

Annexure 1

Major Strands of Thoughts on Leadership

When we think of leadership, many attributes of leaders come to mind: courage, charisma, vision, persistence, commitment to goals, and tenacity, to mention a few. While the interest in and study of leaders and leadership is not new, it is only in recent decades that “leadership” became a distinct and recognizable discipline for study, research, and training. For a long time, up until perhaps the 1900s, the so-called “Great-Man” theory—“leaders are born, not made”—was generally the accepted reference point. However, from 1950s onwards, different strands of thought on leadership began to appear, prompted by, and surely a reflection of, the great wave of socioeconomic changes and industrial development that followed the end of World War II. In response, theorists started to see other factors (besides nature—“being born”) that exerted critical influences on behavior that could be befitting of leaders.

Generally, three factors influence leadership behavior: personality, situation, and the environment. They may go by other similar or related names but they formed the bases for new directions for thinking on leadership such as: Traits theory (what makes leaders different from other people?), Situational theory (situations determine who emerges as a leader), Transformational leadership (leaders are called upon to deal with a crisis), Results-based leadership, and so on. Over time, more hybrids inevitably came into being, as leadership thinking evolved from different environments and circumstances. Covey,¹ for example, goes so far as to say that five broad approaches in leadership theories

¹ Covey, S. R. (2004). *The 8th habit. From effectiveness to greatness*. New York: Free Press (Simon & Schuster), Appendix 2.

have emerged in the 20th century: (1) trait, (2) behavioral, (3) power-influence, (4) situational, and (5) integrative.

The study of leadership as an academic and professional discipline has its roots in the US where a successful and productive convergence of leadership in practice (the corporations) and leadership in theory (the academicians/theorists) has been happening for at least half a century. Today, given the proliferation of books, written materials and other resources on leadership, many names are as familiar to practitioners and students of leadership as mission statements and action plans.

This abundance shows up similarities and differences, many a matter of adaptation and refinement of theoretical parameters and frameworks. For example, Bennis as well as Kouzes and Posner both talk about vision but in different ways; for the former, vision is what guides leaders while for the latter, vision is about “igniting passions” in others. The following is a cursory look at some of the key leadership theorists or thinkers (see Table A.1).

Table A.1: *Leadership Is an Evolving Process: Some Examples from Research*

<i>Type of theory</i>	<i>Basic concept</i>
Great man →	Leaders are born, not made
Trait →	Leaders have certain traits, competencies, and behavior
Power and influence →	Leaders have power and influence
Results-based or → behaviorist	It is what leaders actually do that matters rather than what they are
Situational →	Different circumstances require different forms of leadership
Leader as servant →	Leaders are seen as serving others
Transactional leadership →	Leaders and followers have an exchange relationship
Followers' attribution →	What do the followers attribute to the leaders?
Transformational → leadership	The leader is a proactive and innovative visionary

Source: Covey (2004).²

² The 8th habit.

In tandem with the proliferation of literature on the subject, there are more and more “what experts say...” snippets about leadership than ever before. Are we any closer to an understanding of what leadership is? What is clear is that we can now generally understand what leadership entails or how it best functions.

Leadership is like a force that moves people and mobilizes resources to get things done. To accomplish this, it entails initiating and modeling values, respect, practices, learning, and often risk-taking. It involves creating an empowering and enabling environment to inspire and motivate people through effective communications and setting a personal example. Keywords often associated with leadership, such as “courage,” “integrity,” “passion,” “conviction,” “self-awareness,” “charisma,” and others, tell us that leaders possess certain common qualities. Warren Bennis, one of the foremost management gurus on the topic, thinks that the basic ingredients of leadership are as given in Table A.2.³

Table A.2: *Basic Ingredients of Leadership*

<i>Basic ingredient</i>	<i>What it means</i>
Guiding vision	You have a clear idea of what you want to do—professionally and personally—and the strength to persist in the face of setbacks, even failures.
Passion	You have an underlying passion for the promises of life, combined with a very particular passion for a vocation, a profession, a course of action. You love what you do.
Integrity	Your integrity is derived from self-knowledge, candor, and maturity. You know your strengths and weaknesses, are true to your principles, and have learned with experience how to learn from and work with others.
Trust	You have earned people’s trust.
Curiosity	You wonder about everything and want to learn as much as you can.
Daring	You are willing to take risks, experiment, and try new things.

Source: Warren Bennis (1998). *On becoming a leader*. New York, USA: Addison-Wesley.

³ Boyett, J., & Boyett, J. (1998). *The guru guide. The best ideas of the top management thinkers*. New York: Wiley & Sons, Inc.

Leaders are found at all levels of an organization and of the community. There are leaders at the front-line of service delivery, and they are crucial for effective implementation of services because they interface with the clients at a very personal level. Then, we have leaders within an internal network system in the organization who have influence in either an official or informal way. We also have the so-called “community builders”⁴ to help extend an organization’s influence to the outside. At the most obvious positions are the executive leaders such as the managing directors, chairman of the board of trustees, the operations managers, the supervisors, etc., that is, people who are paid to lead. Beyond the program organization, there are community leaders and political leaders who set the cultural and behavior norms, and lead their constituents toward espoused goals.

Certainly, alchemy of sorts needs to exist for leaders, especially the not-so-obvious ones, to emerge from unexpected places. Challenges or adversities appear to be an element conducive to leadership development as they draw out or motivate certain action-inducing behavior in people. People’s leadership qualities are best tested in difficult times or environments. But first a path, guided by a vision needs to exist on how to confront these challenges or how to do things better, must be communicated to them. As Peter Senge puts in eloquently, “...[we can] see leadership as a systemic phenomenon inseparable from its context.”⁵

Leadership is a force that needs a context and also competencies to do what needs to be done. Leaders need competencies to manage four things (see Table A.3).

Table A.3: *Four Competencies of Leadership*

Management of ATTENTION	⇔	Vision of leaders commands the attention of followers.
Management of MEANING	⇔	Leaders are able to skillfully communicate issues in simple images and language.
Management of TRUST	⇔	Leaders are admired for their consistency of purpose.

(Table Contd)

⁴ Senge, P., et al., (1999). *The dance of change. The challenges to sustaining momentum in learning organizations*. New York: Doubleday.

⁵ *Ibid.*, p. 20.

(Table Contd)

Management of SELF	⇒	Leaders are adept at identifying and fully utilizing their strengths and accepting and seeking to develop areas of weaknesses.
--------------------	---	--

Source: Warren Bennis (1994). *The four competencies of leadership*. An Inverted Life Reflections on Leadership and Change (Chapter 5). Cambridge, Massachusetts, USA: Perseus Publishing.

Different thoughts of leading thinkers on leadership are articulated in Box A.1.

Box A.1: Quotable Quotes on Leadership

When the best leader's work is done, the people say, "We did it ourselves."

Lao-Tzu

A leader is a man who has the ability to get other people to do what they don't want to do and like it...

Harry Truman

My own definition of leadership is this: The capacity and the will to rally men and women in a common purpose, and the character which inspires confidence...

Field Marshall Bernard Montgomery

Leadership is influence. That's it. Nothing more; nothing less.

John Maxwell

Great leaders move us. They ignite our passion and inspire the best in us. When we try to explain why they are so effective, we speak of strategy, vision, or powerful ideas. But the reality is much more primal: Great leaders work through the emotions...

Goleman et al.

To lead is to live dangerously because when leadership counts, when you lead people through difficult change, you challenge what people hold dear—their daily habits, tools, loyalties, and ways of thinking—with nothing more to offer perhaps than a possibility.... By making the lives of people around you better, leadership provides meaning in life.

Heifetz

(Box A.1 Contd)

(Box A.1 Contd)

A leader is a dealer in hope.

Napolean Bonaparte

Leaders are pioneers.... They guide us to new and often unfamiliar destinations...

Kouzes and Posner

Leaders...are responsible for building organizations where people continually expand their capacity to understand complexity, clarify vision and improve shared mental models—that is they are responsible for learning.

Peter Senge

The greatest leader is seen as servant first because that is what he is deep down inside. Leadership is bestowed on the person, who is, by nature, a true servant...

Greenleaf

To link oneself with the masses, one must act in accordance with the needs and wishes of the masses.... We should help them to proceed from these things to an understanding of the higher tasks which we have put forward.... Such is the basic method of leadership.

Mao Tse-Tung

Leadership is defined as the capacity to effect changes from a forward-looking participatory perspective throughout society and not simply at the local level.

African Development Forum

Source: Adapted from several sources.

Level 5 Leadership: Going from Good to Great

Jim Collins, coauthor of the bestselling book *Built to Last*, believes that “Good is the enemy of great” because “being good” prevents someone or some organization from becoming extraordinary or great. A chance encounter with Bill Meehan,⁶

⁶ Bill Meehan said to Jim Collins that while his previous book *Built to Last* was good, it was “useless.” He said that the companies featured in the book stopped at being “Good” and mostly never made it to “Great.”

managing director of the San Francisco office of McKinsey & Co., prompted him to undertake a five-year-long research project on what it takes for a company or organization to go from GOOD to GREAT, which is also the name of his book.

The basic premise of GOOD to GREAT is that it is about “timeless principles,” of “how you take a good organization and turn it into one that produces sustained great results...”⁷ Having analyzed the histories of 28 companies and sieving through thousands of pages of interviews and great amounts of data over five years of research, Collins and his team believe that top among the key determinants of “greatness” is leadership.

However, the leadership that is required for greatness to happen is not just any sort of leadership. It takes a very special leader to create an enduring organization that will not only sustain or improve its performance over time but will also outperform its peers. To differentiate between different types of leaders, Collins has devised a five-level hierarchy of capabilities, of which Level 5 (the highest) is the one necessary for “greatness” (see Table A.4).

Table A.4: *Level 5 Hierarchy*

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

Source: Collins (2001), p. 20.

⁷ Collins, J. (2001). *Good to great*. New York, USA: Harper Collins.

What are the traits and characteristics of Level 5 leaders? Collins says he was greatly surprised by the results of his research. Level 5 leaders go against conventional wisdom of behavioral patterns or characteristics expected of most traditional leaders such as inflated egos, high visibility, greater-than-life persona, tendency to be boastful, and so on. Collins considers the latter as Level 4 leaders, those likely to be colorful figures with a short-term vision and who might never be able to take the organization from “good” to great.

Collins’ Level 5 leaders are quiet but resolute, ambitious but low-key. They think of the organization first and foremost, not themselves. They are results-oriented and concerned for the long-term sustainability of the company (not short-term gains). While they do not seek any glory for themselves, they nevertheless have resolute faith in their beliefs and vision for the organization, and the direction they want to take it. The key points of Level 5 leaders are as follows:

- “Level 5” refers to a five-level hierarchy of executive capabilities, with Level 5 at the top. Level 5 leaders embody a paradoxical mix of personal humility and professional will. They are ambitious, to be sure, but ambitious first and foremost for the company, not themselves.
- Level 5 leaders set up their successors for even greater success in the next generation, whereas egocentric Level 4 leaders often set up their successors for failure.
- Level 5 leaders display a compelling modesty, are self-effacing, and understated. In contrast, leaders with gargantuan personal egos often contribute to the demise or continued mediocrity of the company.
- Level 5 leaders are fanatically driven, infected with an incurable need to produce sustained *results*. They are resolved to do whatever it takes to make the company great, no matter how big or hard the decisions are.
- Level 5 leaders display a workmanlike diligence—more plow horse than show horse.

- Level 5 leaders look out the window to attribute success to factors other than themselves. When things go poorly, however, they look in the mirror and blame themselves, taking full responsibility. The comparison CEOs often did just the opposite—they looked in the mirror to take credit for success, but out the window to assign blame for disappointing results.
- One of the most damaging trends in recent history is the tendency (especially by boards of directors) to select dazzling, celebrity leaders and to deselect potential Level 5 leaders.
- Level 5 leaders exist all around us, if we just know what to look for, and that many people have the potential to evolve into Level 5 leaders.
- Ten out of 11 good-to-great CEOs came from *inside* the company.
- Level 5 leaders attribute much of their success to good luck rather than personal greatness.

Level 5 leaders have a winning combination of *Professional Will* and *Personal Humility*, see Box A.2.

Approaches to Leadership: Qualities, Situational, and Functional

Even as a schoolboy, John Adair was interested in the subject of leadership, something he later devoted much of his professional life to. He first made a public statement on leadership as the founder of the historical society at his school in London. Speaking on the topic of “Leadership of History” he first made the linkage between a leader and his personal qualities saying that “... although leadership may change in this aspect from age to age, the qualities of a leader are the same.”

Later, having served in the British Army in the 1950s, he put his observations of how leadership was described and developed

Box A.2: Level 5 Leadership

Professional Will	Personal Humility
Creates superb results, a clear catalyst in the transition from Good to GREAT.	Demonstrates a compelling modesty, shunning public adulation; never boastful.
Demonstrates an unwavering resolve to do whatever that must be done to produce the best long-term results, no matter how difficult.	Acts with quiet calm determination; relies principally on inspired standards, not inspiring charisma, to motivate.
Sets the standard of building an enduring great company; will settle for nothing less.	Channels ambition into the company, not the self; sets up successors for even greater success in the next generation.
Looks in the mirror, not out the window, to apportion responsibility for poor results, never blaming other people, external factors, or bad luck.	Looks out the window, not in the mirror, to apportion credit for the success of the company—to other people, external factors, and good luck.

Source: Collins (2001).⁸

into what he believed were three distinct approaches to leadership—Qualities, Situational, and Functional.⁸

Qualities approach

In the early 1950s, the British Army prescribed the following 17 qualities as those necessary for “...influencing a body of people to follow a certain course of action; the art of controlling them, directing them and getting the best out of them”:⁹

⁸ Adair, J. (2010). *Effective strategic leadership*. London: Pan Books, Chapter 3.

⁹ Adair, J. *Effective strategic leadership*. p. 64.

- | | |
|-------------------------------------|----------------------|
| 1. Ability to make decisions | 10. Energy |
| 2. Assurance (confidence) | 11. Determination |
| 3. Example | 12. Resolute courage |
| 4. Calmness in crisis | 13. Sense of justice |
| 5. Human element | 14. Initiative |
| 6. Pride in command | 15. Loyalty |
| 7. Sense of duty | 16. Humor |
| 8. Ability to accept responsibility | 17. Physical fitness |
| 9. Enthusiasm | |

However, trainee officers were encouraged to continue learning in order to be leaders and to profit by experience.

In institutions that have their own traditions of leadership such as renowned military institutions like West Point or exclusive gentlemen's clubs, the qualities approach continues to serve its purpose of distinguishing between the leaders and the followers. For practitioners of this approach, other personal qualities that are deemed to "qualify" for the leadership caliber are: temperance, justice, sagacity, amiability, presence of mind, tactfulness, humanity, prudence, fortitude, sympathy, courage, magnanimity, generosity, and so on.

Situational approach

The belief that leaders were leaders because they possessed a certain set of qualities soon came into disrepute when psychologists began to question its validity. They started to put forth the argument that leaders were leaders because they possessed certain attributes that responded well in particular situations, rather than having a set of prescribed qualities. This came to be known as the *situational* approach, thanks to a big expansion of research activities in the social or behavioral sciences after the World War II period.

The *situational* approach puts much emphasis on *knowledge* (especially technical or professional competence) but also has two other aspects to it: *intelligence* and *experience*. It is believed that these three elements together will allow a leader to respond effectively to any situation.

Functional approach

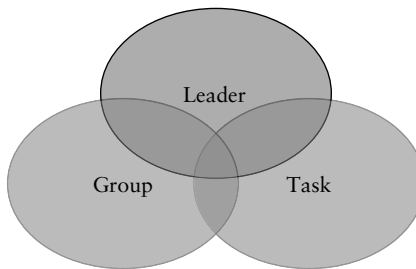
The concept of ability to influence underlines the functional approach to leadership. It is believed that the effectiveness of a leader depends on his/her ability to influence a group of people to achieve a specific goal or to complete a task. Thus, three elements are necessary:

- Leader
- Group
- Task

Leadership is, therefore, a function of their inter-relationship. In later research, the word “team” came into popular use and has since replaced “group.”

The *functional* approach provides the intellectual basis for John Adair’s Three-Circle Model (see Figure A.1) which he successfully used as “Action-Centered Leadership” (ACL) in his training programs.

Figure A.1: *Three-Circle Model*



Source: Adair (2010).

The three interlocking circles illustrate that each area of need—Leader, Group and Task—exerts an influence on the other two. For example, if a task is missing, the leader and the group have nothing to act on or work together for. Similarly, if a leader is missing, a group with a task will most likely not be able to complete the task in any coherent or timely manner.

This model underscores the importance of various functions that need leadership in order for the objectives of the group and

task to be fulfilled. This creates “areas of leadership responsibilities.” Examples of these functions are

- * *Planning*
- * *Initiating*
- * *Controlling*
- * *Supporting*
- * *Informing*
- * *Evaluating*

This model gives leaders—with the necessary qualities and knowledge/intelligence/experience (*qualities* and *situational* approaches) —the opportunity to perform the necessary or appropriate functions so that the group can achieve its tasks as a working unit. In this way, by sharing information and knowledge as well as getting contributions from the group, this model strengthens the role of leaders.

Leadership styles in a nutshell

Much is demanded of leaders these days. They are seen to be playing or performing different roles. Are they visionary or strategists, politicians or campaigners, coaches or change agents? Clearly, they come in many different guises, depending on their own personalities and the skills and competences expected of them in their field or area of influence.

Leaders use different styles of leadership in response to different situations. A time of crisis would see a leader behaving very differently than in a less turbulent environment. The following is a list of six leadership styles suggested by Goleman et al. and what they aim to do:¹⁰

- VISIONARY
 - o How it builds resonance: Moves people toward shared dreams
 - o Impact on climate: Most strong positive
 - o When appropriate: When changes require a new vision, or when a clear direction is needed

¹⁰ Goleman, D., Boyatzis, R., & McKee, A. (2002). *The new leaders. Transforming the art of leadership into the science of results*. London: Little Brown.

- COACHING
 - How it builds resonance: Connects what a person wants with the organization's goals
 - Impact on climate: Highly positive
 - When appropriate: To help an employee improve performance by building long-term capabilities

- AFFILIATIVE
 - How it builds resonance: Creates harmony by connecting people to each other
 - Impact on climate: Positive
 - When appropriate: To heal rifts in a team, motivate during stressful times, or strengthen connections

- DEMOCRATIC
 - How it builds resonance: Values people's input and gets commitment through participation
 - Impact on climate: Positive
 - When appropriate: To build buy-in or consensus, or to get valuable input from employees

- PACESETTING
 - How it builds resonance: Meets challenging and exciting goals
 - Impact on climate: Because too frequently poorly executed, often highly negative
 - When appropriate: Get high-quality results from a motivated and competent team

- COMMANDING
 - How it builds resonance: Soothes fears by giving clear direction in an emergency
 - Impact on climate: Because so often misused, highly negative
 - When appropriate: In a crisis, to kick-start a turnaround, or with problem employees

Pause for Reflection

Think of three leaders and identify their styles. Leaders have different styles but they all succeed. Why? Match styles to the context and tasks these leaders faced.

Exercise

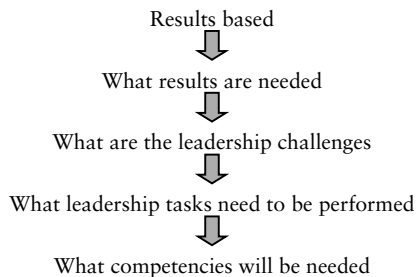
Make a list of leaders you know or have heard of, and write down their accomplishments or major things they have done.

What is it about these leaders that we remember? Apart from their personalities or charisma, it is usually what they have changed or fought against that we remember. It could be as grand or dramatic as what Jody Williams and her landmine activists do, or it could be something as small-scale, quiet but needy as some community leaders do.

Being capable and possessing attributes of leadership is terrific, but capability must be put to appropriate and purposeful use. Effective leadership equals attributes \times results. Leaders need to focus on what to accomplish (results) and how to accomplish it (attributes). Leaders who pay attention to only attributes will be ineffective. On the other hand, exclusive focus on results may be shortsighted and may result in a lack of ability to achieve results in the future.

Results-based leadership development would process with the need for analysis of health challenges and what is needed to address these challenges. These, in turn, would determine leadership competencies needed, as shown in the Figure A.2.

Figure A.2: *Results-based Leadership*



Source: Dave Ulrich, Jack Zenger and Norm Smallwood (1999). *Results-based Leadership*. Harvard Business School Press. Boston MA USA.

Pause for Reflection

Identify one health challenge and a leadership competency to address this challenge.

Leadership as performing different roles

The leaders need to perform several different roles to achieve results: visionary and strategist, politicians and campaigners, coach and change agents, as shown in Table A.5.

Table A.5: *Leadership Roles*

<i>Organization</i>	<i>Inside</i>	<i>Outside</i>
Future possibilities	Change agent	Visionary and strategist
Present operations	Coach	Politician and campaigner

Source: Burt Nanus and Stephen M. Dobbs (1999). *Leaders who made a difference: Essential strategies for meeting non-profit challenge.* Jossey Bass Publishers.

What leaders need to do?

A chain of events will happen when a leader decides to set a goal (or goals) in motion. Leaders will start with a vision that will set the tone and direction for the organization to follow. Then they have to show their own personal commitment through beliefs, integrity, trust, empathy, habits, and other character traits before they are able to persuade other people and get their individual commitments.

Thus, it is important for leaders trying to make a difference to have the much-vaulted “people skills.” When people are excited by a leader’s vision, capability within an organization or community can be easily mobilized (see Figure A.3).

Challenge the status quo

According to Kouzes and Posner,¹¹ the root meaning of the word “lead” is “to go, travel, guide” while for “manage,” the root

¹¹ Kouzes, J. M., & Barry, Z. P. (1995). *The leadership challenge. How to keep getting extraordinary things done in organizations.* San Francisco: Jossey-Bass Publishers.

Figure A.3: *What Do Leaders Need to Do?*

Source: Dave Ulrich, Jack Zenger and Norm Smallwood (1999). *Results-based Leadership*. Boston, MA, USA: Harvard Business School Press.

meaning is “hand” (handling things, maintaining order, etc.). In this sense leaders, by virtue of the meaning of the word, are pioneers, the “first,” which complements very well the idea of leaders challenging the status quo to change, improve, or to bring in something new. The challenge of change is perhaps what drives leaders at a personal level, that there is something that matters so much to them that they have to act.

Leaders can challenge the status quo by searching opportunities to change, grow, innovate, or improve,¹² and they do this by

- Treating every job as an adventure
- Treating each new assignment as a start-over, even if it isn’t
- Questioning the status quo
- Sending people shopping for ideas
- Putting idea gathering on one’s own agenda
- Going out and finding something that needs fixing
- Assigning people to the opportunities
- Renewing teams
- Adding adventure and fun to everyone’s work
- Always learning new skills

Leaders look for ways to radically alter the status quo, for ways to create something totally new, for revolutionary new processes, for ways to beat the system. (Kouzes and Posner)

¹² Ibid., p. 61.