linear methods of measurement to pioneer approaches to understanding dynamic relationships.

   Symlog is thus a "SYstem for the Multiple Level Observation of Groups® ". It has a very large empirical base (millions) and it is claimed to be used by more professionals to assess and guide value-based change than any other measurement system in the world.

   This model has been a significant influence on the author's understanding of Values and their dynamic nature.   That said, the 4E's makes no claims to measure or track Values, although Values congruence between Leader and Follower are implicit in the Framework. On the other hand, Symlog makes few claims to measure operational activities.

2. **Work preferences assessment.**   A leading exemplar is Margerison's "Team management Profile ® ".  To quote the TMS web site:

   

   *"People tend to practice what they prefer and therefore perform better in those areas that match their work preference. Understanding work preferences is a critical component in developing individual, team, and organizational performance. …the Team Management Profile Questionnaire (TMPQ) is a 60-item assessment focused on enhancing understanding of an individual's approach to work".*

   The 4E's does not address the organizational "fit" of individuals.

3. **Team effectiveness.**  The Campbell Hallam TDS ®  tool is one such.

   *"The TDS survey provides team and work group feedback to improve team effectiveness and help reach their maximum potential. The standardized survey addresses how team members feel about such issues as interpersonal interaction within the group, innovations, organizational support, and mission clarity".*

TDS uses 19 aspects of team functioning that are researched as critical to effectiveness. These dimensions are grouped around four major themes. As for other such assessments, the vendors will add up to 15 supplemental items for study.

| | |
|---|---|
| **Resources** | Rewards |
| Time and Staffing | Leadership |
| Information | **Efficiency** |
| Material Resources | Mission Clarity |
| Organizational Support | Team Coordination |
| Commitment | Team Unity |
| Skills | Individual Goals |
| **Improvement** | Empowerment |
| Team Assessment | **Team Success** |
| Innovation | Satisfaction |
| Feedback | Performance |

For individuals, TDS compares his or her scores to the team average. For teams, the average scores of all of the individual responses are compared to normative data (using results from 194 teams, 2000 people – noted from the website).

Whilst covering some similar areas (such as mission clarity, goals, Empowerment, innovation, resources and organization), TDS does not address Energizing at all and misses some elements of strategic planning. The 4E's is not focused on assessing team relationships.

## 7.3 Scaleable Leadership

This review of other tools highlights some of the similarities the 4E's has with other popular models underlining a few elements of "face" validity in the Framework. Yet it also illustrates unique points of the 4E's and its focus.

The Framework is focused on "actions in use" rather than "espoused competencies" or "personal behaviours". The activities bridge both organizational (people) issues and operational (strategic and tactical) activities, and thus bridge group (communal) and individual endeavour. The 4E's cover strategy development (Envision); identification of appropriate tactics, tools, people and organization structures (Enable); team development (Empower); and personal communication activity (Energize).

The diagram suggests a flow. The first three Es symbolize the collective "what" and "how", whilst the last E suggests the individual "why", both for the Leader and the individual Team members. Of course, feedback is both possible and indeed essential at each stage – this is not noted on the diagram in the interests of simplifying the flow.
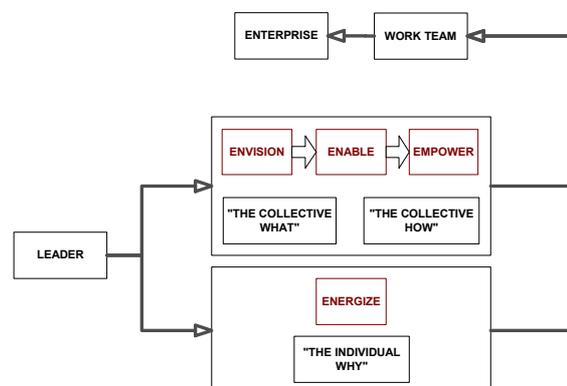


On reflection, the 4E's may be better defined as a "Scaleable Leadership" Framework.

It is scaleable as the principles at each stage (each "E") apply whatever the size of the Enterprise being considered. And it is scaleable, because whilst individual advice can be offered, it can be scaled to team activities and beyond.

There is thus a different emphasis in the questioning behind each of the 4E's:

- o **Envision**    definition and understanding of the Enterprise's mission and strategies
- o **Enable**    identification of appropriate tools, technologies, structures and tactics
- o **Empower**    activities to create interdependent, Empowered teams
- o **Energize**    activities of the individual Leader in motivating individuals and teams

## 7.4 Conclusions

The author believes that, from a commercial viewpoint, the 4E's Framework compares well with other available models, in terms of the breadth of issues dealt with, its theoretical background, its applicability to real world Leadership issues and the data base supporting its use. The 4E's also appears to have a competitively viable market positioning.

The paper will now consider methods of more rigorously examining the Framework's utility. Building on the extensive data base of respondents, exploration will include:

1. **face validity** (extent to which an assessment instrument subjectively appears to be measuring what it is supposed to measure)

2. **content validity** (perceived accuracy of the 4E's self assessment in terms of the respondent's current Leadership situation)

3. **internal validity** (absence of false correlations due to the question choice and structure)

4. **divergent validity** (statistically valid differences for different respondents)

5. **predictive validity** (perceived accuracy of the self assessment to indicate likely success from a respondent's actions)

## 8 The 4E's Data Base

*"Much education today is monumentally ineffective. All too often we are giving young people cut flowers when we should be teaching them to grow their own plants"*
*(John W. Gardner)*

The 4E's self assessment has been on-line since September 2002, and now has a database of over 4,500 respondents. At the time of writing, Google ranks it as the sixth most popular Leadership self assessment on the Internet and Yahoo! ranks it at number 3. Also, it is worth noting that the size of the 4E's database and its demographics compares favourably with many of the other models reviewed in section 7.

The self assessment consists of 30 questions covering the 4E's, which is a simplified version of the commercially applied assessment. Questions were chosen to minimize duplication. In other words, is the response to an individual question directly correlated with the response to any other question? Taking a statistical "break point" at a .9 correlation between the answers from separate respondents to any two questions, the answer is no – questions seem to be delivering relatively discrete answers.

The on-line self assessment was executed as a "free" exercise, with neither incentive nor penalty. At the end of this self administered questionnaire (with respondents answering on a 1 to 5 scale) respondents receive a tailored comment on their score with suggested ways to improve. (Details of the questions and suggestions for improvement are in Appendix 1a).

The data engine captured the assessments individually and anonymously, but with accessible demographics for analysis. For this paper, demographic data from over 2,600 respondents was analyzed by:

- o region (North America, South America, Europe, Africa, Middle East, Asia, Australasia)
- o age (under 18, 19-25, 26-40, 41-55, over 55)
- o gender
- o occupation (Senior or Junior Manager, Owner, Consultant, Student, Academic)

There are several admitted limitations of this data base for academic research:

- It was left to the respondent to be truthful about the demographics, and in particular the distinction between "junior" and "senior" manager may be open to interpretation.
- It is a self selected global sample, and has not been set up to yield matched populations. That said, the 4E's can be best used in tailored studies, as reviewed in section 9.
- There is a likely Western cultural bias, as several sources for the 4E's Framework are North American or European in origin.
- There is a numerical bias in the overall results towards "Western" respondents – North America, Europe and Australasians are 89% of all respondents. This may reflect cultural interest in such "tests" or simply accessibility of LeaderValues (which is in English only).
- There is no claim being made for the completeness of the question list.

On the other hand:

- The data does allow the application of the "null hypothesis" (the statistical hypothesis that states that there are no differences between observed and expected data). There is no right or wrong answer, and there were no ingoing expectation of specific results.
- As it reflects "relativities", there are no "buckets" of respondents, as in, e.g. the Maccoby "narcissism" assessment.
- There are also several large and independent sets which have similar variances, providing an opportunity for both correlation and t-testing of the sub groups.
- Parts of the database feature large respondent lists (e.g. North America, over 1700 people) which can allow for granular analysis (e.g. by age, job etc. inside North America).
- The datasets on gender, age and job description are large and statistically robust.
- Despite the weighting towards "Western" respondents, the other data bases (e.g. South America, 20 people) are still big enough to allow t-testing - although not big enough to allow granular testing as for North America and Europe.

## 8.1 Benchmarking

Several benchmarking exercises have been carried out against broadly used Leadership and Management "check lists". One such example is from the Office of Personnel management of the US Federal Government. This and other examples are set out in Appendix 2. Whilst there are differences between these various approaches, we believe the benchmarking suggests that the "face validity" of the 4E's self assessment questions is sound.

## 8.2 Analytical Process

Before statistical testing, the database was subject to pre-cleaning.

First, duplicate scores were eliminated. Every respondent's score is demographically marked by the data engine, allowing de-duplication.

Second, as sometimes respondents fill in all "1s", "3's" or "5s" - simply to see what happens in the on line feedback – these scores are all eliminated from the data base.

Testing shows that the dataset is composed of independent variables - for example, the junior managers scores are not correlated with the senior manager scores - with scores that are normally distributed and that have similar variances (via the 1 – 5 scale). As noted, there is also the possibility of a null hypothesis so this analysis is able to use 2-tailed t-tests on the various subgroups. 95% confidence levels were adopted.

The scores for the self assessment questions and t-test results by demographic are in the Appendixes (although in the interests of space, the t-tests on specific questions are not attached). In the tables, any t-test score below 0.05 is considered significant, and is coloured grey for easier recognition of patterns.

Below is an analysis of the headlines of the data – it is not claimed as conclusive or comprehensive but it is indicative of trends. In the analysis:

- a "combined" comment means an aggregate of all 4E's together

- an "overall" score for one of the E's means the aggregate of the answers in each "E" subsection (e.g. Envision)
- a "question" comment means an individual question within an "E" subsection

Statistically significant results are quoted, and the data set is used as collected by April 2004. Subsequent (and less detailed) analysis of data since then (to November 2004) shows no major changes in results.

## 8.3 Gender

First, whilst directionally the female scores on almost all questions are higher than males, t-testing shows no statistical difference in the overall combined result between men and women. This suggests that the study is overall gender neutral, although there are differences in detail.

For example, whilst the data shows no statistical difference on the overall scores on Envisioning, Empowering or Energizing, it does show a difference in Enabling. Within the individual Enabling questions, women self-assess as having a better grasp of the "tools being the right ones", and of "the right training being in place".

In the Empowerment section, whilst there is no overall difference, on certain questions women also self-assess ahead of men. For example, they have a statistically significant score on "common Values in the team" and on "appreciation of diversity" – perhaps not a surprising result but one which does give insight into the face validity of the Framework.

## 8.4 Geographic Location

North American results on the combined 4E's are statistically ahead of Asia, Africa and the Middle East. In fact, all geographic areas except Africa scored higher versus the Middle East.

This could reflect a cultural bias in the questioning. Still, analysis of the results by "E" suggests some patterns are evident.

On an individual question basis across all 4E's, the highest scores for all but South Americans was in "appreciation of diversity" – one suspects a certain degree of political correctness in the answer, and perhaps a weakly phrased question, which may be worthy of future modification.

Interestingly the weakest individual question scores showed different results:

- "Lack of personal development plans" (all Western Cultures)
- "Having enough enabling tools" (Asia)
- "Having enough financial resources" (Africa)
- "Having space to innovate" (South America)

Turning now to an analysis by each of the "E's":

### 8.4.1 Envision

This "E" had the most similar results across all regions, with only one overall difference - North Americans had a significantly higher score overall on "Envisioning" than the Middle East.

Detailed question results show that this reflects strength in "competitive advantages" and "understanding of key challenges".

Whilst there was no overall advantage for North Americans versus other geographical groups, there were some statistically significant individual question scores:

- vs. Europeans, for "mission understanding" and "clear priorities"
- vs. Asians, for "clear strategic choices"
- vs. Australasians, for "numerical goals"
- vs. Africans, for "understanding of the time frame to achieve success"
- vs. Europeans, Mid East and Australasians, for "competitive advantages"

This is intriguing, and has some "face validity" in the author's and partner's experience, and is worthy of further study.

### 8.4.2 Enable

The North American overall score for "Enabling" was significantly ahead of all other groups except the South Americans. Specific answers show that there seems to be a better appreciation of the tools, resources, organization structures and training needed. There was a particular advantage for "handling of complexity" and for "having the right information systems".

Of note, the question by question analysis also suggests that Australasians are closer to the North American self-perception than the European. And the Mid East and Africa ranked significantly below all other groups in Enabling scores.

### 8.4.3 Empower

The Mid East scored below all other groups overall. North America also had an edge over several other geographic areas, but not over Europe and Africa.

Individual questions did show higher scores for North Americans on "shared Values" versus all other groups, and edges for "interdependence" versus Europeans, Australasians and Asians. North Americans also scored higher than Asians, Mid East and Australasians on having "clear personal objectives".

### 8.4.4 Energize

Here the relative differences were smaller than for Enabling or Empowering. The only overall significance was that North Americans scored overall ahead of South Americans. Perhaps in the Energizing arena each geographical group has figured out how best to do this within their unique cultural context?

In the individual questions, North Americans did however see themselves as:

- "more decisive" than Europeans, Africans, Asians and Australasians
- "providing better feedback" than Africans, Asians and Europeans

## 8.5 Age

Overall, on the 4E's combined, 19-25 year olds delivered a statistically significant result versus both those under 18 and the older 26 – 40 year group. One assumes that educated youth has

all of the answers, but that the early years of one's professional career suggest that the answers are not as clear. The highest specific scores across all 30 questions were for "appreciating diversity", and the lowest were for either "lack of personal development plans" (over 26's) or "sense of clear priorities" (under 26's). It is possible that the imbalance in the sheer number of North Americans and Europeans answering the self assessment (84% of all responses) has a role to play here. That said, J&J's experience in Asia Pacific showed that the lack of personal development plans was the weakest point in all geographies.

### 8.5.1 Envision

There were no differences in the overall Envisioning score by age group, although the 19-25 group scored ahead of both 41-55 and 55+ on the specifics of "understanding challenges" and on "clear priorities".

### 8.5.2 Enable

The biggest differences once again occurred in Enabling, with those under 25 having statistically significantly higher scores than all other groups virtually across the range. The only exception was that no age group had a statistically different score on "having the right organization". Additionally, those aged 41-55 had a higher combined Enabling score both versus those aged 26-40 and those over 55. One hypothesis is that this is the most practical age in a Leader's life, being steeped in the experience of the tactics and tools needed to succeed.

### 8.5.3 Empower

In the Empowerment arena, again youth (under 25) scored highest, with a noticeably strong result against the 26-40 year group. This also has "face validity", as it is this latter, middle management group that often suffers from the most marked feeling of a lack of freedom and Empowerment. Interestingly the differences between the older age groups are no longer significant. Has reality set in?

### 8.5.4 Energize

This result reverses the trend on youth, with all groups self-scoring on the combined Energizing questions ahead of the under 18's. By contrast the older groups had relatively equally spread scores. One interpretation is that experience has allowed people to both better understand and to learn how to execute the energizing process – and this could be interpreted as an argument in favour of the possibility of Leadership development?

## 8.6 Job Description

On the 4E's combined, Junior Managers self assessed below all other groups except Academics. In turn, Academics self assessed below Owners, Consultants and Students.

### 8.6.1 Envision

There were no overall statistical differences for Envisioning. On the specific question areas, Junior Managers (perhaps not surprisingly) scored below Owners and Senior Managers for "understanding their mission", their "challenges" and their "priorities".

### 8.6.2 Enable

This again is where the biggest set of differences lies. It appears that Students know best, followed by Consultants and Owners – and all the Managers (Junior and Senior) are not so sure. Unfortunately, though, Junior Managers are the least sure of their tool kit.

### 8.6.3 Empower

Junior Managers and Academics scored significantly below Owners, Students and Consultants for Empowerment. Perhaps more surprisingly, Senior Managers also scored below Students and Consultants. Is this yet another example of reality hitting home?

### 8.6.4 Energize

And, given the previous data, a not surprising result – Junior Managers scored below all other groups, both overall and on almost all individual question areas. They clearly feel that they have a lot to learn in the Energizing of others.

## 8.7 Leaders Grow Increasingly Comfortable With Their Role

Building on this analysis, an important aspect of Leadership is that Leaders are increasingly self aware and at ease with their role. Observation of young business Leaders suggests that there are three sequential stages in their development:

- o  Learning the necessary skills and how to use them (Envisioning the choice of strategies and Enabling tactics)
- o  Exhibiting Leadership behaviours (including Empowering)
- o  Getting comfortable with the Leadership role (and Energizing)

Whilst Leaders may be able to demonstrate to others that they understand the theory, if they are not fully at ease with their role, it will not work for long. At the first sign of pressure or problems, inconsistencies will set into the Leader's behaviour, and when that happens, the potential Followers will be lost to the cause.

And the last point is where "emotional maturity" and "emotional intelligence" come most into play. It is no use just having all of the Leadership theory in your head – it must be used.

## 8.8 Conclusions

The analysis of data based on the 4E's self-assessment confirms its ability to generate useful, divergent results. Whilst the purpose of this analysis was to confirm this utility, the data does also suggest interesting social findings amongst the population who completed the assessment.

The relative strength of North American results in many areas suggests a good degree of "face" validity (e.g. availability of resources and tools, strategic clarity, decisiveness) and provides interesting insights into management and Leadership styles. The Asian and Latin American responses highlight concerns on Empowerment. And the difference in results between Junior Managers, Senior Managers and Owner / Entrepreneurs and between younger / older age groups suggests ways to focus the development programs of new business Leaders. These and several other conclusions are worthy of professional development and possibly new research.

## 9 Feedback on the 4E's

*"Storybook happiness involves every form of pleasant thumb-twiddling; true happiness involves the full use of one's powers and talents" (John W. Gardner)*

Respondents who completed the online questionnaire in Spring 2004 were asked to provide feedback on the model and its actionability.

## 9.1 Respondent Questionnaire Results

On a base of 95 respondents who provided this feedback, some of the results were:

o  29% of the users of the self assessment were already regular visitors to www.leader-values.com or were readers of the monthly newsletter published by the site.

o  58% of the users had previously read the explanatory 4E's materials on the web site.

o  74% of respondents did so to assess themselves, and 32% to assess their team. 54% wanted to be become more effective Leaders, and 42% to learn more about the 4E's (respondents were allowed multiple answers to this question).

o  On a scale of 1 to 5 (5 being the top score), the mean score for ease of completion of the self assessment was 4.5.

o  In terms of "appropriateness" of the questions, again rated 1 – 5, the mean scores were:

- Envision questions          4.1
- Enable questions            4.1
- Empower questions           4.3
- Energize questions          4.3

o  In terms of the spread of responses, the table below shows, for example, that 79% found the "Envision" questions either "quite" or "very" appropriate. 83% responded that the analysis of their Leadership situation was "quite" or "very" accurate.

| response | not | slight | average | quite | very |
|---|---|---|---|---|---|
| How easy did you find the online self assessment to use? | 0.0% | 0.0% | 9.5% | 29.5% | 61.1% |
| How appropriate did you find the 'Envision' questions? | 0.0% | 3.2% | 17.9% | 49.5% | 29.5% |
| How appropriate did you find the 'Enable' questions? | 0.0% | 1.1% | 12.6% | 57.9% | 28.4% |
| How appropriate did you find the 'Empower' questions? | 0.0% | 1.1% | 8.4% | 52.6% | 37.9% |
| How appropriate did you find the 'Energize' questions? | 0.0% | 2.1% | 8.4% | 49.5% | 40.0% |
| How accurate would you say the analysis of your Leadership situation was? | 0.0% | 3.2% | 13.7% | 67.4% | 15.8% |
| How would you rate the actionability of the advice? | 1.1% | 5.3% | 24.2% | 54.7% | 14.7% |

o  Averagely across the 4E's 87% of respondents felt "there was nothing missing from the questions" in the self assessment. In terms of overall "misses" from the 4E's, three specific responses were received which may help develop the Framework in future.

- ■ ambition ... at the heart of all successful businesses
- ■ change management and crisis handling
- ■ reference to ethics or entrepreneurism

o Only 2% claimed to have ignored the advice given, with 35% following some or most of the advice. 62% claimed to have talked over the results with supervisors, their work teams or their peers. 54% identified areas of personal development.

o In rating the 4E's self assessment versus other approaches. 28% rated the model as a lot better than others they have used, and 75% rated it as a "bit better" or a "lot better". Personal "actionability" was rated 62% on the same scale, and helpfulness of the online advice at 61%. Actionability for the team was a little lower, at 54%

| response | inferior | not quite as good | same | bit better | lot better |
|---|---|---|---|---|---|
| Ease of understanding of the 4E's model | 0.0% | 2.1% | 31.6% | 38.9% | 27.4% |
| Thoroughness of the 4E's model | 0.0% | 5.3% | 33.7% | 42.1% | 18.9% |
| Appropriateness of the self assessment questions | 0.0% | 5.3% | 23.2% | 47.4% | 24.2% |
| Helpfulness of the improvement advice given | 0.0% | 7.4% | 31.6% | 41.1% | 20.0% |
| Actionability of the 4E's model for you personally | 3.2% | 3.2% | 31.6% | 40.0% | 22.1% |
| Actionability of the 4E's model for your team | 2.1% | 8.4% | 35.8% | 34.7% | 18.9% |
| Overall rating of the 4E's model | 0.0% | 3.2% | 22.1% | 46.3% | 28.4% |

o An area of interest is how respondents viewed the self assessment when cross tabbed against why they took it in the first place. For example, the table below shows that amongst people who wanted to assess themselves, 80% rated the Envision questions as "quite" or "very" appropriate. 88% who "wanted to get better results in their organization" felt the questions appropriate. Similar results were seen for the other E's.

| cross tab | How appropriate were the Envision questions? | | | | |
|---|---|---|---|---|---|
| Why did you self assess? | not at all | slightly | average | quite | very |
| Assessing myself | 0.0% | 2.9% | 17.1% | 55.7% | 24.3% |
| Assessing the team I work with | 0.0% | 6.7% | 16.7% | 60.0% | 16.7% |
| Assessing the Leadership in my organization | 0.0% | 7.7% | 11.5% | 65.4% | 15.4% |
| Assessing my organization as a whole | 0.0% | 5.0% | 20.0% | 60.0% | 15.0% |
| To become a more effective Leader | 0.0% | 2.0% | 16.0% | 50.0% | 32.0% |
| To get better results in my organization | 0.0% | 0.0% | 12.5% | 50.0% | 37.5% |
| To learn more about Leadership | 2.4% | 2.4% | 24.4% | 46.3% | 24.4% |
| To learn more about the 4E's | 0.0% | 0.0% | 18.8% | 43.8% | 37.5% |
| To be able to better use the 4E's | 0.0% | 0.0% | 15.4% | 30.8% | 53.8% |
| To compare the 4E's Leadership assessment with others | 0.0% | 0.0% | 6.3% | 62.5% | 31.3% |

Full detail is shown in Appendices 6 and 7. Whilst a limited database, these indications of the value of the 4E's self assessment to its users are encouraging.

## 9.2 Professional feedback

The author has also solicited professional feedback on the 4E's Framework and the self assessment. Here is an example from a recent discussion with Dan Elash, a US based Leadership consultant and contributor to LeaderValues.

*What do you think of the 4E's approach?*

*"You have a very nicely crafted assessment too, that can be used in a variety of ways:*

- o *By a consultant working with a CEO*
- o *By a CEO reflecting on the organization*
- o *By a consultant and CEO working with the Leadership team*
- o *By a Leadership team assessing themselves or assessing their organization"*

*What would you modify, to improve the 4E's?*

*"I wouldn't change the questions as I feel that they do the job very well. I found that when I took the survey I used my own frame of reference, including my own standards and definitions. I would expect that everyone does that. Is there anything that you can do to help set a frame of reference before people launch into the questionnaire?*

- o *Am I speaking from my functional perspective or am I answering for the Enterprise as a whole?*
- o *What's a [score of 3] three and how does it differ from a two or a four?*
- o *What frame of reference should I be using?*

*The feeling I had after taking the assessment was that you hit all of the right notes in your questions, but that it would be easy for many people to answer them mechanically and miss the implications of art and synergy".*

Whilst not claimed conclusive, this does provide some sustenance that other workers in the field see the 4E's as a useful Framework.

## 9.3 The 4E's as a Teaching Framework

Further evidence of the utility of the Framework comes from its use in teaching. Several institutions use it, with the example quoted here coming from Jim Braden in Seattle. Braden asks students to use the 4E's on-line assessment, and prepare a Paper on Leadership as a result.

Braden commented on his teaching use of the 4E's.

*"I … have been using the 4's Website for several years, with much positive student feedback and success. I ask students to complete the self assessment questionnaire then choose one of the historical figures they most identify with in their approach to leadership. They must write a paper explaining the questionnaire results and why they choose this historical figure.*

*Then … require my … students to write a comprehensive self evaluation paper explaining how the results of these exercises relate to where they see themselves (or don't) in the business world.*

*My students routinely report they expected to learn about business concepts in my class, but what they really learned is more about who they are as human beings and how that relates*

*to being successful in any business. And that what they learned about themselves has proven to be more valuable and useful to them".*

Examples of student work are included in Appendix 8.

## 9.4 Conclusions

The responses from 4E's users, alongside the analysis in Section 8, suggest that the Framework as executed in the self assessment does have:

1. **face validity** (extent to which an assessment instrument subjectively appears to be measuring what it is supposed to measure)

2. **content validity** (perceived accuracy of the 4E's self assessment in terms of the respondent's current Leadership situation)

3. **internal validity** (absence of false correlations due to the question choice and structure)

4. **divergent validity** (statistically valid differences for different respondents)

The paper now turns to a review of a current case study using the 4E's in a global organization, with a view to discussing **predictive validity**.

## 10 Save the Children Global Case study

*"Excellence is doing ordinary things extraordinarily well"*
*(John W. Gardner)*

## 10.1 Background

Save the Children is one of the World's best known NGO's, and was founded in 1919 by Eglantyne Jebb in the UK. Eglantyne was the first to institute modern scientific and management methods to "charity" work, and stressed sustainable programs and "self help" rather than "handouts". She also was the architect of what was to become the United Nations Convention on the Rights of the Child, adopted by all Nations on Earth except one (the USA). Save the Children have field operations in over 100 countries.

Organizationally, Save the Children is a highly decentralized Federation of 29 independent, individual country Members (e.g. Save the Children USA, Save the Children UK, Save the Children Japan etc.). Unfortunately until recently only a handful of these individual Members could be claimed to be "strong" in either fund raising or management skill.

Additionally, different Members adopted different programmatic and strategic focus areas. For example, the Scandinavians are very "child rights" and advocacy focused, whereas the Americans are more programmatically and field driven. This has frankly led to internal tension.

About 6 years ago the International Alliance Secretariat (based in London) started to find ways to strengthen the Membership, clarify the collective strategies and public relations stance, strengthen global branding, and bring more common approaches to the field activities.

Late 2002 it was decided to create a set of Leadership development tools, to provide benchmarks and stimulus for action in Board and senior management training. A small group of advisors created a set of draft Leadership Standards (Appendix 5) which were subsequently endorsed by the Alliance Board. The Standards use the 4E's Framework, split operationally and organizationally, with mechanics based on the LeaderValues website execution. A 60 question on-line self assessment was created, tailored to specific Save the Children issues and situations.

The Global CEOs and their senior Managers all completed the assessment, and results were reviewed at the Global Member's meeting in March 2003 (Vancouver). It was subsequently agreed to start a series of pilots using the Standards inside Member Country organizations.

The intent was not to compare one Country with another, but to provide developmental snapshots for each Member's own development. Three organizations volunteered to do this – Save Australia, Save Sweden and the International Secretariat in London. The pilot results (Appendix 5a & 5b) were discussed at the May 2004 Global Member's meeting in Hong Kong.

As background, the author is a Board Trustee of Save the Children USA, an ex Board Member of Korea, a co-founder (with wife Ingrid) of a schools program in Cambodia (managed by Save the Children Norway), and a Senior Advisor to the International Alliance on strategic and trouble shooting matters.

## 10.2 Global CEOs

15 Member CEOs and 50 of their senior staff completed the assessment, and results were discussed at the Vancouver meeting (March 2003).

Several findings were apparent, with the most marked being the higher ratings given across the range by the CEOs than their Senior Managers. This is not totally surprising, given the LeaderValues work discussed before, but what was marked was the size of some of the differences, especially in the Innovation and People systems areas. The overall scores:

| OVERALL RESULTS | | CEOs | Snr. Mgrs. | Difference |
|---|---|---|---|---|
| ENVISION | - Strategy | 4.2 | 3.8 | 0.4 |
| **ENVISION** | **- Innovation** | **4.4** | **3.8** | **0.6** |
| ENABLE | - Tools | 4.0 | 3.8 | 0.2 |
| **ENABLE** | **- People** | **4.3** | **3.8** | **0.5** |
| EMPOWER | - Measures | 4.1 | 3.8 | 0.3 |
| EMPOWER | - Development | 4.1 | 3.8 | 0.3 |
| ENERGIZE | - Communicate | 4.2 | 3.8 | 0.4 |
| ENERGIZE | - Inspire | 4.3 | 4.0 | 0.3 |

Analysis by question showed several disconcerting points. First, whilst the CEOs felt able to "provide effective governance", the Senior Manager group was significantly less confident. There was clearly a training job to be done via "best practice" sharing.

Second, there was a marked difference in the responses on "anticipating Children's needs" and "representing the Global Alliance" (i.e. the future strategic directions needed). Subsequent work done by the Alliance Chair (Barry Clarke) to create a unifying and Global strategic vision has addressed this (see below).

Third, there were clearly people issues, as the CEO's self assessment on "improving performance" and "encouraging risk taking" was well ahead of the Senior Management group.

| BIGGEST DIFFERENCE BETWEEN CEOs AND SENIOR MANAGERS | CEOs | Snr. Mgrs. | Difference |
|---|---|---|---|
| Help provide effective Governance of our activities at all levels, in line with our Values | 4.3 | 3.4 | 0.9 |
| Anticipate future Children's needs rather than just reacting | 4.4 | 3.7 | 0.7 |
| Improve people's performance from "good" to "excellent" | 4.1 | 3.4 | 0.7 |
| Encourage the taking of needed risks in trying out new ideas | 4.6 | 3.9 | 0.7 |
| Able to effectively represent the Save the Children Alliance both externally & internally | 4.6 | 4.0 | 0.6 |

On the other hand, there were more similar results for the lowest ranking items in the two groups, suggesting a fairly broad consensus on the weaker points inside Save the Children. Importantly, but not completely unexpectedly, 50% of these weaker points fell into the "Empowering" area (marked in grey in the table below)

| CEO - LOWEST RANKING ITEMS | CEOs | Snr. Mgrs. | Difference |
|---|---|---|---|
| Ensure all team members take responsibility for their own self development | 3.9 | 3.6 | 0.3 |
| Help people prepare for greater responsibilities | 3.9 | 3.6 | 0.3 |
| Identify the right tools to meet Save the Children's goals | 3.9 | 3.9 | 0.0 |
| Provide timely problem solving, decisions and feedback on changes to the plan | 3.9 | 3.6 | 0.3 |
| Develop and communicate our numerical goals | 3.8 | 3.5 | 0.3 |

| | | | |
|---|---|---|---|
| Comfortable with ambiguity and uncertainty | 3.7 | 3.5 | 0.2 |
| Develop appropriate measurement tools for Save the Children | 3.7 | 3.6 | 0.1 |
| Develop appropriate performance measurements for people in the organization | 3.7 | 3.4 | 0.3 |
| Ensure all team members have agreed personal development plans | 3.7 | 3.4 | 0.3 |
| Leverage technology, products and services across boundaries | 3.6 | 3.3 | 0.3 |

The net conclusion was that work was indeed required at several levels – in both defining and articulating collective strategies, and in creating more effective organizational programs. It was also agreed to get more "grass roots" data by piloting the assessment with Members.

Whilst the actions should bring improvement, the author and senior Alliance Leadership remained concerned that the CEOs are still to some extent simply "passing the buck" on some of these issues.  We are therefore using the on-going discussion on Leadership development to try to galvanize a more pro-active and self-critical approach to the CEO role.

Three organizations piloted the Leadership Standards in 2003 / 2004.

## 10.3 International Alliance Secretariat

The Secretariat is in a difficult situation.  Whilst charged with finding ways to strengthen the membership and their common programs, it has little direct authority. This is compounded by the role that individual strong Members play – for example, the USA, UK, Norway and Sweden account for 85% of all worldwide income – and in their wanting to essentially remain independent and in control. There is a high level of frustration in the people at the Secretariat, and thus the group readily agreed to a self assessment of how their people were faring.

The Secretariat is a small group, so just 16 people completed the self assessment, requiring some statistical "scepticism". Results were cross referenced to the combined results of the balance of all other Save the Children assessments to that point completed (86 respondents).

Across the board, the Secretariat scored directionally lower, with some marked differences (particularly in "people" areas of Enabling and Empowerment).

This is illustrated by the "radar" chart opposite – a technique the author uses to show the "shape" of an organization versus benchmarks. The chart shows a subset of the 60 Save the Children questions (i.e. using the basic 30 LeaderValues questions).  The dark red secretariat line shows results below total Save the Children.  And the overall results by "E" were as follows:
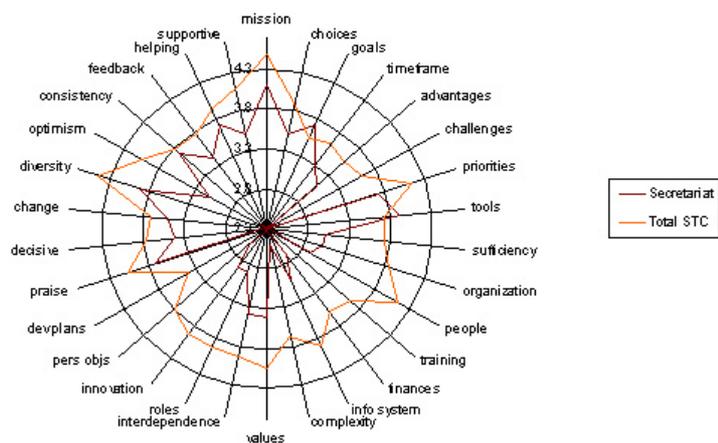
| OVERALL RESULTS | | Secretariat | Total STC | Difference |
|---|---|---|---|---|
| ENVISION | - Strategy | 3.7 | 3.9 | -0.2 |
| ENVISION | - Innovation | 3.7 | 3.9 | -0.2 |
| ENABLE | - Tools | 3.3 | 3.7 | -0.4 |

| | | | | |
|---|---|---|---|---|
| ENABLE | - People | 3.2 | 3.8 | -0.6 |
| EMPOWER | - Measures | 3.0 | 3.7 | -0.7 |
| EMPOWER | - Development | 3.3 | 3.8 | -0.5 |
| ENERGIZE | - Communicate | 3.9 | 3.9 | -0.0 |
| ENERGIZE | - Inspire | 4.0 | 4.2 | -0.2 |

The lowest ranking question results showed a significant weakness in several areas of Empowerment (grey in the table below), as well as concerns about how best to influence the future direction of the Alliance. 11 out of the 15 Empowerment questions showed a statistically different result for the Secretariat to the rest of Save the Children.

| SECRETARIAT - LOWEST RANKING ITEMS | Score | t-test vs. Total |
|---|---|---|
| Ensure the organization quickly solves problems and learns from experience | 2.9 | Significant |
| Help people prepare for greater responsibilities | 2.9 | Significant |
| Consistently focused on meeting the needs of Children | 2.8 | Significant |
| Help provide effective Governance of our activities at all levels, in line with our Values | 2.8 | Significant |
| Ensure that Save the Children seizes the advantage of Leadership in all of our activities | 2.8 | Significant |
| Anticipate future Children's needs (rather than just reacting) | 2.7 | Significant |
| Improve people's performance from "good" to "excellent" | 2.8 | Significant |
| Identify the right training needed to get the job done | 2.7 | Significant |
| Ensure all team members take responsibility for their own self development | 2.6 | Significant |
| Hold people accountable for results | 2.7 | Significant |
| Develop appropriate performance measurements for people in the organization | 2.6 | Significant |
| Ensure all team members have agreed personal development plans | 2.6 | Significant |
| Effectively deal with performance problems | 2.4 | Significant |

The Secretariat convened a working group to decide on next steps, with help from the author. Rather than tackle the perhaps obvious but rather internal "people issues", it was decided to instead focus more externally - on how to "Ensure the organization quickly solves problems and learns from experience". This was felt to be the most actionable in terms of improving the actual work results of the Secretariat and its relationship with the individual Country Members. The belief is that the "learning organization" paradigm will not only get better results but also start to redress the internal people issues. In the Secretariat's own words:

> *"We have used the initial assessment to more precisely define and describe the limitations of the Secretariat's mandate, and we plan to use this analysis to explain more clearly to the Members what we can and cannot do, and hence what their expectations should be. We are taking one of the standards on which we scored low, and are addressing it with the objective of learning how to do our job better".*

This program has now started but has been temporarily interrupted by a major internal organizational re-alignment. In the meantime, Sam Parker, the Senior Manager responsible for the program was interviewed about the program. In order to try to better understand the assessment process and its impact on the respondents, he was asked:

"What was on your mind when you were answering each of these groups of questions for Save the Children – examples would be current situations you were considering, past events you were thinking about, people you were considering, your personal role in the area considered".

> *"All questions I answered in relation to my working relationship with Alliance Members, and how effectively I lead them.*

*Envision – strategy. On developing new Members (e.g. India) I thought of my efforts to focus participating Members on setting and sticking to clear goals. I also thought about my consistent analysis of whether our work is benefiting children.*

*Envision – innovation. I thought more about capacity building work with Members where I routinely challenge the status quo re: how they run their organisations.*

*Enable – tools, technologies, processes. I thought about coordinating Members to set up new organisations, where I have to organise the right tools, knowledge, information systems and funding to do the job. On setting priorities – I thought about the India 2004 work plan which sets out their priorities.*

*Enable – structures, people. In this section I thought about my direct work with Members in capacity building, in guiding associates, and in developing best practice.*

*Empower – measurement, develop and reward combined. I thought about the criteria for membership which Associates have to meet, and my role in assessing whether they should be members or not. All my daily work requires building constructive relationships with Members. I thought of advice I have given to CEO's and Board members on how they can set up the measurement systems for their staff*

*Energize – communicate. I thought of my role of coordinating the India project, and of my extensive dealings direct with members in capacity building – e.g. Spain, Korea, Japan, Iceland, Guatemala.*

*Energize – inspire success. I thought of all my work – building new Members, guiding Associates, coordinating best practice development, capacity building for small and medium sized Members. Given the absence of line authority at the Secretariat, it is necessary to be able to lead by inspiring success".*

These comments are documented in full, as they are instructive. Encouragingly the assessment was being interpreted and used as an action template rather than as a behaviour or skills-only analysis. Follow up discussion with Parker confirms this.

Parker went on to comment that the assessment yielded an accurate analysis of his group's current position, and, whilst it did not provide any particularly surprising findings, it very clearly identified a morale issue which, now data is available to be shared, can be tackled.

## 10.4 Australia

Until about two and a half years ago, Save the Children Australia was in serious financial and organizational difficulties. Each of the States was operating independently, and fund raising was stagnating. Since then, with a new and business-savvy CEO (Margaret Douglas) things have been turned around. This has been helped with a Market Development Program financed by the larger Global Members, restructuring at the State level, and the creation of a new and dynamic Senior Management team. The management team is now enthusiastic about the future.

Not surprisingly, therefore, the overall "shape" of their self assessment was more positive than the global LeaderValues database and ahead of the Save the Children total in many areas. On the other hand, for strategic choices, understanding of the challenges facing Save and competitive advantages, however, there was no advantage and in fact some disadvantages. This was to a certain extent expected by the CEO, as the organization has spent the past two years deep in restructure, and is just now refining its future strategies. (Australia is green on the chart, LeaderValues baseline is purple, and Total STC is red).
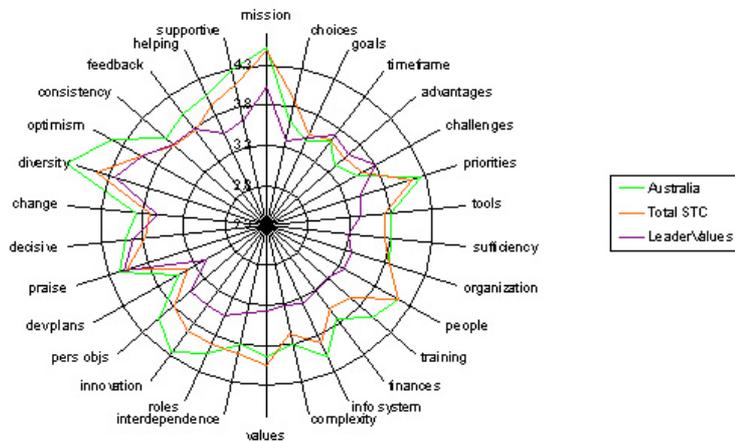
Studying the highest and lowest ranking items showed the collective group self assessing high on "Values" issues, but lower on harder edged and numerical areas.

It suggested work still to be done on "time frames", "personal development plans" and "people measurement" systems. This provided a useful extra "tool" with the Board in determining future focus areas.

| Highest ranking items | Score |
|---|---|
| Appreciate the value of diversity | 4.8 |
| Demonstrate personal integrity and ethical standards | 4.7 |
| Hold yourself responsible for outcomes | 4.6 |
| Willing to incur short-term costs in order to achieve long-term results | 4.6 |
| Avoid political or self-serving behaviour | 4.6 |
| Genuinely listens to others | 4.6 |

| Lowest ranking items | Score |
|---|---|
| Ensure that Save the Children seizes the advantage of Leadership in all of our activities | 3.6 |
| Have a clear view of the time frame needed to achieve Save the Children's goals | 3.6 |
| Develop appropriate measurement tools for Save the Children | 3.5 |
| Ensure all team members have agreed personal development plans | 3.5 |
| Develop appropriate performance measurements for people in the organization | 3.5 |
| Leverage technology, products and services across boundaries | 3.5 |
| Successfully position Save the Children to capitalize on new fact-based needs | 3.5 |
| Develop and communicate our numerical goals | 3.5 |
| Anticipate future Children's needs (rather than just reacting) | 3.5 |
| Benchmark against other Leaders in the field to help create or maintain advantages | 3.4 |

Digging further into the data showed a mismatch between the Board and the Field people (although it must be noted the Field base was small, built on field-facing home office people, and therefore may not be entirely representative).

| Field vs. Board Biggest Differences | Score |
|---|---|
| Hold people accountable for results. | -1.2 |
| Avoid political or self-serving behaviour. | -1.0 |
| Feel optimistic about the future. | -1.0 |
| Balance the needs of different groups in the Enterprise to create effective outcomes | -0.9 |
| Provide timely problem solving, decisions and feedback on changes to the plan. | -0.9 |

Still, because of the dramatic difference, the Board is asking more Field people to complete the self assessment, with a view to getting a better fix on next steps. This is now in progress.

In follow up interview, the CEO of Australia was asked her going-in thoughts. She noted that her goals in going through the exercise with her organization were to

> "[Create] a future organisation which was very different to the one I inherited. What I personally want to make happen [is] to "commercialise" the sector. [There is a] complete lack of proper systems and tools and possible timelines – [we need to] streamline the organisation and recruiting staff [and introduce] new types of thinking".

When asked about accuracy, Douglas commented;

> "In terms of accuracy to the total group's situation, [the assessment] was accurate. I knew at the time that there was a faction within the organisation which was afraid of change and had a particularly negative view of the organisation and where it was going. This had a disproportionate effect on the results.
>
> [For her personal situation she noted that it] was not very accurate – but this could have been a result of how I answered the questions. I am my harshest critic and I saw all that still needed to be done and not what had been achieved".

She went on to comment that she was however surprised.

> "I thought I was a better leader than results depicted".

Beyond broadening access to the self assessment, Australia is focused on creating a common language to address their challenges, and finding effective measurement tools to gauge improvement.

## 10.5 Sweden

Save the Children Sweden is one of the oldest Members, starting in 1919 just after Eglantyne founded the UK organization. It is a strong organization, with an excellent presence in Sweden and a good funding base.

Like the other Scandinavian Members, Save the Children Sweden is focused on Child's Rights issues and advocacy rather more than on programmatic areas (e.g. school building etc.)

Similar to Australia, therefore, the overall shape was positive. As noted we should not directly compare specific scores between Countries, as this can be affected
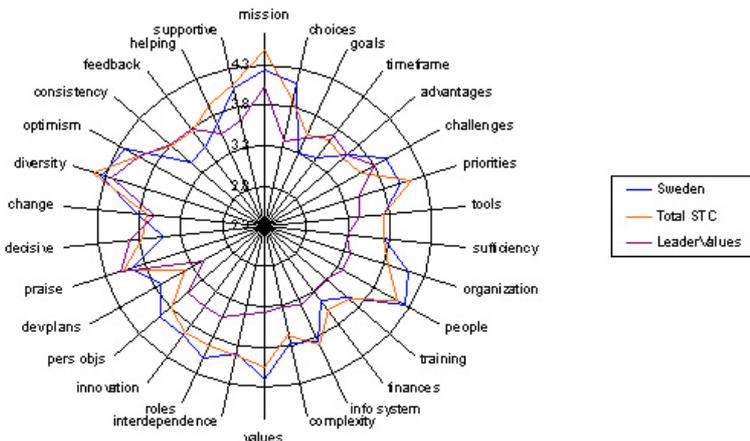
by culture and other issues.

In the highest scores, encouragingly many "Values" issues appeared, quite similar to the Australian results. In fact, 5 of the top 6 positive question areas were identical between Australia and Sweden, underlining the strength and consistency of the common global mission.

In the weaker areas, there was some similarity with Australia in terms of "measurements", "people measurements", "clear time frames", "numerical goals" and "using technology".

However, there were several points of difference – of the bottom 10 scores just 5 were common between the two Member Countries. For Sweden there were new questions in "financial resources", "timeliness of decision making", "improve people's performance from good to excellent", "dealing with performance problems", and "consistency of feedback".

| Highest ranking items | Score |
| --- | --- |
| Demonstrate personal integrity and ethical standards | 4.6 |
| Hold yourself responsible for outcomes | 4.5 |
| Challenge the status quo (when change in needed) | 4.4 |
| Genuinely listens to others | 4.4 |
| Willing to incur short-term costs in order to achieve long-term results | 4.4 |
| Appreciate the value of diversity | 4.3 |

| Lowest ranking items | Score |
| --- | --- |
| Improve people's performance from "good" to "excellent" | 3.5 |
| Provide continuous, clear and consistent communication at all levels | 3.5 |
| Provide timely problem solving, decisions and feedback to changes to the plan | 3.5 |
| Effectively deal with performance problems | 3.5 |
| Identify the right financial resources to meet our goals | 3.4 |
| Leverage technology, products and services across boundaries | 3.4 |
| Have a clear view of the time frame needed to achieve Save the Children's goals. | 3.3 |
| Develop and communicate our numerical goals | 3.3 |
| Develop appropriate measurement tools for Save The Children | 3.3 |
| Develop appropriate performance measurements for people in the organization. | 3.2 |

Sweden had a stronger score on "personal development plans" than other results seen to date, and it was clearly not a weakness. This reflects major emphasis that had been placed on the issue in recent years and provides helpful clues on how best to do this in other organizations.

The Swedish Management team agreed that they needed to follow through on two specific issues. First, they need to inculcate a much stronger "results orientation" in the organization, consistent with their emphasis on "child rights" based programming. Second, they will develop a $360^0$ feedback version of the self-assessment, which if successful will move towards integration of the 4E's into their on-going performance management system. This is now in progress.

## 10.6 Global Adoption and Next Steps

The author and other Senior Advisors to the Alliance presented the findings of the pilot studies to the International Members Meeting, held in Hong Kong in May 2004. It was unanimously agreed to adopt the Leadership Standards without change, and to incorporate them into the Best Practices Manual now being developed for use by all. Members will be free to use the Standards as they feel most appropriate to their particular context – e.g. well established and strong Members (like the US and UK) already have Leadership programs in place, whereas the

smaller and newer members do not. The US group has already modified their existing Leadership program to incorporate the Global Standards, with first assessments due early 2005.

The Senior Advisors group did note that it is essential to fully integrate the Leadership Standards into "daily operations" rather than have them as a stand-alone training tool. NGO organizations are almost by definition short staffed and under continuous time pressure – and so for a tool like this to enter effective use it must be connected to current business processes. In parallel, Save the Children has adopted a three fold strategy across all Global operations, as a result of the work led by the Chair (Clark – noted above). The Advisor group has therefore "mapped" the Leadership Standards against these strategic choices.

| FOCUS AREAS | LEADERSHIP FOR CHANGE | LEADERSHIP FOR ORGANIZATIONAL EFFECTIVENESS | LEADERSHIP FOR TEAM DEVELOPMENT |
|---|---|---|---|
| Strategy 1<br>Delivering global successes to achieve measurable results for children | Envision – create and communicate an innovative strategy | | |
| Strategy 2:<br>Building stronger members | | Enable – identify the necessary tools, processes, people and structures | |
| Strategy 3<br>Improving the internal functioning of the alliance (including unified presence) | | | Empower – develop and measure interdependent and effective teams |
| All 3 strategies | Energize – show consistent personal leadership | | |

Whilst this may be over simplifying things, it will help Members connect the Leadership Standards directly with their strategic goals. The Advisor group is also creating a template of "how to" sources of improvement. An example is reproduced here for the first "E", Envision.

| LEADERSHIP FOR CHANGE | ACTIONS TO STRENGTHEN SKILLS, CAPACITY AND PERFORMANCE | REFERENCE MATERIALS |
|---|---|---|
| ENVISION<br>CREATE AND COMMUNICATE AN INNOVATIVE STRATEGY | • Establish a clear vision for the future<br>• Develop a strategic plan<br>• Communicate strategic goals<br>• Lead the change process | • A two page document defining vision and mission<br>• Provide the outline of a good strategic plan as a model<br>• Web references, HBS papers, Leadership Best Practice paper<br>• Best practices on effective communications<br>• Workshop – how Board Members can contribute to the strategy |

## 10.7 Conclusions

This case study shows encouraging convergences on the strengths and divergences on the weaknesses of Save the Children across the world. The convergences will allow the Alliance to build stronger common future plans, and the differences will ensure local concerns are not lost.

Yet it also illustrates some of the unique issues facing quite different types of Members, and it is beginning to provide a set of guidance metrics for these issues. It is suggesting a set of actions that Leaders of Save the Children organizations can undertake to improve the results achieved, as well as strengthen their organizational effectiveness.

From this paper's research viewpoint, the Standards based on the 4E's Framework are providing discriminatory answers. The self-assessment is also able to be interpreted in a variety of ways – organizational "shape", comparisons with benchmarks, high / low scoring areas, and internal

comparisons of different functions and levels.   And it provides a set of useful organizing principles for discussion, future action plans and learning programs.

This case study helps illustrate the face, content, internal and divergent validity of the 4E's Framework. As the Global program is only now just getting underway, it is too early to ascribe hard results, but we will be tracking over the coming year with a view to more clearly establishing predictive validity of the Framework activities.

## 11 Conclusions and Next Steps

"The cynic says, "One man can't do anything." I say, "Only one man can do anything"
*(John W. Gardner)*

Returning to the starting quote from John W. Gardner (that the purpose of Leadership is to keep hope alive), this paper suggests that the 4E's Framework is a set of practical and sequenced Leadership activities that can help generate useful personal learning and provide routes to better outcomes both for the Leader and the organization as a whole.

The literature review, benchmarking and the self-assessment data analysis suggests that the 4E's has face validity, content validity, internal validity, and divergent validity. Feedback from various types of users underlines this with very positive responses to the Framework.

The current case study in a global organization (Save the Children) suggests a high degree of practicality and flexibility inherent in the Framework, although it is noted that formally predictive validity cannot be assessed until the project moves further along.

In summary, the 4E's Framework is built on a useful definition of Leadership encompassing both operational (i.e. task driven) and organizational needs.

> *"Leadership is the energetic process of getting other people fully and willingly committed to a new course of action, to meet commonly agreed objectives whilst having commonly held Values"*

It is then defined along these two dimensions as a sequence of activities.

- o **Envision:** Values-driven setting of goals and strategies
- o **Enable:** identifying tools, technologies, organization structures and people
- o **Empower:** creating trust and interdependence between Leader and Follower
- o **Energize:** the personal Leadership motor to drive the entire system
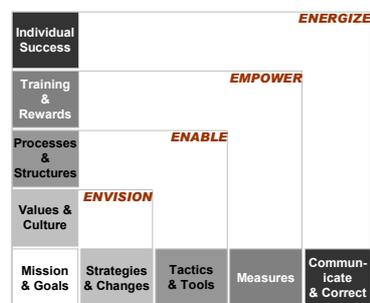


The Framework is focused on "actions in use" rather than "espoused competencies" or "personal behaviours".  The first three Es symbolize the collective "what" and "how", whilst the last E suggests the individual "why", both for the Leader and the individual Team members.

The 4E's may be seen as a "Contingent and Scaleable Leadership Framework". It is contingent in its ability to be tailored to specific Enterprise needs and situations. It is scaleable as the principles at each stage (each "E") apply whatever the size of the organization, and because whilst individual improvement advice is delivered, it can be also helpful in team development.

As noted throughout the paper, a few refinements will help improve commercial application of the tool, and there are pointers for further research and development.  Nevertheless, the 4E's Framework appears to be robust and practical, and it forms a strong starting point for professional consultancy use in Leadership development and organizational change settings

# Appendix 1a: LeaderValues Free On-Line Self Assessment

This is the self-assessment used on the LeaderValues website for the past two years. It has received over 4,500 respondents to date. This appendix also shows the advice offered on-line as people complete the assessment.

Answer: "Are you …" or "Do you …" in each case

Rating:   1 (never), 2 (occasionally), 3 (often), 4 (usually) and 5 (always)

### ENVISION – CREATE & COMMUNICATE AN INNOVATIVE STRATEGY

1. We have a clear understanding of our organization's mission.
2. We have a clear understanding of our organization's strategic choices.
3. We have a clear understanding of our organization's numerical goals.
4. We have a clear view of the time frame to achieve our goals.
5. We have a clear understanding of our organization's competitive advantage.
6. We have a clear understanding of our organization's challenges.
7. We have a clear understanding of our organization's next twelve months priorities.

### ENABLE – IDENTIFY THE NECESSARY TOOLS, PROCESSES, PEOPLE & STRUCTURES

8. The team has identified the right tools to meet our goals.
9. The team has identified enough tools to meet our goals.
10. The team has identified the right organization structure to meet our goals.
11. The team has identified the right people in place to meet our goals.
12. The team has identified the right training to meet our goals.
13. The team has identified the right financial resources to meet our goals.
14. The team has identified the right information system to meet our goals.
15. Everyone in the team can handle the complexity of the job.

### EMPOWER – DEVELOP & MEASURE INTERDEPENDENT & EFFECTIVE TEAMS

16. Everyone in the organization has shared Values.
17. The team is operating as an interdependent group.
18. We have identified and clarified roles and responsibilities for everyone in the team.
19. We all have space to innovate.
20. We all have clear personal objectives.
21. All team members have agreed personal development plans.

### ENERGIZE – SHOW CONSISTENT PERSONAL LEADERSHIP

22. I am open with both praise and constructive criticism.
23. I make decisions in a timely manner.
24. I thrive in uncertain circumstances.
25. I appreciate the value of diversity.
26. I feel optimistic about the future.
27. I provide clear and consistent communication at all levels.
28. I provide timely feedback on changes to the plan.
29. The team helps each other constructively deal with differences.
30. Everyone in the team supports the final decision, even if was not his / her idea.

When the respondent completes the assessment, they are then offered brief points of advice for self – development, split by scoring tertile for each of the 4E's and for the Overall (combined) score.

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## *ENVISION*

### Top tertile (27 - 35 score)
*Great job! There is a clear vision and mission, and some serious goals. Priorities seem to be clear and agreed ... but be SURE that they are. Often translating the "theory" into the "practice" is what lets down even the tightest and best understood strategy. The rubber hits the road when it comes to day to day priorities, which everyone in the organization understands and works towards. So try MAPPING THE PRIORITIES directly against the strategies – if they fit, good. If not, adjust things to fit. And be sure to eliminate activities that are peripheral and not really important.*

### Middle tertile (16 - 26 score)
*Not bad – but we'd suggest you go through each of the questions and evaluate where your responses were not as specific as you think they could be. Get the mission right, and the strategies decisive, and the rest will start to follow. Make the mission fuzzy, and it doesn't matter how good the plan is, it will fail. And don't procrastinate. See where your weakest scores are. Write down a more specific response, in each case from TWO ANGLES - your perspective, and also that of your organization. Then, is the item clear in your mind, or is it that your organization is not "on board"? Build up (iteratively) a fine-tuning of the vision and strategic choices.*

### Bottom tertile (7 - 15 score)
*Well, we think you'd better take out a piece of Paper, and write down a few things. Try this format:*
*OBJECTIVES: the end point of your activities, in words – the future state.*
*GOALS: the hard numbers of whatever you are aiming for.*
*STRATEGIES: some simple (3/4) choices in words of what you will and (even more important) what you will not do.*
*MEASUREMENTS: What you expect to get from each of the strategies, in numerical terms, and by specific dates. Be very tough minded. Then talk this with your team, to get consensus.*

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## *ENABLE*

### Top tertile (30 - 40 score)
*Seems like you have the tools to get the job done! But don't rest on your laurels – this is probably the step in the 4 E's that most organizations skip over too quickly. Great visions only come true if the tools actually work. Map out exactly what COMPETITIVE ADVANTAGES you have with each of your tools and resources, to help your organization win. And also write down what competitive advantages YOU NEED to win. It doesn't matter if your have a business, an NGO or a club – everything is a marketplace, and you will be depending on your team's use of the tools to get the job done as planned. By the way, also list your WEAK SPOTS …*

### Middle tertile (18 - 29 score)
*You are on the way. You have some good thoughts on what it takes to "win" and to "meet your goals", although not as clear and consistent as they could be. Consider being very "black and white". On one side of the page, write down a complete inventory of your INTELLECTUAL ASSETS, your RESOURCES (physical, financial, skill set), and your NETWORKS. On the other side of the page, be ruthless in deciding whether each one will give you an advantage, or at least neutralize weaknesses. And also write down what COMPETITIVE ADVANTAGES YOU NEED to win, and see if you can find them. Remember, to "win" something else has to loose ... and this is not just a business issue. For example, to beat poverty in developing countries, your tools had better have a real advantage over whatever is being done right now.*

### Bottom tertile (8 - 17 score)
*This is a tough position to be in.*
*Best advice: go back to the VISION, and SHARPEN it to be EXTREMELY CLEAR about the mission and your strategic choices. Be sure to drop irrelevant things. Keep it all SIMPLE. Then test the enabling tools that you have against the refocused mission. If you can then get the score up when you next do the questionnaire, follow the advice for the other groups.*

## EMPOWER

### Top tertile (22 - 30 score)
*Excellent. Now test yourself and your team. See how you might improve – especially in two areas which often trip us all up – providing more INNOVATION SPACE for everyone in your team, and getting clearer PERSONAL DEVELOPMENT PLANS in place. Remember, Empowerment is a CONTRACT between Leader and Follower, and the Leader must make the running. Also, consider getting everyone in the team to use a 3600 feedback program, to help them improve over time.*

### Middle tertile (10 - 21 score)
*A good start.*
*Let's build a better position by asking everyone in your team to answer the same questions you answered, and then compare results. Have an OPEN MEETING to discuss things, compare results, and be prepared for serious feedback and adjustment. Take a FACILITATION role. In our experience, the specific item that gets "lost" the most is INDIVIDUAL PERSONAL DEVELOPMENT OBJECTIVES AND PLANS. INNOVATION looses out, too, if the organization is not fully Empowered. Also, consider a 3600 feedback program, and measure the group's position over time on these two issues. But do not abuse the database – read the team, not individual team members.*

### Bottom tertile (6 - 10 score)
*Oops. Get with your team, and discuss where you are. Get an OUTSIDE FACILITATOR to help you explore whether you really are all starting from the same VALUES SPACE. Pay special attention to PERSONAL DEVELOPMENT. If people are not learning and growing, they will not feel Empowered. Also, rigorously review your own approach to Leadership – do you FACILITATE AND TEACH, or are you an "old fashioned" command and control Leader? You can do this occasionally, but in the age of networks and teams, you must build TRUST and OPENNESS. You cannot be false about your Leadership style and approach – but you can learn how to Empower.*

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## ENERGIZE

### Top tertile (35 – 45 score)
*Top of the range – a powerful place to be. Now, write down exactly what your "LEADERSHIP STORY" is. It is not a fairy tale, it is something you deeply believe in, something which is both goal and people oriented, and which you are prepared to talk about every time you are with your team. Measure yourself against the "story". Also, help the members of the team to develop their own "stories", so they can support each other.*

### Middle tertile (19 - 34 score)
*Not bad, but you can build on the start you've made. It all goes back to the vision and strategic choices. If you are all agreed on the goals, and the plan is clear, and the organization feels Empowered – then you must provide the energy for the system to work. You don't need to be "charismatic", but you do need to be open, clear, and positive towards both the task and towards the team members. Inventory EACH ITEM in the questionnaire, and see how you can nudge the needle forward. Pay special attention to CONSISTENT COMMUNICATION, staying OPTIMISTIC and HELPING THE TEAM DEAL WITH DIFFERENCES. Build a "log" of how you are doing, and develop a formal communication PLAN with your group.*

### Bottom tertile (9 – 18 score)
*Even if you had the vision, tools and organization in place – this is going to lead to a disappointing result. A Leader provides the energy to move the system – only a Leader can do that. You cannot expect the team to "self Energize" without your energy. Inventory EACH ITEM in the questionnaire. On items that affect you, consider getting 3600 feedback on your personal Leadership approach. You don't need to open yourself up to unnecessary critique, but anonymous data can be a wonderful source of new motivation. Study the LITERATURE on simple techniques you can use to improve.*
*Reflect on what this is all telling you about the way you are behaving with the team. You'll note that whilst the Envision, Enable and Empower questions were largely team related, Energize is more about your personal role. Be totally honest about how you feel about the job in hand, and the responsibilities of being a Leader.*

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*OVERALL*

### Top tertile (114 -150 score)

*Way to go! Now pick the two or three (no more) weakest scores you had, and plan to improve. Be open enough to seek advice from team members, and to refine the plans. Remember, just as "strategy" is a living thing, and not cast in stone (circumstances change), so too Leadership evolves as you get more comfortable with your role. And please study the 4E's model on Leader-Values!*

### Middle tertile (63 – 113 score)

*You are off to a good start. You probably have a lot of the basics, but are yet to feel 100% comfortable in the Leadership role. Get better by refining the vision and the tools that can help you and the team "win". The tighter the vision, the clearer the strategies and choices, and the more likely success will be. Also, a detailed, formal attention to the individual items on the questionnaire is the way to do better. Be methodical, and plan your improvements. Draw up a formal communication strategy with your team, and study all you can about Leadership. Above all, enjoy what you are doing – and the infection will spread to the team. And please study the 4E's model on Leader-Values!*

### Bottom tertile (30 – 62 score)

*OK, so no one said this would be easy. That said, you have some good places to start. Review the questionnaire, and see where you scored best. Pick two or three (no more) of those things, and build them into real strengths. Then, review the bottom list. Pick another two or three (no more) and develop a plan over time to gradually improve. Do not expect a sudden improvement – do things methodically and gradually. Read and study all you can about teams, Leaders and strategies. Perhaps most critically, review whether the overall mission/vision should be "your life's work". If it is important enough, you will build the skill set to do a great job. If it is not important to you – be tough-minded enough with yourself to take on other challenges. And please study the 4E's model on Leader-Values!*

## Appendix 1b: LeaderValues Commercial Self Assessment

This question set is the basis for commercially used self assessments, building on the simplified version and offering a more thorough examination of each of the 4E's.  In particular, the 4E's are subdivided into two axes of "Organization" and "Operation". When used with clients, the questions are tailored to the Client concerned to fully reflect their business situation, and some additional questions may be added.

Here is the basic list before "tailoring"

### ENVISION – CREATE & COMMUNICATE AN INNOVATIVE STRATEGY

#### A. Strategy

1.  Passionate about the Enterprise's goal with Customers worldwide
2.  Consistently focused on meeting the needs of Customer
3.  Develop and communicate the Enterprise's mission and Values
4.  Develop and communicate our strategic choices
5.  Develop and communicate our numerical goals
6.  Effectively lead the change process to achieve consistently better results
7.  Ensure that the Enterprise seizes the advantage of leadership in all of our activities
8.  Have a clear view of the time frame needed to achieve the Enterprise's goals
9.  Willing to incur short-term costs in order to achieve long-term results

#### B. Innovation

10. Anticipate future Customer's needs (rather than just reacting)
11. Demonstrate an enquiring mind, understanding the significance of external and internal environments
12. Benchmark against other leaders in the field to help create or maintain the Enterprise's advantages
13. Successfully position the Enterprise to capitalize on new fact-based needs and opportunities
14. Challenge the status quo (when change is needed)
15. Encourage the taking of needed risks in trying out new ideas

### ENABLE – IDENTIFY THE NECESSARY TOOLS, PROCESSES, PEOPLE & STRUCTURES

#### C. Tools, Technologies, Processes, Methods

16. Identify the right tools to meet the Enterprise's goals
17. Identify the right knowledge and information systems to meet our goals
18. Identify the right financial resources to meet our goals
19. Develop a clear understanding of our next twelve months priorities
20. Promote the value of continuous process improvement
21. Leverage technology, products and services across boundaries
22. Ensure the organization quickly solves problems and learns from experience
23. Develop appropriate measurement tools for the Enterprise

#### D. Structures, People

24. Identify the right organization structure to meet the Enterprise's goals
25. Identify the right people
26. Identify the right training needed to get the job done
27. Ensure everyone can handle the complexity of the job
28. Help create interdependent teams across functions, disciplines and geographic boundaries
29. Help provide effective Governance of our activities at all levels, in line with our Values, and appropriate ethical and legal Frameworks

## EMPOWER – DEVELOP & MEASURE INTERDEPENDENT & EFFECTIVE TEAMS

### E. Measurement

30.  Develop appropriate performance measurements for people in the organization
31.  Successfully clarify roles and responsibilities
32.  Help build constructive relationships amongst all constituencies
33.  Help develop clear personal objectives for all team members
34.  Hold people accountable for results
35.  Effectively deal with performance problems

### F. Develop & Reward

36.  Help provide the space for everyone in the team to innovate
37.  Recognize and reward outstanding performance
38.  Foster open, candid communication across organizational boundaries
39.  Effectively involve people in decisions that will affect them
40.  Build consensus and impact decisions without having to resort to "line" authority
41.  Ensure all team members have agreed personal development plans
42.  Ensure all team members take responsibility for their own self development
43.  Help people prepare for greater responsibilities

## ENERGIZE – SHOW CONSISTENT PERSONAL LEADERSHIP

### G. Communicate

44.  Improve people's performance from "good" to "excellent"
45.  Provide continuous, clear and consistent communication at all levels
46.  Provide timely problem solving, decisions and feedback on changes to the plan
47.  Balance the needs of different groups in the enterprise to create effective outcomes
48.  Help others constructively deal with differences
49.  Support the final decision, even if was not your idea
50.  Able to effectively represent the Enterprise both externally and internally

### H. Inspire Success

51.  Inspire with both praise and constructive criticism
52.  Demonstrate personal functional competence
53.  Demonstrate personal integrity and ethical standards
54.  Hold yourself responsible for outcomes
55.  Appreciate the value of diversity
56.  Feel optimistic about the future
57.  Comfortable with ambiguity and uncertainty
58.  Genuinely listen to others
59.  Consistently treat all constituencies with respect and dignity
60.  Avoid political or self-serving behaviour

## Appendix 2: Benchmarks

Benchmarking is a difficult exercise, as there is a good deal of subjectivity involved requiring judgement about what is similar, what is different, and what can be ignored. In presenting these data sets, the author is not attempting to "justify" the 4E's Framework, but rather wishes to offer transparency to other observers as the 4E's is critiqued.

## 2.1 Procter & Gamble's (P&G's) Leadership Assessment Tool (1994)

In P&G's Internal College III/IV program for department level managers (for which the author was a senior strategy teacher), the "Envision, Energize, Enable" model was extended into a self assessment tool (called LAT).

**Envision - Creating the future, gaining enrolment and commitment**

1. Defines the Values for the organization
2. Creates a vision of the future for the total system (all functions) - and keeps it alive
3. Focuses on possibilities - not limitations - thinks breakthrough
4. Creates a winning strategy
5. Out of the office and stay close to the organization
6. Strives to understand each part of the organization and its role in delivering competitive advantage
7. Personally leads the Innovation Process

**Energize – Inspiring organization to deliver the future**

8. Personally communicates/deploys the vision strategy - and what they stand for (in actions and words)
9. Focuses the organization on delivering the strategy
10. Clearly defines roles and responsibilities - allocates resources
11. Openly and honestly communicates - encourages others to do the same
12. Demonstrates a sense of urgency – enthusiasm - acts fast
13. Personally demonstrates risk taking
14. Provides constant tension on staying focused externally and on building the business

**Enable - Building the organization's capability to deliver business results**

15. Defines and develops the capability required to deliver the strategy
16. Beginning with the Leadership Team fully leverages resources - within the Company and with suppliers, customers, government, media
17. Personally participates in high leverage process improvements - strives for simplicity
18. Routinely review results
19. Identifies/eliminates organization barriers only the leader can resolve
20. Helps make 'the tough calls' (discipline)
21. Proactively learns/reapplies through benchmarking and data based problem solving
22. Demonstrates sufficient mastery to do one's job
23. Expresses support/confidence in the ability of others
24. Rewards/celebrates success - great performance
25. Personally leads the career development process for their people
26. Speaks acts with uncompromising integrity
27. Continuously learns and grows

Given its origination in the P&G model, there are several similarities with the 4E's Framework. For example, focus on strategic choices, designing and enabling the right organization etc. Of the 27 points noted above, 13 are quite directly included in the 4E's self assessment. The concepts behind 11 of P&G's points are suggested or reworded in the 4E's, to more accurately reflect the author's model development over time and the move to a Leadership process orientation. Three points are not included in the 4E's, and in retrospect all three may be worthy of inclusion as the Framework develops.

> o being out of the office and staying close to the organization

- o helping make "the tough calls"
- o focusing on possibilities not limitations - "thinking breakthrough"

On the other hand the 4E's Framework covers many new issues such as diversity, governance, time frames and working across boundaries. There is also more specific detail on types of strategic choices (technology, people, organization design, knowledge systems etc.), building team interdependence and managing for individuals' best performance.

Finally, personal skills and characteristics added to the 4E's include comfort with ambiguity, listening, and managing differences.

## 2.2 Johnson & Johnson's Standards of Leadership (1997)

These questions were used in $360^0$ feedback and group analysis as part of the Company's global Executive Conference III (ECIII) program.

### 1. CREDO VALUES

1. Demonstrate honesty and ethical behavior in all transactions
2. Consistently treat people with respect and dignity
3. Genuinely listen to others
4. Successfully balance the need to achieve results with meeting the needs of key constituents (e.g. Employees, customers, community, shareholders)
5. Are willing to incur short-term costs in order to achieve long-term results
6. Effectively address concerns raised by Credo Survey results
7. Are a role model for "living" Johnson & Johnson Credo Values

### 2. FOCUS ON CUSTOMER & MARKETPLACE

#### Create Value for Customers
8. Passionately care about serving your customers
9. Effectively focus on serving the total range of customers (from internal customers to distributors to end users)
10. Encourage and listen to input from customers
11. Clearly understand customers' expectations
12. Make realistic commitments (avoid over-committing)
13. Are an effective advocate for meeting customer needs (serve as the "voice" of the customer)
14. Use customer-perceived value as the key criterion for design and delivery of future products and services (Customers can be defined as the people who use the products/services delivered by you or your organization)

#### Focus Externally
15. Effectively analyze the market forces that impact your organization
16. Anticipate future customer needs (rather than just reacting)
17. Successfully position your organization to capitalize on opportunities
18. Ensure that your organization seizes the advantage of Leadership in its markets or fields
19. "Benchmark" against other Leaders in the field to help create or maintain a competitive advantage

### 3. ENCOURAGE INNOVATION

#### Forge a Vision for the Future
20. Create and communicate a clear vision for your organization
21. Effectively involve people in decisions which will affect them
22. Inspire people to commit to achieving the vision
23. Develop a strategy which will help J&J achieve long-term growth
24. Ensure effective implementation of the strategy

#### Fuel Business Growth
25. Find and act upon new opportunities
26. Take needed risks in trying out new ideas
27. Are a positive role model for demonstrating entrepreneurial behavior
28. Create an environment where other people are encouraged to demonstrate entrepreneurial behavior

#### Promote innovation and Continuous Learning
29. Create an environment that fosters creativity and innovation
30. Challenge the status quo (when change is needed)
31. Ask people what they need to do their work better
32. Promote the value of continuous process improvement
33. Quickly learn from experience

34. Find new ways to use technology more effectively
35. Find new ways to do things better and faster

## 4. BUILD INTERDEPENDENT PARTNERSHIPS

36. Foster open, candid communication across organizational boundaries
37. Avoid political or self-serving behavior
38. Strive to help colleagues across functions, business units and geographic boundaries
39. Leverage technology, products and services across boundaries (whenever possible)
40. Successfully clarify roles and responsibilities with business partners
41. Build consensus and impacts decisions without having to have "line" authority
42. Create mutually beneficial ("win-win") relationships with business partners
43. Unite your organization into an effective team

## 5. MASTER COMPLEXITY

### Effectively Manage Complexity
44. Thrive in uncertain circumstances
45. Effectively analyze situations before making decisions
46. Make decisions in a timely manner (avoid over-analysis or procrastination)
47. Communicate complex ideas in a manner that can be easily understood
48. Encourage taking action to get things done

### Implement Positive Change
49. See change as an opportunity, not a problem
50. Appreciate the value of diversity (in perspectives, ideas, backgrounds, styles and cultures)
51. Discourage destructive comments about other people or groups
52. Embrace non-traditional ideas and practices
53. Successfully help others deal with change
54. Help team members constructively deal with differences
55. Strive to see the value of opinions that may differ from your own
56. Support the final decision of the team (even if it was not your original idea)
57. Effectively lead the change process

## 6. DEVELOP ORGANIZATIONS AND PEOPLE

### Create an Achievement Environment
58. Ask people what you can do to improve
59. Challenge and motivate people to reach their highest potential
60. Make sure objectives are clearly understood
61. Give people the freedom they need to do their job well
62. Hold people accountable for results
63. Effectively deal with performance problems
64. Effectively deal with individuals whose behavior undermines teamwork
65. Recognize and reward outstanding performance

### Develop People for Optimal Performance
66. Challenge people to expand their capabilities, knowledge and skills
67. Provide developmental performance feedback in a timely manner
68. Avoids "playing favourites"
69. Provide coaching and guidance when needed
70. Ensure that people receive the training they need
71. Help people prepare for greater responsibilities in J&J
72. Identify and champion high-potential talent as a J&J resource
73. Create an environment that fosters continuous professional development
74. Strive to improve people's performance from "acceptable" to "excellent"

35 of the 60 4E's self assessment questions can be either directly mapped against the J&J model or have been paraphrased and convey similar intent. About 20% of the questions in the J&J Standards have been condensed to simplify the resulting Framework, and the J&J specific items (Credo etc.) have been eliminated.

The 4E's is more thorough on identifying specific areas of action (with 9 questions separating strategy, tools, people, organization design, technology etc.) and on the conditions for interdependence of teams.

On the other hand, the J&J Standards suggest five areas not in the 4E's.

- o  Communicating complex ideas in a manner that can be easily understood
- o  Embracing non-traditional ideas and practices
- o  Giving people the freedom they need to do their job well
- o  Avoiding "playing favourites"
- o  Identifying and champion high-potential talent as a resource

As in the P&G benchmark review, we will consider whether these items should be in future work.

## 2.3 US Government Executive Core Competencies (2004)

The US Government uses a list of five Executive Core Qualifications to evaluate candidates for all senior Leadership appointments. We choose this as a benchmark as it is very widely used and soundly based on other Leadership assessments and research

(www.opm.gov/ses/competencies.asp).

- o   Leading Change
- o   Leading People
- o   Results Driven
- o   Business Acumen
- o   Building Coalitions / Communication

We checked the sub-areas of the EQO against both the simplified 4E's Framework and the commercial version. Whilst it is admittedly judgemental (ECQ does not have specific questions) the exercise suggests that the 4E's map well against the ECQ qualification and competency areas.

### Executive Core Qualifications

#### Leading Change
1. continual learning
2. creativity/innovation
3. external awareness
4. flexibility
5. resilience
6. service motivation
7. strategic thinking
8. vision

#### Leading People
9. conflict management
10. leveraging diversity
11. integrity/honesty
12. team building

#### Results-Driven
13. accountability
14. customer service
15. decisiveness
16. entrepreneurship
17. problem solving
18. technical credibility

#### Business Acumen
19. financial management
20. human resources management
21. technology management

#### Building Coalitions/ Communications
22. influencing/negotiating
23. interpersonal skills
24. oral communication
25. partnering
26. political savvy
27. written communication

In the simplified 4E's question list, 23 of the 27 ECQ areas are either directly covered, implied or are paraphrased to be more consistent with the Framework's approach. The 4E's also covers several areas not overt in ECQ particular around interdependence of teams, diversity and governance issues.

Of the 27 ECQ sub-qualifications, the commercial 4E's Framework either directly covers or re-defines all but 2 – "resilience" (meaning to maintain focus even under adversity) and "political savvy" (meaning organizational awareness). Whilst the 4E's implies these points, we will consider our phrasing as we develop the model fin tailored programs.

There are several areas that the 4E's includes but which are not overtly in the ECQ - for example, shared Values, avoiding political or self serving behaviour, clear ideas of time frames, interdependence, improving the performance of others etc.

## 2.4 UK Department of Trade & Industry (2003)

The Dti published (2003) a review of "forward-thinking practices" used by Companies featured in The Sunday Times "100 Best Companies to Work for" list. Whilst not a Leadership assessment per se, we choose this as an independent and in depth survey of what it means for a Company to be successful.

(www.dti.gov.uk/bestpractice/management/leadership.htm#guides).

**LEADERSHIP** - Have enthusiastic Leadership
- o   ensure the organisation has a vision, mission and strategy that are known and understood
- o   oversee the setting of demanding but realistic targets
- o   set an example in generating an open, communicative management style
- o   champion a culture conducive to learning and continuous improvement
- o   distribute leadership responsibilities with necessary authority, training and resources

**CUSTOMER SERVICE** - Listen to customers and exceed their expectations
- o   know the drivers in their markets and understand the competition
- o   know and anticipate the needs of their customers
- o   maintain information systems to provide rapid provision of customer-relevant data
- o   cultivate active relationships with total customer satisfaction in mind

**PEOPLE DEVELOPMENT** - Enable employees to develop and fulfil their potential
- o   make sure employees' contributions are recognised and adequately rewarded
- o   encourage equal opportunities regardless of age, gender, race or religion
- o   promote the acquisition and updating of new skills and knowledge at every level
- o   have effective internal communication systems to encourage the transfer of knowledge
- o   have effective employee consultation arrangements
- o   Empower all employees by encouraging individual ownership and focus on customers
- o   maintain constructive relationships with trade unions where recognised
- o   provide as much employment security as possible

**PERFORMANCE MEASUREMENT** - Responsible members of the community and society
- o   promote health and safety and reduce nuisance or harm from the organisation's activities
- o   are involved in local communities, e.g. in education & training, the voluntary sector, sport etc.
- o   contribute to the sustainable use of resources, e.g. in transport, utilities, packaging, recycling

**INNOVATION** - Exploit new ways of doing things
- o   maximise use of technology to drive innovation
- o   continuously seek to improve management of resources
- o   encourage input from employees, customers and suppliers
- o   simplify internal systems and processes wherever possible

**PROCESS IMPROVEMENT** - Constantly introduce new/improved products and services
- o   deliver continuous improvement in all customer-facing aspects
- o   customise products and services to increase added value for the customer
- o   constantly seek to improve time to market
- o   continuously seek to reduce customer costs
- o   encourage input from employees, customers and suppliers

There are clearly some items here which are specific to this kind of business analysis rather than Leadership review (e.g. health and safety, equal opportunities, employee consultation arrangements etc.).

However, given that the 4E's Framework's intention is to provide activities for business leaders to help them get better results, we are encouraged that most other areas map well.

## Appendix 3a: Self Assessment Scores by Job Description

| | | ALL | OWNER | SNR. MGR | JNR MGR | STUDENT | ACADEMIC | CONSULT |
|---|---|---|---|---|---|---|---|---|
| | Respondents | 3460 | 169 | 707 | 270 | 1034 | 100 | 167 |
| | **ENVISION** | | | | | | | |
| 1 | We have a clear understanding of our organization's mission. | 4.05 | 4.17 | 4.12 | 3.96 | 4.07 | 4.18 | 4.09 |
| 2 | **We have a clear understanding of our organization's strategic choices.** | 3.40 | 3.54 | 3.44 | 3.33 | 3.44 | 3.28 | 3.51 |
| 3 | We have a clear understanding of our organization's numerical goals. | 3.52 | 3.72 | 3.65 | 3.49 | 3.49 | 3.31 | 3.59 |
| 4 | We have a clear view of the time frame to achieve our goals. | 3.72 | 3.62 | 3.74 | 3.58 | 3.82 | 3.68 | 3.77 |
| 5 | We have a clear understanding of our organization's competitive advantage. | 3.63 | 3.71 | 3.66 | 3.58 | 3.70 | 3.58 | 3.57 |
| 6 | We have a clear understanding of our organization's challenges. | 3.83 | 3.92 | 3.94 | 3.73 | 3.84 | 3.89 | 3.76 |
| 7 | We have a clear understanding of our organization's next twelve months priorities. | 3.50 | 3.76 | 3.72 | 3.36 | 3.41 | 3.51 | 3.63 |
| | **Subtotal** | **3.67** | **3.78** | **3.75** | **3.58** | **3.68** | **3.63** | **3.70** |
| | **ENABLE** | | | | | | | |
| 1 | The team has identified the right tools to meet our goals. | 3.44 | 3.44 | 3.36 | 3.30 | 3.57 | 3.40 | 3.41 |
| 2 | **The team has identified enough tools to meet our goals.** | 3.30 | 3.37 | 3.23 | 3.13 | 3.48 | 3.18 | 3.29 |
| 3 | The team has identified the right organization structure to meet our goals. | 3.39 | 3.59 | 3.36 | 3.08 | 3.49 | 3.36 | 3.53 |
| 4 | The team has identified the right people in place to meet our goals. | 3.38 | 3.28 | 3.29 | 3.07 | 3.53 | 3.25 | 3.54 |
| 5 | **The team has identified the right training to meet our goals.** | 3.30 | 3.25 | 3.18 | 3.11 | 3.50 | 3.04 | 3.27 |
| 6 | The team has identified the right financial resources to meet our goals. | 3.33 | 3.34 | 3.33 | 3.20 | 3.46 | 3.05 | 3.27 |
| 7 | The team has identified the right information system to meet our goals. | 3.37 | 3.51 | 3.26 | 3.18 | 3.53 | 3.31 | 3.37 |
| 8 | Everyone in the team can handle the complexity of the job. | 3.33 | 3.36 | 3.15 | 3.14 | 3.50 | 3.20 | 3.44 |
| | **Subtotal** | **3.35** | **3.39** | **3.27** | **3.15** | **3.51** | **3.22** | **3.39** |
| | **EMPOWER** | | | | | | | |
| 1 | Everyone in the organization has shared Values. | 3.38 | 3.73 | 3.25 | 3.04 | 3.53 | 3.17 | 3.53 |
| 2 | The team is operating as an interdependent group. | 3.44 | 3.60 | 3.31 | 3.24 | 3.57 | 3.26 | 3.62 |
| 3 | We have identified and clarified roles and responsibilities for everyone in the team. | 3.57 | 3.70 | 3.49 | 3.30 | 3.75 | 3.35 | 3.56 |
| 4 | We all have space to innovate. | 3.54 | 3.93 | 3.40 | 3.18 | 3.62 | 3.45 | 3.79 |
| 5 | We all have clear personal objectives. | 3.56 | 3.62 | 3.48 | 3.27 | 3.74 | 3.34 | 3.71 |
| 6 | **All team members have agreed personal development plans.** | 3.16 | 2.92 | 3.05 | 3.06 | 3.39 | 3.00 | 3.30 |
| | **Subtotal** | **3.44** | **3.58** | **3.33** | **3.18** | **3.60** | **3.26** | **3.58** |
| | **ENERGIZE** | | | | | | | |
| 1 | I am open with both praise and constructive criticism. | 4.13 | 4.25 | 4.14 | 4.00 | 4.13 | 4.13 | 4.26 |
| 2 | I make decisions in a timely manner. | 3.94 | 3.92 | 4.03 | 3.76 | 3.96 | 3.94 | 4.12 |
| 3 | I thrive in uncertain circumstances. | 3.63 | 3.72 | 3.69 | 3.37 | 3.58 | 3.55 | 3.83 |
| 4 | I appreciate the value of diversity. | 4.24 | 4.33 | 4.24 | 4.07 | 4.27 | 4.22 | 4.35 |
| 5 | I feel optimistic about the future. | 4.04 | 4.26 | 4.00 | 3.78 | 4.07 | 3.98 | 4.25 |
| 6 | I provide clear and consistent communication at all levels. | 3.82 | 3.79 | 3.93 | 3.59 | 3.87 | 3.78 | 3.93 |
| 7 | I provide timely feedback on changes to the plan. | 3.82 | 3.73 | 3.88 | 3.60 | 3.87 | 3.95 | 3.87 |
| 8 | **The team helps each other constructively deal with differences.** | 3.57 | 3.66 | 3.52 | 3.29 | 3.70 | 3.48 | 3.56 |
| 9 | Everyone in the team supports the final decision, even if was not his / her idea. | 3.67 | 3.86 | 3.60 | 3.37 | 3.79 | 3.56 | 3.70 |
| | **Subtotal** | **3.87** | **3.95** | **3.89** | **3.65** | **3.92** | **3.84** | **3.99** |
| | | | | | | | | |
| | **OVERALL 4E'S** | **3.60** | **3.69** | **3.58** | **3.40** | **3.69** | **3.51** | **3.68** |

## Appendix 3b: Self Assessment Scores by Age and Gender

| | | UNDER 18 | 19 - 25 | 26 - 40 | 41 - 55 | OVER 55 | MALE | FEMALE |
|---|---|---|---|---|---|---|---|---|
| | Respondents | 357 | 422 | 995 | 796 | 139 | 1236 | 1473 |
| | **ENVISION** | | | | | | | |
| 1 | We have a clear understanding of our organization's mission. | 3.93 | 4.16 | 4.06 | 4.16 | 4.27 | 4.08 | 4.12 |
| 2 | We have a clear understanding of our organization's strategic choices. | 3.51 | 3.41 | 3.32 | 3.54 | 3.65 | 3.41 | 3.46 |
| 3 | We have a clear understanding of our organization's numerical goals. | 3.46 | 3.51 | 3.48 | 3.65 | 3.63 | 3.58 | 3.51 |
| 4 | We have a clear view of the time frame to achieve our goals. | 3.78 | 3.84 | 3.67 | 3.76 | 3.76 | 3.67 | 3.80 |
| 5 | We have a clear understanding of our organization's competitive advantage. | 3.69 | 3.78 | 3.59 | 3.68 | 3.71 | 3.61 | 3.71 |
| 6 | We have a clear understanding of our organization's challenges. | 3.75 | 3.84 | 3.78 | 3.99 | 4.08 | 3.81 | 3.91 |
| 7 | We have a clear understanding of our organization's next twelve months priorities. | 3.34 | 3.35 | 3.47 | 3.76 | 3.74 | 3.51 | 3.55 |
| | **Subtotal** | **3.64** | **3.70** | **3.63** | **3.79** | **3.83** | **3.67** | **3.72** |
| | **ENABLE** | | | | | | | |
| 1 | The team has identified the right tools to meet our goals. | 3.57 | 3.61 | 3.35 | 3.48 | 3.29 | 3.37 | 3.53 |
| 2 | The team has identified enough tools to meet our goals. | 3.51 | 3.55 | 3.20 | 3.34 | 3.13 | 3.27 | 3.38 |
| 3 | The team has identified the right organization structure to meet our goals. | 3.50 | 3.50 | 3.31 | 3.45 | 3.27 | 3.33 | 3.46 |
| 4 | The team has identified the right people in place to meet our goals. | 3.60 | 3.52 | 3.28 | 3.37 | 3.21 | 3.31 | 3.44 |
| 5 | The team has identified the right training to meet our goals. | 3.64 | 3.55 | 3.17 | 3.24 | 3.17 | 3.19 | 3.41 |
| 6 | The team has identified the right financial resources to meet our goals. | 3.50 | 3.53 | 3.23 | 3.34 | 3.30 | 3.33 | 3.36 |
| 7 | The team has identified the right information system to meet our goals. | 3.55 | 3.63 | 3.26 | 3.34 | 3.34 | 3.33 | 3.42 |
| 8 | Everyone in the team can handle the complexity of the job. | 3.48 | 3.57 | 3.23 | 3.32 | 3.16 | 3.27 | 3.39 |
| | **Subtotal** | **3.54** | **3.56** | **3.25** | **3.36** | **3.23** | **3.30** | **3.42** |
| | **EMPOWER** | | | | | | | |
| 1 | Everyone in the organization has shared Values. | 3.56 | 3.58 | 3.26 | 3.38 | 3.47 | 3.28 | 3.50 |
| 2 | The team is operating as an interdependent group. | 3.62 | 3.61 | 3.34 | 3.45 | 3.50 | 3.39 | 3.51 |
| 3 | We have identified and clarified roles and responsibilities for everyone in the team. | 3.62 | 3.85 | 3.51 | 3.54 | 3.48 | 3.52 | 3.64 |
| 4 | We all have space to innovate. | 3.64 | 3.69 | 3.44 | 3.51 | 3.51 | 3.51 | 3.55 |
| 5 | We all have clear personal objectives. | 3.73 | 3.85 | 3.49 | 3.53 | 3.44 | 3.53 | 3.63 |
| 6 | All team members have agreed personal development plans. | 3.48 | 3.41 | 3.11 | 3.09 | 2.93 | 3.10 | 3.26 |
| | **Subtotal** | **3.61** | **3.67** | **3.36** | **3.42** | **3.39** | **3.39** | **3.52** |
| | **ENERGIZE** | | | | | | | |
| 1 | I am open with both praise and constructive criticism. | 3.94 | 4.29 | 4.09 | 4.21 | 4.29 | 4.15 | 4.14 |
| 2 | I make decisions in a timely manner. | 3.79 | 4.03 | 3.90 | 4.08 | 4.02 | 3.92 | 4.00 |
| 3 | I thrive in uncertain circumstances. | 3.49 | 3.60 | 3.52 | 3.76 | 3.91 | 3.65 | 3.59 |
| 4 | I appreciate the value of diversity. | 4.03 | 4.39 | 4.20 | 4.33 | 4.40 | 4.19 | 4.31 |
| 5 | I feel optimistic about the future. | 3.83 | 4.20 | 4.02 | 4.10 | 4.10 | 4.00 | 4.09 |
| 6 | I provide clear and consistent communication at all levels. | 3.72 | 3.91 | 3.78 | 3.93 | 3.95 | 3.82 | 3.87 |
| 7 | I provide timely feedback on changes to the plan. | 3.67 | 3.97 | 3.77 | 3.92 | 3.96 | 3.80 | 3.87 |
| 8 | The team helps each other constructively deal with differences. | 3.64 | 3.77 | 3.45 | 3.65 | 3.41 | 3.50 | 3.65 |
| 9 | Everyone in the team supports the final decision, even if was not his / her idea. | 3.70 | 3.89 | 3.55 | 3.68 | 3.66 | 3.60 | 3.73 |
| | **Subtotal** | **3.76** | **4.01** | **3.81** | **3.96** | **3.97** | **3.82** | **3.92** |
| | | | | | | | | |
| | **OVERALL 4E'S** | **3.63** | **3.75** | **3.53** | **3.65** | **3.62** | **3.57** | **3.65** |

# Appendix 3c: Self Assessment Scores by Geographical Location

| | | NORTH AMERICA | EUROPE | ASIA | AFRICA | SOUTH AMERICA | AUSTRALASIA | MIDDLE EAST |
|---|---|---|---|---|---|---|---|---|
| | Respondents | 1761 | 420 | 241 | 71 | 20 | 161 | 35 |
| | **ENVISION** | | | | | | | |
| 1 | We have a clear understanding of our organization's mission. | 4.12 | 4.02 | 4.07 | 4.10 | 4.25 | 4.03 | 4.14 |
| 2 | We have a clear understanding of our organization's strategic choices. | 3.48 | 3.36 | 3.32 | 3.37 | 3.75 | 3.39 | 3.43 |
| 3 | We have a clear understanding of our organization's numerical goals. | 3.61 | 3.50 | 3.42 | 3.27 | 3.70 | 3.34 | 3.23 |
| 4 | We have a clear view of the time frame to achieve our goals. | 3.79 | 3.74 | 3.69 | 3.46 | 3.60 | 3.61 | 3.40 |
| 5 | We have a clear understanding of our organization's competitive advantage. | 3.73 | 3.48 | 3.68 | 3.45 | 3.65 | 3.52 | 3.31 |
| 6 | We have a clear understanding of our organization's challenges. | 3.89 | 3.87 | 3.85 | 3.70 | 4.00 | 3.75 | 3.40 |
| 7 | We have a clear understanding of our organization's next twelve months priorities. | 3.52 | 3.71 | 3.47 | 3.32 | 3.80 | 3.57 | 3.26 |
| | **Subtotal** | **3.73** | **3.67** | **3.64** | **3.53** | **3.82** | **3.60** | **3.45** |
| | **ENABLE** | | | | | | | |
| 1 | The team has identified the right tools to meet our goals. | 3.52 | 3.34 | 3.27 | 3.10 | 3.80 | 3.39 | 3.29 |
| 2 | The team has identified enough tools to meet our goals. | 3.42 | 3.17 | 3.14 | 3.03 | 3.50 | 3.12 | 3.17 |
| 3 | The team has identified the right organization structure to meet our goals. | 3.44 | 3.33 | 3.27 | 3.25 | 3.45 | 3.41 | 3.06 |
| 4 | The team has identified the right people in place to meet our goals. | 3.45 | 3.30 | 3.24 | 3.04 | 3.25 | 3.28 | 3.06 |
| 5 | The team has identified the right training to meet our goals. | 3.37 | 3.19 | 3.20 | 3.00 | 3.25 | 3.28 | 3.00 |
| 6 | The team has identified the right financial resources to meet our goals. | 3.40 | 3.25 | 3.32 | 2.94 | 3.55 | 3.24 | 3.14 |
| 7 | The team has identified the right information system to meet our goals. | 3.48 | 3.21 | 3.17 | 3.20 | 3.10 | 3.30 | 2.89 |
| 8 | Everyone in the team can handle the complexity of the job. | 3.42 | 3.17 | 3.07 | 3.10 | 3.00 | 3.34 | 2.69 |
| | **Subtotal** | **3.44** | **3.25** | **3.21** | **3.08** | **3.36** | **3.30** | **3.04** |
| | **EMPOWER** | | | | | | | |
| 1 | Everyone in the organization has shared Values. | 3.46 | 3.30 | 3.27 | 3.14 | 3.20 | 3.21 | 2.83 |
| 2 | The team is operating as an interdependent group. | 3.51 | 3.38 | 3.29 | 3.27 | 3.50 | 3.34 | 3.23 |
| 3 | We have identified and clarified roles and responsibilities for everyone in the team. | 3.61 | 3.58 | 3.49 | 3.61 | 3.40 | 3.53 | 3.06 |
| 4 | We all have space to innovate. | 3.57 | 3.51 | 3.40 | 3.55 | 2.90 | 3.45 | 3.03 |
| 5 | We all have clear personal objectives. | 3.64 | 3.54 | 3.44 | 3.51 | 3.05 | 3.40 | 2.80 |
| 6 | All team members have agreed personal development plans. | 3.23 | 3.13 | 3.16 | 2.96 | 3.00 | 3.02 | 2.60 |
| | **Subtotal** | **3.50** | **3.41** | **3.34** | **3.34** | **3.18** | **3.33** | **2.92** |
| | **ENERGIZE** | | | | | | | |
| 1 | I am open with both praise and constructive criticism. | 4.16 | 4.13 | 4.11 | 4.06 | 3.90 | 4.08 | 4.03 |
| 2 | I make decisions in a timely manner. | 4.02 | 3.87 | 3.76 | 3.66 | 3.75 | 3.86 | 3.91 |
| 3 | I thrive in uncertain circumstances. | 3.66 | 3.56 | 3.47 | 3.56 | 3.15 | 3.57 | 3.51 |
| 4 | I appreciate the value of diversity. | 4.29 | 4.21 | 4.12 | 4.15 | 3.90 | 4.19 | 4.14 |
| 5 | I feel optimistic about the future. | 4.09 | 3.86 | 3.99 | 4.18 | 4.05 | 4.17 | 3.91 |
| 6 | I provide clear and consistent communication at all levels. | 3.87 | 3.84 | 3.76 | 3.70 | 3.60 | 3.84 | 3.80 |
| 7 | I provide timely feedback on changes to the plan. | 3.91 | 3.70 | 3.66 | 3.58 | 3.55 | 3.77 | 3.89 |
| 8 | The team helps each other constructively deal with differences. | 3.60 | 3.54 | 3.56 | 3.38 | 3.30 | 3.61 | 3.31 |
| 9 | Everyone in the team supports the final decision, even if was not his / her idea. | 4.12 | 4.02 | 4.07 | 4.10 | 4.25 | 4.03 | 4.14 |
| | **Subtotal** | **3.97** | **3.86** | **3.83** | **3.82** | **3.72** | **3.90** | **3.85** |
| | **OVERALL 4E'S** | **3.66** | **3.55** | **3.51** | **3.45** | **3.51** | **3.54** | **3.34** |

# Appendix 4: t-test results

By Job Description – t-test (2 tail, independent variables): grey = significant at 95% confidence

| ENVISION | OWNER | SENIOR | JUN MGR | STUDENT | ACADEMIC | CONSULTANT |
|---|---|---|---|---|---|---|
| Owner vs. | | 0.421 | 0.051 | 0.221 | 0.169 | 0.254 |
| Senior vs. | 0.421 | | 0.076 | 0.282 | 0.212 | 0.328 |
| Jun Mgr vs. | 0.051 | 0.076 | | 0.208 | 0.352 | 0.135 |
| Student vs. | 0.221 | 0.282 | 0.208 | | 0.380 | 0.423 |
| Academic vs. | 0.169 | 0.212 | 0.352 | 0.380 | | 0.313 |
| Consultant vs. | 0.254 | 0.328 | 0.135 | 0.423 | 0.313 | |

| ENABLE | OWNER | SENIOR | JUN MGR | STUDENT | ACADEMIC | CONSULTANT |
|---|---|---|---|---|---|---|
| Owner vs. | | 0.014 | 0.000 | 0.013 | 0.008 | 0.481 |
| Senior vs. | 0.014 | | 0.004 | 0.000 | 0.206 | 0.014 |
| Jun Mgr vs. | 0.000 | 0.004 | | 0.000 | 0.101 | 0.000 |
| Student vs. | 0.013 | 0.000 | 0.000 | | 0.000 | 0.010 |
| Academic vs. | 0.008 | 0.206 | 0.101 | 0.000 | | 0.008 |
| Consultant vs. | 0.481 | 0.014 | 0.000 | 0.010 | 0.008 | |

| EMPOWER | OWNER | SENIOR | JUN MGR | STUDENT | ACADEMIC | CONSULTANT |
|---|---|---|---|---|---|---|
| Owner vs. | | 0.074 | 0.017 | 0.455 | 0.038 | 0.498 |
| Senior vs. | 0.074 | | 0.050 | 0.006 | 0.238 | 0.013 |
| Jun Mgr vs. | 0.017 | 0.050 | | 0.000 | 0.171 | 0.001 |
| Student vs. | 0.455 | 0.006 | 0.000 | | 0.001 | 0.428 |
| Academic vs. | 0.038 | 0.238 | 0.171 | 0.001 | | 0.003 |
| Consultant vs. | 0.498 | 0.013 | 0.001 | 0.428 | 0.003 | |

| ENERGIZE | OWNER | SENIOR | JUN MGR | STUDENT | ACADEMIC | CONSULTANT |
|---|---|---|---|---|---|---|
| Owner vs. | | 0.395 | 0.025 | 0.378 | 0.292 | 0.356 |
| Senior vs. | 0.395 | | 0.031 | 0.483 | 0.373 | 0.250 |
| Jun Mgr vs. | 0.025 | 0.031 | | 0.031 | 0.067 | 0.011 |
| Student vs. | 0.378 | 0.483 | 0.031 | | 0.386 | 0.233 |
| Academic vs. | 0.292 | 0.373 | 0.067 | 0.386 | | 0.177 |
| Consultant vs. | 0.356 | 0.250 | 0.011 | 0.233 | 0.177 | |

| 4 E'S TOTAL | OWNER | SENIOR | JUN MGR | STUDENT | ACADEMIC | OWNER |
|---|---|---|---|---|---|---|
| Owner vs. | | 0.132 | 0.001 | 0.498 | 0.037 | |
| Senior vs. | 0.132 | | 0.022 | 0.104 | 0.239 | 0.132 |
| Jun Mgr vs. | 0.001 | 0.022 | | 0.000 | 0.112 | 0.001 |
| Student vs. | 0.498 | 0.104 | 0.000 | | 0.024 | 0.498 |
| Academic vs. | 0.037 | 0.239 | 0.112 | 0.024 | | 0.037 |
| Consultant vs. | 0.482 | 0.135 | 0.001 | 0.477 | 0.037 | 0.482 |

By age and gender – t-test (2 tail, independent variables): grey = significant at 95% confidence

| ENVISION | UP TO 18 | 19 TO 25 | 26 TO 40 | 41 TO 45 | OVER 55 |
|---|---|---|---|---|---|
| up to 18 | | 0.268 | 0.490 | 0.086 | 0.063 |
| 19 to 25 | 0.268 | | 0.276 | 0.291 | 0.224 |
| 26 to 40 | 0.490 | 0.276 | | 0.104 | 0.076 |
| 41 to 45 | 0.086 | 0.291 | 0.104 | | 0.392 |
| Over 55 | 0.063 | 0.224 | 0.076 | 0.392 | |

| ENABLE | UP TO 18 | 19 TO 25 | 26 TO 40 | 41 TO 45 | OVER 55 |
|---|---|---|---|---|---|
| up to 18 | | 0.074 | 0.000 | 0.000 | 0.000 |
| 19 to 25 | 0.074 | | 0.000 | 0.000 | 0.000 |
| 26 to 40 | 0.000 | 0.000 | | 0.005 | 0.252 |
| 41 to 45 | 0.000 | 0.000 | 0.005 | | 0.003 |
| Over 55 | 0.000 | 0.000 | 0.252 | 0.003 | |

| EMPOWER | UP TO 18 | 19 TO 25 | 26 TO 40 | 41 TO 45 | OVER 55 |
|---|---|---|---|---|---|
| up to 18 | | 0.175 | 0.006 | 0.026 | 0.042 |
| 19 to 25 | 0.175 | | 0.004 | 0.013 | 0.019 |
| 26 to 40 | 0.006 | 0.004 | | 0.316 | 0.392 |
| 41 to 45 | 0.026 | 0.013 | 0.316 | | 0.448 |
| Over 55 | 0.042 | 0.019 | 0.392 | 0.448 | |

| ENERGIZE | UP TO 18 | 19 TO 25 | 26 TO 40 | 41 TO 45 | OVER 55 |
|---|---|---|---|---|---|
| up to 18 | | 0.009 | 0.195 | 0.010 | 0.017 |
| 19 to 25 | 0.009 | | 0.077 | 0.391 | 0.461 |
| 26 to 40 | 0.195 | 0.077 | | 0.105 | 0.104 |
| 41 to 45 | 0.010 | 0.391 | 0.105 | | 0.438 |
| Over 55 | 0.017 | 0.461 | 0.104 | 0.438 | |

| 4 E'S TOTAL | UP TO 18 | 19 TO 25 | 26 TO 40 | 41 TO 45 | OVER 55 |
|---|---|---|---|---|---|
| up to 18 | | 0.019 | 0.085 | 0.343 | 0.473 |
| 19 to 25 | 0.019 | | 0.003 | 0.109 | 0.089 |
| 26 to 40 | 0.085 | 0.003 | | 0.081 | 0.152 |
| 41 to 45 | 0.343 | 0.109 | 0.081 | | 0.407 |
| Over 55 | 0.473 | 0.089 | 0.152 | 0.407 | |

| ENVISION | FEMALE |
|---|---|
| Male | 0.324 |

| ENABLE | FEMALE |
|---|---|
| Male | 0.000 |

| EMPOWER | FEMALE |
|---|---|
| Male | 0.096 |

| ENERGIZE | FEMALE |
|---|---|
| Male | 0.293 |

| 4 E'S TOTAL | FEMALE |
|---|---|
| Male | 0.315 |

By Geographical Location – t-test (2 tail, independent variables): grey = significant at 95% confidence

| ENVISION | N America | Europe | Asia | Africa | S. America | Australasia | Mid East |
|---|---|---|---|---|---|---|---|
| North America | | 0.304 | 0.258 | 0.083 | 0.235 | 0.157 | 0.042 |
| Europe | 0.304 | | 0.434 | 0.169 | 0.117 | 0.309 | 0.089 |
| Asia | 0.258 | 0.434 | | 0.220 | 0.101 | 0.380 | 0.122 |
| Africa | 0.083 | 0.169 | 0.220 | | 0.028 | 0.298 | 0.331 |
| South America | 0.235 | 0.117 | 0.101 | 0.028 | | 0.050 | 0.015 |
| Australasia | 0.157 | 0.309 | 0.380 | 0.298 | 0.050 | | 0.168 |
| Middle East | 0.042 | 0.089 | 0.122 | 0.331 | 0.015 | 0.168 | |

| ENABLE | | | | | | | |
|---|---|---|---|---|---|---|---|
| North America | | 0.000 | 0.000 | 0.000 | 0.227 | 0.001 | 0.000 |
| Europe | 0.000 | | 0.190 | 0.001 | 0.128 | 0.122 | 0.008 |
| Asia | 0.000 | 0.190 | | 0.008 | 0.077 | 0.037 | 0.018 |
| Africa | 0.000 | 0.001 | 0.008 | | 0.010 | 0.000 | 0.271 |
| South America | 0.227 | 0.128 | 0.077 | 0.010 | | 0.255 | 0.007 |
| Australasia | 0.001 | 0.122 | 0.037 | 0.000 | 0.255 | | 0.003 |
| Middle East | 0.000 | 0.008 | 0.018 | 0.271 | 0.007 | 0.003 | |

| EMPOWER | | | | | | | |
|---|---|---|---|---|---|---|---|
| North America | | 0.164 | 0.034 | 0.105 | 0.010 | 0.050 | 0.000 |
| Europe | 0.164 | | 0.230 | 0.296 | 0.041 | 0.223 | 0.001 |
| Asia | 0.034 | 0.230 | | 0.488 | 0.083 | 0.434 | 0.002 |
| Africa | 0.105 | 0.296 | 0.488 | | 0.140 | 0.464 | 0.007 |
| South America | 0.010 | 0.041 | 0.083 | 0.140 | | 0.124 | 0.044 |
| Australasia | 0.050 | 0.223 | 0.434 | 0.464 | 0.124 | | 0.004 |
| Middle East | 0.000 | 0.001 | 0.002 | 0.007 | 0.044 | 0.004 | |

| ENERGIZE | | | | | | | |
|---|---|---|---|---|---|---|---|
| North America | | 0.167 | 0.124 | 0.129 | 0.047 | 0.275 | 0.169 |
| Europe | 0.167 | | 0.411 | 0.378 | 0.163 | 0.349 | 0.469 |
| Asia | 0.124 | 0.411 | | 0.457 | 0.213 | 0.274 | 0.448 |
| Africa | 0.129 | 0.378 | 0.457 | | 0.258 | 0.260 | 0.413 |
| South America | 0.047 | 0.163 | 0.213 | 0.258 | | 0.103 | 0.192 |
| Australasia | 0.275 | 0.349 | 0.274 | 0.260 | 0.103 | | 0.334 |
| Middle East | 0.169 | 0.469 | 0.448 | 0.413 | 0.192 | 0.334 | |

| 4 E'S TOTAL | N America | Europe | Asia | Africa | S. America | Australasia | Mid East |
|---|---|---|---|---|---|---|---|
| North America | | 0.304 | 0.258 | 0.083 | 0.235 | 0.157 | 0.042 |
| Europe | 0.304 | | 0.434 | 0.169 | 0.117 | 0.309 | 0.089 |
| Asia | 0.258 | 0.434 | | 0.220 | 0.101 | 0.380 | 0.122 |
| Africa | 0.083 | 0.169 | 0.220 | | 0.028 | 0.298 | 0.331 |
| South America | 0.235 | 0.117 | 0.101 | 0.028 | | 0.050 | 0.015 |
| Australasia | 0.157 | 0.309 | 0.380 | 0.298 | 0.050 | | 0.168 |
| Middle East | 0.042 | 0.089 | 0.122 | 0.331 | 0.015 | 0.168 | |

# Appendix 5a: Save the Children Leadership Standards (2003)

A set of Leadership Standards was developed to apply to all levels of the organization, independently of function or geography. In creating the Standards, the team drew on work done by:

 a. Save the Children organizations, notably the UK and the US.
 b. Best practices, notably from the UK's Management Standards Centre.
 c. Leadership practitioners from across the world.
 d. Work done by Advisors in Corporate capacities.
 e. The 4E's Framework, with a self-assessment based on the LeaderValues website.

## ENVISION – CREATE & COMMUNICATE AN INNOVATIVE STRATEGY

### A. Strategy
1. Passionate about Save the Children's goal of delivering immediate lasting improvements in the lives of disadvantaged Children worldwide
2. Consistently focused on meeting the needs of Children
3. Develop and communicate Save the Children's mission and Values
4. Develop and communicate our strategic choices
5. Develop and communicate our numerical goals
6. Effectively lead the change process to achieve consistently better results
7. Ensure that Save the Children seizes the advantage of Leadership in all of our activities
8. Have a clear view of the time frame needed to achieve Save the Children's goals
9. Willing to incur short-term costs in order to achieve long-term results

### B. Innovation
10. Anticipate future Children's needs (rather than just reacting)
11. Demonstrate an enquiring mind, understanding the significance of external and internal environments
12. Benchmark against other Leaders in the field to help create or maintain Save the Children's advantages
13. Successfully position Save the Children to capitalize on new fact-based needs and opportunities
14. Challenge the status quo (when change is needed)
15. Encourage the taking of needed risks in trying out new ideas

## ENABLE – IDENTIFY THE NECESSARY TOOLS, PROCESSES, PEOPLE & STRUCTURES.

### C. Tools, Technologies, Processes, Methods
16. Identify the right tools to meet Save the Children's goals
17. Identify the right knowledge and information systems to meet our goals
18. Identify the right financial resources to meet our goals
19. Develop a clear understanding of our next twelve months priorities
20. Promote the value of continuous process improvement
21. Leverage technology, products and services across boundaries
22. Ensure the organization quickly solves problems and learns from experience
23. Develop appropriate measurement tools for Save the Children

### D. Structures, People
24. Identify the right organization structure to meet Save the Children's goals
25. Identify the right people
26. Identify the right training needed to get the job done
27. Ensure everyone can handle the complexity of the job
28. Help create interdependent teams across functions, disciplines and geographic boundaries
29. Help provide effective Governance of our activities at all levels, in line with our Values, and appropriate ethical and legal Frameworks

## EMPOWER – DEVELOP & MEASURE INTERDEPENDENT & EFFECTIVE TEAMS

### E. Measurement
30. Develop appropriate performance measurements for people in the organization

31. Successfully clarify roles and responsibilities
32. Help build constructive relationships amongst all constituencies
33. Help develop clear personal objectives for all team members
34. Hold people accountable for results
35. Effectively deal with performance problems

### F. Develop & Reward
36. Help provide the space for everyone in the team to innovate
37. Recognize and reward outstanding performance
38. Foster open, candid communication across organizational boundaries
39. Effectively involve people in decisions that will affect them
40. Build consensus and impact decisions without having to resort to "line" authority
41. Ensure all team members have agreed personal development plans
42. Ensure all team members take responsibility for their own self development
43. Help people prepare for greater responsibilities
44. Improve people's performance from "good" to "excellent"

## ENERGIZE – SHOW CONSISTENT PERSONAL LEADERSHIP

### G. Communicate
45. Provide continuous, clear and consistent communication at all levels
46. Provide timely problem solving, decisions and feedback on changes to the plan
47. Balance the needs of different groups in Save the Children to create effective outcomes
48. Help others constructively deal with differences
49. Support the final decision, even if was not his / her idea
50. Able to effectively represent the Save the Children Alliance both externally and internally

### H. Inspire Success
51. Inspire with both praise and constructive criticism
52. Demonstrate personal functional competence
53. Demonstrate personal integrity and ethical standards
54. Hold yourself responsible for outcomes
55. Appreciate the value of diversity
56. Feel optimistic about the future
57. Comfortable with ambiguity and uncertainty
58. Genuinely listen to others
59. Consistently treat all constituencies with respect and dignity
60. Avoid political or self-serving behaviour

# Appendix 5b: Save the Children Leadership Results by Function (2003/4)

| | CEO | BOARD | FIELD | OTHER | TOTAL |
|---|---|---|---|---|---|
| RESPONDENTS | 15 | 9 | 12 | 66 | 102 |
| **ENVISION** | | | | | |
| Passionate about Save the Children's goal of delivering immediate lasting improvements in the lives of disadvantaged Children worldwide. | 4.8 | 4.7 | 4.3 | 4.4 | 4.5 |
| Consistently focused on meeting the needs of Children. | 4.1 | 4.0 | 4.4 | 3.4 | 3.7 |
| Develop and communicate Save the Children's mission and Values. | 4.4 | 3.8 | 4.2 | 4.0 | 4.0 |
| Develop and communicate our strategic choices. | 4.3 | 3.6 | 4.1 | 3.8 | 3.9 |
| Develop and communicate our numerical goals. | 3.8 | 3.2 | 3.3 | 3.6 | 3.5 |
| Effectively lead the change process to achieve consistently better results. | 4.3 | 4.2 | 4.2 | 3.8 | 4.0 |
| Ensure that Save the Children seizes the advantage of Leadership in all of our activities. | 4.0 | 3.8 | 3.8 | 3.3 | 3.5 |
| Have a clear view of the time frame needed to achieve Save the Children's goals. | 4.1 | 3.6 | 3.6 | 3.5 | 3.6 |
| Willing to incur short-term costs in order to achieve long-term results. | <u>4.4</u> | <u>4.4</u> | <u>4.8</u> | <u>4.3</u> | <u>4.4</u> |
| **STRATEGY** | 4.2 | 3.9 | 4.1 | 3.8 | 3.9 |
| | | | | | |
| Anticipate future Children's needs (rather than just reacting). | 4.4 | 3.7 | 4.5 | 3.3 | 3.6 |
| Demonstrate an enquiring mind, understanding the significance of understanding the significance of external and internal environments. | 4.5 | 4.6 | 4.5 | 4.2 | 4.3 |
| Benchmark against other Leaders in the field to help create or maintain advantages. | 4.0 | 3.1 | 3.7 | 3.5 | 3.5 |
| Successfully position Save the Children to capitalize on new fact-based needs and opportunities. | 4.3 | 3.4 | 3.9 | 3.5 | 3.6 |
| Challenge the status quo (when change is needed). | 4.4 | 4.6 | 4.7 | 4.0 | 4.2 |
| Encourage the taking of needed risks in trying out new ideas. | <u>4.6</u> | <u>4.0</u> | <u>4.7</u> | <u>4.0</u> | <u>4.2</u> |
| **INNOVATION** | 4.4 | 3.9 | 4.3 | 3.8 | 3.9 |
| | | | | | |
| **ENVISION OVERALL** | 4.3 | 3.9 | 4.2 | 3.8 | 3.9 |
| | | | | | |
| **ENABLE** | | | | | |
| Identify the right tools to meet Save the Children's goals. | 3.8 | 3.7 | 3.7 | 3.7 | 3.7 |
| Identify the right knowledge and information systems to meet our goals. | 4.1 | 3.8 | 3.9 | 3.8 | 3.9 |
| Identify the right financial resources to meet our goals. | 4.1 | 3.6 | 3.6 | 3.5 | 3.6 |
| Develop a clear understanding of our next twelve months priorities. | 4.3 | 4.2 | 4.2 | 4.1 | 4.1 |
| Promote the value of continuous process improvement. | 4.2 | 4.1 | 4.2 | 4.0 | 4.1 |
| Leverage technology, products and services across boundaries. | 3.6 | 3.1 | 3.2 | 3.3 | 3.3 |
| Ensure the organization quickly solves problems and learns from experience. | 4.2 | 3.8 | 3.8 | 3.6 | 3.7 |
| Develop appropriate measurement tools for Save the Children. | <u>3.7</u> | <u>3.4</u> | <u>3.3</u> | <u>3.4</u> | <u>3.4</u> |
| **TOOLS & PROCESSES** | 4.0 | 3.7 | 3.7 | 3.7 | 3.7 |
| | | | | | |
| Identify the right organization structure to meet Save the Children's goals. | 4.4 | 4.1 | 3.9 | 3.7 | 3.8 |
| Identify the right people. | 4.5 | 4.2 | 4.3 | 4.0 | 4.1 |
| Identify the right training needed to get the job done. | 4.1 | 4.0 | 3.7 | 3.5 | 3.6 |

| ENABLE continue | CEO | BOARD | FIELD | OTHER | TOTAL |
|---|---|---|---|---|---|
| Ensure everyone can handle the complexity of the job. | 4.1 | 3.7 | 3.8 | 3.6 | 3.7 |
| Help create interdependent teams across functions, disciplines and geographic boundaries. | 4.2 | 3.7 | 4.1 | 3.9 | 3.9 |
| Help provide effective Governance of our activities at all levels, in line with our Values, | 4.3 | 4.3 | 3.6 | 3.4 | 3.6 |
| **PEOPLE & STRUCTURES** | **4.3** | **4.0** | **3.9** | **3.7** | **3.8** |
| | | | | | |
| **ENABLE OVERALL** | **4.1** | **3.8** | **3.8** | **3.7** | **3.8** |
| | | | | | |
| **EMPOWER** | | | | | |
| Develop appropriate performance measurements for people in the organization. | 3.7 | 3.7 | 3.3 | 3.2 | 3.3 |
| Successfully clarify roles and responsibilities. | 4.3 | 4.3 | 3.9 | 3.8 | 3.9 |
| Help build constructive relationships amongst all constituencies. | 4.2 | 4.2 | 4.3 | 4.2 | 4.2 |
| Help develop clear personal objectives for all team members. | 3.9 | 3.8 | 3.9 | 3.7 | 3.8 |
| Hold people accountable for results. | 4.1 | 4.4 | 3.8 | 3.5 | 3.7 |
| Effectively deal with performance problems. | 4.1 | 4.0 | 3.8 | 3.3 | 3.5 |
| **MEASURES** | **4.0** | **4.1** | **3.8** | **3.6** | **3.7** |
| | | | | | |
| Help provide the space for everyone in the team to innovate. | 4.3 | 4.4 | 4.3 | 3.7 | 3.9 |
| Recognize and reward outstanding performance. | 4.3 | 4.4 | 4.0 | 3.8 | 4.0 |
| Foster open, candid communication across organizational boundaries. | 4.5 | 4.3 | 4.4 | 4.0 | 4.2 |
| Effectively involve people in decisions that will affect them. | 4.2 | 4.2 | 4.5 | 4.1 | 4.1 |
| Build consensus and impact decisions without having to resort to "line" authority. | 4.1 | 4.2 | 4.2 | 4.0 | 4.1 |
| Ensure all team members have agreed personal development plans. | 3.7 | 3.2 | 3.8 | 3.3 | 3.4 |
| Ensure all team members take responsibility for their own self development. | 3.9 | 3.6 | 3.7 | 3.4 | 3.5 |
| Help people prepare for greater responsibilities. | 3.9 | 3.9 | 4.3 | 3.5 | 3.7 |
| Improve people's performance from "good" to "excellent". | 4.1 | 3.8 | 3.7 | 3.4 | 3.5 |
| **DEVELOPMENT** | **4.1** | **4.0** | **4.1** | **3.7** | **3.8** |
| | | | | | |
| **EMPOWER OVERALL** | **4.1** | **4.0** | **4.0** | **3.7** | **3.8** |
| | | | | | |
| **ENERGIZE** | | | | | |
| Provide continuous, clear and consistent communication at all levels. | 4.0 | 3.9 | 3.7 | 3.7 | 3.8 |
| Provide timely problem solving, decisions and feedback on changes to the plan. | 3.9 | 4.2 | 3.8 | 3.7 | 3.8 |
| Balance the needs of different groups in the Enterprise to create effective outcomes | 4.2 | 4.2 | 3.8 | 3.7 | 3.8 |
| Help others constructively deal with differences. | 4.1 | 4.1 | 4.1 | 3.8 | 3.9 |
| Support the final decision, even if was not his / her idea. | 4.3 | 4.2 | 4.2 | 4.0 | 4.1 |
| Able to effectively represent the Save the Children Alliance both externally and internally. | 4.6 | 4.1 | 4.3 | 4.1 | 4.2 |
| **COMMUNICATE** | **4.2** | **4.1** | **4.0** | **3.8** | **3.9** |
| | | | | | |
| Inspire with both praise and constructive criticism. | 4.3 | 4.2 | 4.1 | 4.0 | 4.1 |
| Demonstrate personal functional competence. | 4.2 | 4.1 | 4.0 | 4.0 | 4.0 |
| Demonstrate personal integrity and ethical standards. | 4.3 | 4.7 | 4.8 | 4.4 | 4.5 |

| | CEO | BOARD | FIELD | OTHER | TOTAL |
|---|---|---|---|---|---|
| ENERGIZE continue | | | | | |
| Hold yourself responsible for outcomes. | 4.5 | 4.7 | 4.7 | 4.5 | 4.5 |
| Appreciate the value of diversity. | 4.5 | 4.6 | 4.9 | 4.3 | 4.4 |
| Feel optimistic about the future. | 4.3 | 4.6 | 4.0 | 3.9 | 4.0 |
| Comfortable with ambiguity and uncertainty. | 3.7 | 3.8 | 4.2 | 3.6 | 3.7 |
| Genuinely listen to others. | 4.3 | 4.3 | 4.7 | 4.2 | 4.3 |
| Consistently treat all constituencies with respect and dignity. | 4.3 | 4.3 | 4.3 | 4.2 | 4.3 |
| Avoid political or self-serving behaviour. | 4.4 | 4.6 | 4.3 | 4.3 | 4.3 |
| INSPIRE | 4.3 | 4.4 | 4.4 | 4.1 | 4.2 |
| | | | | | |
| ENERGIZE OVERALL | 4.3 | 4.3 | 4.2 | 4.0 | 4.1 |
| | | | | | |
| COMBINED OVERALL | 4.2 | 4.3 | 4.3 | 3.8 | 3.9 |

NOTES:

1. FIELD refers to Field-facing staff in the Member's home office that completed the self assessment – does not yet include a representative sample of Field Office staff.

## Appendix 5c: Save the Children Leadership Results by Pilot Member (2003/4)

| | SECRETARIAT | AUSTRALIA | SWEDEN | TOTAL |
|---|---|---|---|---|
| RESPONDENTS | 16 | 25 | 20 | 102 |
| **ENVISION** | | | | |
| Passionate about Save the Children's goal of delivering immediate lasting improvements in the lives of disadvantaged Children worldwide. | 4.3 | 4.5 | 4.2 | 4.5 |
| Consistently focused on meeting the needs of Children. | 2.8 | 3.9 | 3.9 | 3.7 |
| Develop and communicate Save the Children's mission and Values. | 3.9 | 3.9 | 4.2 | 4.0 |
| Develop and communicate our strategic choices. | 3.9 | 3.6 | 4.1 | 3.9 |
| Develop and communicate our numerical goals. | 3.8 | 3.4 | 3.3 | 3.5 |
| Effectively lead the change process to achieve consistently better results. | 3.9 | 4.0 | 4.0 | 4.0 |
| Ensure that Save the Children seizes the advantage of Leadership in all of our activities. | 2.8 | 3.6 | 3.7 | 3.5 |
| Have a clear view of the time frame needed to achieve Save the Children's goals. | 3.8 | 3.6 | 3.3 | 3.6 |
| Willing to incur short-term costs in order to achieve long-term results. | <u>3.9</u> | <u>4.6</u> | <u>4.4</u> | <u>4.4</u> |
| **STRATEGY** | **3.7** | **3.9** | **3.9** | **3.9** |
| | | | | |
| Anticipate future Children's needs (rather than just reacting). | 2.7 | 3.5 | 4.0 | 3.6 |
| Demonstrate an enquiring mind, understanding the significance of understanding the significance of external and internal environments. | 4.5 | 4.4 | 4.1 | 4.3 |
| Benchmark against other Leaders in the field to help create or maintain advantages. | 3.6 | 3.4 | 3.6 | 3.5 |
| Successfully position Save the Children to capitalize on new fact-based needs and opportunities. | 3.2 | 3.6 | 3.7 | 3.6 |
| Challenge the status quo (when change is needed). | 4.0 | 4.4 | 4.4 | 4.2 |
| Encourage the taking of needed risks in trying out new ideas. | <u>4.0</u> | <u>4.2</u> | <u>4.3</u> | <u>4.2</u> |
| **INNOVATION** | **3.7** | **3.9** | **4.0** | **3.9** |
| | | | | |
| **ENVISION OVERALL** | **3.7** | **3.9** | **4.0** | **3.9** |
| | | | | |
| **ENABLE** | | | | |
| Identify the right tools to meet Save the Children's goals. | 3.2 | 3.8 | 3.7 | 3.7 |
| Identify the right knowledge and information systems to meet our goals. | 3.5 | 4.1 | 3.9 | 3.9 |
| Identify the right financial resources to meet our goals. | 3.1 | 3.7 | 3.4 | 3.6 |
| Develop a clear understanding of our next twelve months priorities. | 4.0 | 4.2 | 4.0 | 4.1 |
| Promote the value of continuous process improvement. | 3.8 | 4.3 | 4.1 | 4.1 |
| Leverage technology, products and services across boundaries. | 3.1 | 3.4 | 3.4 | 3.3 |
| Ensure the organization quickly solves problems and learns from experience. | 2.9 | 3.9 | 3.8 | 3.7 |
| Develop appropriate measurement tools for Save the Children. | <u>3.0</u> | <u>3.5</u> | <u>3.3</u> | <u>3.4</u> |
| **TOOLS & PROCESSES** | **3.3** | **3.9** | **3.7** | **3.7** |
| | | | | |
| Identify the right organization structure to meet Save the Children's goals. | 3.1 | 3.8 | 4.1 | 3.8 |
| Identify the right people. | 3.7 | 4.1 | 4.2 | 4.1 |
| Identify the right training needed to get the job done. | 2.7 | 4.0 | 3.6 | 3.6 |

| ENABLE continue | SECRETARIAT | AUSTRALIA | SWEDEN | TOTAL |
|---|---|---|---|---|
| Ensure everyone can handle the complexity of the job. | 3.0 | 3.8 | 3.8 | 3.7 |
| Help create interdependent teams across functions, disciplines and geographic boundaries. | 3.7 | 3.8 | 3.9 | 3.9 |
| Help provide effective Governance of our activities at all levels, in line with our Values, | 2.8 | 4.1 | 3.6 | 3.6 |
| **PEOPLE & STRUCTURES** | **3.2** | **3.9** | **3.9** | **3.8** |
| | | | | |
| **ENABLE OVERALL** | **3.3** | **3.9** | **3.8** | **3.8** |
| | | | | |
| **EMPOWER** | | | | |
| Develop appropriate performance measurements for people in the organization. | 2.6 | 3.5 | 3.2 | 3.3 |
| Successfully clarify roles and responsibilities. | 3.3 | 4.0 | 4.1 | 3.9 |
| Help build constructive relationships amongst all constituencies. | 4.1 | 4.3 | 4.2 | 4.2 |
| Help develop clear personal objectives for all team members. | 3.0 | 4.0 | 4.0 | 3.8 |
| Hold people accountable for results. | 2.7 | 4.0 | 3.8 | 3.7 |
| Effectively deal with performance problems. | 2.4 | 3.9 | 3.5 | 3.5 |
| **MEASURES** | **3.0** | **4.0** | **3.8** | **3.7** |
| | | | | |
| Help provide the space for everyone in the team to innovate. | 3.3 | 4.2 | 4.0 | 3.9 |
| Recognize and reward outstanding performance. | 3.3 | 4.1 | 4.1 | 4.0 |
| Foster open, candid communication across organizational boundaries. | 3.9 | 4.5 | 4.0 | 4.2 |
| Effectively involve people in decisions that will affect them. | 3.8 | 4.5 | 4.1 | 4.1 |
| Build consensus and impact decisions without having to resort to "line" authority. | 4.1 | 4.2 | 3.9 | 4.1 |
| Ensure all team members have agreed personal development plans. | 2.6 | 3.5 | 3.7 | 3.4 |
| Ensure all team members take responsibility for their own self development. | 2.6 | 3.7 | 3.7 | 3.5 |
| Help people prepare for greater responsibilities. | 2.9 | 4.0 | 4.0 | 3.7 |
| Improve people's performance from "good" to "excellent". | 2.8 | 4.0 | 3.5 | 3.5 |
| **DEVELOPMENT** | **3.3** | **4.1** | **3.9** | **3.8** |
| | | | | |
| **EMPOWER OVERALL** | **3.2** | **4.0** | **3.8** | **3.8** |
| | | | | |
| **ENERGIZE** | | | | |
| Provide continuous, clear and consistent communication at all levels. | 4.1 | 3.9 | 3.5 | 3.8 |
| Provide timely problem solving, decisions and feedback on changes to the plan. | 3.8 | 4.0 | 3.5 | 3.8 |
| Balance the needs of different groups in the Enterprise to create effective outcomes | 3.6 | 3.9 | 3.7 | 3.8 |
| Help others constructively deal with differences. | 3.9 | 4.1 | 3.7 | 3.9 |
| Support the final decision, even if was not his / her idea. | 3.8 | 4.3 | 4.0 | 4.1 |
| Able to effectively represent the Save the Children Alliance both externally and internally. | 4.4 | 4.3 | 3.8 | 4.2 |
| **COMMUNICATE** | **3.9** | **4.1** | **3.7** | **3.9** |
| | | | | |
| Inspire with both praise and constructive criticism. | 4.0 | 4.2 | 4.0 | 4.1 |
| Demonstrate personal functional competence. | 3.8 | 4.2 | 3.9 | 4.0 |
| Demonstrate personal integrity and ethical standards. | 4.3 | 4.7 | 4.6 | 4.5 |

| | SECRETARIAT | AUSTRALIA | SWEDEN | TOTAL |
|---|---|---|---|---|
| **ENERGIZE continue** | | | | |
| Hold yourself responsible for outcomes. | 4.6 | 4.6 | 4.5 | 4.5 |
| Appreciate the value of diversity. | 4.2 | 4.8 | 4.3 | 4.4 |
| Feel optimistic about the future. | 3.4 | 4.4 | 4.2 | 4.0 |
| Comfortable with ambiguity and uncertainty. | 3.6 | 3.9 | 3.8 | 3.7 |
| Genuinely listen to others. | 4.0 | 4.6 | 4.4 | 4.3 |
| Consistently treat all constituencies with respect and dignity. | 4.1 | 4.5 | 4.2 | 4.3 |
| Avoid political or self-serving behaviour. | 4.3 | 4.6 | 4.2 | 4.3 |
| **INSPIRE** | 4.0 | 4.4 | 4.2 | 4.2 |
| | | | | |
| **ENERGIZE OVERALL** | 4.0 | 4.3 | 4.0 | 4.1 |
| | | | | |
| **COMBINED OVERALL** | 3.5 | 4.3 | 3.9 | 3.9 |

NOTES:

1. FIELD refers to Field-facing staff in the Member's home office that completed the self assessment – does not yet include a representative sample of Field Office staff

2. TOTAL includes all Save the Children respondents to date, and not just the three pilot organizations.

## Appendix 6: Respondent's on line Questionnaire

This was executed via both the LeaderValues website and the newsletter address list, starting June 6th 2004. The questionnaire was made open to everyone who had completed the on-line 4E's self assessment. Questions were:

1. What is your status?
> Student
> Academic
> Junior Management
> Middle Management
> Owner Manager
> Consultant
> Other, please specify

2. What is your main area of activity?
> Education / study
> Business
> Consultancy
> Government (National or Local)
> NGO
> Other, Please Specify

3. Which age range applies to you?
> Up to 18
> 19 - 25
> 26 - 40
> 41 - 55
> 55 +

4. Where are you located geographically?
> Africa
> Australasia
> Asia
> Europe
> Middle East
> North America
> South America

5. How did you first locate the LeaderValues 4E's self assessment?
> Search engine
> Link from another website
> Already a regular visitor to LeaderValues
> LeaderValues Newsletter
> Recommended by a friend
> Recommended by a colleague
> Recommended by my University or College
> Recommended by my Company
> Recommended by a Consultant
> Accidentally
> Other, please specify

6. Did you read any of the 4E's material on www.Leader-Values.com prior to taking the self assessment (select all the options that apply to you)
> 4E's
> Genghis Khan
> Gandhi
> Other

Not at all

7. Why did you use the online self assessment? (select all the options that you feel apply to you)
      Assessing myself
      Assessing the team I work with
      Assessing the Leadership in my organization
      Assessing my organization as a whole
      To become a more effective Leader
      To get better results in my organization
      To learn more about Leadership
      To learn more about the 4E's
      To be able to better use the 4E's
      To compare the 4E's Leadership assessment with others
      Other, please specify

8. How easy did you find the online self assessment to use?
      Very difficult    Fairly difficult    Neither difficult nor easy    Fairly easy    Very easy

9. How appropriate did you find the 'Envision' questions?
      Not at all      Slightly      Average      Quite      Very

10. Did you feel that there was anything missing from the 'Envision' questions?
      Yes / No
      If you did, please give details

11. How appropriate did you find the 'Enable' questions?
      Not at all      Slightly      Average      Quite      Very

12. Did you feel that there was anything missing from the 'Enable' questions?
      Yes / No
      If you did, please give details

13. How appropriate did you find the 'Empower' questions?
      Not at all      Slightly      Average      Quite      Very

14. Did you feel that there was anything missing from the 'Empower' questions?
      Yes / No
      If you did, please give details

15. How appropriate did you find the 'Energize' questions?
      Not at all      Slightly      Average      Quite      Very

16. Did you feel that there was anything missing from the 'Energize' questions?
      Yes / No
      If you did, please give details

17. How accurate would you say the analysis of your Leadership situation was (based on the advice given after completing the self assessment)?
      Very inaccurate    Quite inaccurate    Neutral    Quite accurate    Very accurate

18. How would you rate the actionability of the advice after completion of the self assessment?
      Poor      Fair      Average      Good      Excellent

19. What did you find most helpful about the advice?
      Free form answer

20. What did you find least helpful about the advice?
      Free form answer

21. What did you do with the self assessment's results? (select all the options that you feel apply to you)
Ignored the results
Followed some of the advice
Followed most of the advice
Talked with peers
Talked with my supervisor
Talked with my work team
Modified my business plans
Identified areas of personal improvement
Re-took the test
Other, Please Specify

22. How does the 4E's Leadership self-assessment compare with others you have used?

Inferior    Not quite as good        About the same        A bit better        A lot better

Ease of understanding of the 4E's model
Thoroughness of the 4E's model
Appropriateness of the self assessment questions
Helpfulness of the improvement advice given
Actionability of the 4E's model for you personally
Actionability of the 4E's model for your team
Overall rating of the 4E's model

22. Did you feel that there was anything missing from the 4E's model?
Yes / no
Free form answer

23. How often have you returned to retake the assessment?
Never        Once        A few times        Many times

24. Do you feel comfortable in recommending the 4E's self assessment to others as a useful Leadership development tool?
No        Don't know        Maybe        Yes

26. Are there any comments you feel may help us improve the 4E's?
Free form answer

## Appendix 7: Respondent's Questionnaire Results

These are the results of the questionnaire (Appendix 6) from people who have completed the 4E's self assessment.

| Demographics | Respondents |
|---|---|
| Student | 8 |
| Academic | 8 |
| Junior Management | 8 |
| Middle Management | 24 |
| Senior Management | 15 |
| Owner Manager | 10 |
| Consultant | 15 |
| Other | 7 |
| **Total Respondents** | **95** |

| | |
|---|---|
| Education / study | 21 |
| Business | 38 |
| Consultancy | 18 |
| Government | 6 |
| NGO | 3 |
| Other | 9 |
| **Total Respondents** | **95** |

| | |
|---|---|
| Up to 18 | 0 |
| 19 - 25 | 4 |
| 26 - 40 | 32 |
| 41 - 55 | 43 |
| 55 + | 16 |
| **Total Respondents** | **95** |

| | |
|---|---|
| Africa | 3 |
| Australasia | 6 |
| Asia | 16 |
| Europe | 27 |
| Middle East | 1 |
| North America | 41 |
| South America | 1 |
| **Total Respondents** | **95** |

| How did you find the self assessment? | No. | % Score |
|---|---|---|
| Search engine | 28 | 29.5% |
| Link from another website | 6 | 6.3% |
| Already a regular visitor to LeaderValues | 12 | 12.6% |
| LeaderValues Newsletter | 16 | 16.8% |
| Recommended by a friend | 3 | 3.2% |
| Recommended by a colleague | 4 | 4.2% |
| Recommended by my University or College | 9 | 9.5% |
| Recommended by my Company | 3 | 3.2% |
| Recommended by a Consultant | 0 | 0.0% |
| Accidentally | 8 | 8.4% |
| Other | 7 | 7.4% |

|  | Total | Mean | % Score |
|---|---|---|---|
| Question 1: What is your status | Details above | | |
| Question 1: Other, please specify | Details above | | |
| Question 2: What is your main area of activity? | Details above | | |
| Question 2: Other, Please Specify | Details above | | |
| Question 3: Which age range applies to you? | Details above | | |
| Question 4: Where are you located geographically? | Details above | | |
| Question 5: How did you first locate the LeaderValues 4E's self assessment? | Details above | | |
| **Question 6: Did you read any of the 4E's material prior to taking the self assessment?** | | | |
| Question 6: 4E's | 55 | | 57.9% |
| Question 6: Genghis Khan | 21 | | 22.1% |
| Question 6: Gandhi | 30 | | 31.6% |
| Question 6: Other | 18 | | 18.9% |
| Question 6: Not at all | 33 | | 34.7% |
| **Question 7: Why did you use the online self assessment?** | | | |
| Question 7: Assessing myself | 70 | | 73.7% |
| Question 7: Assessing the team I work with | 30 | | 31.6% |
| Question 7: Assessing the Leadership in my organization | 26 | | 27.4% |
| Question 7: Assessing my organization as a whole | 19 | | 20.0% |
| Question 7: To become a more effective Leader | 51 | | 53.7% |
| Question 7: To get better results in my organization | 16 | | 16.8% |
| Question 7: To learn more about Leadership | 40 | | 42.1% |
| Question 7: To learn more about the 4E's | 32 | | 33.7% |
| Question 7: To be able to better use the 4E's | 13 | | 13.7% |
| Question 7: To compare the 4E's Leadership assessment with others | 16 | | 16.8% |
| Question 7: Other, please specify | 6 | | 6.3% |
| **Question 8: How easy did you find the online self assessment to use?** | | 4.5 | |
| **Question 9: How appropriate did you find the 'Envision' questions?** | | 4.1 | |
| **Question 10: Did you feel that there was anything missing from the 'Envision' questions?** | "No" – 87 / 95 | | 92%    "No" answer |
| Question 10: What was missing from the 'Envision' questions? | Free form answers | | |
| **Question 11: How appropriate did you find the 'Enable' questions?** | | 4.1 | |
| **Question 12: Did you feel that there was anything missing from the 'Enable' questions?** | "No" – 89 / 95 | | 94%    "No" answer |
| Question 12: What was missing from the 'Enable' questions? | Free form answers | | |
| **Question 13: How appropriate did you find the 'Empower' questions?** | | 4.3 | |

| | Total | Mean | % Score | Max |
|---|---|---|---|---|
| Question 14: Did you feel that there was anything missing from the 'Empower' questions? | "No" – 89 /95 | | 94% | "No" answer |
| Question 14: What was missing from the 'Empower' questions? | Free form answers | | | |
| Question 15: How appropriate did you find the 'Energize' questions? | | 4.3 | | |
| Question 16: Did you feel that there was anything missing from the 'Energize' questions? | "No" – 89 / 95 | | 94% | "No" answer |
| Question 16: What was missing from the 'Energize' questions? | Free form answers | | | |
| Question 17: How accurate would you say the analysis of your Leadership situation was? | | 4.0 | | |
| Question 18: How would you rate the actionability of the advice? | | 3.8 | | |
| Question 19: What did you find most helpful about the advice? | Free form answers | | | |
| Question 20: What did you find least helpful about the advice? | Free form answers | | | |
| Question 21: What did you do with the self assessment's results? | Free form answers | | | |
| Question 21: Ignored the results | 2 | | 2.1% | |
| Question 21: Followed some of the advice | 26 | | 27.4% | |
| Question 21: Followed most of the advice | 17 | | 17.9% | |
| Question 21: Talked with peers | 28 | | 29.5% | |
| Question 21: Talked with my supervisor | 6 | | 6.3% | |
| Question 21: Talked with my work team | 25 | | 26.3% | |
| Question 21: Modified my business plans | 10 | | 10.5% | |
| Question 21: Identified areas of personal improvement | 51 | | 53.7% | |
| Question 21: Re-took the test | 6 | | 6.3% | |
| Question 21: Other, Please Specify | 20 | | 21.1% | |
| Question 22: How does the 4E's Leadership self-assessment compare with others? | | | | |
| Question 22: Ease of understanding of the 4E's model | | 3.9 | | |
| Question 22: Thoroughness of the 4E's model | | 3.7 | | |
| Question 22: Appropriateness of the self assessment questions | | 3.9 | | |
| Question 22: Helpfulness of the improvement advice given | | 3.7 | | |
| Question 22: Actionability of the 4E's model for you personally | | 3.7 | | |
| Question 22: Actionability of the 4E's model for your team | | 3.6 | | |
| Question 22: Overall rating of the 4E's model | | 4.0 | | |
| Question 23: Did you feel that there was anything missing from the 4E's model? | "No" – 83 / 95 | | 87% | "No" answer |
| Question 23: What was missing from the 4E's model? | Free form answers | | | |
| Question 24: How often have you returned to retake the assessment? | | 1.33 | | |
| Question 25: Do you feel comfortable in recommending the 4E's self assessment to others? | | 3.6 | | |
| Question 26: Are there any comments you feel may help us improve the 4E's? | Free form answers | | 22% | "No" answer |

# Appendix 8: Using the 4E's as a Teaching Method

Jim Braden teaches Introductory Business, Human Relations, Human Resource Management and Career Planning Courses at the Shoreline Community College, Seattle. He also has his own recruitment business. As part of his teaching work, Braden asks students to use the 4E's on-line assessment, and prepare a Paper on Leadership as a result.

The three "personal stories" from the students are reproduced here with minor editing for clarity and with permission.

## 8.1 Relating to Current Roles

**"The technical part of running an airline is easy. It's the art form that makes the difference."** Milton Kuolt, founder of Horizon Air, started his airline on this belief. His ideals were based on the concept of if you provide great service the rest will fall into place.

Although I have worked for a number of different companies, my passion has always been in the field of aviation. Working for Horizon Air has given me a foundation on which to base my Leadership type. In taking the Leadership self assessment on www.leader-Values.com, I have been able to relate my own skills to my current work at Horizon Air. My overall score on this test was 123 out of a possible 150, with the average score being 108. The 4E's helped me to analyze my Leadership type.

> **Envision**: Creating a vision for employees to follow is highly important in running a successful operation. Setting goals and allowing the employees to reach for "something" is essential. Our number one goal at Horizon is to be the best regional airline in North America. While this is important, there are also strategic goals to allow each employee to reach this one step at a time. Important aspects of Envision are to be able to adapt and change in order to reach the goals set for the operation. The airline industry is constantly changing, and having the vision to adapt to its surroundings is essential.
>
> **Enable**: Giving the employees resources and knowledge to perform the job is extremely important. Without the "know how" the employees could be lost in their ability to perform their job. Horizon Air trains their employees with the Values of the airline.
>
> **Empower**: Leadership is not a position, it is a process. Installing Values for the employees and allowing the employees to make their own decisions is an important part of operating a successful business. The duty of the managers should be to install the goals and the Values of the Company with the employees, and then to allow them to make their own decisions. By doing this, employees can feel that they are a vital part of the operation, thus resulting in a thriving, happier organization. Employees at Horizon Air have their own three personal objectives to fulfil each year. By doing this, the employees are Empowered in taking part in their Company. Personal goals can be just as important as Company goals.
>
> **Energize**: If employees are motivated in performing their duties, they are usually more productive. Giving them a foundation and then a reason to enjoy their job can be a powerful thing. Showing employees that they are important can boost morale and create a healthy working environment. Each employee's contribution is vital in a smooth running operation.
>
> With the skills and experience that I have gained while working for Horizon Air, I relate more to the Leadership skills of the Samurai. The value system was the vital part in the way the Samurai worked. They believed that if you instilled certain Values, assuming that each person had certain skills, then that would determine success. Horizon Air's spirit, like that of the Samurai's, leads people to be creative and allows them to make their own decisions.

I believe that Leadership should not consist of giving orders to those below you. I believe it is [there] to instil Values in the employees and trust them to make the decisions necessary to help the Company succeed.

## 8.2 Relating to Historical Figures

**Leadership is vital key to society. Every person has some characteristics of a Leader, even if they never step into the Leadership role.** It is easy to find different characteristics of Leadership by looking at Leaders in the past. Miyamoto

Musashi showed Leadership in his physical strength and his ability to outwit enemies. Eglantyne Jebb showed her Leadership by finding what she thought was wrong with the world and making that her pursuit. Pope John XXIII displayed his Leadership through his simplicity and his desire to make life better for all people. Genghis Khan displayed his Leadership with his desire to succeed and to win. Finally, Gandhi [showed] Leadership through his actions that reached many people. After reading through descriptions of all the Leader's Leadership skills, I cannot pick one with whom I can correlate myself to.

Taking the Leadership assessment, I learned that I am just a mediocre Leader, scoring 96 out of 150. I scored somewhere between 60% and 69% in the areas of Envision, Enable, Empower, and Energize. I feel that my low score could attribute a bit to the way that the test is given. When a scale is given, I tend to keep my score in the middle of the road unless I feel very passionately about something, one way or another. It is very clear that this was again the case for this assessment, with the small paragraphs describing my score advising to become clearer on answers and to take a more "black and white" approach. By taking this assessment, I realized that I do not exist in one category of Leadership, having some characteristics of each Leader.

The Leader Values Website breaks Leadership down into four groups, the 4 E's

**Envision is the first.** A vision is the beginning of all endeavours. All great Leaders must have some idea of where they would like to go; the change is in what is being affected. My score was highest in this category. I feel that when I am involved in something, it must have a good vision or foresight. I do not like entering into a situation where the goals are not clear. For this E, I feel I correlate most closely with Musashi. Musashi found his vision by having an overall goal, fighting, and then living by a set of key points. Like Musashi, many of my goals are for me [personally] instead of leading a large [number] of people, as Gandhi did. I know how to work with people, but I prefer working alone. A vision varies from person to person and that is what makes an individual.

**The second E is for Enable.** Enabling is realizing the tools to make each and every part of the goal work efficiently. I scored fairly low in the Enable section of the assessment, but this is where the "black and white" comment was made. I do not like to view business situations as win or loose situations, even if that is what they are. It is not that I am not competitive; I am overly competitive when it comes to athletics. I just do not like the competitive atmosphere at businesses. Although I have an opposition to the win or loose aspect, I do love to give advice and reward good work. This is part of Enabling as well. I think my personality for Enabling is difficult to match with the given Leaders, but I believe Pope John XXIII is the closest match.

He took the good with the bad when it came to Enabling; he brought together the Second council session which created much controversy in the Catholic world. What the Pope said relating to this sounds much like something I would say - he thanked the bishops in the council for Enabling him "to hear the voice of the whole Catholic world." I like to be Enabled in this way, learning and gaining a wider knowledge base, even if it is something I am opposed to or disagree with, I like to hear another point of view. A Leader must not only Enable his people, but also allow them to Enable him.

**Empowerment is the third E.** To Empower is to be involved mutually with a group of people with a common vision to obtain. This third E was my weakest, scoring a 60%. I believe this is because if I have a choice, I will work alone. If I were to Empower people, I believe my style would be closest to a mix of Pope John XXIII, Khan, and Jebb. Like the Pope and Khan, I would largely turn over power to the people I am working with and those who I trust. Not only does the extra power make those under the Leader more loyal, they feel Empowered due to the trust of their Leader. I am also like Jebb because I prefer to work alone on projects, but will branch out someday if I attempt to conquer a large issue. Empowering is a balance of encouraging others and allowing others to encourage you.

**The final E is Energize.** To Energize is to pull all the former E's together and get them into an excited working order. A Leader must give energy and spirit to their vision, their Enablers, and add to the Empowerment of those who stand beside him. Energizing was my middle E, scoring a 64%. I believe this has to do with the fact that my former answers were middle of the road, but if the assessment was given differently, I may have a different result.

Nonetheless, I Empower those around me by being completely open with my colleagues (like Pope John XXIII), by choosing my battles (as Gandhi did), and by openly showing trust and loyalty to those who are deserving (the way of Khan). I find that the way that I Energize is the way that I have found myself being

influenced.  For example, by being open and sharing with my colleagues, I find they are more willing to work in a group because they feel they have equal power and that is more comfortable than feeling like there are ruler and subjects.  To Energize is to pull Leadership together and make it all work.

Isn't diversity what makes us all special?  My Leadership skills are diverse and match many historical Leaders' styles. Although I do not feel I could honestly pair myself with one particular Leader, of all the Leaders in the world and history, I feel honoured that I have some characteristics that some have.  Leadership is a great thing.  If there was no Leadership, chaos would rein and the world would be a much different place.  So cheers to all the Leaders, great and small, who have helped the world become what it is today!

## 8.3 Relating to Career

**After taking the Leader Values assessment test I scored surprisingly high.**  I personally think maybe I didn't quite understand all that the questions were asking me.  I'm 32 years old and I have worked at different companies in my life. If there is one thing I've learned about me [it] is that I really don't know myself. I know what I want and sometimes how to get it but I don't always have the drive to get it.  I scored a total of 122 out of 150, the average is 108.  Now this can't be right because I look at myself as an average guy and sometimes below average.

When I worked for Nintendo and Boeing the two major jobs in my life I was content with just being a "worker bee". Management was never a thought in my mind nor was it a goal of mine.  I currently work for HWA security contracted as an armed guard at FEMA.  I hold the rank of Sergeant (Sgt.).  I have had this position for five months now and before that I was Corporal (Cpl.) and had that rank for six months.  I personally don't care for the position - I think mainly because the extra pay isn't worth the headache.  I know I make a good Leader but at the same time I'm a bad Leader. I'll explain this more as I go through the 4Es.

> **Envision:**  My score was 29 out of 35.  Unlike Gandhi's Envision which was political and religious independence and Genghis Khan's to stop Mongol tribes from fighting and preserve their nomadic lifestyle, I do not have religious or peace motivation in my life.  I do however have personal goals but they do not include getting into management.  I like the ability to have power in order to do good and like Genghis Khan I am quite generous and value loyalty.  I am afraid of responsibility - I have no problem being a well paid and valued worker bee.  I Envision getting an education and starting a career.

> **Enable:**  My score was 32 out of 40.  I feel I'm a lot like Genghis Khan because I strongly believe that people should be promoted based on merit, not the buddy or family system.  Genghis Khan also put the things at his disposal to good use. I am the same way.  I was promoted based on what my boss felt were good Leadership qualities.  I just wish I felt the same way about myself or maybe I just need more confidence in my self.  I put on a mask at work to hide my true self.  I think a lot more people do this than is admitted.  I also will take a system and tools and make them work or improve them to work better.

> Examples are our time sheets and schedules.  My boss used to have our time sheets done in Word and we had to hand write our time.  I re-did the time sheets in Excel and put formulas in the cells so now our time sheets are done on the computer and the time is added up for you. The schedules were done in Excel but my boss used to have to use a calculator to add up the time for everybody.  Now after I re-did the schedules in Excel the times add up for her and it calculates the total of every employee's time so she knows if she is over budget or on time.  Those are just two of many improvements I have made with a current system.

> **Empower:**  My score was 24 out of 30.  With Empowerment I'm a lot like both Genghis and Gandhi.  Gandhi was into self discipline and freedom for his Followers.  Genghis was into trust, loyalty and generosity.  I myself value all of these ideals.  As I stated above I was promoted based on merit and was Empowered by trust and loyalty.  I too would look for employees that can be trusted and are loyal to the Company.  I feel these things such as trust and loyalty come [with] a lot of self discipline.

> I believe in giving employees the freedom to make their own decisions and to try to work out situations on their own.  As a supervisor I excel at this and I'm sometimes too generous.  Where I lack in management is backbone. I don't have it in me to discipline employees that need it.  Instead I try to improve them and work with them, even when discipline is needed.  This is one of many reasons I don't want responsibility - instead let me pass the buck onto someone else and let them have the headache of problems, and I will continue doing my job and offer solutions.  I'm a great pair of ears and I do offer great suggestions but when it comes to executing them I definitely fail.

**Energize:** My score was 37 out of 45. With Energize I would have to say I'm more like Genghis, with the exception that I'm not illiterate and I can write. I seem to have a knack with getting my fellow co-workers in a positive mood. I guess you could say I have a way with words accordingly to the mood. Each situation is different but I seem to be able to sugar coat situations enough to deescalate an escalating situation. I can make a big problem seem not so big. Not all of the time but usually I can make mountains into mole hills.

I try to make things positive and see right through the bad facing people, but that's the mask I talked about earlier. My boss promoted me when I never wanted the position in the first place. I didn't want to turn down a promotion but I never applied for it either. I have a lot to learn about myself - but that's what life's about, learning and growing.

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This paper is not arguing that the 4E's is a better model than others for teaching the Leadership process (there is no quantitative analysis at hand). Yet it appears that the Framework can yield interesting results as it organizes people's thoughts into a coherent analytical process.

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