# Executive Leadership

EL-Student Manual

*7th Edition, 2nd Printing-October 2015*

FEMA

**FEMA/USFA/NFA**
**EL-SM**
**October 2015**
**7th Edition, 2nd Printing**

# *Executive Leadership*

FEMA

# Executive Leadership

EL-Student Manual

*7th Edition, 2nd Printing-October 2015*

FEMA

**This Student Manual may contain material that is copyright protected. USFA has been granted a license to use this material only for NFA-sponsored course deliveries as part of the course materials, and it shall not be duplicated without consent of the copyright holder. States wishing to use these materials as part of state-sponsorship and/or third parties wishing to use these materials must obtain permission to use the copyright material(s) from the copyright holder prior to teaching the course.**

This page intentionally left blank.

## TABLE OF CONTENTS


| | PAGE |
|---|---|
| Table of Contents | iii |
| Acknowledgments | v |
| Course Goal | vii |
| Audience, Scope and Course Purpose | vii |
| Excerpt From "To Turn the Tide" | ix |
| Schedule | xi |
| Firefighter Code of Ethics | xvii |
| List of Pre-Course and In-Class Assignments | xix |
| Course Evaluation Plan | xxv |
| A Student Guide to End-of-course Evaluations | li |

**UNIT 1:** **PURPOSE AND INTEGRITY** ..... SM 1-1

**UNIT 2:** **GIVING AND USING FEEDBACK** ..... SM 2-1

Appendix: Personal Development Plan

**UNIT 3:** **THINKING SYSTEMICALLY** ..... SM 3-1

Appendix: Adaptive Leadership Case Consultation Guide

**UNIT 4:** **THINKING POLITICALLY** ..... SM 4-1

**UNIT 5:** **DEVELOPING SELF TO EXERCISE LEADERSHIP** ..... SM 5-1

Appendix: The Executive Leadership Assessment: On Becoming a Better Leader — Sample Report

**UNIT 6:** **DECISION-MAKING** ..... SM 6-1

Appendix: Sample Adaptive Leadership Profile

**UNIT 7:** **POLITICS AND PUBLIC POLICY** ..... SM 7-1

Appendix A: The Federalist No. 10: The Utility of the Union as a Safeguard Against Domestic Faction and Insurrection
Appendix B: Seeport General Information for all Interested Parties With Confidential Instructions to the Seeport Negotiator From the Board of Directors of the Seeport Consortium

**UNIT 8:** **INFLUENCE AND PERSUASION** ..... SM 8-1

**UNIT 9:** **NEGOTIATION** ..... SM 9-1

**UNIT 10:** **MANAGING MULTIPLE ROLES** ..... SM 10-1

**UNIT 11:** **TAKING RISKS** ..... SM 11-1

**UNIT 12:** **BEING IN TRANSITION: UNDERSTANDING CHANGE DURING MIDLIFE AND BEYOND** ..... SM 12-1

**UNIT 13:** **MAINTAINING LIFE/WORK BALANCE** ..... SM 13-1

**UNIT 14:** **CAPSTONE: A VISIT TO GETTYSBURG** ..... SM 14-1

Appendix A: Gettysburg Staff Ride Agenda
Appendix B: "Executive Leadership" Course Staff Ride Additional Questions for Reflection
Appendix C: Gettysburg Staff Ride Guide

**UNIT 15:** **REFLECTIONS ON "EXECUTIVE LEADERSHIP" AND THE EXECUTIVE FIRE OFFICER PROGRAM** ..... SM 15-1

Bibliography

Acronyms

## ACKNOWLEDGMENTS

The development of any National Fire Academy (NFA) course is a complex process aimed at providing students with the best possible learning opportunity we can deliver.

There are many players in course development, each of whom plays an equally important part in its success. We want to acknowledge their participation and contribution to this effort and extend our heartfelt thanks for making this quality product.

The following people participated in the creation of this course:

Kevin S. Brame, Training Specialist
U.S. Fire Administration, National Fire Academy
Emmitsburg, Maryland

Russell Kuck, Section Chief
Leadership and Fire Risk Reduction Branch
U.S. Fire Administration, National Fire Academy
Emmitsburg, Maryland

Joseph M. Cheek, Program Manager
E-PAGA
Clarksburg, Maryland

Shelly Kent, Instructional Designer
E-PAGA
Clarksburg, Maryland

Alexander Grashow, Consultant
Cambridge Leadership Associates
New York City, New York

Marty Linsky, Consultant
Cambridge Leadership Associates
New York City, New York

Mike Macey, Fire Chief (Retired)

This page intentionally left blank.

## COURSE GOAL

The Executive Fire Officer (EFO) will develop the ability to conceptualize and employ key processes used by effective executive-level managers in the exercise of adaptive leadership.

## AUDIENCE, SCOPE AND COURSE PURPOSE

The primary audience for this course is department chiefs or equivalent. This includes chief officers who head major bureaus or divisions within a fire department/Emergency Medical Services (EMS) organization. Examples of functions include suppression, emergency medical, prevention, emergency management and training.

The secondary audience for this course is a category of candidates referred to as key leading candidates. These are those individuals who are serving in supervisory level positions who have previously exercised leadership within their organizations and who aspire to more senior positions of authority within their departments. This group of candidates also includes battalion-level chief officers from International Association of Fire Chiefs (IAFC)/National Fire Protection Association (NFPA) metro-sized fire organizations.

This two-week course in the final year of the Executive Fire Officer Program (EFOP) provides an opportunity to extend the learning experienced in prior courses so that future opportunities to exercise leadership are moved to a practice. Students are required to:

- Share actual contemporary cases that contain adaptive problems. Case studies offer further analysis and application opportunities.
- A personal plan is created, and each student receives feedback regarding his or her introspection and efforts to strategize post-EFOP experiences.
- Develop a personal leadership philosophy and deliver a culminating presentation in the style of a TED Talk.
- Participate in a one-day field trip to the Gettysburg National Military Park where frameworks of leadership presented throughout the EFOP courses and research are discussed, further analyzed and applied in light of this historic 1863 event.

The EFO will develop personal competencies at the executive level that support the practice of exercising adaptive leadership.

This page intentionally left blank.

## EXCERPT FROM "TO TURN THE TIDE"

"History will not judge our endeavors, and a government cannot be selected, merely on the basis of color or creed or even party affiliation. Neither will competence and loyalty and stature, while essential to the utmost, suffice in times such as these.

For of those to whom much is given, much is required. And when at some future date the high court of history sits in judgment on each of us, recording whether in our brief span of service we fulfilled our responsibilities to the state, our success or failure, in whatever office we hold, will be measured by the answers to four questions:

First, were we truly (people) of **courage**, with the courage to stand up to one's enemies, and the courage to stand up, when necessary, to one's associates, the courage to resist public pressure as well as private greed?

Second, were we truly (people) of **judgment**, with perceptive judgment of the future as well as the past, of our own mistakes as well as the mistakes of others, with enough wisdom to know what we did not know, and enough candor to admit it?

Third, were we truly (people) of **integrity**, (people) who never ran out on either the principles in which we believed or the people who believed in us, (people) whom neither financial gain nor political ambition could ever divert from the fulfillment of our sacred trust?

Finally, were we truly (people) of **dedication**, with an honor mortgaged to no single individual or group, and compromised by no private obligation or aim, but devoted solely to serving the public good and the national interest?"

— John F. Kennedy, 1962

This page intentionally left blank.

## SCHEDULE

| TIME | DAY 1 | DAY 2 |
|---|---|---|
| 8:00 - 9:20 | Introduction, Welcome and Administrative | Case Consultations and Debrief |
| 9:20 - 9:30 | *Break* | *Break* |
| 9:30 - 10:40 | Introduction, Welcome and Administrative (cont'd)<br><br>Unit 1: Purpose and Integrity | Unit 4: Thinking Politically<br><br>Activity 4.1: Faction Mapping |
| 10:40 - 10:50 | *Break* | *Break* |
| 10:50 - 12:00 | Unit 1: Purpose and Integrity (cont'd)<br><br>Activity 1.1: Introduction to Student Leadership Philosophy | Activity 4.2: Application of Emotional Intelligence Skills to Semmelweis Video |
| 12:00 - 1:00 | *Lunch* | *Lunch* |
| 1:00 - 2:30 | Activity 1.2: Finding the Courage to Act<br><br>Unit 2: Giving and Using Feedback | Unit 5: Developing Self to Exercise Leadership |
| 2:30 - 2:45 | *Break* | *Break* |
| 2:45 - 5:00 | Unit 3: Thinking Systemically<br><br>Activity 3.1: The Crop Damage Conundrum<br><br>Activity 3.2: Adaptive Challenge Case Consultations | Activity 5.1: Nelson Mandela Case Study<br><br>Instrument Feedback (ELA) |

**Note:** All times are approximate.

| TIME | DAY 3 | DAY 4 |
|---|---|---|
| 8:00 - 9:20 | Case Consultations and Debrief | Case Consultations and Debrief |
| 9:20 - 9:30 | *Break* | *Break* |
| 9:30 - 10:40 | Unit 6: Decision-Making<br><br>Movie: “The Missiles of October” | Unit 7: Politics and Public Policy<br><br>Activity 7.1: Examining a Public Policy Debate |
| 10:40 - 10:50 | *Break* | *Break* |
| 10:50 - 12:00 | Movie: “The Missiles of October” (cont’d) | Activity 7.2: Seeport Exercise |
| 12:00 - 1:00 | *Lunch* | *Lunch* |
| 1:00 - 2:30 | Activity 6.1: Mobilizing Others | Activity 7.2: Seeport Exercise (cont’d) |
| 2:30 - 2:45 | *Break* | *Break* |
| 2:45 - 5:00 | Activity 6.2: Decision Styles<br><br>Activity 6.3: Kennedy Case Study Discussion<br><br>Instrument Feedback (ALA) | Review for Week 1 Exam |

| TIME | DAY 5 | DAY 6 |
|---|---|---|
| 8:00 - 9:20 | Week 1 Exam | Case Consultations and Debrief |
| 9:20 - 9:30 | *Break* | *Break* |
| 9:30 - 10:40 | Case Consultations and Debrief | Unit 10: Managing Multiple Roles |
| 10:40 - 10:50 | *Break* | *Break* |
| 10:50 - 12:00 | Unit 8: Influence and Persuasion<br><br>Activity 8.1: Practicing the Model | Activity 10.1: Incentives for Excellence at the Colorado State Hospital |
| 12:00 - 1:00 | *Lunch* | *Lunch* |
| 1:00 - 2:30 | Unit 9: Negotiation<br><br>Activity 9.1: Constituent Groups<br><br>Activity 9.2: Negotiation Profile | Unit 11: Taking Risks |
| 2:30 - 2:45 | *Break* | *Break* |
| 2:45 - 5:00 | Activity 9.3: Preparation for Gettysburg Staff Ride Presentation<br><br>Movie: “The Gettysburg Story”<br><br>Independent Study and Research | Activity 11.1: Exceeding One’s Authority<br><br>Unit 12: Being in Transition: Understanding Change During Midlife and Beyond<br><br>Activity 12.1: Aging Successfully: The Example of Robert E. Lee Case Study |

| TIME | DAY 7 | DAY 8 |
|---|---|---|
| 8:00 - 9:20 | Case Consultations and Debrief | Week 2 Exam |
| 9:20 - 9:30 | *Break* | *Break* |
| 9:30 - 10:40 | Unit 13: Maintaining Life/Work Balance | “Leadership Discoveries” Presentations (cont’d) |
| 10:40 - 10:50 | *Break* | *Break* |
| 10:50 - 12:00 | Activity 13.1: Maintaining Life/Work Balance | “Leadership Discoveries” Presentations (cont’d) |
| 12:00 - 1:00 | *Lunch* | *Lunch* |
| 1:00 - 2:30 | “Leadership Discoveries” Presentations | “Leadership Discoveries” Presentations (cont’d) |
| 2:30 - 2:45 | *Break* | *Break* |
| 2:45 - 5:00 | “Leadership Discoveries” Presentations (cont’d)<br><br>Review for Week 2 Exam | Unit 14: Capstone: A Visit to Gettysburg |

**Note:** Class pictures are usually held on Tuesday, but that depends on the availability of the photographer.

| TIME | DAY 9 | DAY 10 |
|---|---|---|
| 8:00 - 9:20 | Gettysburg Staff Ride | Graduation |
| 9:20 - 9:30 | *Break* | *Break* |
| 9:30 - 10:40 | Gettysburg Staff Ride (cont'd) | |
| 10:40 - 10:50 | *Break* | *Break* |
| 10:50 - 12:00 | Gettysburg Staff Ride (cont'd) | |
| 12:00 - 1:00 | *Lunch* | *Lunch* |
| 1:00 - 2:30 | Gettysburg Staff Ride (cont'd) | |
| 2:30 - 2:45 | *Break* | *Break* |
| 2:45 - 5:00 | Gettysburg Staff Ride (cont'd)<br><br>Unit 15: Reflections on "Executive Leadership" and the Executive Fire Officer Program<br><br>Graduation Preparation<br><br>Course Evaluation | |

This page intentionally left blank.

# Firefighter Code of Ethics

## Background

The Fire Service is a noble calling, one which is founded on mutual respect and trust between firefighters and the citizens they serve. To ensure the continuing integrity of the Fire Service, the highest standards of ethical conduct must be maintained at all times.

Developed in response to the publication of the Fire Service Reputation Management White Paper, the purpose of this National Firefighter Code of Ethics is to establish criteria that encourages fire service personnel to promote a culture of ethical integrity and high standards of professionalism in our field. The broad scope of this recommended Code of Ethics is intended to mitigate and negate situations that may result in embarrassment and waning of public support for what has historically been a highly respected profession.

Ethics comes from the Greek word ethos, meaning character. Character is not necessarily defined by how a person behaves when conditions are optimal and life is good. It is easy to take the high road when the path is paved and obstacles are few or non-existent. Character is also defined by decisions made under pressure, when no one is looking, when the road contains land mines, and the way is obscured. As members of the Fire Service, we share a responsibility to project an ethical character of professionalism, integrity, compassion, loyalty and honesty in all that we do, all of the time.

We need to accept this ethics challenge and be truly willing to maintain a culture that is consistent with the expectations outlined in this document. By doing so, we can create a legacy that validates and sustains the distinguished Fire Service institution, and at the same time ensure that we leave the Fire Service in better condition than when we arrived.

# Firefighter Code of Ethics

**I understand that I have the responsibility to conduct myself in a manner that reflects proper ethical behavior and integrity. In so doing, I will help foster a continuing positive public perception of the fire service. Therefore, I pledge the following…**

- Always conduct myself, on and off duty, in a manner that reflects positively on myself, my department and the fire service in general.
- Accept responsibility for my actions and for the consequences of my actions.
- Support the concept of fairness and the value of diverse thoughts and opinions.
- Avoid situations that would adversely affect the credibility or public perception of the fire service profession.
- Be truthful and honest at all times and report instances of cheating or other dishonest acts that compromise the integrity of the fire service.
- Conduct my personal affairs in a manner that does not improperly influence the performance of my duties, or bring discredit to my organization.
- Be respectful and conscious of each member's safety and welfare.
- Recognize that I serve in a position of public trust that requires stewardship in the honest and efficient use of publicly owned resources, including uniforms, facilities, vehicles and equipment and that these are protected from misuse and theft.
- Exercise professionalism, competence, respect and loyalty in the performance of my duties and use information, confidential or otherwise, gained by virtue of my position, only to benefit those I am entrusted to serve.
- Avoid financial investments, outside employment, outside business interests or activities that conflict with or are enhanced by my official position or have the potential to create the perception of impropriety.
- Never propose or accept personal rewards, special privileges, benefits, advancement, honors or gifts that may create a conflict of interest, or the appearance thereof.
- Never engage in activities involving alcohol or other substance use or abuse that can impair my mental state or the performance of my duties and compromise safety.
- Never discriminate on the basis of race, religion, color, creed, age, marital status, national origin, ancestry, gender, sexual preference, medical condition or handicap.
- Never harass, intimidate or threaten fellow members of the service or the public and stop or report the actions of other firefighters who engage in such behaviors.
- Responsibly use social networking, electronic communications, or other media technology opportunities in a manner that does not discredit, dishonor or embarrass my organization, the fire service and the public. I also understand that failure to resolve or report inappropriate use of this media equates to condoning this behavior.

**Developed by the National Society of Executive Fire Officers**

## LIST OF PRE-COURSE AND IN-CLASS ASSIGNMENTS

This section lists all assignments in the course, both graded and not graded, to be completed either as pre-course work or during the course. The first table lists all assignments given as part of the pre-course work. The second table lists all assignments given and completed during the course. There are nine assignments to be completed independently during the course, in addition to two written exams. All assignments given during the course are numbered 1-9 in the following table. Graded assignments are highlighted in bold and are also referred to by their "Assessment Tool" number, as listed in the evaluation plan for this course.

This page intentionally left blank.

| Assignments | Application in the Course | Assigned | Due Date | Completion Checklist |
|---|---|---|---|---|
| 1. 360 degree Multi-Rater Assessment Instrument 1: Executive Leadership Assessment (ELA) | This multi-rater assessment instrument is completed via NFA Online. This instrument will be scored by the NFA, and a summary report of results will be provided for each student. The results of this instrument will be discussed on Tuesday of Week 1, in Unit 5: Developing Self to Exercise Leadership. | Pre-course | **Due prior to start of class.** | |
| 2. 360 degree Multi-Rater Assessment Instrument 2: Adaptive Leadership Profile (ALP) | This multi-rater assessment instrument is completed via NFA Online. This instrument will be scored by the NFA, and a summary report of results will be provided for each student. The results of this instrument will be discussed on Wednesday of Week 1, in Unit 6: Decision-Making. | Pre-course | **Due prior to start of class.** | |
| 3. Reading Assignment: "The Practice of Adaptive Leadership" (Heifetz, Grashow and Linsky, 2009) | This book is a required text for the course and will be discussed throughout the course. Weeks 1 and 2 exams will focus on chapters from this book. | Pre-course | **Due Week 1, Monday, 0800** | |
| 4. Reading Assignment: "Killer Angels" (Shaara, M., 2011) | This book is a required text for the course. It will serve as a historical context to allow for critique of leadership qualities and decisions during the Battle of Gettysburg. This reading pertains to several class discussions, the Gettysburg Staff Ride on Thursday of Week 2 and Assessment Tool 6: Gettysburg Staff Ride Presentation. | Pre-course | **Due Week 1, Monday, 0800** | |
| 5. Writing Assignment: Summary of an Adaptive Leadership Challenge | Each student will have an opportunity to present and get feedback on his or her adaptive leadership challenge within several small peer group sessions, called "Case Consulting" sessions. These sessions will occur on Tuesday-Friday morning of Week 1, and again on Monday and Tuesday morning of Week 2. The purpose and process for the "Case Consulting" sessions will be introduced on Week 1, Monday afternoon as part of Activity 3.2: Adaptive Challenge Case Consultations. | Pre-course | **Due Week 1, Monday, 0800** | |

| Assignments | Application in the Course | Assigned | Due Date | Completion Checklist |
|---|---|---|---|---|
| 6. **Assessment Tool 4:** Development of a Personal Leadership Philosophy and "Leadership Discoveries" Presentation | Part 1: Establish Your Personal Leadership Philosophy. This part of this assignment is applied on Week 1, Monday morning during Activity 1.1: Introduction to Student Leadership Philosophy.<br>Part 2: Develop a Story that Communicates an Idea and Influences Attitudes. This part of the assignment is applied through the delivery of a presentation to the class as part of Assessment Tool 4, Part 3: "Leadership Discoveries" Presentation.<br>Part 3: "Leadership Discoveries" Presentation. Each student will have the opportunity to present an 8- to 12-minute presentation to their fellow class members. The purpose and process for the presentations will be discussed on Week 1, Friday, during Unit 8: Influence and Persuasion. | Pre-course | **Part 1 is due Week 1, Monday, 0800. Part 2 and Part 3 are due on Week 2, Tuesday.** | |
| 7. **Assessment Tool 5:** Personal Development Plan | This written assignment is given in the pre-course materials and may be completed prior to start of the course. Students are encouraged to complete this assignment ahead of coming to class. Instructions for this assignment will be reviewed on Week 1, Monday and will be collected and graded on Week 2, Monday. | Pre-course | **Due Week 2, Monday, 0800** | |
| 8. Reading Assignment and Study Questions: "Long Walk to Freedom: The Autobiography of Nelson Mandela," Chapters 79-81 and 88 (pp. 481-492) | Discussed in Activity 5.1: Nelson Mandela Case Study, on Tuesday afternoon. Applied in **Assessment Tool 1**: **Nelson Mandela Case Study Analysis.** | In-Class Assignment | **Assigned Week 1, Monday**<br>**Due Week 1, Tuesday** | |
| 9. Reading Assignment and Study Questions: "Groupthink," Chapter 1: Introduction: Why So Many Miscalculations? (pp. 2-13) and Chapter 2: A Perfect Failure: The Bay of Pigs (pp. 14-47) | Discussed in Activity 6.3: Kennedy Case Study Discussion on Wednesday afternoon. Applied in **Assessment Tool 2: Kennedy Case Study Analysis** | In-Class Assignment | **Assigned Week 1, Monday**<br>**Due Week 1, Wednesday** | |

| Assignments | Application in the Course | Assigned | Due Date | Completion Checklist |
|---|---|---|---|---|
| 10. Case Consult Activity: Adaptive Leadership Challenge: Partner Consultation | This assignment is introduced in Activity 3.2: Adaptive Challenge Case Consultations, on Week 1, Tuesday. Students will have the opportunity to select a partner from among their classmates to review and give feedback on their written summary of their adaptive leadership challenge, completed as part of the pre-course assignment. This consultation with a partner will provide an additional channel for peer feedback, in addition to their scheduled "Case Consulting" session where they present their adaptive leadership challenge to their peer group. | In-Class Assignment Week 1, Monday | **To be conducted any time between Week 1, Tuesday and Week 2, Tuesday.** | |
| 11. Reading Assignment and Study Questions: "The Federalist No. 10: The Utility of the Union as a Safeguard Against Domestic Faction and Insurrection" | Discussed in Unit 7: Politics and Public Policy. | In-Class Assignment Week 1, Tuesday | **Due Week 1, Thursday** | |
| 12. **Assessment Tool 1:** Nelson Mandela Case Study Analysis Reflection Questions | The Nelson Mandela case study materials (video and assigned reading) are discussed in Activity 5.1: Nelson Mandela Case Study on Week 1, Tuesday afternoon. They are discussed briefly again on Week 2, Monday, in Activity 11.1: Exceeding One's Authority. | In-Class Assignment Week 1, Tuesday | **Due Week 1, Thursday, 0800** | |
| 13. **Assessment Tool 2:** Kennedy Case Study Analysis | | In-Class Assignment Week 1, Wednesday | **Due Week 1, Friday, 0800** | |
| **Exam 1**<br>**Assessment Tool 3:** Week 1 Exam | The exam will focus on concepts in the assigned pre-course reading, "The Practice of Adaptive Leadership," and concepts covered in Week 1 of the course. An exam review will be conducted prior to the exam on Week 1, Thursday afternoon. | N/A | **Conducted on Week 1, Friday, 0800** | |

| Assignments | Application in the Course | Assigned | Due Date | Completion Checklist |
|---|---|---|---|---|
| 14. **Assessment Tool 6**: Gettysburg Staff Ride Presentation | Assigned in Activity 9.3: Preparation for Gettysburg Staff Ride Presentation. During the Gettysburg staff ride, students will present a brief presentation on an assigned question to the class. | In-Class Assignment Week 1, Friday | **Presentations conducted Week 2, Thursday, during the Gettysburg Staff Ride** | |
| 15. Reading Assignment and Study Questions: "Incentives for Excellence at the Colorado State Hospital" | Discussed in Activity 10.1: Incentives for Excellence at the Colorado State Hospital | In-Class Assignment Week 1, Friday | **Due Week 2, Monday, 1300** | |
| 16. Reading Assignment: "Aging Successfully: The Example of Robert E. Lee" | | In-Class Assignment Week 2, Tuesday | **Due Week 2, Wednesday, 0800** | |
| **Exam 2**<br>**Assessment Tool 7:** Week 2 Exam | The exam will focus on concepts in the assigned pre-course reading, "The Practice of Adaptive Leadership," and concepts covered in Week 2 of the course. An exam review will be conducted prior to the exam on Week 2, Tuesday afternoon. | N/A | **Conducted Week 2, Wednesday, 0800** | |

## COURSE EVALUATION PLAN

### Summary Evaluation Plan and Scoring Sheet

The summary evaluation plan of the R0125 "Executive Leadership" (EL) course is as follows:

| Assessment Tool | Assignment | Point Score | % of Final Grade | Weighted Point Score Toward Final Grade |
|---|---|---|---|---|
| 1 | Nelson Mandela Case Study Analysis | | 5% | |
| 2 | Kennedy Case Study Analysis | | 10% | |
| 3 | Week 1 Exam | | 20% | |
| 4 | "Leadership Discoveries" Presentation | | 20% | |
| 5 | Personal Development Plan | | 20% | |
| 6 | Gettysburg Staff Ride Presentation | | 5% | |
| 7 | Week 2 Exam | | 20% | |
| | | **Final Course Grade** | **100%** | **___/100%** |

A minimum final course grade of at least 80 percent is required to pass this course. Enter the student's score in the Course Grade Record.

| Numerical Score | Letter Grade |
|---|---|
| 100-90 | A |
| 89-80 | B |
| 79 and below | F |

## Summary of Assessment Tools 1-7

The following seven assessment tools comprise the evaluation plan for this course, EL (R0125). The value of each assessment tool toward the final grade for the course is noted in parentheses by the name of each tool.

**Assessment Tool 1: Nelson Mandela Case Study Analysis (5 percent)**

Each student must complete a written analysis of a major case used within the course dealing with Nelson Mandela. Completion of this assignment includes an evening reading, selected segments of a video, a group discussion in class, and a written analysis. Only the written analysis will be evaluated as part of the final grade.

**Assessment Tool 2: Kennedy Case Study Analysis (10 percent)**

Each student must complete a written analysis of a major case study concerning how President John F. Kennedy handled the Bay of Pigs incident in Cuba followed by the Cuban Missile Crisis. Completion of this assignment includes an evening reading, viewing of a motion picture in class, group discussion in class, and a written analysis. Only the written analysis will be evaluated as part of the final grade.

**Assessment Tool 3: Week 1 Exam (20 percent)**

A written exam criterion referenced in design consisting of questions requiring essay responses will be administered to each student. This exam will be administered on Friday morning of the first week.

**Assessment Tool 4: Development of a Personal Leadership Philosophy and "Leadership Discoveries" Presentation (20 percent)**

Each student must prepare for and present on their personal leadership philosophy in the style of a TED Talk.

**Assessment Tool 5: Personal Development Plan (20 percent)**

Each student must complete in writing a Personal Development Plan. The plan and responses will support four life areas: community, family, personal and professional.

**Assessment Tool 6: Gettysburg Staff Ride Presentation (5 percent)**

Each student assigned to a project group must prepare for and provide a brief presentation during the staff ride (while in the field) on a pre-assigned element.

**Assessment Tool 7: Week 2 Exam (20 percent)**

A written exam criterion referenced in design consisting of questions requiring essay responses will be administered to each student. This exam will be administered on Wednesday of the second week to enable review and evaluation by the faculty prior to the final day of the course (Thursday of the second week).

## Assessment Tool 1: Nelson Mandela Case Study Analysis

Each student must complete a written analysis of a major case (assigned reading) used within the course dealing with Nelson Mandela.

This assignment is graded according to the rubric on the following pages. This assignment is worth **5 percent** of the final course grade.

### Purpose

Analyze the exercise of leadership by a head of state, his or her use of power, and the risks and results of his or her actions.

### Assignment Instructions

Part 1

1. Read the excerpt from Nelson Mandela's autobiography, "Long Walk to Freedom: The Autobiography of Nelson Mandela" (Mandela, N., 1995). The excerpt is Chapters 79-81, pp. 481-492 and Chapter 88, pp. 517-523.

2. As you read the assigned excerpt, consider the Study Questions 1 through 8, which accompany this reading. You will **not** need to submit your responses to these questions for a grade, but you will need to be prepared to discuss them in class. You will have the opportunity to discuss the reading with the class during Activity 5.1: Nelson Mandela Case Study. The study questions are listed on the following page.

Part 2

3. During class, your instructor will show a selected segment of the video "The Long Walk of Nelson Mandela" (PBS/Frontline, 2012).

4. Considering both the assigned reading and the video, your instructor will facilitate a discussion of the Study Questions 1-8 as a large group in class, during Activity 5.1: Nelson Mandela Case Study on Week 1, Tuesday afternoon.

Part 3

5. Develop individual answers to the reflection questions and turn them in on Week 1, Thursday morning. Student responses to the reflection questions will be evaluated by one of the instructors and returned to the student. Completion of this written analysis is part of the student evaluation process. The reflection questions are listed on the following page.

## Study Questions

These questions apply to the assigned reading and to the group discussion during Activity 5.1: Nelson Mandela Case Study. These questions will assist in your completion of the reflection questions, which is a graded assessment.

1. What were the two most significant adaptive challenges that Mandela faced while on Robben Island?

2. How did Mandela use his understanding of the political landscape to affect his exercise of adaptive leadership to meet the challenges identified above?

3. While on Robben Island, describe the different ways Mandela exceeded his authority.

4. List the various means employed by Mandela to exercise adaptive leadership.

5. Develop a convincing argument that Mandela was effective in the exercise of leadership.

6. When provided an opportunity to leave imprisonment in exchange for returning to his home village, Mandela refuses. Why does he refuse?

7. During his imprisonment and his efforts to exercise leadership, who might have been the casualties of this effort? In your opinion were these losses acceptable? Why or why not?

8. During his imprisonment, in what specific ways did Mandela remain anchored?

## Reflection Questions (Graded)

At the conclusion of the study questions discussion and viewing of the video, develop individual answers to these reflection questions in light of your own experiences and as discussed in "The Practice of Adaptive Leadership." Submit these Thursday morning, Week 1.

1. Analyze the relationship between adaptive change and casualties as described by Heifetz et al. Develop an argument to support either that casualties are inevitable or that adaptive change can occur without casualties. Cite examples from Mandela and your own experiences to support your argument.

2. Is it ethical to sacrifice the marginal for the greater good? Develop an argument and counterargument, citing examples from Mandela and your own experiences to support your position.

## Rubric for Assessment Tool 1

Directions: For each of the five assessment areas in the left column, rate each on a scale from 0 to 20 points. Total the points for each of the five assessment areas at the bottom of the right column. The evaluation for this assessment component is allotted 100 possible points, to be awarded according to the following rubric. This assessment tool is valued at 5 percent of the final course grade.

Transfer this score to the student's summary course evaluation record. If a score is deemed needs improvement or insufficient (*), a second evaluator must review and confirm the assessment.

| **Assessment Area** | **Insufficient*** <br> **0** | **Needs Improvement*** <br> **1-5 points** | **Adequate** <br> **6-10 points** | **Good** <br> **11-15** | **Excellent** <br> **16-20** | **Point Value** <br> **(20 possible per Assessment Area)** |
|---|---|---|---|---|---|---|
| Does the learner discuss the possibility of exercising leadership without taking casualties? | Does not discuss the possibility of exercising leadership without taking casualties. | ↔ | Discusses the possibility of exercising leadership without taking casualties, but discussion is vague. | ↔ | Discusses the possibility of exercising leadership without taking casualties, specifically and succinctly. | |
| Does the learner provide examples of exercising leadership with or without taking casualties from Mandela and personal experiences? | Does not provide examples of exercising leadership with or without taking casualties. | ↔ | Provides examples of exercising leadership with or without taking casualties, but examples are vague or inaccurate. | ↔ | Provides specific examples of exercising leadership with or without taking casualties that are clear and concise. | |
| Does the learner make an ethical argument for marginalizing some portions of the community for larger interests (i.e., the ends justify the means)? | Does not make ethical argument for marginalizing some portions of the community for larger interests | ↔ | Makes an the ethical argument for marginalizing some portions of the community for larger interests, but argument is vague. | ↔ | Makes an ethical argument for marginalizing some portions of the community for larger interests. | |
| Does the learner make an ethical counterargument for marginalizing some portions of the community for larger interests, citing examples from Mandela and personal experiences? | Does not make an ethical counterargument for marginalizing some portions of the community for larger interests and does not include examples. | ↔ | Makes an ethical counterargument for marginalizing some portions of the community for larger interests, but argument is vague and lacks specific examples. | ↔ | Makes an ethical counter-argument for marginalizing some portions of the community for larger interests and cites specific examples. | |

| Assessment Area | Insufficient*<br><br>0 | Needs Improvement*<br><br>1-5 points | Adequate<br><br>6-10 points | Good<br><br>11-15 | Excellent<br><br>16-20 | Point Value<br>(20 possible per Assessment Area) |
|---|---|---|---|---|---|---|
| Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition. | May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 7 to 8 errors. | ←→ | May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 4 to 6 errors. | ←→ | Free from errors in grammar, usage and the conventions of written English.<br><br>There are 0 to 3 errors. | |
| **Total Points** | | | | | | **_____/100** |

## Assessment Tool 2: Kennedy Case Study Analysis

Each student must complete a written analysis of a major case (assigned reading and viewing a three-hour video) used within the course dealing with how President John F. Kennedy handled the Bay of Pigs incident in Cuba followed by the Cuban Missile Crisis.

This assignment is graded according to the rubric on the following pages. This assignment is worth **20 percent** of the final course grade.

### Purpose

Analyze the decisions made, evaluate the decision-making process, and compare the decision-making in the Bay of Pigs with "The Missiles of October."

### Assignment Instructions

#### Part 1: Assigned Reading on the Bay of Pigs

1. Complete the reading assignment, "Chapter 2: A Perfect Failure: The Bay of Pigs," in "Groupthink: Psychological Studies of Policy Decisions and Fiascoes" (pp. 14-47).

#### Part 2: Movie and Study Guide Questions on the Cuban Missile Crisis

2. Your instructor will show the movie, "The Missiles of October," in class on Week 1, Wednesday morning. As you watch this movie, refer to the movie study guide questions listed in Activity 6.1: Mobilizing Others. You may consider your responses to these questions as you watch the movie, as they will be applicable to the subsequent group discussion and written assignment. These movie study guide questions are also listed on the following page.

#### Part 3: Group Discussion Comparing Group Decision-Making in the Bay of Pigs versus the Cuban Missile Crisis

3. During Activity 6.3: Kennedy Case Study Discussion on Week 1, Wednesday afternoon, you will discuss the aspects of group decision-making that occurred during the Bay of Pigs incident with those that occurred among Kennedy and his advisers during the Cuban Missile Crisis, **as a large group in class.**

#### Part 4: Graded Written Analysis

4. **Develop individual answers** to the **written analysis questions** and turn them in on Friday morning, Week 1. The written analysis questions are listed on the following pages.

5. Student responses to the **written analysis questions** will be evaluated by one of the instructors and returned to the student. Completion of this analysis is part of the student evaluation process.

## Movie Study Guide Questions for the movie, "The Missiles of October," on The Cuban Missile Crisis

These questions are meant to provide a guide to watching the movie, "The Missiles of October," during class. The questions highlight important scenes in the movie applicable to this case study. Each question cites a scene in the movie. Questions are listed in the order in which the scenes occur. Time codes are provided next to each question, to allow you to more easily identify the scene in the movie when it occurs. After the movie, your instructor will lead a discussion pertaining to these questions, during Activity 6.1: Mobilizing Others.

1. President Kennedy selected an executive committee to assist him in addressing the Cuban Missile Crisis. How would you describe the degree of diversity that existed among the members of the executive committee? In your opinion, would the degree of diversity be different today? Explain your answer. (7:58)

2. Premier Khrushchev relates a story about a farmer bringing a "cow into the farmhouse." Is there an ideological comparison between Khrushchev's story and the concept of disequilibrium as defined by Heifetz, Grashow and Linsky? Explain your answer. (15:20)

3. Based on a recommendation from the attorney general, President Kennedy allowed the executive committee to meet informally, and the president purposefully distanced himself from the committee's deliberations. Based on "The Practice of Adaptive Leadership" (Heifetz et al., 2009), how might the authors define the advantages and disadvantages of President Kennedy's decision to remove himself from the innerworkings of the committee? (16:02)

4. President Kennedy requests that the members of the executive committee vocalize their vote (i.e., blockade versus airstrike). What reason did President Kennedy give to justify his decision to have an open vote? (49:51)

5. What was the context and impact of the meetings between John Scali (ABC News reporter) and Aleksandr Fomin (alias of spy Alexander Feklisov)? As a leader in the fire service, what is your opinion in regards to using unorthodox communication methods to test the suitability of an idea? (1:57:36)

6. What was the final resolution offered by Premier Khrushchev and accepted by President Kennedy? (2:29:40)

7. From the perspective of President Kennedy, were the nuclear weapons placed in Cuba in October 1962 an adaptive challenge or a technical problem? Explain your answer.

8. In "The Practice of Adaptive Leadership," the authors write about the need to "protect and engage the voices of dissent" (p. 145). Provide an example from the movie where President Kennedy openly demonstrated appreciation toward a member of the executive committee for expressing a contrary point of view.

9. In your opinion, were the military advisors stubbornly hawkish (supporters of war) to the point that President Kennedy marginalized their input? Explain your answer.

10. Heifetz, Grashow and Linsky offer the following: "Leadership begins … with the diagnostic work of separating a problem's technical elements from its adaptive elements" (2009, p. 70). Provide an example from the movie where the diagnostic work of an adaptive challenge was demonstrated.

### Study Questions for Group Discussion During Activity 6.3: Kennedy Case Study Discussion

1. Compare and contrast decision-making defects in the Bay of Pigs with what was done during "The Missiles of October."

2. From your experience, give fire/EMS examples where you have seen each of the symptoms of groupthink and describe what strategies could be used to avoid these symptoms and have successful decision-making.

### Written Analysis Questions (Graded)

The graded questions will be submitted for a grade on Week 1, Friday. Your responses to these questions will comprise an analysis of decision-making processes used and the exercise of leadership in the Bay of Pigs and the Cuban Missile Crisis.

## Rubric for Assessment Tool 2

Directions: For each of the five assessment areas in the left column, rate each on a scale from 0 to 20 points. Total the points for each of the five assessment areas at the bottom of the right column. The evaluation for this assessment component is allotted 100 possible points, to be awarded according to the following rubric. This assessment tool is valued at 10 percent of the final course grade.

Transfer this score to the student's summary course evaluation record. If a score is deemed needs improvement or insufficient (*), a second evaluator must review and confirm the assessment.

| **Assessment Area** | **Insufficient*** <br> **0** | **Needs Improvement*** <br> **1-5 points** | **Adequate** <br> **6-10 points** | **Good** <br> **11-15** | **Excellent** <br> **16-20** | **Point Value** |
|---|---|---|---|---|---|---|
| Does the learner describe President Kennedy's leadership and decision-making styles during "The Missiles of October" in his or her own words? | Question wasn't answered. | ↔ | Questions answered with some degree of specificity and insightfulness. | ↔ | Provides relevant, substantial and concrete evidence to support major claim(s). | |
| Does the learner describe how the executive committee handled the discussion of alternative actions? | Question wasn't answered. | ↔ | Questions answered with some degree of specificity and insightfulness. | ↔ | Provides relevant, substantial and concrete evidence to support major claim(s). | |
| Does the learner explain and cite examples how the team approach helped President Kennedy to plan successfully to influence his various target audiences? | Question wasn't answered. | ↔ | Questions answered with some degree of specificity and insightfulness, using general examples. | ↔ | Provides relevant, substantial and concrete evidence and specific examples to support major claim(s). | |
| The Bay of Pigs invasion proposal presented by the CIA was not fully implemented. Justify why it was not fully implemented, using examples of group decision-making processes. | Question wasn't answered. | ↔ | Questions answered with some degree of specificity and insightfulness, using general examples. | ↔ | Provides relevant, substantial evidence and specific examples to support major claim(s). | |

| Assessment Area | Insufficient*<br><br>0 | Needs Improvement*<br><br>1-5 points | Adequate<br><br>6-10 points | Good<br><br>11-15 | Excellent<br><br>16-20 | Point Value |
|---|---|---|---|---|---|---|
| Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition. | May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 7 to 8 errors. | ←→ | May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 4 to 6 errors. | ←→ | Free from errors in grammar, usage and the conventions of written English.<br><br>There are 0 to 3 errors. | |
| **Total Points** | | | | | | **_____/100** |

This page intentionally left blank.

## Assessment Tool 3: Week 1 Exam

The evaluation for this assessment component is allotted 100 possible points. Each question is worth 25 points. This assessment tool is valued at 20 percent of the final course grade.

Total the score for the entire exam on the student's scoring sheet. Transfer this score to the student's summary course evaluation record. If a score is deemed needs improvement or insufficient (*), a second evaluator must review and confirm the assessment.

**Week 1 Examination Student Scoring Summary Sheet**

Name of Student _____

Score _____/100

| Element | Point Value | Points Awarded |
|---|---|---|
| 1 | 20 | |
| 2 | 20 | |
| 3 | 20 | |
| 4 | 20 | |
| 5 | 20 | |
| Total | 100 | |

## Rubric for Scoring Each Exam Question

**Assessment Area: Organization, Grammar and Mechanics**

Points will be deducted from the total points awarded for this question, based on the following rubric.

| Assessment Area | Insufficient*<br><br>Minus 4 points | Needs Improvement*<br><br>Minus 3 points | Adequate<br><br>Minus 2 points | Good<br><br>Minus 1 point | Excellent<br><br>Minus 0 points | Point Value |
|---|---|---|---|---|---|---|
| Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition. | May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 7 to 8 errors | ↔ | May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 4 to 6 errors. | ↔ | Free from errors in grammar, usage and the conventions of written English.<br><br>There are 0 to 3 errors. | |

**Exam score:** _____

**Deductions:** _____

**Total exam score:** _____

## Assessment Tool 4: "Leadership Discoveries" Presentation

Each student must prepare for and present on his or her personal leadership philosophy in the style of a TED Talk. This assessment tool was assigned as part of the pre-course assignment, with the development of the written personal leadership philosophy and preliminary preparation for a presentation to the class.

This assignment is worth 20 percent of the final grade for the course.

### Assignment Instructions

This activity consists of three elements (1) establishing your personal leadership philosophy; (2) developing a story that communicates an idea and influences attitudes; and (3) presenting your ideas. Elements 1 and 2 were assigned as part of your pre-course work. Element 3, the "Leadership Discoveries" presentation, will be delivered on Week 2, Tuesday and Wednesday. The information you received in your pre-course assignment is included on the following pages for your reference.

### Student Deliverables

1. Compile your personal leadership philosophy in a word processing format. (Maximum length is two sentences.) Print your leadership philosophy; it will be collected on the first day of class.

2. Develop and prepare to deliver your "Leadership Discoveries" presentation, in the style of a TED Talk.

3. Deliver your "Leadership Discoveries" presentation on Week 2, Tuesday or Wednesday, as per the presentation schedule.

**Assignment Description and Instructions**

This assignment consists of three elements (1) establishing your personal leadership philosophy (2) developing a story that communicates an idea and influences attitudes, and (3) presenting your idea in the format of a TED Talk.

**Element 1: Establishing your personal leadership philosophy**

Executive Leadership (EL) is the capstone course in your Executive Fire Officer Program (EFOP); the baton of fire service leadership is being passed to you. It is time to get on the balcony of introspection and answer the hard question: What is your personal leadership philosophy? Formulating an answer will require a journey into critical thinking wherein the elements of academia and experiential knowledge are vetted to expose your fundamental beliefs. The elephant in the room of this assignment is that it is time consuming, it is challenging, it is self-directing, and it involves risk — all of which are commensurate with your existing leadership abilities and your desire to engage in the pursuit of knowledge. This assignment requires you to step out from the cover of collectivism and stand in the light of your own beliefs. As you prepare for this assignment, be mindful of the advice offered by Heifetz and Linsky: "We have seen good people take on a cloak of self-protection to insulate themselves from the dangers of stepping out. … In the struggle to save yourself, you give up too many of those qualities that are the essence of being alive."[1]

At this point in your personal and professional life there exist a variety of experiences you can reflect upon as you formulate your leadership philosophy. For this assignment, place an emphasis on the impact that your EFOP experience has had in your leadership development. Begin this process with a reflection of your entire EFOP experience; this should include a review of academic material (textbooks, class notes, case studies) and a reflection of your acquired experiential knowledge. Additionally, review Chapter 18 Articulate Your Purposes (pp. 221-232) in "The Practice of Adaptive Leadership" textbook. The concept of articulating your purpose parallels, and to a degree, is interwoven with, the establishment of a personal leadership philosophy. Finally, formulate your own fundamental beliefs on leadership and answer the following: **My personal leadership philosophy is …**

Distill and refine your beliefs until you can summarize your leadership philosophy in a statement that is no longer than two sentences in length. The statement will reflect, in your own words, the essence of your leadership philosophy. Your statement is powerful as it frames your existing beliefs.

[1] Heifetz, R. A., and Linsky, M. (2002). "Leadership on the Line." Boston, MA. Harvard Business School Press. (p. 225).

### Element 2: Developing a story that communicates an idea and influences attitudes

Once you have your leadership philosophy defined, develop a persuasive story that communicates an idea and influences attitudes. The idea must be anchored to an element of your leadership philosophy. You will present your story to your EL classmates in a TED Talk format. What is a TED Talk? The broad concept and format of a TED Talk can be observed through viewing existing TED Talks. The concept of a TED Talk is to deliver a "short, powerful talk…(using) ideas to change attitudes."[2] You are encouraged to select and view numerous TED Talks to get a sense of how you might apply observed concepts to your own presentation. Listed below are TED Talks that can serve as good corollary examples for the development of a TED Talk. TED Talks can be located through a search at www.ted.com.

- Junger, J. (2014, January). "Why veterans miss war." TEDSalon NY2014. Available from http://www.ted.com/talks/sebastian_junger_why_veterans_miss_war.
- Turere, R. (2013, February). "My invention that made peace with the lions." TED 2013. Available from http://www.ted.com/talks/richard_turere_a_peace_treaty_with_the_lions.
- Cairo, A. (2011, November). "There are no scraps of men." TEDxRC2 2011. Available from https://www.ted.com/talks/alberto_cairo_there_are_no_scraps_of_men.
- Dunlap, B. (2007, March). "The life-long learner." TED 2007. Available from https://www.ted.com/talks/ben_dunlap_talks_about_a_passionate_life.
- Heffernan, M. (2012, June). "Dare to disagree." TEDGlobal 2012. Available from https://www.ted.com/talks/margaret_heffernan_dare_to_disagree.
- Adichie, C. N. (2009, July). "The danger of a single story." TEDGlobal 2009. Available from https://www.ted.com/talks/chimamanda_adichie_the_danger_of_a_single_story.
- Bezos, M. (2011, March). "A life lesson from a volunteer firefighter." TED2011. Available from https://www.ted.com/talks/mark_bezos_a_life_lesson_from_a_volunteer_firefighter.

With the understanding that your idea is anchored to an element of your leadership philosophy, there are no restrictions placed on the subject or content of your presentation; however, you are reminded to adhere to professional standards and applicable institutional requirements (United States Fire Administration (USFA) Human Dignity Statement). Your TED Talk presentation (8 to 12 minutes) must be truthful, factual, and offer the audience a salient teaching point.

[2] TED. "Our organization." Retrieved from http://www.ted.com/about/our-organization.

### Element 3: Presenting your idea in the format of a TED Talk

During Week 2 of the EL class you will deliver your TED Talk presentation to your fellow EL students. Presenters will be offered a short period of time to prepare the teaching environment before the start of their presentation (arrange props, prepare computer programs, etc.). Although not required, the students can use the existing in-class computer and projector as an aid to their presentation.

### Rules for delivering a TED Talk:

1. The presenter has a minimum of 8 minutes and a maximum of 12 minutes to communicate a powerful message.

2. Visuals aids can be used, but only a maximum of two. (This is not a PowerPoint Presentation.)

3. The presenter is required to remain in a pre-designated area on the stage (8’ x 6’).

4. The stage is empty (no podium).

5. Presenters can only ask the audience rhetorical questions.

6. The presenter cannot distribute printed materials (e.g., handouts, articles, etc.).

7. Once the talk is over, the presenter exits the stage (no question-and-answer (Q&A) period).

## Rubric for Assessment Tool 4

Directions: For each of the four assessment areas in the left column, rate each on a scale from 0 to 25 points. Total the points for each of the four assessment areas at the bottom of the right column. The evaluation for this assessment component is allotted 100 possible points, to be awarded according to the following rubric. This assessment tool is valued at 20 percent of the final course grade.

Transfer this score to the student's summary course evaluation record. If a score is deemed needs improvement or insufficient (*), a second evaluator must review and confirm the assessment.

| **Assessment Area** | **Insufficient*** <br> **1-5 points** | **Needs Improvement*** <br> **6-10 points** | **Adequate** <br> **11-15 points** | **Good** <br> **16-20 points** | **Excellent** <br> **20-25 points** | **Point Value** **(25 possible per Assessment Area)** |
|---|---|---|---|---|---|---|
| Does the content of the presentation offer a clear thesis — an idea unique to leadership — that has the ability to influence a change in attitudes? | Absent a clear thesis, or the idea is not related to leadership. Concept has limited or no potential for its ability to influence attitudes. | ↔ | Accurate and complete, but focuses on separate points rather than integrating or discussing the nexus to leadership. Concept has moderate potential for its ability to influence attitudes. | ↔ | Complete, thorough and demonstrates understanding of relationships among parts. Concept has high potential for its ability to influence attitudes. | |
| Does the content clearly demonstrate a link between what information was communicated (thesis) and the student's personal leadership philosophy? | There was limited or no connection between the idea communicated and the student's personal leadership philosophy. | ↔ | Some links between the idea offered and the student's leadership philosophy were provided; at times the presenter's point of view was unclear and/or confusing. | ↔ | Complete, thorough and provides a very clear association between the idea presented and one or more elements of the student's leadership philosophy. | |
| Does the presenter demonstrate preparation and fluency with the material presented? | Relied heavily on written (notes) and/or visual (PowerPoint presentation) prompts. | ↔ | Presented the material in a comprehensive format. The rhythm of the presentation was interrupted as the presenter referred to notes/prompts. | ↔ | Complete and thorough and the student presented primarily from recall. Clearly demonstrated preparation and fluency. | |
| Does the presentation focus on a storytelling format? | Absent a storytelling theme. The presentation had the elements of a lecture. | ↔ | Uses storytelling to communicate the message. Portions of the presentation lacked continuity. | ↔ | Complete and thorough and the student relied on a storytelling format to communicate his or her idea. | |

| Assessment Area: Presentation Delivery Rules | Compliant | Noncompliant (minus 4 points each) |
|---|---|---|
| 8 to 12 minutes in duration. | | |
| Maximum two visual aids. | | |
| Remains in designated presentation area (8’ x 6’). | | |
| Used only rhetorical questions. | | |
| Did not distribute any printed materials. | | |
| No Q&A period used. | | |

**Note:** Four points will be deducted for each noncompliant area from the total points awarded for the presentation.

**Presentation points:** _____

**Deductions:** _____

**Total score:** _____

## Assessment Tool 5: Personal Development Plan

Each student must complete in writing a Personal Development Plan. The plan and responses will support four life areas: community, family, personal and professional.

The plan will have been sent to the student in advance of the course (within the R0125 EL Self-Study Guide) to enable familiarization on the part of the student (but not completion) and will be worked on and completed during the course itself. It must then be submitted by the student to the instructors on Monday of Week 2 to enable review, evaluation and return to the student prior to the conclusion of the course.

The evaluation value for this assessment component is 100 points. Assessment Areas 1-4 are to be awarded on a pass/fail basis. Assessment Area 5, Organization, Grammar and Mechanics, is awarded on a five-step qualitative scale. This assessment tool is valued at 20 percent of the final course grade.

## Rubric for Assessment Tool 5

| Assessment Area | Nonacceptable Standards of Completion (0 points) | Acceptable Standards of Completion (20 points) | Point Value (20 points possible per Assessment Area) |
|---|---|---|---|
| 1: Self-Reflection | Responses to all reflection questions within Section 2 (for all four life areas) are not addressed consistently. | Responses to all reflection questions within Section 2 (for all four life areas) are addressed consistently. | |
| 2: Values and Goals Statements | Areas of importance, perceived threats, and important goals in Section 3 are not addressed. | Areas of importance, perceived threats, and important goals in Section 3 are addressed. | |
| 3: Learning Plan | The Learning Plan is not completed in any manner. | The Learning Plan is completed with at least three specific goals to attain following completion of the EFOP. | |
| 4: Timeliness of Submission; Overall Clarity and Writing | The Personal Development Plan was not submitted on time; difficult to read; was not typed; and represented a minimal effort. | The Personal Development Plan was submitted on time; easy to read; was typed; and represented an obvious process of introspection and planning. | |

| Assessment Area | Insufficient* 0 points | Needs Improvement* 1-5 points | Adequate 6-10 points | Good 11-15 | Excellent 16-20 | Point Value (20 possible) |
|---|---|---|---|---|---|---|
| 5: Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition. | May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 7 to 8 errors. | ↔ | May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 4 to 6 errors. | ↔ | Free from errors in grammar, usage and the conventions of written English.<br><br>There are 0 to 3 errors. | |

| Total Score |
|---|
| _____/100 |

## Assessment Tool 6: Gettysburg Staff Ride Presentation

Each student is assigned to a project group. Each project group is assigned a set of questions (relative to the Battle of Gettysburg). During the staff ride, each individual in the group is responsible for providing a brief presentation "on the field" relative to one of the questions in the set of questions assigned to his or her group.

Each person in the group will receive a score for the group's collective presentation.

This assessment component is valued at 5 percent of the final course grade. The evaluation for this assessment component is allotted 100 possible points to be awarded according to the following rubric.

### Rubric for Assessment Tool 6

| Assessment Area | Fail (0 points) | Pass (25 points per Assessment Area) |
|---|---|---|
| Did the group correlate historical elements of the Battle of Gettysburg in its answers to the assigned questions using the staff ride student materials and/or additional research as reference to support its responses? | | |
| Did the group provide a comprehensive response to each of the assigned questions from the perspective of the concepts of the adaptive leadership model? | | |
| Did the group's answers explore the presence and effect of the exercise of leadership versus the use and effect of positional authority, citing specific examples to support its conclusions? | | |
| Did the group provide a specific correlation of its answers to the main focus and overall purpose from each of the four courses of the EFOP? | | |
| | | __/100 |

This page intentionally left blank.

## Assessment Tool 7: Week 2 Exam

The evaluation for this assessment component is allotted 100 possible points. This assessment tool is valued at 20 percent of the final course grade.

Total the score for the entire exam on the student's scoring sheet. Transfer this score to the student's summary course evaluation record. If a score is deemed needs improvement or insufficient (*), a second evaluator must review and confirm the assessment.

### Week 2 Examination Student Scoring Summary Sheet

Name of Student _____

Score _____/100

| Element | Point Value | Points Awarded |
|---|---|---|
| 1 | 20 | |
| 2 | 20 | |
| 3 | 20 | |
| 4 | 20 | |
| 5 | 20 | |
| Total | 100 | |

## Rubric for Scoring Each Exam Question

### Assessment Area: Organization, Grammar and Mechanics

Points will be deducted from the total points awarded for this question, based on the following rubric.

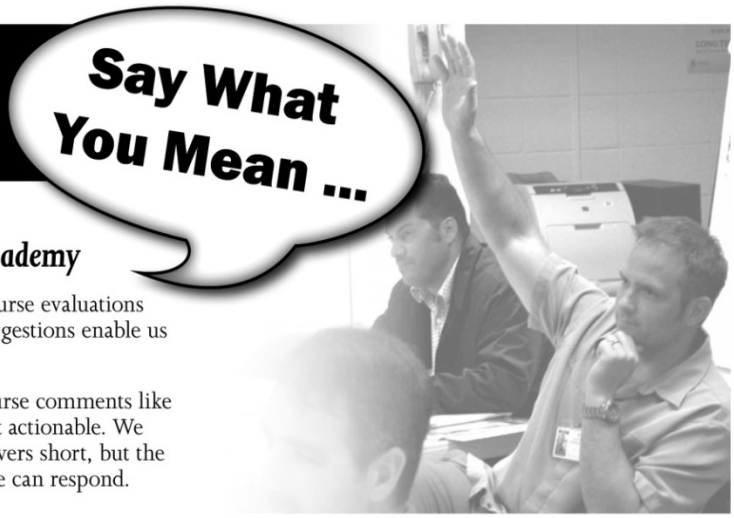
| Assessment Area | Insufficient*<br><br>Minus 4 points | Needs Improvement*<br><br>Minus 3 points | Adequate<br><br>Minus 2 points | Good<br><br>Minus 1 point | Excellent<br><br>Minus 0 points | Point Value |
|---|---|---|---|---|---|---|
| Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition. | May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 7 to 8 errors. | ↔ | May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion.<br><br>The document is mostly organized, but instructions were not entirely followed.<br><br>There are 4 to 6 errors. | ↔ | Free from errors in grammar, usage and the conventions of written English.<br><br>There are 0 to 3 errors. | |

**Exam score:** _____

**Deductions:** _____

**Total exam score:** _____

# A Student Guide to End-of-course Evaluations




## *Ten Things You Can Do to Improve the National Fire Academy*

The National Fire Academy takes its course evaluations very seriously. Your comments and suggestions enable us to improve your learning experience.

Unfortunately, we often get end-of-course comments like these that are vague and, therefore, not actionable. We know you are trying to keep your answers short, but the more specific you can be, the better we can respond.

| Actual quotes from student evaluations: | Examples of specific, actionable comments that would help us improve the course: |
|---|---|
| 1 "Update the materials." | • The (ABC) fire video is out-of-date because of the dangerous tactics it demonstrates. The available (XYZ) video shows current practices.<br>• The student manual references building codes that are 12 years old. |
| 2 "We want an advanced class in (fill in the blank)." | • We would like a class that enables us to calculate energy transfer rates resulting from exposure fires.<br>• We would like a class that provides one-on-one workplace harassment counseling practice exercises. |
| 3 "More activities." | • An activity where students can physically measure the area of sprinkler coverage would improve understanding of the concept.<br>• Not all students were able to fill all ICS positions in the exercises. Add more exercises so all students can participate. |
| 4 "A longer course." | • The class should be increased by one hour per day to enable all students to participate in exercises.<br>• The class should be increased by two days so that all group presentations can be peer evaluated and have written abstracts. |
| 5 "Readable plans." | • The plans should be enlarged to 11 by 17 and provided with an accurate scale.<br>• My plan set was blurry, which caused the dotted lines to be interpreted as solid lines. |
| 6 "Better student guide organization," "manual did not coincide with slides." | • The slide sequence in Unit 4 did not align with the content in the student manual from slides 4-16 through 4-21.<br>• The instructor added slides in Unit 4 that were not in my student manual. |
| 7 "Dry in spots." | • The instructor/activity should have used student group activities rather than lecture to explain Maslow's Hierarchy.<br>• Create a pre-course reading on symbiotic personal relationships rather than trying to lecture on them in class. |
| 8 "More visual aids." | • The text description of V-patterns did not provide three-dimensional views. More photographs or drawings would help me imagine the pattern.<br>• There was a video clip on NBC News (date) that summarized the topic very well. |
| 9 "Re-evaluate pre-course assignments." | • The pre-course assignments were not discussed or referenced in class. Either connect them to the course content or delete them.<br>• The pre-course assignments on ICS could be reduced to a one-page job aid rather than a 25-page reading. |
| 10 "A better understanding of NIMS." | • The instructor did not explain the connection between NIMS and ICS.<br>• The student manual needs an illustrated guide to NIMS. |

This page intentionally left blank.

# *UNIT 1: PURPOSE AND INTEGRITY*

*"No man is allowed to be a judge in his own cause, because his interest would certainly bias his judgment, and, not improbably, corrupt his integrity." — James Madison, The Federalist No. 10*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*1.1 Explain the roles of purpose and integrity in the exercise of leadership.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*1.1 Relate the overall objectives of the "Executive Leadership" (EL) course to the Adaptive Leadership Framework.*

*1.2 Using the personal leadership philosophy developed in their pre-course assignment, communicate their personal and professional purpose to the class.*

*1.3 Explore the relevance of courage and integrity in the exercise of leadership.*

This page intentionally left blank.

# UNIT 1:
# PURPOSE AND INTEGRITY

Slide 1-1

## ENABLING OBJECTIVES

- Relate the overall objectives of the "Executive Leadership" (EL) course to the Adaptive Leadership Framework.
- Using the personal leadership philosophy developed in their pre-course assignment, communicate their personal and professional purpose to the class.

Slide 1-2

## ENABLING OBJECTIVES (cont'd)

- Explore the relevance of courage and integrity in the exercise of leadership.

Slide 1-3

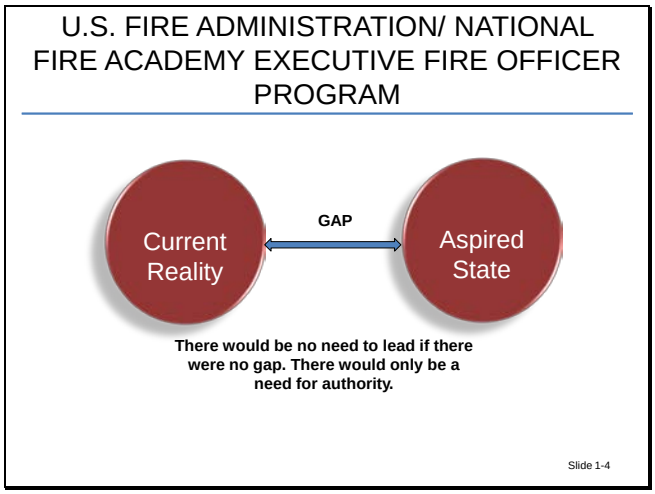
# I. COURSE OVERVIEW — THE ADAPTIVE LEADERSHIP FRAMEWORK

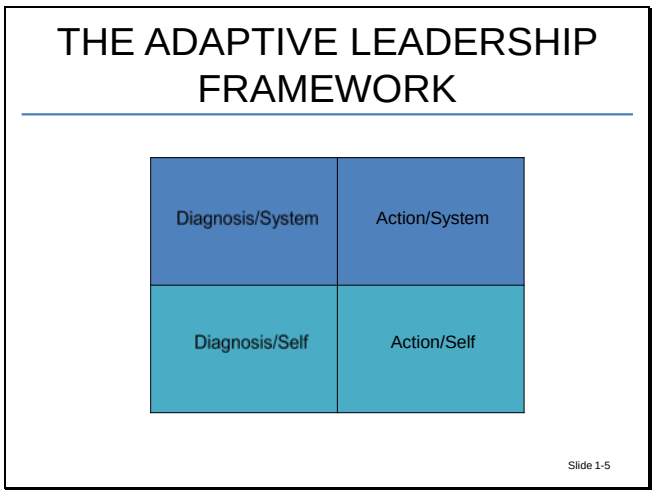
A. Course overview.

1. In this course, as well as the entire Executive Fire Officer Program (EFOP), students will develop personal competencies at the executive level that support the practice of exercising adaptive leadership.

2. The "Executive Leadership" (EL) course units address the components of Heifetz, Grashow and Linsky's (2009) Adaptive Leadership Framework, which is a model defining a concept and process for facing adaptive leadership challenges. Note that the environment was the main emphasis in the "Executive Development" (ED), course while emphasis in this course is on the individual executive.

3. Since Heifetz, Grashow and Linsky's (2009) two-by-two diagnostic matrix (p. 6) serves as a framework for this course, it is referred to (in this course) as the Adaptive Leadership Framework.






B. The Adaptive Leadership Framework.

1. Since Heifetz, Grashow and Linsky's (2009) two-by-two diagnostic matrix (p. 6) serves as a framework for this course, it is referred to (in this course) as the Adaptive Leadership Framework.

2. EL is the concluding course in the EFOP sequence. The goal of EL is to provide a framework of executive level competencies by focusing on personal effectiveness that supports the exercise of adaptive leadership.

3. The EL course focus on personal effectiveness is captured in the Adaptive Leadership Framework.

4. The Adaptive Leadership Framework identifies two essential processes: diagnosis followed by action.

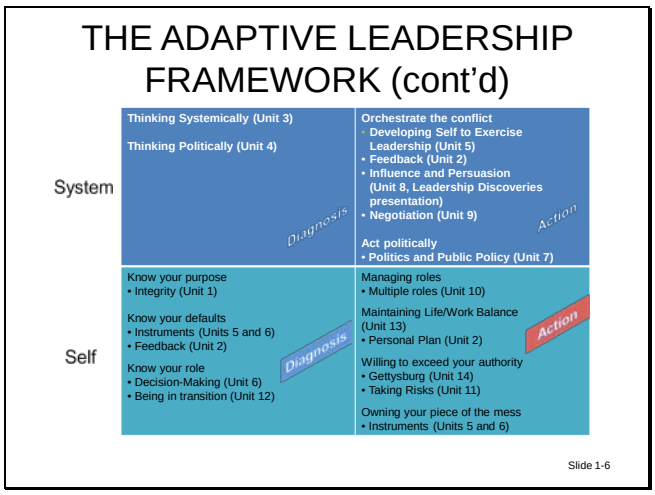
5. Within each process are two dimensions:

   a. Toward the organizational or social system.

   b. Toward self.

6. The upper two quadrants of the matrix show the procedural focus: First, one diagnoses what is happening in the organization or community, and then one follows with action to tackle the problems.

7. The bottom two quadrants of the matrix illustrate the importance of self-examination that focuses on one's attitudes and behaviors as a prerequisite to being able to calibrate one's interventions effectively.




C. The intersection between EL and the Adaptive Leadership Framework.

1. Diagnosis (Organization/System).

   a. Thinking Systemically (Unit 3).

   b. Thinking Politically (Unit 4).

2. Action (Organization/System).

   a. Orchestrate the conflict.

      - Developing Self to Exercise Leadership (Unit 5).

      - Negotiation (Unit 9).

      - Influence and Persuasion (Unit 8) and Leadership Discoveries presentations.

   b. Act politically.

      - Politics and Public Policy (Unit 7).

      - Decision-Making (Unit 6).

3. Diagnosis (Self).

   a. Knowing your defaults.

      - Instruments (Units 5 and 6).

      - Feedback (Unit 2).

b. Knowing your role.

- Decision-Making (Unit 6).

- Being in Transition: Understanding Change During Midlife and Beyond (Unit 12).

c. Knowing your purpose.

- Integrity (Unit 1).

4. Action (Self).

a. Managing Multiple Roles (Unit 10).

b. Maintaining Life/Work Balance (Unit 13).

- Personal Development Plan (Units 2 and 12).

c. Willing to exceed your authority.

- Taking Risks (Unit 11).

- Gettysburg staff ride presentations (Unit 14).

d. Owning your piece of the mess.

- Instrument (Units 5 and 6).

This page intentionally left blank.

# ACTIVITY 1.1

## Introduction to Student Leadership Philosophy

### Purpose

Provide an opportunity for you to introduce yourself, briefly describe what is on your personal and professional horizons, and share your personal leadership philosophy with the class.

### Directions

1. Reference the printed hard copy of your personal leadership philosophy that you developed as part of your pre-course assignment.

2. Using your personal leadership philosophy, create a two- to four-word "personal leadership motto" that reflects your philosophy.

3. Using the piece of card stock provided, fold it in half to create a table tent. Write your name on the top half of each side. Then on the bottom half, write your two- to four-word motto, and place the table tent in front of you on the table.

4. You will have about three minutes to introduce yourself briefly and provide your:

    a. Name.

    b. Current position.

    c. Department.

    d. Years in the fire service.

    e. Personal leadership philosophy and motto, along with a brief explanation (the "why" behind each statement).

5. Post your personal leadership philosophy as directed by your instructor.

This page intentionally left blank.

# ACTIVITY 1.2

## Finding the Courage to Act

### Purpose

Explore the relevance of courage and integrity in the exercise of leadership.

### Directions

1. Review the five discussion questions on the following activity worksheet pertaining to the video, “Finding the Courage to Act.”

2. Your instructor will show the 11-minute video “Finding the Courage to Act.”

3. Your instructor will assign one of the five discussion questions to your table group. Working in small groups, discuss your assigned video reflection question with your group members.

4. Select a representative from your group to present the group’s insights in response to their assigned question to the rest of the class.

This page intentionally left blank.

## ACTIVITY 1.2 (cont'd)

## Finding the Courage to Act

### Video Discussion Questions

1. It could be argued that Beowulf was a public servant who took on regional challenges for the benefit of others. Contrast this to your role as a person with the capacity to exercise leadership in the fire service and describe your greatest fire service challenge — the one that placed you at risk.

2. In "The Practice of Adaptive Leadership," the authors write, "There is no reason to shoulder the difficult work of leadership if you do not have compelling, higher purpose to serve" (p. 233). Describe Beowulf's higher purpose when he chose to battle Grendel and contrast that with his higher purpose when he chose to battle Grendel's mother. In the context of your role as a person with the capacity to exercise leadership in the fire service, describe your higher purpose for serving the members of your organization and community.

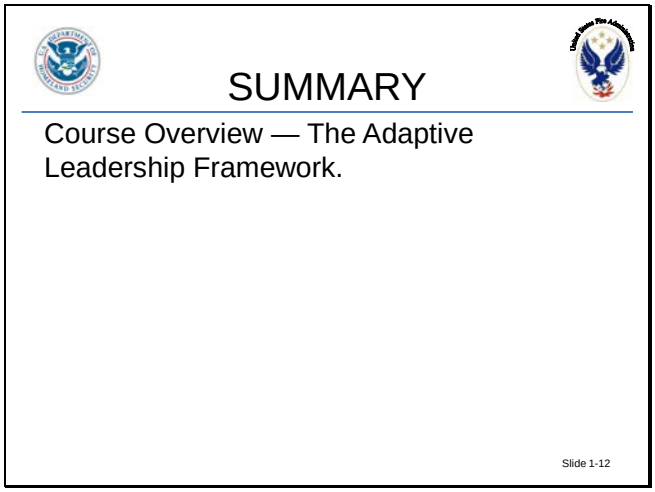
3. While battling Grendel's mother, Beowulf is dragged into a swamp; the concept can serve as a metaphor for the crucible of internal conflict wherein difficult challenges are resolved through internal analysis (you think through a problem). How can your personal leadership philosophy frame and influence your internal dialogue when analyzing adaptive leadership challenges?

4. When Grendel's mother attacked the village, she placed the community into a state of disequilibrium; the citizenry relied on the actions of their leadership (Beowulf) to mitigate the threat. Using a factual event from outside of the fire service, provide an example where a community was placed into disequilibrium as a result of a breach of trust in its leadership. From a citizen's point of view, how does the disequilibrium from a breach of trust in leadership differ from the disequilibrium from a technical problem (e.g., cyber attack on a power grid)?

5. In your own words, define courage and integrity. Using examples from the video "Finding the Courage to Act," provide examples of the influence that courage and integrity had in the ability to exercise leadership (consider the perspective of both the protagonist and the antagonists).

This page intentionally left blank.

## II. SUMMARY


SUMMARY
Course Overview — The Adaptive Leadership Framework.
Slide 1-12

This page intentionally left blank.

# *UNIT 2:*
# *GIVING AND USING FEEDBACK*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*2.1 Illustrate the benefits to professional development that can be gained from feedback from others, from self-assessment and reflection.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*2.1 Define the concept of an adaptive challenge.*

*2.2 Explain how feedback from self-assessment instruments and from others contributes to self-awareness.*

*2.3 Discuss opportunities to use a Personal Development Plan for self-assessment and personal planning.*

*2.4 Describe the types of conversation that can assist leaders in addressing adaptive challenges.*

*2.5 Explain how having difficult conversations can create opportunities for learning and self-knowledge.*

This page intentionally left blank.

# UNIT 2: GIVING AND USING FEEDBACK

Slide 2-1

## ENABLING OBJECTIVES

- Define the concept of an adaptive challenge.
- Explain how feedback from self-assessment instruments and from others contributes to self-awareness.
- Discuss opportunities to use a Personal Development Plan for self-assessment and personal planning.

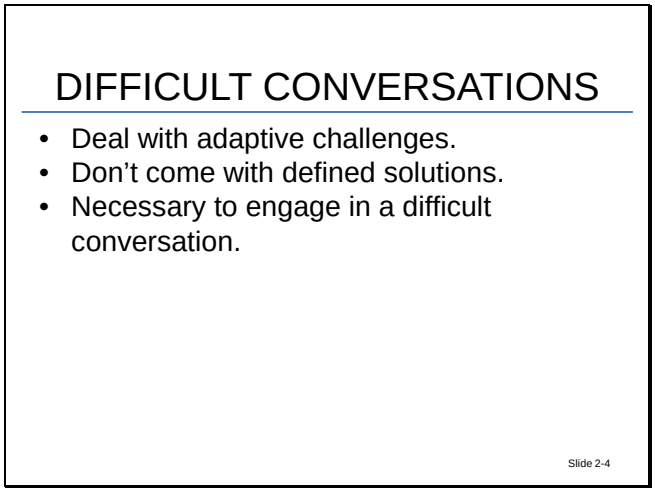
Slide 2-2

## ENABLING OBJECTIVES (cont'd)

- Describe the types of conversation that can assist leaders in addressing adaptive challenges.
- Explain how having difficult conversations can create opportunities for learning and self-knowledge.

Slide 2-3

## I. HAVING DIFFICULT CONVERSATIONS




A. A type of difficult conversation often involves attempting to deal with adaptive challenges. Unlike technical issues, adaptive challenges are typically complex and unpredictable. There are no easy answers.

Many of the units in "Executive Leadership" (EL) address the use of influence, persuasion and negotiation, which may assist the leader in addressing adaptive challenges.

B. Adaptive challenges don't usually come with defined solutions, and often there will be times when you don't know what direction to take or what to do to move forward.

C. These may be the times when it is necessary to engage in a difficult conversation.

D. According to Heifetz and Linsky:

"Leadership often involves challenging people to live up to their words, to close the gap between their espoused values and their actual behavior. It may mean pointing out the elephant sitting on the table at a meeting — the unspoken issue that everyone sees but no one wants to mention. It often requires helping groups make difficult choices and give up something of value on behalf of something they care about more …" (Heifetz and Linsky, 2004, p. 34).

## DIFFICULT CONVERSATIONS (cont'd)

- Adaptive challenges are complex and unpredictable. They require:
  - Long periods of anxiety.
  - Altered assumptions.
  - Different methods.
  - New tools and behaviors.

Slide 2-5

E. The issue for an adaptive challenge is where to start when the issue is so complex that there is no direction to take first and no clear solution to focus on and use as a point for exerting influence and persuasion.

1. Exercising leadership during adaptive challenges requires the ability to endure long periods of anxiety due to the complexity of the challenge.

2. Adaptive challenges may require people to alter their assumptions, use different methods than they normally use, and develop new tools and behaviors.

3. Adaptive challenges require complex solutions that often run counter to the expectations for authority figures.

4. In essence, people want solutions, not questions, and they expect authority figures to maintain the status quo and not introduce disequilibrium.

5. How then to address adaptive challenges where complexity is the norm and where many issues standing in the way of starting the conversation becomes its own challenge.

F. Adaptive challenges, by their nature, often result in the need for a difficult conversation. A difficult conversation can be described as:

## DIFFICULT CONVERSATIONS (cont'd)

- Any topic that is awkward, uncomfortable or perhaps even embarrassing.
- A conversation that is purposely avoided, leaving feelings unexpressed.
- A part of everyday life and not limited to any one given subject or person.

Slide 2-6

1. Any topic that is awkward, uncomfortable or perhaps even embarrassing.
2. A conversation that is purposely avoided, leaving feelings unexpressed.
3. A part of everyday life and not limited to any one given subject or person.

G. Examples of difficult conversation may involve:

1. Delivering bad news.
2. Asking for something.
3. Ending a relationship.
4. Needing to provide critical performance feedback, such as to a less-than-standard employee.
5. Having to terminate an employee.
6. Telling someone that a loved one has been injured or died.
7. Expressing a thought or opinion that is in contrast to the majority.
8. Correcting behavior that is wrong or bad but common practice.

## DIFFICULT CONVERSATIONS (cont'd)

- Recognizing the need for a difficult conversation.
  - How do you know when there is a need for a difficult conversation?
- "Undiscussables" — avoiding the elephant in the room.

Slide 2-7

H. Recognizing the need for a difficult conversation.

1. A difficult conversation is a form of disequilibrium. As noted earlier, difficult conversations may be awkward, frustrating, embarrassing, create conflict or fear, and so on.

2. A pending difficult conversation may manifest as signs and symptoms of stress, such as sleeplessness, loss of appetite, agitation, unable to focus, as well as blood pressure problems or gastrointestinal issues.

3. Difficult conversations are often present when exercising leadership around an adaptive challenge.

4. The need is often recognized by many but acted upon by few, if anyone at all.

I. "Undiscussables" — avoiding the elephant in the room.

1. "The elephant in the room" — a topic or perspective that everyone knows needs to be discussed, but no one is willing to put it out front.

2. The elephant is the known "undiscussible." It often manifests itself in the conversations that occur after a formal meeting or gathering (parking lot truths).

3. The presence of an "undiscussable" is known privately when one realizes that there are two conversations occurring at the same time.

4. Discussible.

   a. One is the public dialogue — that which is openly being discussed.

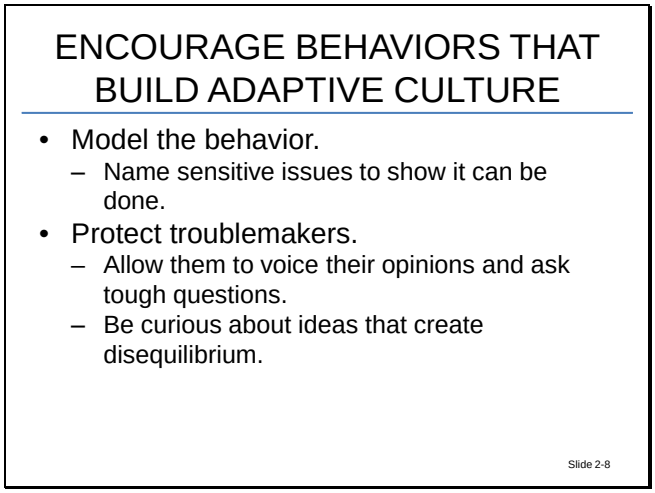
b. The second is the private dialogue that everyone is having in their own heads. This is the one where you think what you would really like to say but do not.

c. The interior "in my head" conversations are often your balcony observations, reflections and interpretations, which may be specifically about what is not being said about the public topic.

d. The elephant is often not mentioned because of fear of harm to self or others.

e. Bringing the topic out front may result in isolation or ostracism.

f. The person broaching the subject may be construed as a nonteam player.




5. Heifetz et al. acknowledge that naming sensitive issues can be extremely difficult, but they encourage doing so to build an adaptive culture (2009, pp. 166-168). They suggest that authority figures:

a. Model the behavior.

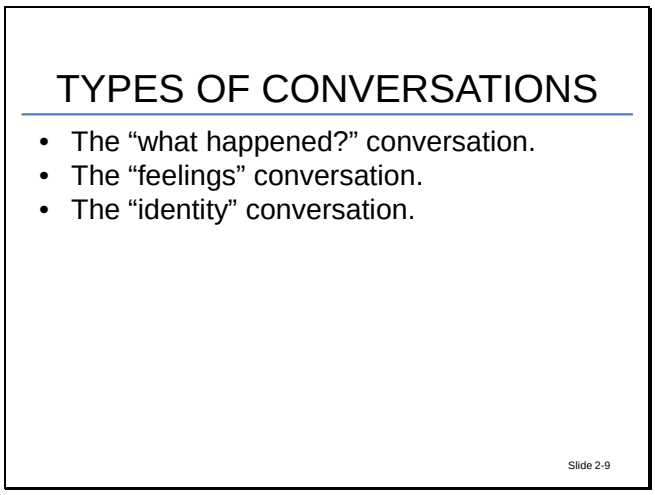
- People take behavioral cues from those in authority.

- Authority figures, therefore, must name sensitive issues and show that it is possible.

b. Protect the troublemakers.

- Resist the pressure to keep the people who voice unpopular opinions and ask the tough questions from speaking.

- Be curious about ideas that create disequilibrium.




J. Types of conversation.

Three types of conversations exist within each difficult conversation

1. The “what happened?” conversation — this type is based often in disagreement about what has actually happened or about the “what should” have happened.

   a. Assumption of truth: “I am right; you’re wrong.”

   b. Disagreements exist not about what something says but rather about what it means.

   c. Not about what is true but rather what is important.

   d. Perception of “intentions” is often a basis for argument in the “what happened” conversation.

   e. In “what happened” situations, the “blame game” is always at play.

   f. Blaming is a distraction from discovering the “why” things happened and restricts moving forward.

2. The “feelings” conversation — This internal conversation centers on what you feel. You may question the validity or appropriates of the conversation. You have concerns for the other person’s feelings.

   a. Difficult conversations always involve emotions.

   b. Struggles exist to stay rational.

   c. Feelings are a significant part of every conflict.

d. If feelings are not engaged and avoidance techniques are used, then the underlying issues may never be addressed.

e. Talking about feelings is a skill that can be learned.

f. Sometimes it is not appropriate to discuss feelings.

3. The "identity" conversation — this is an intrinsic conversation in which you have to determine what this situation means to you personally. Does this conversation mean you are compliant or incompliant, bad or good, liked or unliked?

a. This conversation is often subtle but challenging.

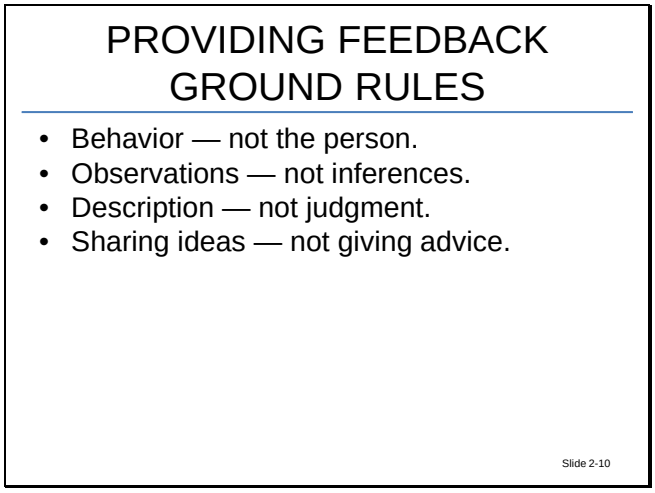
b. It is truly an intrinsic dialogue — a look inward.

c. "What am I saying to myself about me."

d. A difficult conversation is always in part about you. Something is at stake for you beyond the basic topic.

e. You may find yourself feeling out of balance (disequilibrium).

## II. PROVIDING FEEDBACK




A. Behavior — not the person.

Refer to what the person says or does. For example, "It was a little difficult to follow because the major theme wasn't clear" and not, "I thought with all your experience it would have been more motivating."

B. Observations — not inferences.

Observations refer to what you see or hear in the behavior; inferences refer to the interpretations and conclusions that you make from what you see or hear. If you choose to share inferences, it is important to identify them as such.

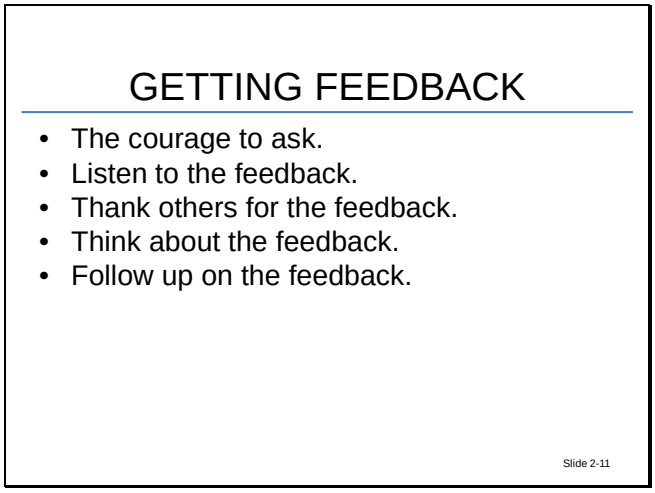
C. Description — not judgment.

Descriptions refer to what occurred; judgment evaluates in terms of right/wrong, good/bad, and so forth. Focus feedback descriptions of behavior in terms of "more or less" rather than "either/or."

D. Sharing ideas — not giving advice.

By sharing ideas and exploring alternatives, receivers are free to decide for themselves how to use the data. If they want additional clarification or coaching regarding your feedback, let them ask.

## III. USING FEEDBACK




A. Getting feedback.

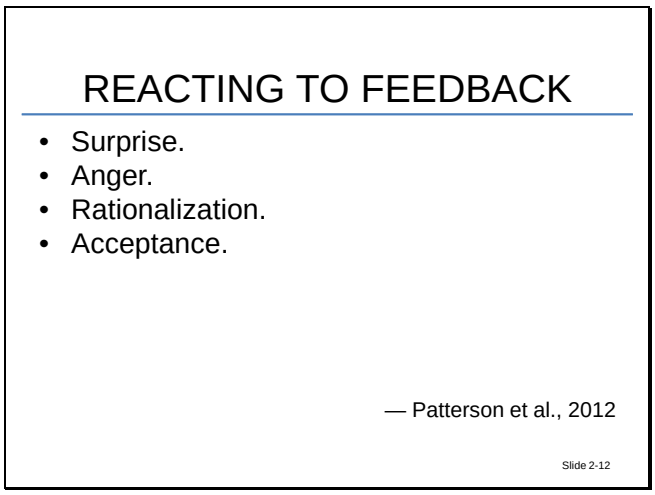
1. Ask for feedback.

2. Listen to the feedback.

3. Express thanks for the feedback.

4. Think about the feedback.

5. Follow up on the feedback.




B. Four steps in reacting to feedback (Patterson et al., 2012).

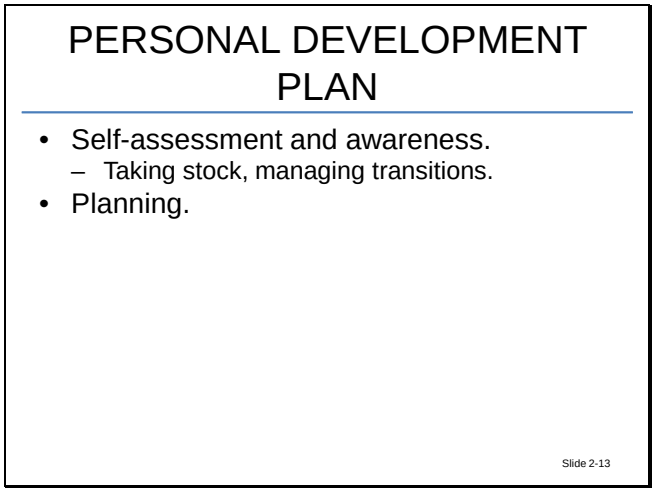
1. Surprise.

2. Anger.

3. Rationalization.

4. Acceptance.

## IV. PERSONAL DEVELOPMENT PLAN




A. Purpose of the plan.

1. Socrates' statement, "The unexamined life is not worth living," is a foundational consideration of personal growth and a cornerstone to the Executive Fire Officer (EFO) Personal Development Plan.

2. The Personal Development Plan is an opportunity for self-reflection on continued personal and professional leadership development.

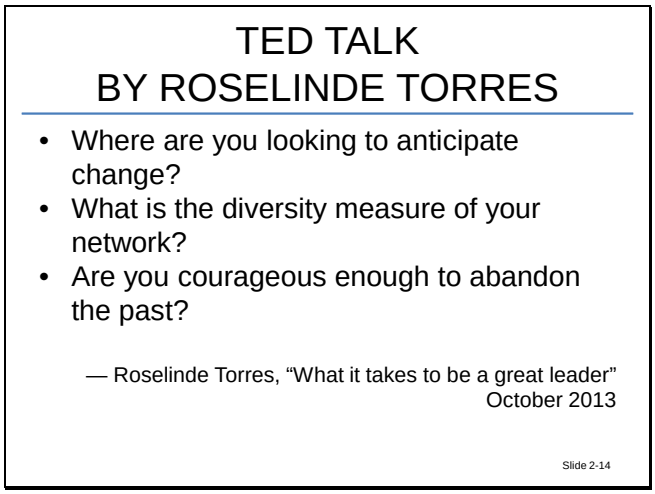
3. It is intended to be a guiding document for use beyond EL and focuses on two specific areas:

   a. Self-assessment and awareness.

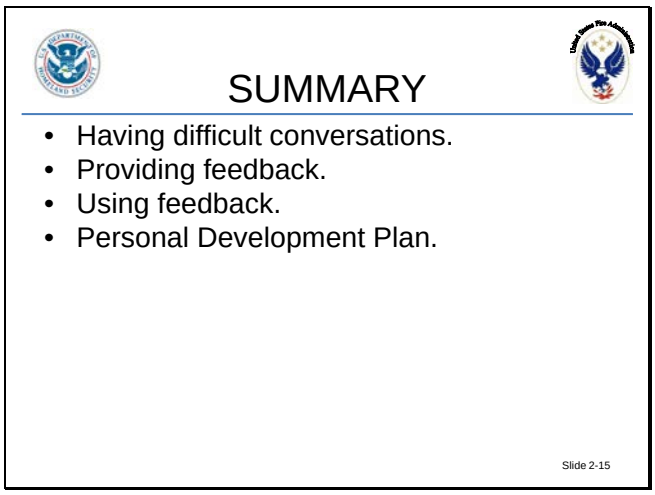
      - Taking stock of self and managing transitions for new beginnings.

   b. Planning action for the future.

B. Video in the pre-course assignment: "What it takes to be a great leader," by Roselinde Torres.




## V. SUMMARY



This page intentionally left blank.

# APPENDIX

## PERSONAL DEVELOPMENT PLAN

This page intentionally left blank.

## Introduction

This Personal Development Plan is a life-planning process that may start here at the National Fire Academy (NFA) but has implications for you well into the future. There are three thoughts that are central concepts of this guide to life planning.

- First, in life there is simply not enough time to go around; we may not be able to do everything we'd like to do.

- Second, each of us lives life uniquely.

- Third, deep reflection on our personal values and principals is essential to growth both personally and professionally.

Our lives have a personal component, a family component, a professional component, and a community component. Each competes for attention, and there probably isn't enough of you to go around, which is a good reason for some periodic life planning. In fact, such planning might be considered as **time management on a grand scale.** But the issue is wider than time management. It is probably more appropriately termed **goal setting within the context of our personal value system.**

Some people with recent experience in executive development programs have observed that busy people sometimes lose sight of their true goals. How many of your high school dreams of the future died in the light of adulthood? We may get so caught up in the **activities** of living that we forget about our dreams.

Life planning is not just super time management because time management assumes that you can actually manage time. The reality is that you cannot manage time. You cannot get more minutes in the day even if you wanted to. But what you can do is focus the time you have each day toward that which is important to you personally, to your family, to your profession, and to your community. This guide gives you that challenge; it addresses your values, dreams and goals.

The process offered here is not exhaustive; there are more complex approaches. While we've tried to configure the effort so it will be helpful and as painless as possible, the process is not easy. The process asks you to reflect deeply on where you are, where you want to be, what changes you need to make, what risks you are willing to take, and whether you have the courage to abandon the past in order to move forward.

The questions posed by each section in this guide may seem easy at first glance, but they deal with deep issues that are often overlooked. They are not easy questions; however, they are important. It is critical to remember that growth and learning do not come just from doing. Growth and learning come from personal assessment and reflection on what has occurred and how we desire the future to be.

**"The unexamined life is not worth living" — Socrates**

The Executive Fire Officer Program (EFOP) and this guide do not attempt to prescribe what your goals should be or what you're learning needs should be. Rather, they attempt to aid **you** in clarifying and defining your goals and learning needs. Obviously, this process is highly personal. It will take place within the context of four environments: personal, family, professional and community. At some point in your life, changes will occur in each of these four environments. This guide will help you think toward the future so that you may be better prepared to approach those changes and take advantage of opportunities that come your way.

## Directions

### Step 1

Watch the TED Talk video presented by Rosalinde Torres at the link below, and reflect upon the general questions she presents on leadership for the future.

Torres, R. (October 2013). "What it takes to be a great leader." (Video file). Available at http://www.ted.com/talks/roselinde_torres_what_it_takes_to_be_a_great_leader.

### Step 2

Review and reflect on each component of the following sections. Following reflection, prepare a written response to the elements in each part of the Personal Development Plan. A Microsoft Word copy of the plan will be available on your assigned classroom share drive.

**Note:** Each of the questions within this plan is accompanied by a bulleted list of guiding questions. Use the guiding questions as personal reflections and as a basis from which to answer the main question. You need not provide a written response to each bulleted guiding question unless you so desire. Responses to the main question should be succinct but thorough enough to provide you and your facilitators with clarity as to your thoughts and reflections.

### Step 3

After completion of your plan, select one classmate to conduct a peer review of your plan with you and **vice versa.** During this peer review, each member is to be Socratic in his or her approach and ask probing questions (why?) to assist each other in gaining a deeper reflection and understanding of the responses.

### Step 4

Submit your completed plan to your course facilitators at the time designated.

## PART 1: PERSONAL

1. In two to four sentences, describe who you are personally, and not from a professional perspective.

2. Describe where you are today, as a person, versus where you would like to be as a person.

3. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Where am I looking to anticipate change in my personal life?**

   - Why these areas? Think specifics.
   - What are the risks if these changes do not occur?
   - What are the benefits if these changes do occur?
   - In what ways do these changes reflect or support my personal values?

4. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **What is the diversity measure of my personal network?**

   - In what ways is my personal network diverse? Think specifics.
   - What could be my benefit from increasing my personal measure of diversity?
   - What could be my risk from not increasing my personal measure of diversity?
   - What will be my personal network diversity in the future?

5. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Am I courageous enough to abandon the past?**

   - In what ways do the anticipated changes in my personal life noted above represent disequilibrium for me?
   - What must I abandon to move to the future? Think specifics.
   - What are my personal risks with these abandonments?
   - What would be my personal benefit?
   - What resources and support will I need to move to the future?

## PART 2: FAMILY

1. In two to four sentences, describe your family role as it pertains to the exercise of personal leadership.

2. Describe where you are today, as a family, versus where you may like to be as family. If you are where you want to be, describe how that will be sustained.

3. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Where am I looking to anticipate or initiate change in my family life?**

   - Why these areas? Think specifics.
   - What are the risks to my family and me if these changes do not occur?
   - What are the benefits to my family and me if these changes do occur?

4. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Am I courageous enough to abandon the past?**

   - In what ways do the anticipated or desired changes in my family life noted above represent disequilibrium for me?
   - What must I **personally** abandon to move to the future? Think specifics.
   - What are my personal risks with these abandonments?
   - What would be my personal benefit?
   - What resources and support will my family need as I move to the future?

## PART 3: PROFESSIONAL

1. In two to four sentences, describe who you are professionally.

2. Describe where you are today, professionally, versus where you would like to be professionally.

3. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Where am I looking to anticipate change in my professional life?**

   - Why these areas? Think specifics.

- What are the risks to me if these changes do not occur?
- What are the benefits to me if these changes do occur?

4. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **What is the diversity measure of my professional network?**

   - In what ways is my current professional network diverse? Think specifics.
   - In what ways should my professional network diversity look in the future?

5. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Am I courageous enough to abandon the past?**

   - In what ways do the anticipated changes in my professional life noted above represent disequilibrium for me?
   - What must I abandon to move to my professional future? Think specifics.
   - What are my professional risks with these abandonments?
   - What would be my professional benefit?
   - What resources and support will I need to move to my professional future?

## PART 4: COMMUNITY

1. In two to four sentences, describe your role as it pertains to the exercise of community leadership.

2. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Where am I looking to anticipate or initiate change in my community leadership role?**

   - Why these areas? Think specific.
   - What are the risks to me if these changes do not occur?
   - What are the benefits to me if these changes do occur?

3. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **What is the diversity measure of my community's leadership network?**

- In what ways is my community network diverse? Think specifics.
- How would I describe my current community network diversity?
- How would I describe my community leadership network diversity in the future?

4. Use the following questions to guide your reflections and develop a written statement of reflection to answer the question: **Am I courageous enough to abandon the past?**

   - In what ways do the needed leadership diversity changes in my community represent an adaptive challenge?
   - In what ways do the actions I need to take to assist my community represent exceeding my authority?
   - In what ways do the anticipated changes in my community role noted above represent disequilibrium for me?
   - What must my community abandon to move forward? Think specifics.
   - What must I abandon to assist my community to move forward? Think specifics.
   - What are the risks associated with this community movement? Am I willing to take the personal risks associated with moving the community forward? Why?

## PART 5: ACTION PLAN

Reflect on your previous responses to Parts 1-4 and the intersection of each component to the others. This reflection should include your overall approach to life planning, your personal leadership philosophy, and the identification of your three highest personal development needs.

Given the natural intersection of all of your roles in each life component, write specific action plans for the three highest personal development needs. Use the **S**pecific, **M**easurable, **A**ttainable, **R**ealistic and **T**imely (SMART) approach to address these needs.

## PART 6: LIFE/WORK BALANCE

Part 6: Life/Work Balance is the final critical part of your plan development. This will be developed in Unit 13: Maintaining Life/Work Balance, during Activity 13.1: Life/Work Balance. In preparation for that activity, give consideration to where you may be feeling out of balance and why that may be occurring.

# *UNIT 3: THINKING SYSTEMICALLY*

*"…[O]rganizations, like all human systems, are highly complex. And the structures, culture, and defaults that define and maintain them prove tenacious. But they are tenacious for a reason." — Ron Heifetz, Alexander Grashow and Marty Linsky, "The Practice of Adaptive Leadership," 2009*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*3.1 Examine the systems within which the adaptive challenge exists, using purposeful collection of data to help clarify and define what occurs within these systems.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*3.1 Summarize the purpose and benefits of applying systems thinking to the identification and diagnosis of adaptive challenges.*

*3.2 Using the adaptive leadership challenge summarized as part of the pre-course assignment, describe to a group of one's peers an adaptive challenge currently being experienced.*

*3.3 Using the case consulting methodology, examine the adaptive challenge and the system in which it exists, in order to gain insight and understanding.*

This page intentionally left blank.

# UNIT 3:
# THINKING SYSTEMICALLY

Slide 3-1

## ENABLING OBJECTIVES

- Summarize the purpose and benefits of applying systems thinking to the identification and diagnosis of adaptive challenges.
- Using the adaptive leadership challenge summarized as part of the pre-course assignment, describe to a group of one's peers an adaptive challenge currently being experienced.

Slide 3-2

## ENABLING OBJECTIVES (cont'd)

- Using the case consulting methodology, examine the adaptive challenge and the system in which it exists, in order to gain insight and understanding.

Slide 3-3

This page intentionally left blank.

# ACTIVITY 3.1

## The Crop Damage Conundrum

### Purpose

Examine the solution applied to a problem.

### Directions

1. Read the scenario description that follows.

2. Take no more than two to three minutes to identify and write down potential explanations for what occurred. Put them aside until later.

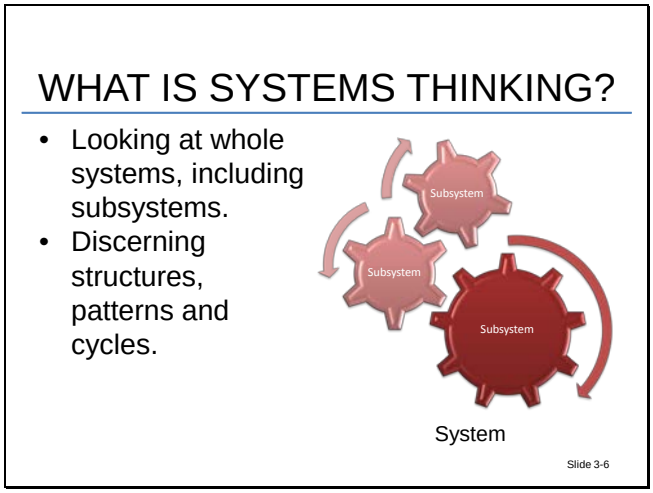
### Scenario

In order to reduce crop damage created by insects that have grown resistant to commonly available pesticides, an agricultural company, asked to solve the problem, creates and applies a stronger pesticide. Initially, the pesticide produces the desired results; however, over time, the targeted insect population increases, and crop damage also increases as a result, exceeding the previous level of damage.

What happened? Why did the created solution not produce the desired result? Write your thoughts in the space provided below.

This page intentionally left blank.

## I. WHAT IS SYSTEMS THINKING?




A. Systems thinking looks at a system as a whole, including its subsystems, and the patterns that recur between each component, rather than viewing the system as a series of specific, linear events.

B. Systems interact, are interrelated, and interdependent.

C. Systems thinking examines:

1. Overall structures.

2. Patterns.

3. Cycles.

D. Social system relationships:

1. Have a strong influence on human behavior.

2. Confine the behavior of individual people.

a. The behavior of individuals is driven by pressures from the whole system.

b. People act partly in response to social and economic pressures.

3. System operations are:

a. Not unidirectional.

b. Circular.

- Actions resulting from current conditions produce future conditions.

- Future conditions create the basis for future actions.

4. Feedback loops connect the actors and are the focus of thinking systemically.

## SYSTEMS AND SUBSYSTEMS

System elements for viewing challenges:

- Structures.
- Culture.
- Default responses.

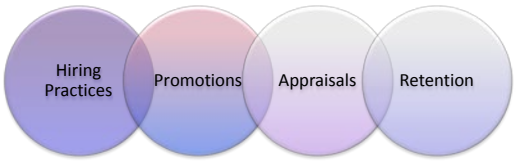
Slide 3-7

E. Systems and subsystems.

Every system is composed of subsystems that shape the way people function within them and how they handle the adaptive pressures that occur. Three system elements Heifetz et al. identify as useful entry points into viewing an adaptive challenge that affects you are structures, culture and default responses:

1. Structures.

## EXAMPLES OF STRUCTURES




Slide 3-8

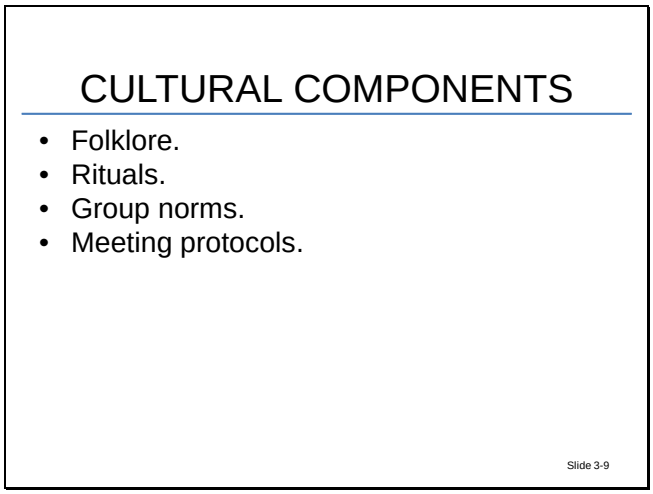
a. Examples of structures.

- Hiring practices.
- Promotions.
- Appraisals.
- Retention.

b. Structures create the basis for behaviors, rules and attitudes that can be encouraging or discouraging, enhancing or constraining.

c. Structures can include or influence:

- Attitudes toward risk-taking.
- Protocols for reporting.
- Employment contracts.
- Compensation plans.




2. Cultural components.

a. Culture constitutes the folklore, norms and rituals of the organization.

- Typically not formalized in writing.
- Difficult to describe.

- Culture both shapes and is shaped by individuals.

b. Folklore.

- Stories, images and ideas that identify what matters most.
- May need to read between the lines to fully understand what is allowed or not allowed within an organization.

c. Rituals.

- Things that are repeated over and over such as birthdays, meetings, support for charitable organizations, and so on.

d. Group norms.

- Things that define how people relate to each other such as socializing, jokes told, use of first names, and so on.
- Do group norms create opportunity or reinforce the status quo?

e. Meeting protocols.

- Types of meetings held, participants, how the agenda is set.
- Does decision-making occur and/or information sharing, who makes decisions, is sharing outside the meeting encouraged, what is the senior person's role?

## DEFAULT RESPONSES

- Comfortable ways of responding to problems.
- Familiar and proven in the past.

Slide 3-10

3. Default responses.

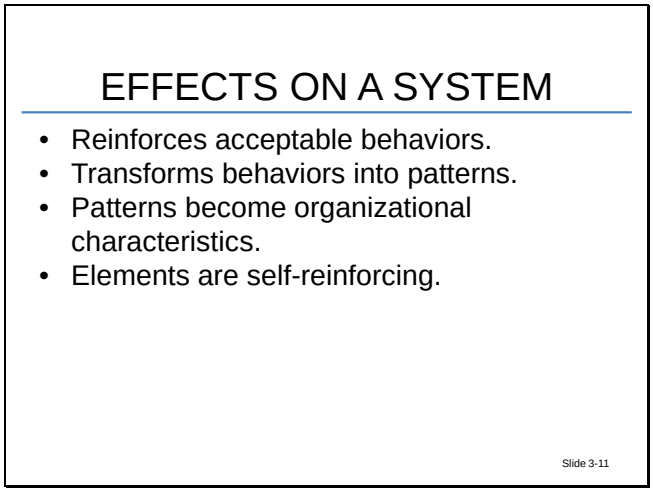
   a. Default behaviors and interpretations refer to how an organization solves problems.

   b. Defaults refer to comfortable responses to situations that have previously resulted in desirable outcomes and therefore are expected to do so in the future.

   c. The way the system responds to problems.

   d. Comfortable ways of responding.

   e. Familiar and proven in the past.




F. Effects on a system.

   Once developed, system elements become deeply ingrained.

   1. Acceptable behaviors are reinforced.

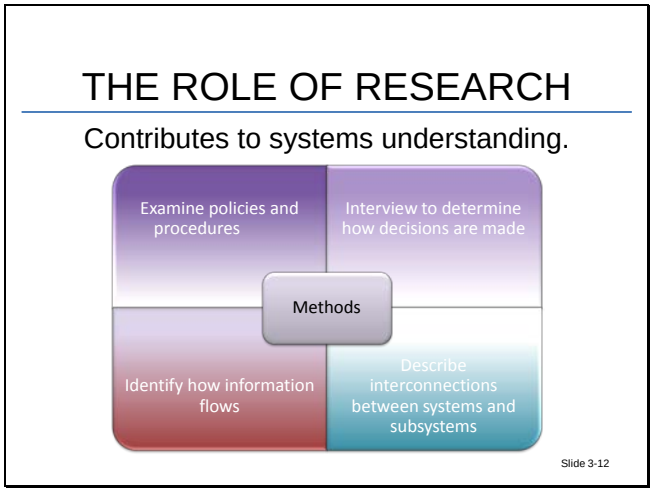
   2. Behaviors transform into patterns.

   3. The patterns develop into the organization's characteristics.

   4. The elements are self-reinforcing.

G. Challenging the system and moving away from successful characteristics when they no longer work becomes much more difficult to do.

## II. USING RESEARCH AND DATA




Data collection and research contribute to identifying and understanding systems. Data collection can help identify the systems and subsystems within organizations through:

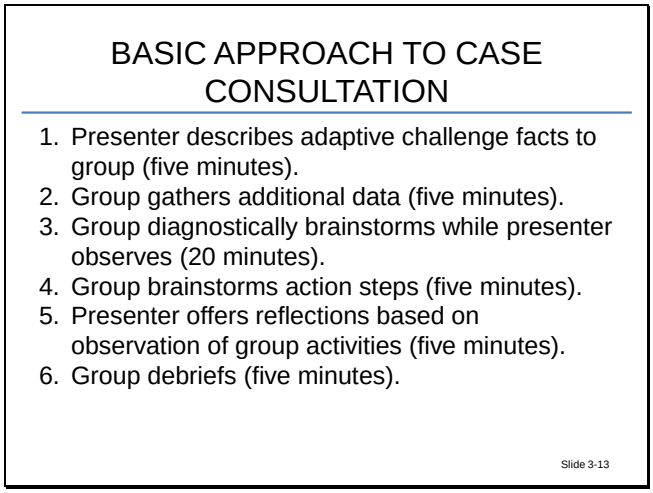
A. Examination of policies and procedures.

B. Interviews to determine how people make decisions.

C. Identification of how information flows.

D. Descriptions of interconnections within and between systems and subsystems.

## III. INTRODUCTION TO ADAPTIVE CHALLENGE CASE CONSULTING METHODOLOGY




A. Basic approach to case consultation:

1. Adaptive challenge facts presented to group.

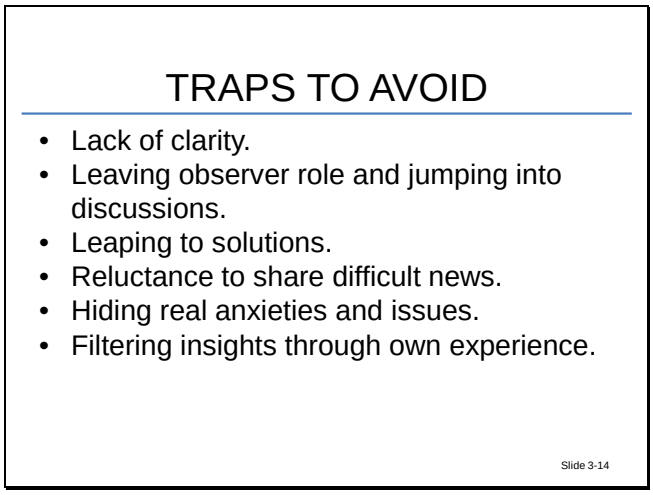
2. Group asks data gathering questions.

3. Group diagnostically brainstorms while presenter observes (i.e., goes to the balcony).

4. Group performs action steps brainstorming while presenter listens and observes.

5. Presenter reflects on what occurred during brainstorming.

6. Group debrief.




B. Traps to avoid during activity.

1. Lack of clarity.

   Challenge must be established before group can perform any brainstorming.

2. Inability of presenter to listen without jumping in during brainstorming.

3. Tendency to come to solutions too quickly, especially technical solutions.

4. Reluctance of consultants to share difficult news or information that could prove helpful.

5. Presenter hides real anxieties and issues.

6. Tendency to filter insights through own experience rather than trying to see from perspective of presenter and others involved in the challenge.

This page intentionally left blank.

# ACTIVITY 3.2

## Adaptive Challenge Case Consultations

### Purpose

Describe an adaptive challenge currently being experienced, and participate in a peer consulting methodology that results in insights, new interpretations, and suggestions of areas for activity.

### Directions

1. You will work in your peer consulting groups on this activity in the private breakout rooms. This activity will occur each morning from Days 2 to 7.

2. Each morning, one person in your group will present a summary of an adaptive challenge he or she is currently experiencing, based on the pre-course preparation assignment guidelines.

3. Refer to the Adaptive Leadership Case Consultation Guide, in the appendix of this unit, for a description of the role assignments for the case consulting methodology.

4. Rotate the role assignments each morning so that all group members experience each role.

5. Each group will follow the Adaptive Leadership Case Consultation Guide, including time frames, as follows:

    a. The presenter presents the facts of the adaptive challenge, providing important information, as defined in the pre-course preparation assignment.

    b. A consultation will follow each presentation, during which the presenter will answer the group's questions about the challenge to gather additional information.

    c. After questioning, the presenter will go to the balcony and listen and join the observer to watch the group as group members do the following:

        - Use the questions provided in the guide, as appropriate, to brainstorm diagnostically.

        - Use the questions provided in the guide, as appropriate, to brainstorm action steps.

    d. Following the action steps brainstorming, the presenter will return to the group and reflect on what he or she heard, ask questions of the group, and consider the use of different actions to "test" the possibilities. The presenter is not to try to "solve the problem" with the information he or she receives from the group.

e. Finally, at the end of each consultation, the group will reflect on how it did and consider how to improve the process for the next consultation. This will include any observations from the person “on the balcony.”

6. At the conclusion of the case, the teams will rejoin the class and debrief the experience. The main point during this activity is to discuss what went well, what went poorly, and what can be done to improve for the next case.

## ACTIVITY 3.2 (cont'd)

### Observer Worksheet

For each stage of one peer consultation, you will be "on the balcony." Your role will be to observe what the group does and report back on your observations. Use this sheet to keep notes on what you observe at each stage.

Case Presentation:

Data Gathering Questions:

Diagnostic Brainstorming:

Action Steps Brainstorming:

Presenter Reflections:

Group Debrief:

## ACTIVITY 3.2 (cont'd)

### Presenter Worksheet

Use this sheet to keep notes and record your observations of the diagnostic and action steps stages of the peer consultation for your adaptive challenge. This will help you prepare your observations for the group.

Diagnostic Brainstorming Observations and Notes:

_____

_____

_____

_____

Action Steps Brainstorming Observations and Notes:

_____

_____

_____

_____

This page intentionally left blank.

## IV. SUMMARY

### SUMMARY

- What is systems thinking?
- Using research and data.
- Introduction to adaptive challenge case consulting methodology.

Slide 3-16

This page intentionally left blank.

# APPENDIX

## ADAPTIVE LEADERSHIP CASE CONSULTATION GUIDE

This page intentionally left blank.

CLA

# Adaptive Leadership™ Case Consultation Guide

## Introduction

The following describes the CLA Adaptive Leadership™ Case Consultation methodology that has been tested and used by thousands of people across business, government and non-profits. The structure of this process can feel awkward at first, but is designed to surface new interpretations and areas of activity that could not be realized in traditional dialogue

## Case Consultation Instructions

Following is a suggested time allocation and process for a 45-minute consultation. The proportions are important, especially allocating at least twice as much time to diagnosis as to any of the other pieces. This is due to the idea that we get comfortable and attached to our stories and we need other people to open up and interpret other versions of reality and possibility.

We are assuming a group of at least four people. The small group's Leadership Consultant will serve as the facilitator, managing the time boundaries, keeping the Case Presenter from controlling the conversation, and engaging in the process. The Presenter should nominate a Note-taker from the group, someone who will help him/her debrief afterwards. Often, Presenters find themselves spinning a bit from the experience. It is a good practice to both take a break shortly after the consultation and to have one person check in with the Presenter afterwards.

- **Case Presenter presents facts:** 5 minutes
- **Group feeds Data Gathering questions to presenter:** 5 minutes
- **Presenter "goes to the balcony" watches and listens (*Does not speak at all!)* while group does diagnostic brainstorming:** 20 minutes
- **Presenter watches and listens while group does action steps brainstorming:** 5 minutes
- **Presenter reflects on what she/he heard:** 5 minutes
- **Group debriefs on the consultation:** 5 minutes

**Traps for the group to watch out for:**

- Lack of clarity on what the Adaptive issue is. Make sure you establish this before moving ahead.
- Presenter will not be able to remain silent and will dominate the conversation, defending and explaining.
- Consultants will jump too quickly to solutions, especially technical solutions.
- Consultants will be afraid to tell the Presenter difficult news or information that would be helpful to them.
- Presenter will hide real stakes and anxieties.


© Cambridge Leadership Associates
www.cambridge-leadership.com

CLA

## Adaptive Leadership™
## Case Consultation Guide

- Consultants will offer insight from their own experience or expertise, rather than see the problem through the eyes of the Presenter and other people in the case.

| | |
|---|---|
| **Case Presentation**<br>**5 minutes** | ***Goal for Case Presenter –*** *To present a current* ***Adaptive Challenge*** *that is being faced – including the important information for the case consultants.*<br>In summarizing the case, characterize the **Adaptive Challenge** from your perspective. You should specifically name the **Adaptive Challenge** that you are in the middle of. Who are the major players and, briefly, what are their interests? Describe what action you have taken or are thinking about taking in reference to the challenge. Frame the question you would most like to have our participants address.<br>The person on the balcony will report on what they observed. |
| **Data Gathering Questions**<br>**5 minutes** | ***Goal for Group –*** *To identify and understand the* ***Adaptive Challenge*** *and the complexities surrounding it. To gather as much information as possible for brainstorming in the next phase.* The person on the balcony will report on what they observed.<br>Possible Data Gathering questions about the **Adaptive Challenge**:<br>• Who are the major players? What are their formal relationships? Informal alliances?<br>• Where is the senior authority on the issue?<br>• What has the Presenter done so far to work the problem? What has the Presenter decided not to do?<br>• What would success look like to the Presenter? |
| **Diagnostic Brainstorming**<br>**20 minutes** | ***Goal for Group –*** *To "get on the balcony" to interpret what is happening in the* ***Adaptive Challenge*** *– offering alternative interpretations and illuminating new ways to understand the case.* The person on the balcony will report on what they observed.<br>Possible brainstorming questions:<br>• What are the Case Presenter's stakes? What challenges face the Presenter related to loss, competence, and loyalty?<br>• What issues or values does the Presenter represent to the group?<br>• What are the underlying or hidden issues? What are the value choices each has to make?<br>• How does the situation look to the other players? What is the story they are telling themselves?<br>• What options are off the table for the Presenter and why?<br>• What has the Presenter contributed to the problem? What is her/his piece of the mess?<br>• What possible interpretations has the Presenter been understandably unwilling to consider? |

Page 2

© Cambridge Leadership Associates
www.cambridge-leadership.com

CLA

**Adaptive Leadership™**
**Case Consultation Guide**

| | |
|---|---|
| | • What would success look like to the players other than the Presenter? |
| **Action Step Brainstorming**<br>**5 minutes** | ***Goal for Group –*** *To offer possible new initiatives, smart risks, and experiments for the Case Presenter to try to move the challenge forward.* The person on the balcony will report on what they observed.<br><u>Possible action step questions:</u><br>• What possible initiatives should be undertaken?<br>• What are low risk tests of some of the ideas discussed?<br>• What courageous conversations need to take place?<br>• What new partnerships or relationship shifts need to happen?<br>• What are specific and possible goals over the next month to achieve? |
| **Presenter Reflections**<br>**5 minutes** | ***Goal for Case Presenter –*** *Not to resolve the case! This time is intended for the Presenter to share initial reactions to the process and ask specific questions that he/she is now pondering.*<br>This is open space for the Presenter to comment on what has been heard. The idea is that the Presenter will "rent" the ideas, trying them out, rather than "buying" them or defending against them. At the close, the Presenter should identify any action step(s) she/he may undertake in the coming six weeks. |
| **Group Debrief**<br>**5 minutes** | ***Goal for Group –*** *To "get on the balcony" and reflect on how well they did the consultation and how to improve in the future.* The person on the balcony will report on what they observed.<br><u>Possible debrief questions:</u><br>• What did the group accomplish and what did it avoid?<br>• What default behaviors did participants observe?<br>• What could be done to improve consultations in the future? |


© Cambridge Leadership Associates
www.cambridge-leadership.com

This page intentionally left blank.

# *UNIT 4: THINKING POLITICALLY*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*4.1 Analyze political relationships within an organizational system.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*4.1 Given a case study on adaptive change, identify the various factions, their constituencies, their values and their interests.*

*4.2 Describe the five aspects of emotional intelligence as defined by Daniel Goleman.*

*4.3 Identify the ways in which Goleman's five aspects of emotional intelligence enable one to act politically.*

This page intentionally left blank.

# UNIT 4:
# THINKING POLITICALLY

Slide 4-1

## ENABLING OBJECTIVES

- Given a case study on adaptive change, identify the various factions, their constituencies, their values and their interests.
- Describe the five aspects of emotional intelligence as defined by Daniel Goleman.
- Identify the ways in which Goleman's five aspects of emotional intelligence enable one to act politically.

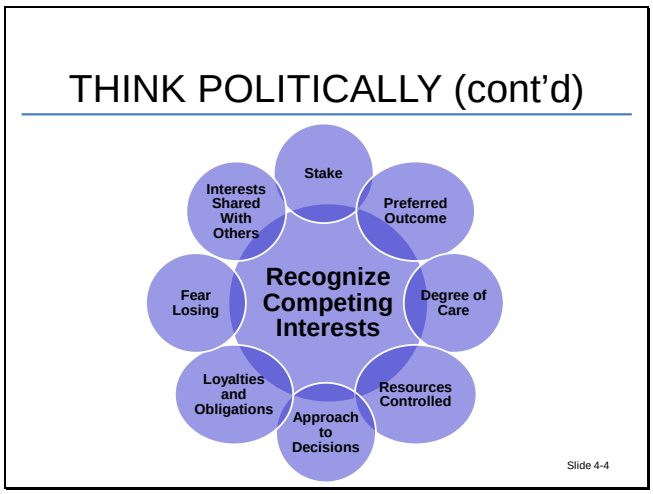
Slide 4-2

## I. WHAT IT MEANS TO THINK POLITICALLY

## THINK POLITICALLY

"When Virginia left the Union she bore his home away ... so it was no cause and country that he fought for, no ideal and not justice. He fought for his people" (Thursday, July 2, 1863 — from "The Killer Angels," Chapter 6, Lee (p. 263)).

Slide 4-3




A. Thinking politically involves recognizing that competing interests and expectations exist within organizations.

1. Heifetz et al. describe the interrelationships between competing interests, expectations and control of resources as a web of stakeholders (p. 90).

2. Each stakeholder has a viewpoint, interests and expectations that shape his or her attitude toward the adaptive challenge. These include identifying a variety of stakeholder interests such as:

   a. Their stake in the challenge.

   b. The outcome they would like to see result from resolution of the issue.

   c. How much they care about the issue.

   d. The resources within their control and who wants them.

   e. How their values and beliefs guide their behavior and influence their approach to decision-making.

   f. Who they are loyal to and what obligations are associated with that loyalty.

   g. What they fear losing if the problem is resolved.

   h. The interests they share with other groups that are not immediately obvious but that could result in construction of powerful alliances.

B. Understanding stakeholder interests, values, loyalties and fears can help those exercising leadership think about ways to garner support that demonstrates their understanding of their stakeholders' concerns and recognizes their importance.

This page intentionally left blank.

# ACTIVITY 4.1

## Faction Mapping

### Purpose

Practice identifying the different factions associated with an adaptive challenge, including the stakeholders, participants and constituencies.

### Directions

Refer to the worksheet on the following page. You will participate in a large group activity to identify and map the various factions associated with an adaptive challenge. The following terms that appear on the worksheet are defined below (Heifetz et al., 2009, pp. 90-91).

1. Faction — a group with (1) a shared perspective that has been shaped by tradition, power relationships, loyalties, and interests and (2) its own grammar for analyzing a situation and (3) its own system of internal logic that defines the stakes, terms of problems, and solutions in ways that make sense to its own members.

2. Stakeholders — people or groups with a stake in the issue or challenge. Stakeholders have desired outcomes, levels of engagement, resources they control, and values, loyalties, and concerns over potential losses and hidden alliances.

3. Opposition — parties or factions that feel threatened or at risk of loss if your perspective is accepted.

4. Relationship to the issue — How will the group be affected by resolution of the challenge?

5. Preferred outcome — What would the group like to see come out of a resolution of the issue?

6. Informing values — What are the commitments and beliefs that guide the stakeholder's behaviors and decision-making processes?

7. Loyalties — What obligations does the person have to people outside his or her immediate group (such as long-standing customer or supplier relationships)?

8. Losses at risk — What does the person fear losing (status, resources, a positive self-image) if things should change?

This page intentionally left blank.

## ACTIVITY 4.1 (cont'd)

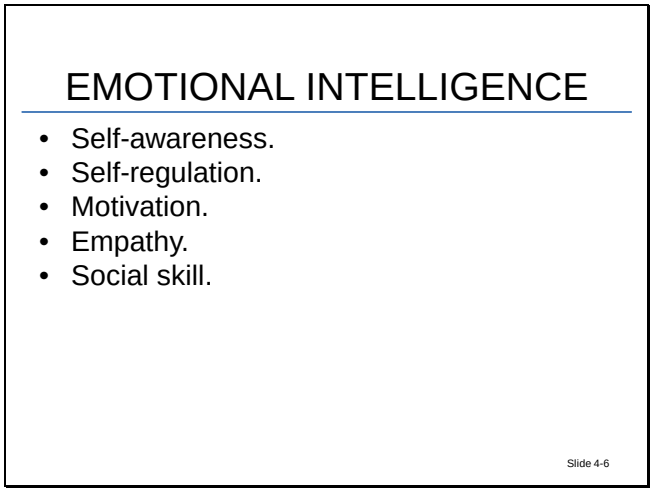
### Faction Mapping

| What is the adaptive challenge you are facing? | | | | | |
|---|---|---|---|---|---|
| | Person/Faction | | | | |
| Framing Questions | | Stakeholder | Stakeholder | Opposition | Yourself |
| | Relationship to the issue? | | | | |
| | Preferred outcome? | | | | |
| | Informing values? | | | | |
| | Loyalties? | | | | |
| | Losses at risk? | | | | |

Excerpted from Heifetz et al., 2009, pp. 90-91.

This page intentionally left blank.

## II. EMOTIONAL INTELLIGENCE




A. Daniel Goleman describes emotional intelligence in terms of the personal qualities that enable one to work with others and to be effective in leading change.

B. Self-management and the ability to relate to others are the two broad categories Goleman identifies. Within these two categories are the following traits:

1. Self-awareness is knowledge about one's weaknesses and a willingness to talk about them.

2. Self-regulation is linked to self-awareness. It refers to the ability to control one's impulses and/or to channel them in a different direction.

3. Motivation speaks to one's passion for achievement that is intrinsic to the individual, rather than in response to external stimuli.

4. Empathy is the ability to deal with others by taking their feelings into account during decision-making.

5. Social skill is a culmination of the other four traits in which one demonstrates the ability to build rapport with others, build cooperation, and produce movement in the desired direction.

This page intentionally left blank.

# ACTIVITY 4.2

## Application of Emotional Intelligence Skills to Semmelweis Video

### Purpose

Apply Goleman's five aspects of emotional intelligence to the Semmelweis video, and discuss possible relationships between emotional intelligence and one's ability to think politically.

### Directions

1. You should review the discussion questions on the following pages.

2. As you watch the video, try to identify the various factions that appear during the story, their values, interests, fears, motivations, etc.

3. Your instructor will show the 20-minute video, "Leadership and Self-Deception," illustrating a historical account of a doctor, Ignaz Semmelweis, who found evidence supporting that lack of hand washing among surgeons was causing high mortality rates in pregnant women who were dying of childbed fever in the hospital.

4. After viewing the video, in your table groups, take a few minutes to think about and answer discussion questions.

5. Your instructor will facilitate a 15-minute discussion of your responses as a large group.

This page intentionally left blank.

## ACTIVITY 4.2 (cont'd)

### Application of Emotional Intelligence Skills to Semmelweis Video

### Discussion Questions

#### Faction Mapping Questions

1. Did Ignaz Semmelweis (1818-1865) confront a technical or an adaptive problem with childbed fever? Why?

2. What were the political implications of this type of challenge? Who were the stakeholders? What were their interests? Their values?

3. Was disequilibrium present? Did Semmelweis initiate it?

4. What advice could you have provided to Semmelweis had you stepped in as his mentor when Dr. Kolletschka passed away?

#### Emotional Intelligence Questions

1. Self-Awareness.

   "Self-awareness means having a deep understanding of one's emotions, strengths, weaknesses, needs, and drives. People with strong self-awareness are neither overly critical nor unrealistically hopeful."

   What aspects of self-awareness did Dr. Semmelweis demonstrate when his colleagues rejected his theory (i.e., the practice of hand washing could reduce the incidents of puerperal fever in obstetrical clinics)?

2. Self-Regulation.

   "People who are in control of their feelings and impulses are able to create an environment of trust."

   Define an event wherein Dr. Semmelweis failed to demonstrate self-regulation. What impact did his lack of self-regulation have on his ability to accomplish his mission (reducing infant mortality caused by puerperal fever)?

3. Motivation.

   "[Leaders] are driven to achieve beyond expectation ... the key word here is *achieve*."

There is a colloquial expression: **2.0 and go.** The concept is that one does the minimum effort to obtain a passing academic score. The issue is not the idea of receiving an average score, but it is the notion that an individual purposefully strived to underachieve. Does the lack of motivation inherent in a **2.0 and go** mentality project a global weakness in one's emotional intelligence? Explain your answer.

4. Empathy.

"Empathy is the skill in treating people according to their emotional reactions," and a hallmark of empathy is to demonstrate "cross-cultural sensitivity."

Explain to what degree Dr. Semmelweis employed empathy when he enacted changes in policies and practices (e.g., mandatory hand washing)?

5. Social skill.

Social skill is the ability to manage "relationships and build networks."

Compare and contrast an event from the video that illustrates when Dr. Semmelweis demonstrated competence in managing relationships with an event when Dr. Semmelweis failed to manage relationships. In the examples you cite, explain how Dr. Semmelweis' competencies in social skills impacted his effectiveness as a leader.

## ACTIVITY 4.2 (cont'd)

### Application of Emotional Intelligence Skills to Semmelweis Video

Five Aspects of Emotional Intelligence

| | Definition | Hallmarks |
|---|---|---|
| **Self-awareness** | The ability to recognize and understand your moods, emotions and drives, as well as their effect on others. | Self-confidence; realistic self-assessment; self-deprecating sense of humor. |
| **Self-regulation** | The ability to control or redirect disruptive impulses and moods. The propensity to suspend judgment — to think before acting. | Trustworthiness and integrity; comfort with ambiguity; openness to change. |
| **Motivation** | A passion to work for reasons that go beyond money or status. A propensity to pursue goals with energy and persistence. | Strong drive to achieve; optimism, even in the face of failure; organizational commitment. |
| **Empathy** | The ability to understand the emotional makeup of other people. Skill in treating people according to their emotional reactions. | Expertise in building and retaining talent; cross-cultural sensitivity; service to clients and customers. |
| **Social skill** | Proficiency in managing relationships and building networks. An ability to find common ground and build rapport. | Effectiveness in leading change. Persuasiveness. Expertise in building and leading teams. |

Goleman, 2004.

This page intentionally left blank.

## III. ACT POLITICALLY

A. In dealing with adaptive challenges, Heifetz et al. suggest that authority figures take the information they gather during systems and political diagnosis and use it to:

### NETWORKING ACTIONS FOR ACTING POLITICALLY

- Build alliances.
- Defuse opposition.
- Listen to dissenting voices.

Slide 4-9

1. Build alliances.
2. Defuse opposition.
3. Listen to dissenting voices.

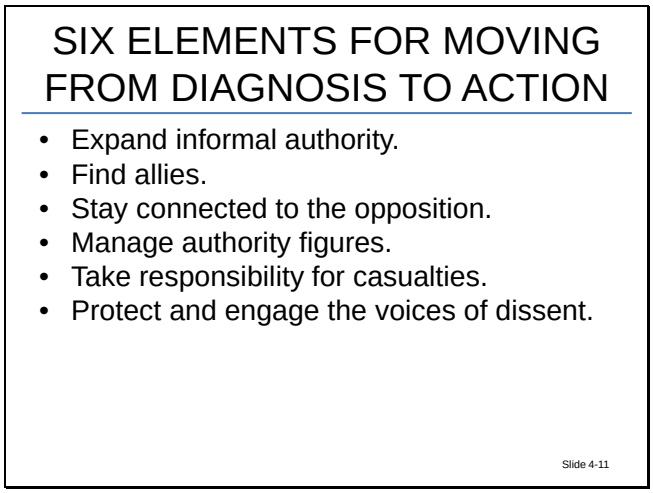
### ACTING POLITICALLY

- What do we mean by “allies”?
- Are allies different from confidants?

Slide 4-10

B. Heifetz et al. suggest that there are six elements that provide guidance for how to move from diagnosis to action (Heifetz et al., 2009, pp. 133-148).

C. Each guideline enables you to move from developing relationships to using them effectively in service of your goals and purpose. The authors also make clear that any action you take is two-way and involves reciprocity (an element discussed in Unit 8: Influence and Persuasion). The guidelines they identify for acting politically are the following:




1. Expand your informal authority.

2. Find allies.

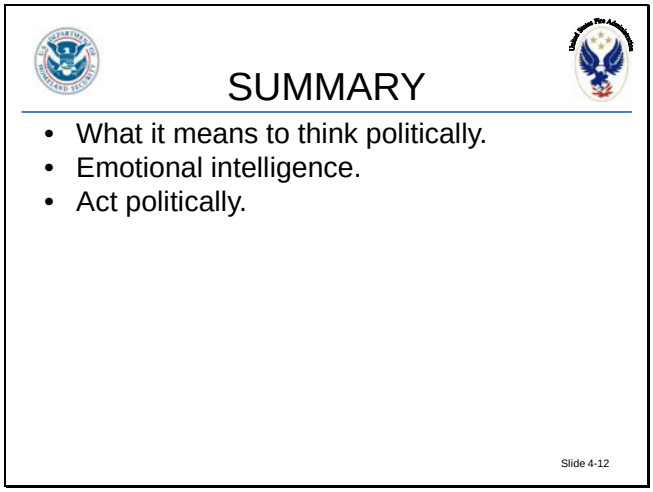
3. Stay connected to the opposition.

4. Manage authority figures.

5. Take responsibility for casualties.

6. Protect and engage the voices of dissent.

## IV. SUMMARY


SUMMARY
• What it means to think politically.
• Emotional intelligence.
• Act politically.
Slide 4-12

This page intentionally left blank.

# *UNIT 5: DEVELOPING SELF TO EXERCISE LEADERSHIP*

*When Yen Ho was about to take up his duties as tutor to the heir of Ling, Duke of Wei, he went to Ch'u Po Yu for advice. "I have to deal," he said, "with a man of depraved and murderous disposition. ... How is one to deal with a man of this sort?"*

*"I'm glad," said Ch'u Po Yu, "that you asked this question. ... The first thing you do is not to improve him, but to improve yourself." — Taoist story of ancient China*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*5.1 Given the results of a self-based or observer-based assessment instrument, integrate the information to enhance their plans for personal and professional leadership growth.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*5.1 Examine the relationship between exercising leadership and authority.*

*5.2 Characterize the sources of a leader's power.*

*5.3 Explain the concept of the authorizing environment as it pertains to the relationship of power to authority.*

*5.4 Given a case study on executive leadership, analyze leader effectiveness and personally apply this analysis to their self-assessments.*

*5.5 Given a study of leader effectiveness completed by the Center for Creative Leadership, personally apply this analysis to their self-assessment plans.*

This page intentionally left blank.

# UNIT 5: DEVELOPING SELF TO EXERCISE LEADERSHIP

Slide 5-1

## ENABLING OBJECTIVES

- Examine the relationship between exercising leadership and authority.
- Characterize the sources of a leader's power.
- Explain the concept of the authorizing environment as it pertains to the relationship of power to authority.

Slide 5-2

## ENABLING OBJECTIVES (cont'd)

- Given a case study on executive leadership, analyze leader effectiveness and personally apply this analysis to their self-assessments.
- Given a study of leader effectiveness completed by the Center for Creative Leadership, personally apply this analysis to their self-assessment plans.

Slide 5-3

## I. A FRAMEWORK FOR CONSIDERING PARAMETERS OF EXERCISING LEADERSHIP

| SITUATION OR CHALLENGE | PROBLEM | SOLUTION | WORK DONE BY |
|---|---|---|---|
| **Technical** | Well-defined | Well-defined | Person in authority |
| **Adaptive** | Requires clarification and learning | Requires clarification and learning | People with stake in the outcome |
| **Mixed** | Well-defined | Requires clarification and learning | Both authority and those with stake in the outcome |

**(Adapted from "The Practice of Adaptive Leadership" by Heifetz et al., p. 20, Harvard Press, 2009.)**

Slide 5-4


| SITUATION OR CHALLENGE | PROBLEM | SOLUTION | WORK DONE BY |
|---|---|---|---|
| Technical | Well-defined | Well-defined | Person in authority |
| Adaptive | Requires clarification and learning | Requires clarification and learning | People with stake in the outcome |
| Mixed | Well-defined | Requires clarification and learning | Both authority and those with stake in the outcome |

**(Adapted from "The Practice of Adaptive Leadership" by Heifetz et al., p. 20, Harvard Press, 2009.)**


## II. POWER AND THE AUTHORIZING ENVIRONMENT

### WHY POWER IS IMPORTANT

- Power is the ability to get things done.
- Power plays a role in getting others to go along.
- Power and authority (the right to command) are often confused.
- Many do not have the capacity to move (influence) others, despite their authority.

Slide 5-5

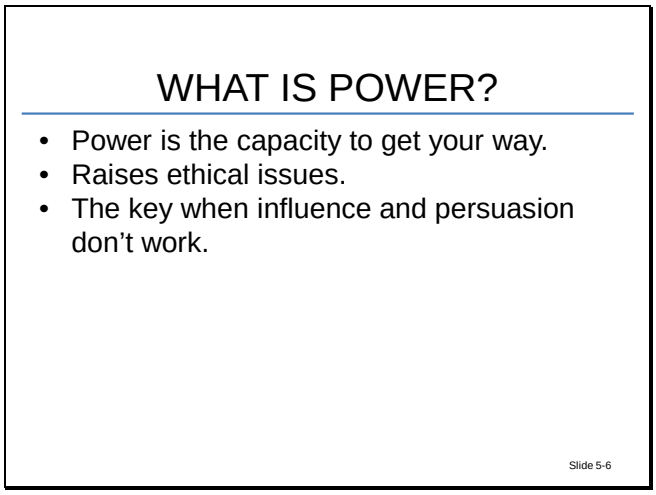
A. Definitions of power typically involve the ability to get things done.

1. Power plays an important role in getting others to go along.

2. A term that sometimes gets confused with power is authority, but they are very different.

3. Authority is the right to command. It is possible to have been given the right to command by virtue of title or position but still not have the capacity to move people in the direction of your vision.

4. To lead and manage successfully, you simply must have power and be skilled in its use.




B. What is power and how do you get it?

1. It is the capacity to get your way, which raises the issue of ethics.

   a. What is the purpose for which power is used?

   b. What will be the effect on people, place and future possibilities (for example, Global War on Terror and profiling for security, and so on)?

2. Influence does not always work to get people to want what we want.

3. Exercising leadership requires getting our way in matters of importance. Power provides the key that can be used when influence and persuasion don't work.

C. There is a relationship between power and dependence.

D. The concept of the authorizing environment.

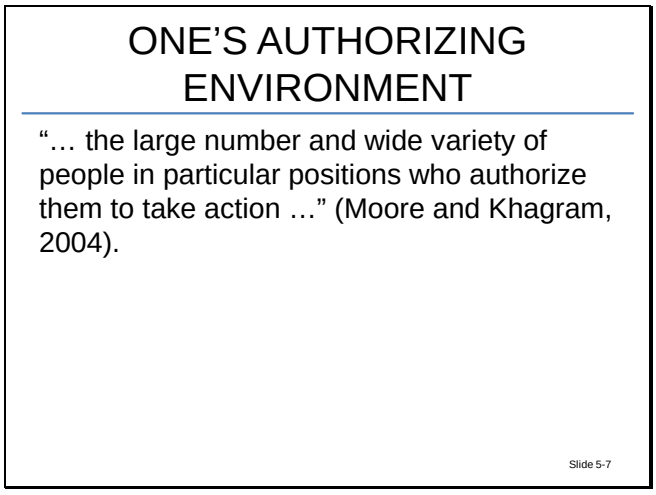
1. Heifetz et al. describe the authorizing environment in terms of one's scope of authority, that is, the formal and informal authorizers who explicitly or implicitly define what you are authorized to do, their expectations for what you will do, as well as how you will do it (Heifetz et al., 2009, pp. 216-217).

2. Mark Moore and Sanjeev Khagram (2004) describe a strategic model aimed at describing how to produce "public value" that includes three complex components:

   a. Public value.

   b. Sources of legitimacy and support.

   c. Operational capabilities.




3. In this context, those sources of legitimacy and support are the authorizing environment which is made up of:

   a. "… the large number and wide variety of people in particular positions who authorize them to take action, or appropriate money for them to use.

   b. The authorizing environment also includes those who can influence the particular individuals who make these decisions and have reasons to do so. Together, these individuals can call managers to account for their performance, and choose to continue or withdraw the authorizations and money the managers need to operate" (Moore and Khagram, 2004, p. 20).

## TWO CATEGORIES OF POWER

- Position (capacity to reward or punish).
- Personal (charisma, connections, expertise).

Slide 5-8

E. Two categories of power.

1. Position power exists where power is given to someone based on a legitimate title (e.g., boss, father, mother, teacher) that also confers the capacity to reward or punish.

   Position power is granted and enforced by the organization.

2. Personal power emanates from our perception of an individual's expertise, special information, connections or charisma. This power is created by the individual's actions but granted by others when they see the personal benefit accruing to them from allowing it.

## BASES OF POWER

- Legitimate.
- Reward.
- Coercive.
- Expert.
- Connection.
- Referent.

Slide 5-9

F. Bases of power.

1. Legitimate power.

a. Positions in a formal hierarchy carry varying degrees of legitimacy to exercise authority.

b. Each subordinate operates within a zone of acceptance of the boss's desires. Compliance can be willing, creative, and helpful or malicious.

c. Legitimate power is the ability to get our way that comes from one's relative position in the organization. It is indicated by position on the organizational chart.

2. Reward power.

a. Involves all the things an authority figure can do to create positive motivation. It combines formal and informal components.

b. Formally, it may involve the ability to grant material rewards. Informally, it may involve the ability to grant nonmaterial rewards such as favors, preferential schedules, and so on, or public praise.

3. Coercive power.

a. Formally, this type of power involves the imposition, or threat of imposition, of forms of sanctions and penalties for failure to accept orders. It may also involve withholding opportunities.

b. In many ways, this represents the negative alternative to reward power.

4. Expert power.

a. Considerable research has revealed that people will follow others regarded as having a superior level of knowledge, judgment or experience relevant to the particular issues. Sometimes, expert power is inferred based on position or organizational level.

b. Relevance is critical to the exercise of expert power. (For example, an expert attorney is not likely to find this base useful as a manager.)

5. Connection power.

a. This power is frequently linked to information power, in the sense that contact with a person of power can facilitate the flow of valued information. Sometimes this is called "access."

b. But the capacity to deal directly with the person of power, and thus to move information upward and consequently to influence judgments, represents a different power base. Staff frequently have connection power.

- That is, the law of the "lowest-ranking participant" refers to the power held by the person who runs the calendar of the person who holds legitimate power.

- Treating the "lowest-ranking participant" with due respect pays rewards.

6. Referent power.

a. This basis of power is perhaps one of the more difficult to explain.

b. It encompasses all the personal attributes that tend to create followership (individually attractive, nice person, dynamic).

c. A person might also be a career model for others (intelligent, ethical, professional) and therefore likely to attract others.

d. Charismatic power is as basic as projecting an image of self-confidence and competence, dressing the part.

e. Finally, it can be a matter of prestige, stemming from the realization that the person is regarded highly in the professional and/or organizational community and, therefore, is to be respected and followed.

7. Information power — access to or knowledge of facts, data, information.

G. Assessing power.

1. One of the most important skills in exercising effective leadership is the ability to be reflective, to assess one's strengths and weaknesses deliberately and accurately.

Having a mentor or confidant can be useful.

2. The higher a person advances within an organization, the less likely he or she may be to get the real story on what is happening within the organization.

3. Using the full range of power factors is necessary to achieve one's professional and personal goals.

This page intentionally left blank.

# ACTIVITY 5.1

## Nelson Mandela Case Study

### Purpose

Analyze the exercise of leadership by a head of state, his or her use of power, and the risks and results of his or her actions.

### Directions

1. Review the study questions for this assignment, and then read the assigned section of Nelson Mandela's autobiography.

2. As you view a video in class on Nelson Mandela, keep these questions in mind:

    a. Was Mandela effective in the exercise of leadership? Why or why not?

    b. Are there any examples from the video segment where Mandela exercised leadership without taking casualties?

    c. Is it ethical to sacrifice the marginal for the greater good? Why or why not?

3. Participate in the class discussion on the study questions.

4. At the conclusion of the in-class discussion on the study questions, take a moment to reflect on your responses to the questions in Step 2 above. These questions are restated in Assessment Tool 1, as the reflection questions. The reflection questions ask for your responses to these questions in light of your own experiences and drawing from concepts in the "The Practice of Adaptive Leadership."

5. Refer to Assessment Tool 1 in the front matter of your Student Manual (SM), in the section titled "Course Evaluation Plan." A grading rubric and detailed instructions for this assignment can be found there. The reflection questions are listed in Assessment Tool 1 and on the following activity worksheet.

6. Develop individual answers to the reflection questions in Assessment Tool 1, and turn them in on Thursday morning. Your responses will be evaluated by one of the instructors and returned to you. Completion of this case study analysis is part of the student evaluation process.

This page intentionally left blank.

## ACTIVITY 5.1 (cont'd)

### Study Questions

The following questions pertain to the assigned reading on Nelson Mandela. Discuss your responses to these questions with your group.

1. What were the two most significant adaptive challenges that Mandela faced while on Robben Island?

2. How did Mandela use his understanding of the political landscape to affect his exercise of adaptive leadership to meet the challenges identified above?

3. While on Robben Island, describe the different ways Mandela exceeded his authority.

4. List the various means employed by Mandela to exercise adaptive leadership.

5. Develop a convincing argument that Mandela was effective in the exercise of leadership.

6. When provided with an opportunity to leave imprisonment in exchange for returning to his home village, Mandela refuses. Why does he refuse?

7. During his imprisonment and his efforts to exercise leadership, who might have been the casualties of this effort? In your opinion were these losses acceptable? Why or why not?

8. During his imprisonment, in what specific ways did Mandela remain anchored?

### Reflection Questions

At the conclusion of the study question discussion, prepare a written analysis in response to the following two questions.

1. Analyze the relationship between adaptive change and casualties as described by Heifetz et al. Develop an argument to support either that casualties are inevitable or that adaptive change can occur without casualties. Cite examples from Mandela and your own experiences to support your argument.

2. Is it ethical to sacrifice the marginal for the greater good? Develop an argument, citing examples from Mandela and your own experiences to support your position.

This page intentionally left blank.

## III. WHY AND HOW SUCCESSFUL EXECUTIVES DERAIL: A RESEARCH REPORT

REASONS FOR SUCCESS BEFORE DERAILMENT (SOURCE: CENTER FOR CREATIVE LEADERSHIP)

- Outstanding track record.
- Outgoing, well-liked, charming.
- Technically brilliant.
- Loyal and helpful to management.
- Ambitious and managed career well.
- Moved up during reorganization or merger.
- Excellent at motivating or directing subordinates.

Slide 5-12

A. Reasons for success before derailment. (The average executive had two or three of these characteristics.)

1. Outstanding track record — identified early as having potential.
2. Outgoing, well-liked, charming.
3. Technically brilliant.
4. Loyal and helpful to management.
5. Ambitious and managed career well.
6. Moved up during reorganization or merger.
7. Excellent at motivating or directing subordinates.

## SITUATIONS THAT CAUSED FLAWS TO SHOW

- He or she lost a boss who had covered or compensated for his or her weaknesses.
- He or she entered a job for which he or she was not prepared.
- He or she left behind a trail of little problems or bruised people.
- He or she moved up during an organizational shake-up and wasn't scrutinized until during the shakedown period.

Slide 5-13

B. Situations that caused flaws to show.

1. He or she lost a boss who had covered or compensated for his or her weaknesses.

2. He or she entered a job for which he or she was not prepared.

3. He or she left behind a trail of little problems or bruised people.

4. He or she moved up during an organizational shake-up and wasn't scrutinized until during the shakedown period.

## FATAL FLAWS — THE REASONS FOR DERAILMENT

- Specific performance problems with the business.
- Insensitivity to others — an abrasive, intimidating, bullying style.
- Cold, aloof, arrogant.
- Betrayal of trust.
- Overmanaging — failing to delegate or build a team.

Slide 5-14

C. Fatal flaws — the reasons for derailment. (The average derailed executive had two of these characteristics.)

1. Specific performance problems with the business.

2. Insensitivity to others — an abrasive, intimidating, bullying style.

3. Cold, aloof, arrogant.

4. Betrayal of trust.

5. Overmanaging — failing to delegate or build a team.

## FATAL FLAWS — THE REASONS FOR DERAILMENT (cont'd)

- Overly ambitious — thinking of the next job, playing politics.
- Failing to staff effectively.
- Unable to think strategically.
- Unable to adapt to a boss with a different style.
- Overdependent on an advocate or mentor.

Slide 5-15

6. Overly ambitious — thinking of the next job, playing politics.

7. Failing to staff effectively.

8. Unable to think strategically.

9. Unable to adapt to a boss with a different style.

10. Overdependent on an advocate or mentor.

## THOSE WHO SUCCEEDED CONTRASTED WITH THOSE WHO DERAILED

- They were similar in many ways:
  - Were incredibly bright.
  - Were identified early.
  - Had outstanding track records.
  - Had few flaws.
  - Were ambitious.
  - Made many sacrifices.

Slide 5-16

D. Those who succeeded contrasted with those who derailed.

They were similar in many ways:

1. Were incredibly bright.
2. Were identified early.
3. Had outstanding track records.
4. Had few flaws.
5. Were ambitious.
6. Made many sacrifices.

THOSE WHO SUCCEEDED CONTRASTED WITH THOSE WHO DERAILED (cont'd)

- Those who succeeded.
  - Had more diversity in their track records; had done more different kinds of things.
  - Maintained composure under stress.
  - Handled mistakes with poise and grace.
  - Focused on problems and solved them.
  - Got along with all kinds of people; were outspoken but not offensive.

Slide 5-17

E. But those who succeeded:

1. Had more diversity in their track records; had done more different kinds of things.
2. Maintained composure under stress.
3. Handled mistakes with poise and grace.
4. Focused on problems and solved them.
5. Got along with all kinds of people; were outspoken but not offensive.

F. Summary — why executives derail.

1. Executives derail for several basic reasons, all connected to the fact that situations change as one ascends the organizational hierarchy. Their strengths become weaknesses.

   a. Loyalty becomes overdependence or narrowness or cronyism.

   b. Ambition destroys their support base.

   c. Their leadership of subordinates causes them to bog down in operational and technical detail.

   d. Their deficiencies eventually matter.

   e. If talented enough, one can get by with insensitivity at lower levels but not when one's subordinates and peers are powerful and probably brilliant as well.

   f. The charming but not brilliant find that the job gets too big and problems too complex to get by on interpersonal skills.

2. Success goes to their heads.

   a. After being told how good they are for so long, some simply lose their humility and become cold and arrogant.

   b. Once someone acts as if there is nothing more to learn, his or her information sources begin to dry up, and people no longer wish to work with him or her.

3. They are not very lucky.

   A few of the derailed apparently did little wrong. They were done in politically or by economic upheavals. Essentially, they weren't very lucky.

## IV. THE EXECUTIVE LEADERSHIP ASSESSMENT INSTRUMENT

### EXECUTIVE LEADERSHIP ASSESSMENT INSTRUMENT

- Feedback report briefing.

Slide 5-18

### EXECUTIVE LEADERSHIP ASSESSMENT INSTRUMENT (cont'd)

- Results are based on self and observer responses to 40 questions.
- Instrument is designed to assess effectiveness in areas of both transactional and transformational leadership.

Slide 5-19

A. Report provides feedback within transactional and transformational leadership effectiveness areas.

1. Results are based on self and observer responses to 40 questions.

2. Instrument is designed to assess effectiveness in areas of both transactional and transformational leadership.

THE EXECUTIVE LEADERSHIP ASSESSMENT IS AUTHORED AND DEVELOPED BY DR. WILLIAM E. ROSENBACH

- Professor emeritus of management at Gettysburg College.
- Research focused on:
  - Authority figure and follower behavior.
  - Effectiveness of leadership development programs.
  - Relationship of the exercise of transformational leadership to organizational culture.

Slide 5-20

B. Authored and developed by Dr. William E. Rosenbach.

1. Professor emeritus of management at Gettysburg College.

2. Research focused on authority figure and follower behavior, effectiveness of leadership development programs, and the relationship of transformational leadership to organizational culture.

EXERCISING TRANSACTIONAL LEADERSHIP

- This involves influencing others by means of a transaction.
- The transaction is within the individual's scope of authority as a mechanism to elicit performance.
  - Money.
  - A decision that produces a favorable outcome.
  - Praise/Compliments.

Slide 5-21

C. Exercising transactional leadership.

1. This involves influencing others by means of a transaction.

2. The transaction is within the individual's scope of authority as a mechanism to elicit performance.

   a. Money.

   b. A decision that produces a favorable outcome.

c. Praise/Compliments.

3. Those who are supervised make up one feedback group for the Executive Leadership Assessment (ELA).

TRANSACTIONAL LEADERSHIP INVOLVES INFLUENCING OTHERS BY MEANS OF A TRANSACTION

Transactional rating elements include:
- Competent management: How well do you accomplish day-to-day tasks of managing?
- Recognition and reward equity: How well do you understand performance and recognize people for their efforts?

Slide 5-22

D. Transactional rating elements include:

1. Competent management.

   Rates how well day-to-day tasks of managing are accomplished.

2. Recognition and reward equity.

   Rates how well managers understand performance and recognize people for their efforts.

EXERCISING TRANSFORMATIONAL LEADERSHIP

Involves influencing others through personal identification to change or behave differently.
- Followers join with the leader in a shared vision of the future.
- They go beyond personal interest and self-reward.
- Transformational leaders excite, enable, support and transform purpose into action.
- Transactional and transformational leadership are complimentary to each other.

Slide 5-23

E. Exercising transformational leadership involves influencing others through personal identification to change or behave differently.

1. Followers join with the authority figure in a shared vision of the future.

2. Go beyond personal interest and self-reward.

3. Willing to seek performance at extreme levels.

## TRANSFORMATIONAL LEADERSHIP

Scales contain both behaviors and characteristics.

- Behaviors:
  - Communications leadership.
  - Leading with integrity.
  - Caring.
  - Leading to create opportunities.

Slide 5-24

F. Transformational leadership scales include characteristics and behaviors.

1. Behaviors.

   a. Communications leadership.

   b. Leading with integrity.

   c. Caring leadership.

   d. Leading to create opportunities.

## TRANSFORMATIONAL LEADERSHIP (cont'd)

- Characteristics:
  - Confidence-building leadership.
  - Power-sharing leadership.
  - Forward-focused leadership.
  - Culture-building leadership.

Slide 5-25

2. Characteristics.

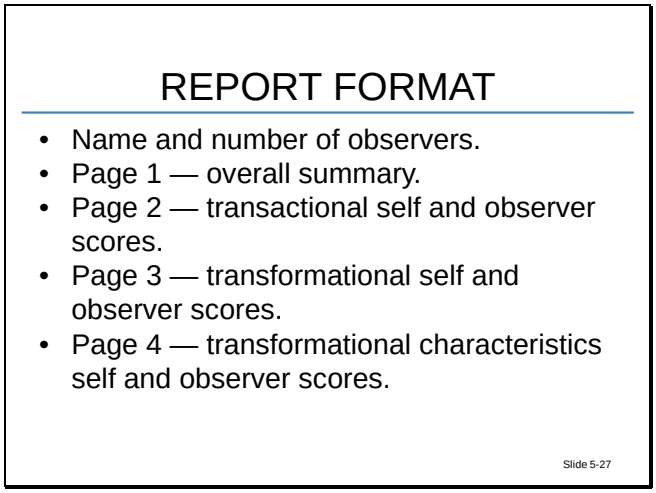
   a. Confidence-building leadership.

   b. Power-sharing leadership.

   c. Forward-focused leadership.

   d. Culture-building leadership.

G. Your feedback report.




1. Format.

   a. Name and number of observers.

   b. Page 1 — overall summary.

c. Page 2 — transactional self and observer scores.

d. Page 3 — transformational self and observer scores.

e. Page 4 — transformational characteristics self and observer scores.

## OVERALL SUMMARY PAGE SELF-ASSESSMENT

| Self-Assessment | Your Score | Group Scores | | |
|---|---|---|---|---|
| | | Average | Lowest | Highest |
| Transactional Leadership | 52.49 | 48.39 | 35.22 | 62.08 |
| Transformational Leadership Behaviors | 51.23 | 47.70 | 34.24 | 60.23 |
| Transformational Leadership Characteristics | 44.64 | 45.62 | 33.31 | 61.65 |

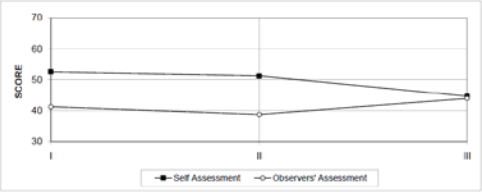
Slide 5-28

## OVERALL SUMMARY PAGE OBSERVER ASSESSMENT

| Observer's Assessment | Your Score | Group Scores | | |
|---|---|---|---|---|
| | | Average | Lowest | Highest |
| Transactional Leadership | 41.22 | 47.64 | 22.94 | 58.88 |
| Transformational Leadership Behaviors | 38.74 | 46.05 | 15.65 | 57.03 |
| Transformational Leadership Characteristics | 43.94 | 47.62 | 25.97 | 62.05 |

Slide 5-29

## VISUAL DISPLAY OF SELF AND OBSERVER SUMMARY SCORES




Slide 5-30

## EACH PAGE HAS FOUR COLUMNS OF DATA

| Transactional Leadership Self-Assessment | Your Score | Average | Lowest | Highest |
|---|---|---|---|---|
| Competent Management | 46.56 | 51.59 | 31.46 | 71.72 |
| Recognition and Reward | 48.51 | 47.80 | 31.51 | 69.76 |

Slide 5-31

2. Four columns of data on each page.

   a. Your score.

   b. Average group score.

   c. Lowest group score.

   d. Highest group score.

## COMMENTS AND NOTES

- The Executive Leadership Assessment (ELA) is a standardized assessment instrument.
- Standards for scoring are based on years of data from an earlier, almost identical instrument.
- Ranges are estimated, and outliers included for both ends of range.

Slide 5-32

3. Additional comments on the feedback report.

   a. The ELA is a standardized assessment instrument.

   b. Standards for scoring are based on years of data from an earlier, almost identical instrument.

   c. Ranges are estimated, and outliers included for both ends of range.

## QUESTIONS AND THOUGHTS FOR FURTHER DISCERNMENT OF FEEDBACK

- Strong and/or weak scores.
- Areas with the greatest variance.
- Patterns where ratings are consistently higher or lower than observer group.
- Identity of the observer group.
- Score comparisons between self/observer group and peer/observer groups.

Slide 5-33

4. Understanding your results.

   a. Strong and/or weak scores.

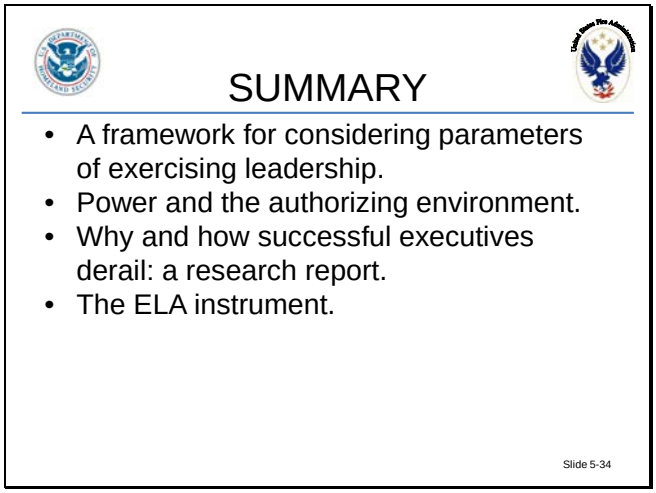
   b. Areas with the greatest variance.

   c. Patterns where ratings are consistently higher or lower than observer group.

d. Identity of the observer group.

e. Score comparisons between self/observer group and peer/observer groups.

## V. SUMMARY



# APPENDIX

## THE EXECUTIVE LEADERSHIP ASSESSMENT: ON BECOMING A BETTER LEADER — SAMPLE REPORT

This page intentionally left blank.

# THE EXECUTIVE LEADERSHIP ASSESSMENT

## On Becoming a Better Leader

William E. Rosenbach, PhD

The Executive Leadership Assessment (ELA) is used with permission of Rosenbach & Associates, Inc./William E. Rosenbach, PhD, as stated and contained within a licensing and use contractual agreement (HSFEEM-06-P-0169) with the Department of Homeland Security/FEEMA/U.S. Fire Administration/National Fire Academy.

Copyright © 2007 by William E. Rosenbach. All rights reserved under International and Pan-American Copyright Conventions. Address all inquires to Rosenbach & Associates, 10 Vista Larga Drive, Gettysburg, PA 17325-8081 or rosenbach@leadingandfollowing.com

## CONTENTS

Introduction ..... 1
What is Leadership? ..... 1
Two Types of Leadership ..... 2
Dimensions of the Executive Leadership Assessment ..... 3
Transactional Leadership ..... 3
Scale 1: Capable Management (Items 1, 11, 21, 31) ..... 3
Scale 2: Recognition and Reward Equity (Items 2, 12, 22, 32) ..... 4
Transformational Leadership Behavior ..... 4
Scale 3: Communications Leadership (Items 3, 13, 23, 33) ..... 4
Scale 4: Leading With Integrity (Items 4, 14, 24, 34) ..... 4
Scale 5: Caring Leadership (Items 5, 15, 25, 35) ..... 5
Scale 6: Leading to Create Opportunities (Items 6, 16, 26, 36) ..... 5
Transformational Leadership Characteristics ..... 6
Scale 7: Confidence Building Leadership (Items 7, 17, 27, 37) ..... 6
Scale 8: Power Sharing Leadership (Items, 8, 18, 28, 38) ..... 6
Scale 9: Forward Focused Leadership (Items 9, 19, 29, 39) ..... 6
Scale 10: Culture Building Leadership (Items 10, 20, 30, 40) ..... 7
The Executive Leadership Assessment Report ..... 7
Understanding Your Results ..... 8
How to Use Your Results ..... 14
Interpreting Your Results ..... 14
Some Suggestions for Reflection ..... 17
A Final Note ..... 17
Suggested Reading ..... 18
About the Author ..... 19
Appendix I: *Executive Leadership Assessment* Sample Report ..... 20
Appendix II: *Executive Leadership Assessment* Questionnaire ..... 25

This page intentionally left blank.

## INTRODUCTION

The ***Executive Leadership Assessment (ELA)*** is designed to help you gain a better understanding of leadership as well as to help you examine your own leadership effectiveness. In this booklet you will find a brief introduction to the history and foundation concepts of leadership research upon which the ***Executive Leadership Assessment*** is based. Then, in some detail, the three dimensions of leadership assessed by the ***Executive Leadership Assessment*** are explained. Through the ***Executive Leadership Assessment*** others whom you have selected will provide you with personal feedback regarding your leadership behaviors, your leadership characteristics and the effects that you as a leader may have on others. You will be able to use the ***Executive Leadership Assessment*** results to see your perceptions of yourself as a leader compared with the observations of those you selected to give you feedback. Therefore, we look next at the ***Executive Leadership Assessment*** **Report** and provide some guidelines for interpreting your results. The booklet concludes with some suggestions for using the results to improve your own leadership effectiveness. A brief list of additional readings is included for those who want to learn more about this fascinating and vital subject.

Leadership is one of the most widely discussed topics today; at the same time, it is one of the most elusive and puzzling subjects. However, it need not be mystical or mysterious. Neither the understanding of leadership nor the act of leading is limited to just a few, special leaders. Many people have the potential to become effective leaders. Leadership in any group or organization is not limited to those in elected or appointed positions. People do differ in potential, but everyone can become more effective through increased knowledge of leadership concepts and increased self-understanding. People at all levels can--and must--exercise leadership if the group or organization is to achieve its goals.

Leaders are individuals who help create options and opportunities. They help identify choices and solve problems. Leaders build commitment and coalitions. They do this by inspiring others and working with them to construct a shared vision of the possibilities and promise of a better group, organization, or community. Leaders engage followers in such a way that many followers become leaders in their own right. The varied demands of an increasingly complex world often require that leadership be shared by many of the members of a group, in ways appropriate for different situations.

Learning about leadership means recognizing ineffective as well as effective leadership. It also means understanding the critical linkage between means and ends. Learning about leadership involves understanding the dynamic relationship between leaders and followers. Most important of all, students of leadership can begin to appreciate their own strengths and deficiencies. Feedback from the ***Executive Leadership Assessment*** will help you learn about yourself as a leader. John Gardner suggests, "It's what you learn after you know it all that really counts."

## WHAT IS LEADERSHIP?

Looking back to the history of the study of leadership, we find that the earliest coherent thrust centered on an approach now referred to as the "Great Man" or "Great Person" theory. That approach involved identifying and measuring the specific personal

characteristics of leaders. It was, then, assumed that great leaders are born, not made. A great deal of research was conducted to identify and measure certain, specific, personal traits and characteristics that would clearly distinguish such leaders.

Beginning in the late 1940s with the well known Ohio State and Michigan studies, much of the leadership research was focused on the behavior of leaders. Researchers reasoned that if the key was not who they were, then perhaps it could be found in what they did, particularly in terms of task and relationship behavior. Later, a new path taken by some researchers was to suggest that perhaps leadership effectiveness depended on engaging in different combinations of task and relationship behavior in different situations. This approach resulted in what was called "situational leadership."

In sum, trait approaches to leadership do not seem to work. Models based on leaders' behavior proved more promising, but limited in terms of performance results. Finally, the situational approaches seem to work modestly well. Either way, these approaches to understanding leadership provide what is at most a partial answer to the mystery of leadership, leaving much to be resolved. And keep in mind that almost all of the theory and research up to this time--the 1970s--was centered on supervisors and lower-level managers, not executive leaders.

## TWO TYPES OF LEADERSHIP

By the 1970's, it appeared that leadership research had reached an impasse. Several different approaches, the trait, the behavioral and the situational, all seemed to have some relationship to leader effectiveness but none could be said to be the overwhelming or driving factor. In 1978, however, a Pulitzer Prize winning political historian, James MacGregor Burns, published a book called ***Leadership.*** In that book Burns challenged the way we think about leadership concept. He argued that there are two basic types of leadership: *transactional* and *transformational*. Transactional leaders influence followers by means of a transaction. That is, they give followers money, praise, or some other reward (or punishment) in exchange for the followers' effort and performance. Transactional leaders recognize the rewards followers want from their work and try to see that they get them in exchange for performance. In addition, good transactional leaders work with followers, first to understand what followers want and then to help make clear what followers must do to get the results the leader wants and the rewards the followers desire. Really good transactional leaders go even farther: they help followers develop the confidence they need to achieve their goals.

Transformational leadership, however, involves a strong personal identification with the leader. Followers join in a shared vision of the future, going beyond self-interest and the pursuit of personal rewards. The transformational leader influences followers to perform beyond expectations. This means first creating an awareness of the importance of achieving valued outcomes. To do this, transformational leaders work to define shared values and beliefs. This is what enables followers to get beyond their own self-interests and commit themselves to team, group, or organizational goals. Transformational leaders then help followers develop strategies for accomplishing goals. They enable followers to develop a mental picture of the vision and transform purpose into action. Research has generally confirmed Burns' ideas. It has also enabled us to examine leadership more

closely, first dividing it into the two types, transactional and transformational, and then exploring the nature of each.

Transactional or managerial leadership is, in its own way, just as important as transformational leadership. After all, if things aren't done right it probably doesn't matter whether or not they are the right things to do. The keys to effective management were partly defined by early leadership research. That is, developing supportive follower relations, providing clear task direction and coaching, and knowing when to do what, go hand in hand with fair reward policies and with concerns for getting the work done right. These are the two transactional (managerial) leadership scales measured by the ***Executive Leadership Assessment*** or "***ELA.***"

But leadership, in the sense most people mean, is in essence what Burns called *transformational.* Being an effective transformational leader calls for both specific skills and certain personal characteristics. The ***Executive Leadership Assessment*** assesses four of the most important leadership skill or behaviors, as identified by more than a decade of research. Also measured are three crucial personal characteristics, without which transformational leadership seems impossible. A final scale assesses one's ability to draw on these skills and characteristics to construct organizational cultures which one organizational psychologist, Edgar H. Schein of the Massachusetts Institute of Technology, has observed may be the *only* really important thing that leaders do! In the following sections we will examine each of the ten ***ELA*** scales in detail.

## DIMENSIONS OF THE EXECUTIVE LEADERSHIP ASSESSMENT

The ***Executive Leadership Assessment*** gives you a measure of yourself, both as a transactional and a transformational leader. It is important to recognize that these two styles of leadership are two separate and necessary dimensions, not the end points on a single leadership continuum. That is, transactional leadership and transformational leadership do not have an either/or relationship. A person might exhibit just one, the other, both, or neither. A truly effective leader will, however, typically demonstrate a high degree of both transactional and transformational leadership.

The ***Executive Leadership Assessment*** consists of 40 statements. These statements form ten separate scales, four statements for each scale, giving ten scores. The statements are not simply added up in the order presented on the questionnaire. The five statements with a "1" (1, 11, 21, 31) form one scale, the five with a "2" form a second scale (2, 12, 22, 32), and so on. Scales one and two measure transactional leadership. Scales three through six assess transformational leadership behaviors, while scales seven through ten measure the personal characteristics which are necessary for transformational leaders if they are to have a positive impact on their group or organization.

### TRANSACTIONAL LEADERSHIP

#### Scale 1: Capable Management (Items 1, 11, 21, 31)

This scale measures how well the leader accomplishes the day-to-day basic administrative or managerial tasks that are necessary for any group or organization to

function well in the short term. Capable managers make sure that people have the knowledge, skills and resources they need to get the job done right. Those they supervise know specifically what is expected of them.

- Makes sure people have the resources they need to do a good job.
- Provides information people need to effectively plan and do their work.
- Supports and encourages people to get the job done well.
- Makes sure people have clear and challenging goals.

**Scale 2: Recognition and Reward Equity (Items 2, 12, 22, 32)**

Effective managers find out what followers want. They promise followers what they want in exchange for good performance, and they deliver on their promises. This scale measures the degree to which transactional leaders make clear and explicit their goals and performance expectations, and how well they deliver on the rewards they promise for good performance and goal accomplishment.

- Rewards people fairly for their efforts.
- Recognizes good performance with rewards people value.
- Expresses appreciation when people perform well.
- Knows the rewards people value.

**TRANSFORMATIONAL LEADERSHIP BEHAVIOR**

**Scale 3: Communications Leadership (Items 3, 13, 23, 33)**

Overall, this scale assesses the ability to manage and direct the attention of others through especially clear and focused interpersonal communication. Transformational leaders listen and pay especially close attention to those with whom they are communicating. They focus on key issues and help followers to understand those issues. At the same time they pay attention to and appreciate followers' feelings. They use metaphors and analogies that make abstract ideas clear and vivid. In this way, they are able to get complicated ideas across clearly.

- Pays close attention to what others say.
- Communicates a clear sense of priorities.
- Listens for feelings as well as ideas.
- Is able to get complicated ideas across clearly.

**Scale 4: Leading With Integrity (Items 4, 14, 24, 34)**

This scale deals with a leader's perceived integrity. Is the leader reliable, keeping commitments and promises? Are the leader's words consistent with her or his actions?

Effective leaders "walk the talk;" that is, they establish trust by taking actions that are consistent both over time and with what they say. Because they demonstrate their trust in others, they are themselves trusted. Credible leaders consistently demonstrate a high level of authenticity.

- Can be relied on.
- Follows through on commitments.
- Keeps promises.
- Acts in ways consistent with her or his words.

**Scale 5: Caring Leadership (Items 5, 15, 25, 35)**

This scale measures the degree to which a leader demonstrates respect and concern for others. Transformational leaders consistently and constantly express concern for others. They respect other people's feelings, which reinforce others' high self regard. Transformational leaders also value people's differences and let people know it. Because they see how an individual's unique qualities and abilities can be used to the benefit of the group or organization, they are able to use diversity as a strategic advantage.

- Respects people's differences.
- Shows he or she cares about others.
- Shows concern for the feelings of others.
- Treats others with respect, regardless of position.

**Scale 6: Leading to Create Opportunities (Items 6, 16, 26, 36)**

Some would say that effective leadership involves a willingness to take risks. Transformational leaders, however, do not take undue risks -- they *create opportunities for their followers*. While their actions might appear to an outsider to be risky, they are actually based on careful thought, including an assessment of the ability of followers to perform and succeed. Transformational leaders empower followers by encouraging and allowing them to accept challenges. However, they don't just leave it at that-they do everything possible to ensure that followers succeed. What they *don't* do is spend a lot of time and energy worrying about failure. Of course, even effective leaders may at times experience failure. When that happens, they view the experience as a learning opportunity.

- Creates opportunities for people to succeed.
- Designs situations that permit people to achieve their goals.
- Involves others in new ideas and projects.
- Helps others learn from mistakes.

## TRANSFORMATIONAL LEADERSHIP CHARACTERISTICS

### Scale 7: Confidence Building Leadership (Items 7, 17, 27, 37)

Transformational leaders have a basic sense of self-assurance, an underlying belief that they can personally make a difference and have an impact on people, events and group achievements. Henry Ford said "If you think you can . . . or think you can't . . . you're probably *right!*" Effective leaders believe they control their own fate. This scale measures the extent to which the leader possesses and displays this sort of self-confidence, and the degree to which the leader is able to instill the same self-confidence in followers.

- Acts in ways that have an impact.
- Can see the results of her or his actions.
- Makes a difference.
- Is confident in her or his own abilities.

### Scale 8: Power Sharing Leadership (Items, 8, 18, 28, 38)

Transformational leaders don't seek power and influence because they enjoy exercising power over others. Rather, they realize it is through the positive use of power and influence that group and organizational goals are achieved. Transformational leaders use power by sharing it with followers. They empower followers to take an active role in achieving group goals and create the conditions for followers to succeed. This scale measures the degree to which the leader sees followers as empowered partners and not as subordinates to be manipulated.

- Enjoys making others obey her or his orders.*
- Expects others to obey without question.*
- Uses power and authority to benefit others.
- Shares power and authority with others.

*Reversed Scored

### Scale 9: Forward Focused Leadership (Items 9, 19, 29, 39)

This scale measures a leader's ability to define and express clearly a future for the group or organization. This vision is derived, at least in part, from followers. Groups and organizations that perform well have leaders who have the perspective needed to deal with ambiguity and complexity. Such leaders know what actions are necessary to achieve the vision. They develop plans that extend beyond the present into the long term future. They also involve followers in the planning process.

- Concentrates on short term goals at the expense of long range, strategic goals.*

- Explains long range plans and goals clearly.
- Expresses a vision that engages people.
- Has plans that extend over a period of several years or more.

  * Reversed Scored

**Scale 10: Culture Building Leadership (Items 10, 20, 30, 40)**

An effective transformational leader helps develop and support certain shared values and beliefs among group members that become the basis for how they act; that is what this scale measures. These values and beliefs reflect the important and fundamental issues faced by people in groups and organizations. The elements of culture building leadership include: managing change (especially external pressures for change); achieving goals (including how goals are defined and prioritized}; developing effective teamwork to get the job done; and, creating consensus as to the values and beliefs that are important and should guide everyone's actions.

- Encourages others to act according to the values and beliefs we share.
- Has helped our organization adapt to changing conditions.
- Helps other develop a shared sense of what is important in this organization.
- Expresses and supports a set of basic values about how we should work together to achieve shared goals.

## THE EXECUTIVE LEADERSHIP ASSESSMENT REPORT

Your ***ELA*** results consist of four pages with two types of information. The first type of information is your own self-assessment results; the second reports the average results of the observers you chose to describe your leadership style.

All of the results are shown in standard scores based on the distribution of raw scores among a very large group of people who completed the ***ELA***. "Standard" means that scores range from a minimum of 0 to a maximum of 100. The mean or average score is 50, and almost all the scores range from 25 to 75. About two-thirds of all scores fall between 40 and 60, so a score of 60 or above can be considered "high"--an area where you are likely performing well, while a score of 40 or below can be considered "low," an area that probably could be improved.

On the first page of your personal feedback report the ten scales of the ***Executive Leadership Assessment*** are presented in three groups: Transactional Leadership, Transformational Leadership Behaviors and Transformational Leadership Characteristics. The score for each scale is based on the five items that comprise that particular scale.

For the top section labeled "Self Assessment," column one, labeled "Your Score", shows the way you rated yourself with respect to the three overall measures. The next three columns present scores for all people in your group. The third column labeled "Lowest" shows the lowest self assessment score for an individual in your group. The final column

labeled "Highest" shows the highest self assessment score for any individual in your group.

In the middle section labeled "Observers' Assessment" the same pattern is followed, with respect to scores provided by observers, the people you asked to complete the ***ELA*** about you. Column one labeled "Your Score" shows the average score given to you by the observers you selected to give you feedback. The next three columns present scores for all the people in your group. Column two, labeled "Average" shows the average observer scores for people in your group. The third column labeled "Lowest" shows the lowest observer scores for any individual in your group. The final column labeled "Highest" shows the highest observer scores for any individual in your group.

At the bottom of each page is a graph. This shows you visually how your self and observers' scores compare, on the standardized scale of 0 to 100. If your scores were extremely high or low, they may not show on the graph; such scores should be given special attention. Differences of ten points or more between self and observers' scores are statistically significant.

## UNDERSTANDING YOUR RESULTS

Your scores are the result of your responses and those of your associates you asked to give you feedback about you on the ***ELA***. By carefully examining your self-assessment results in comparison with those of your associates, you will obtain valuable information about your leadership and our efforts on others, the group, and the organization.

There are almost always some differences between how a person sees him or herself and how others see that person. What's more, we all see things and people from various perspectives; not all observers agree. The observers' ratings may vary because of how long and well they know you. Some observers may be unusually harsh, while others may be unduly lenient in their ratings. And some observers may only know and observe you in a restricted setting, providing limited feedback on your leadership style. Generally, you should not be concerned unless the difference between your own and observers' scores is ten points or more. Look especially for patterns of discrepancies among the various scales and groups of scales, patterns of differences in opinion between you and your observers.

If the observers' ratings are consistently higher than your self-ratings, you may be a bit modest concerning your leadership skills and your effect on others, most people are. If, on the other hand, your observers' ratings are consistently lower than your own, you may see yourself as being a more effective leader than do others. Your self ratings may reflect an honest positive belief in yourself, but the fact that observers see you differently may be a

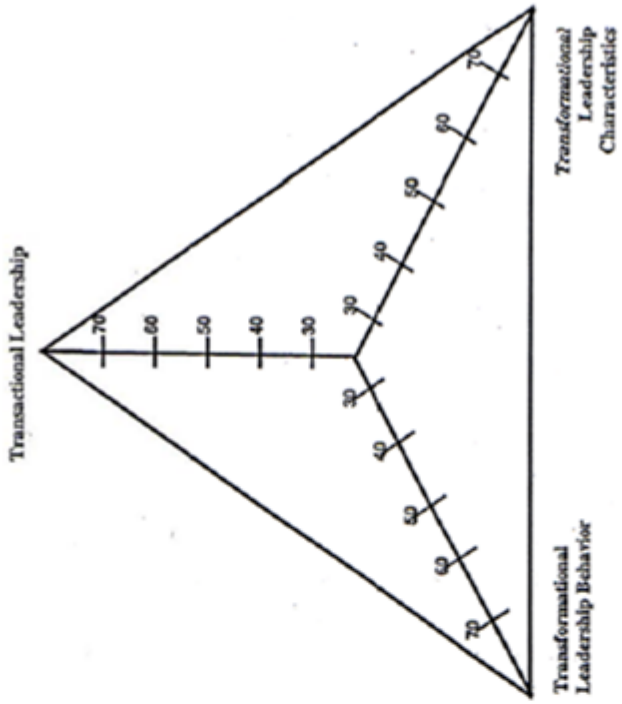
critical obstacle to your leadership effectiveness. Such differences are, however, an opportunity for learning and development.

Often, when there is a difference between one's self and others' ratings, one is tempted to try to determine which is "correct". A more constructive course of action is to determine why there is a difference and what can be done about it. For some issues, you may know

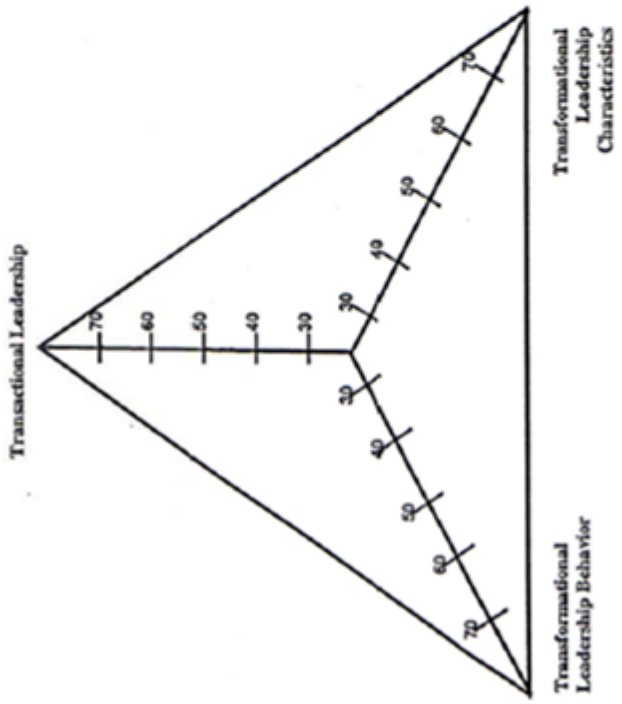
yourself better than the observers. On other issues the observers' ratings should probably be given more weight. In any case, large differences should be carefully examined, since they can identify problems that impede your effectiveness as a leader.

Use the diagrams that follow, on page 10, to enter your three Self Assessment scores in the triangle labeled "Self Assessment". Make a mark at the appropriate point on each scale and connect the three points to form a small triangle within the large one. Do the same for the three Observers scores using the triangle marked "Observers' Assessment". You can learn more about your strengths and development needs by studying the profile formed by your triangles, as illustrated and explained on pages 11 to 13.

Page 10



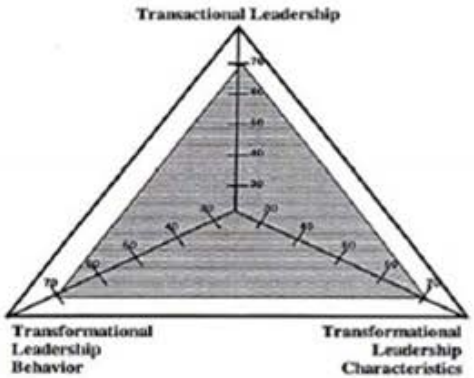

Observers' Assessment




Self-Assessment

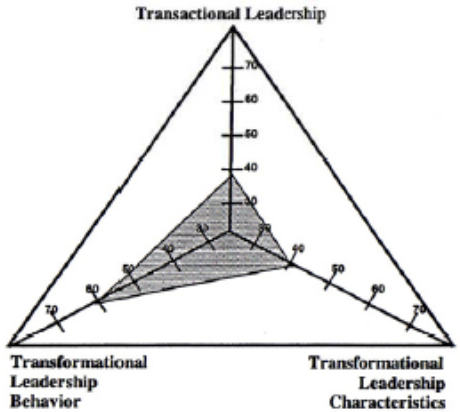
***The Underdeveloped Manager.*** With this balanced profile, no matter which direction one chooses there is a clear path to personal development. While there are no strong imbalances to overcome, one must first determine whether the job calls for management or leadership. If the answer is management, the next step is to examine one's transactional leadership skills and effectiveness, in depth, and make plans for personal development. If the position is one in which leadership is required and if the person were already developing her or his managerial skills, the first action would be to raise one's awareness of the nature of leadership, as distinct from good management. The next step is to plan for leadership development, beginning with a focus on the personal characteristics required for effective transformational leadership.

***The Aspiring Leader.*** The person with a profile that is average in each of the three areas of leadership is in an excellent position for growth and development. Like the under-developed manager, this person is not overly focused on any one area. The aspiring leader has sound (if basic) managerial capabilities and may already look toward the challenge of transformational leadership. This person may feel a degree of frustration, too, having some idea of what he or she is reaching for but not seeing a clear path to that goal. A common strategy is to try even harder as a manager; but this only creates more frustration. What is effective in a managerial role is not necessarily relevant for successful leadership. An initial action step might be to continue to build management skills while assessing one's abilities and development needs as a transformational leader.




***The Self-Actualizing Leader.*** This ideal profile is unusual; very few people have extremely high scores across the board. Such scores are strong evidence that one is currently acting as an effective leader. Research shows that individuals in responsible positions, who score quite high in all three areas, have followers who report a high level of satisfaction as well as high productivity. While individuals with this profile are effective leaders, they are not necessarily perfect. Even those who score high in each of the three areas are likely to find that their scores on one or another of the scales that make up the three areas show room for improvement.

***The Pragmatic Manager.*** This profile describes individuals who are good managers. They know the ins and outs of the organization and its politics. They know how to manage organizational circumstances to get things done right. Thus they are often considered to be model managers. Pragmatic managers know how to keep things on track and are adept at guiding followers to attain organizational goals. But, they often have neither an organizational vision nor the skills needed to empower followers to carry forward such a vision.




***The Charismatic Leader.*** This profile suggests that the person is able to engage in the specific behavior that transformational leaders use to get their vision across to followers. This individual probably does not have a clearly thought-out vision. The charismatic leader neither knows how nor is able to build organizational culture, a crucial element of transformational leadership. Thus, the person with this profile may come across quite strongly--and positively--on an interpersonal level. Nevertheless the charismatic leader is neither a good manager nor a transformational leader. In fact, charismatic leaders can often be dangerous, damaging both followers and organizations.

***The Visionary Thinker.*** A person with this profile has great ideas and may have a clear picture of how those ideas could be come in the group or organization. The visionary thinker, however, lacks the managerial and leadership skills needed to involve followers and the organization in creating and implementing the vision. This person may be convinced that the vision can actually be implemented, and may well realize the importance of empowering followers to become "owners" of the vision. The visionary thinker, however, cannot engage in the management or leadership actions required to transform a vision into reality.

*The Organizational Architect.* This profile shows an individual who has both leadership and management skills. This person, however, lacks the ability (or perhaps has not paid much attention to the need) to develop a vision. The organizational architect may also be uninterested in power and influence, failing to understand that it is only through the use of influence that people work together to accomplish goals in a group or organization. It is possible that this individual has a strong desire for personal power, for domination over others, rather than the desire to empower others to become "owners" of the vision. It is even possible that, despite having exceptional skills, this person really does not believe that he or she can have an impact on the group. While this person may operate effectively in the organization, he or she does exhibit, but is not doing transformational leadership.

*The Strategic Planner.* A person with this profile is likely to be self-confident and have a clear vision for the organization. This individual, however, may not have the interpersonal skills needed to involve followers in building the vision or to communicate the vision to others in a way that empowers and excites them to action. Because followers never become involved in owning the vision, it will always be seen as belonging to the leader. The planner's strategies may have some effect on the organization but they will never serve as the basis for organizational transformation.

*The Inspirational Idealist.* The person with this profile has a vision and the skills to communicate it to others. Inspirational idealists excite followers, who may, as individuals, become committed disciples. What the inspirational idealist lacks is an understanding of how organizations function and how to use that knowledge to manage change. The inspirational idealist may not have the management skills needed to build a vision into a group or organization's culture.

## HOW TO USE YOUR RESULTS

The *Executive Leadership Assessment* information can be used to analyze and modify your own leadership behavior, to develop further those personal characteristics associated with effective transformational leadership, and to consider how you might go about improving your transactional (managerial) leadership. The three overall ***ELA*** scores, and an examination of the specific scale scores of which they are composed, can help you develop your own leadership potential.

Few people score exceptionally high on the three overall leadership scores or on most or all of the ten scales. Nonetheless, even effective leaders can learn a great deal by acting on the information provided by the ***ELA***. High scores help identify your greatest strengths. You can use these to leverage development in areas in which you're not as effective as you'd like to be. Moreover, it really is a matter of degree, not of "having it" or "not having it." Low scores are guideposts for action, not signs of failure. Use low scores and especially discrepancies between how you see yourself and how others see you as indicators of areas where improvements can be made.

Some things are harder to change than others. Most of us find it easier to learn new skills and behaviors than to learn to accept different ways of looking at things, for example, changing our attitudes about such things as power and influence. But, again, this is a matter of degree. You do not have to become a great leader tomorrow, nor must you be at the top of every scale to be effective. Small changes and improvements can make real differences!

## INTERPRETING YOUR RESULTS

Follow the steps outlined below to help identify strengths, areas for further development, and possible actions for improvement.

**1.** On which two of the ten ELA scales did your self-assessment differ most from the observers' assessment? Which two were lower and which two were higher? (Differences of ten points or more are most meaningful.)

**Self Score Lower**

| | Scale | Self Score | Observers' Score |
|---|---|---|---|
| 1. | _____ | _____ | _____ |
| 2. | _____ | _____ | _____ |

**Self Score Higher**

| | Scale | Self Score | Observers' Score |
|---|---|---|---|
| 1. | _____ | _____ | _____ |
| 2. | _____ | _____ | _____ |

What do you think might explain these differences? Use the space below to make some notes.

2. Which two scales show the highest observer score?

| | Scale | Observers' Score | Self Score |
|---|---|---|---|
| 1. | _____ | _____ | _____ |
| 2. | _____ | _____ | _____ |

Did you expect this? Use the space below to make some notes about your thoughts.

3. Which two scales show the lowest observer score?

| | Scale | Self Score | Observers' Score |
|---|---|---|---|
| 1. | _____ | _____ | _____ |
| 2. | _____ | _____ | _____ |

Did you expect this? Use the space below to make notes about your thoughts.

4. Follow-up actions:

   1. What could you do to reduce discrepancies between your self-scores and observers' reports?

2. What are you doing that results in the highest scores (as seen by yourself and as seen by observers)? What can you do to reinforce this? What might you do to enhance and capitalize on these strengths?

3. What are you doing that results in the lowest scores (as seen by yourself and as seen by observers)? What could you do to change this? What could you be doing differently? What projects might you undertake to begin to improve these scores?

## SOME SUGGESTIONS FOR REFLECTION

The following suggestions may prove helpful, for your personal consideration or for group discussion:

- Do you think that popular public, transformational leaders exhibit the behaviors, characteristics, or strategic actions measured by the ***ELA***? Can you identify specific individuals?
- Select several scales on which your scores were relatively high and represent agreement between yourself and your observers. These scores represent areas of strength or assets, behavior and characteristics that have a positive effect on others. Try to determine how you can integrate these positive perceptions into your self-concept. You should also consider how you might expand the impact of your talents. Identify new projects, situations or areas of endeavor where your strengths will likely lead to success.
- Consider several scales on which your scores were relatively low and choose one or two that are important to you. Next try to determine specifically what you are doing or not doing in your leadership role that caused these scores. Identifying the causes may be difficult. You must be honest with yourself and may also need to solicit additional feedback from your observers. Finally, determine what specific actions you must take to improve your effectiveness in the areas you identified. It may be just a matter of changing your emphasis or focus or it may involve exhibiting different behavior, developing a different personal characteristic or taking different strategic actions.
- Identify and observe a "role model," someone who effectively demonstrates strength in areas where your scores were low. Determine what it is this person does, how he or she actually behaves, to display these leadership strengths. Then practice these actions. Ask others for feedback and use that information to further develop in these areas.
- Consider "partnering" with someone who has strength in an area where you are weak but who lacks some of the strengths you possess. You can then act as a coach to one another.

## A FINAL NOTE

We hope you will use the ***Executive Leadership Assessment*** to become both a more informed student of leadership and a more effective leader. Improving and developing your leadership skills can give you a sense of personal fulfillment; it can also help you create a better world. We wish you well in your efforts to make a positive difference.

## SUGGESTED READING

Bennis, W.G. *On Becoming a Leader.* New York: Perseus Books, 2003.

Burns, J.McG. *Leadership.* New York: Harper & Row, 1978.

Burns, J.McG. *Transforming Leadership.* New York: Atlantic Monthly Press, 2003.

Collins, J. *Good to Great.* New York: HarperCollins, 2002.

Collins, J. *Good to Great and the Social Sectors.* Boulder, CO: Collins, 2005.

DePree, M. *Leadership Is an Art.* New York: Doubleday, 1989.

Hesselbein, F., and Cohen, P.M. *Leader to Leader.* San Francisco: Jossey-Bass, 1999.

Hook, J.R. *Leading At the Top.* eBook.com, 2006.

Hughes, R.C., Ginnett R.C. and Curphy, G.J. *Leadership: Enhancing the Lessons of Experience, (5th ed.)* Homewood, IL: Irwin, 2005.

Kouzes, J.M. and Posner, B.Z. *The Leadership Challenge (3rd ed.).* San Francisco: Jossey-Bass, 2002.

Rosenbach, W.E. and Taylor, R.L. *Contemporary Issues in Leadership, (6th ed.)* Boulder, CO: Westview Press, 2006.

Sashkin, M., and Sashkin, M.G. *Leadership That Matters.* San Francisco: Berrett-Koehler, 2003.

Schein, E.H. *Organization Culture and Leadership.* San Francisco: Jossey-Bass, 2004.

Taylor, R.L., and Rosenbach, W.E. *Military Leadership: In Pursuit of Excellence, (5th ed.)* Boulder, CO: Westview Press, 2004.

## ABOUT THE AUTHOR

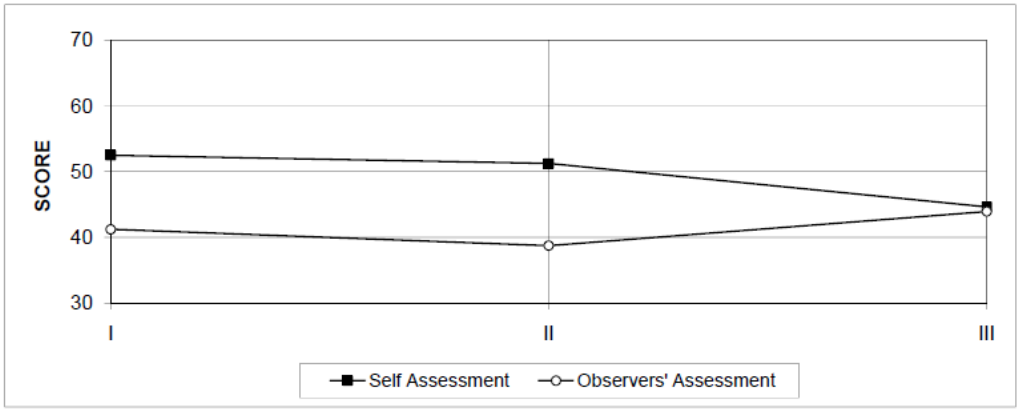
**William E. Rosenbach** is Evans Professor of Eisenhower Leadership Studies and professor of management at Gettysburg College. He received his Ph.D. from the University of Colorado-Boulder in 1977 in Business Administration (Organizational Behavior). Dr. Rosenbach served as the founding Chairperson of the Department of Management, Gettysburg College from 1984-1991 and 2000-2001. He was Professor and Head, Department of Behavioral Sciences and Leadership, U.S. Air Force Academy from 1982-1984 and member of the faculty there from 1972-1984. Dr. Rosenbach's research focuses on leader and follower behavior, effectiveness of leadership development programs, and the relationship of transformational leadership to organizational culture. He is a founding partner of *The Gettysburg Leadership Experience*, a unique executive leadership development program in historic Gettysburg, Pennsylvania. He is co-author of ***Contemporary Issues in Leadership*** (6th edition); ***Leadership: Challenges For Today's Managers***; and ***Military Leadership: In Pursuit of Excellence*** (5th edition) which has been translated into Chinese and Hindi. He has also published more than fifty publications in scientific and professional journals and books. Bill serves as a consultant to business, government, and not-for-profit organizations in North America, Europe, Australia, and New Zealand on a variety of leadership development issues. He has been involved with leadership development activities in fire service organizations for more than 20 years.

## APPENDIX I: *EXECUTIVE LEADERSHIP ASSESSMENT* SAMPLE REPORT

# EXECUTIVE LEADERSHIP ASSESSMENT (ELA)
## Prepared for:
## STUDENT NAME

Number of Observers: 8

| | | YOUR SCORE | **********GROUP SCORES********** AVERAGE | LOWEST | HIGHEST |
|---|---|---|---|---|---|
| SELF ASSESSMENT | | | | | |
| I. | TRANSACTIONAL LEADERSHIP LEADERSHIP | 52.49 | 48.39 | 35.22 | 62.08 |
| II. | TRANSFORMATION LEADERSHIP BEHAVIORS | 51.23 | 47.70 | 34.24 | 60.23 |
| III. | TRANSFORMATIONAL LEADERSHIP CHARACTERISTICS | 44.64 | 45.62 | 33.31 | 61.65 |
| OBSERVERS' ASSESSMENT | | | | | |
| I. | TRANSACTIONAL LEADERSHIP LEADERSHIP | 41.22 | 47.64 | 22.94 | 58.88 |
| II. | TRANSFORMATION LEADERSHIP BEHAVIORS | 38.74 | 46.05 | 15.65 | 57.03 |
| III. | TRANSFORMATIONAL LEADERSHIP CHARACTERISTICS | 43.94 | 47.62 | 25.97 | 62.05 |

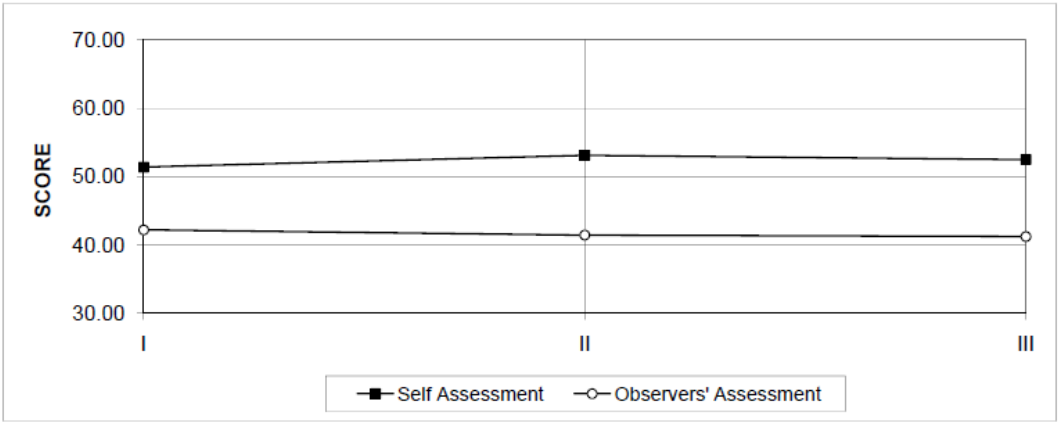



Page 1

# EXECUTIVE LEADERSHIP ASSESSMENT (ELA)
## Prepared for:
## STUDENT NAME

Number of Observers: 8

| | | YOUR SCORE | **********GROUP SCORES********** AVERAGE | LOWEST | HIGHEST |
|---|---|---|---|---|---|
| **TRANSACTIONAL LEADERSHIP SELF ASSESSMENT** | | | | | |
| I. | Competent Management | 51.39 | 47.37 | 35.92 | 59.13 |
| II. | Recognition and Reward Equity | 53.13 | 49.40 | 33.08 | 63.15 |
| **III.** | **Overall** | **52.49** | **48.39** | **35.22** | **62.08** |
| **TRANSACTIONAL LEADERSHIP OBSERVERS' ASSESSMENT** | | | | | |
| I. | Competent Management | 42.20 | 47.29 | 24.31 | 58.36 |
| II. | Recognition and Reward Equity | 41.43 | 48.25 | 25.07 | 60.92 |
| **III.** | **Overall** | **41.22** | **47.64** | **22.94** | **58.88** |

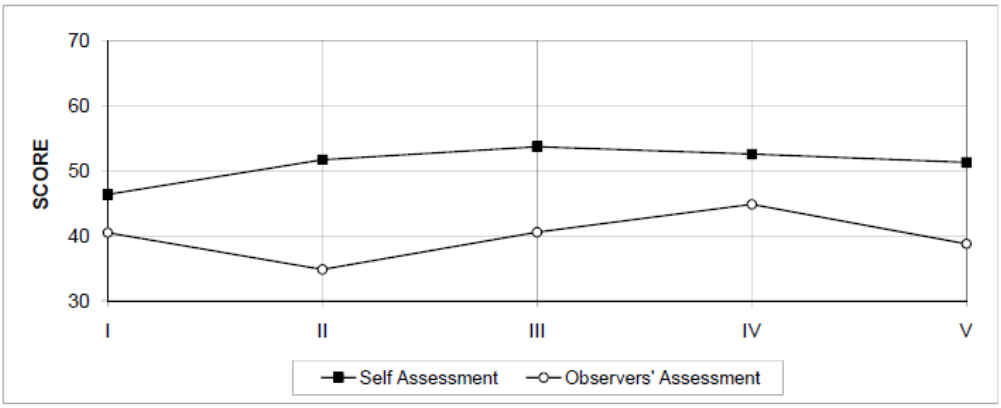



Page 2

# EXECUTIVE LEADERSHIP ASSESSMENT (ELA)
## Prepared for
## STUDENT NAME

Number of Observers: 8

| | | YOUR SCORE | **********GROUP SCORES********** AVERAGE | LOWEST | HIGHEST |
|---|---|---|---|---|---|
| **TRANSFORMATIONAL LEADERSHIP BEHAVIORS - SELF ASSESSMENT** | | | | | |
| I. | Communications Leadership | 46.31 | 45.90 | 28.32 | 57.11 |
| II. | Leading with Integrity | 51.66 | 47.97 | 30.35 | 62.31 |
| III. | Caring Leadership | 53.63 | 49.59 | 37.23 | 63.47 |
| IV. | Leading to Create Opportunities | 52.51 | 48.32 | 37.98 | 63.40 |
| **V.** | **Overall** | **51.23** | **47.70** | **34.24** | **60.23** |
| **TRANSFORMATIONAL LEADERSHIP BEHAVIORS - OBSERVERS' ASSESSMENT** | | | | | |
| I. | Communications Leadership | 40.46 | 46.66 | 19.68 | 56.66 |
| II. | Leading with Integrity | 34.79 | 46.68 | 25.62 | 58.05 |
| III. | Caring Leadership | 40.51 | 46.20 | 13.61 | 59.37 |
| IV. | Leading to Create Opportunities | 44.79 | 46.58 | 19.83 | 59.77 |
| **V.** | **Overall** | **38.74** | **46.05** | **15.65** | **57.03** |

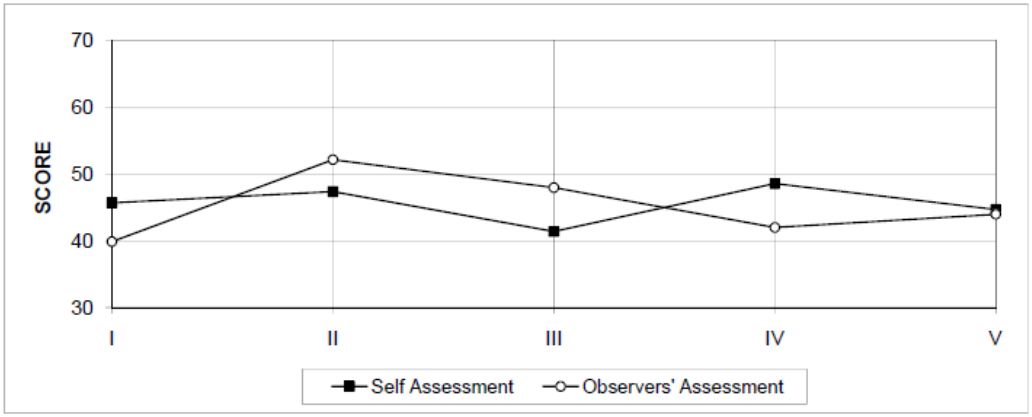



Page 3

# EXECUTIVE LEADERSHIP ASSESSMENT (ELA)
## Prepared for
## STUDENT NAME

Number of Observers: 8

| | | YOUR SCORE | **********GROUP SCORES********** AVERAGE | LOWEST | HIGHEST |
|---|---|---|---|---|---|
| **TRANSFORMATIONAL LEADERSHIP CHARACTERISTICS - SELF ASSESSMENT** | | | | | |
| I. | Confidence Building Leadership | 45.64 | 45.19 | 22.46 | 64.96 |
| II. | Power Building Leadership | 47.32 | 46.44 | 32.00 | 62.64 |
| III. | Forward Focused Leadership | 41.37 | 46.33 | 33.31 | 57.50 |
| IV. | Culture Building Leadership | 48.53 | 48.81 | 37.92 | 66.21 |
| **V.** | **Overall** | **44.64** | **45.62** | **33.31** | **61.65** |
| **TRANSFORMATIONAL LEADERSHIP CHARACTERISTICS- OBSERVERS' ASSESSMENT** | | | | | |
| I. | Confidence Building Leadership | 39.84 | 46.11 | 21.49 | 61.09 |
| II. | Power Building Leadership | 52.10 | 50.75 | 40.75 | 59.17 |
| III. | Forward Focused Leadership | 47.92 | 47.57 | 31.80 | 65.56 |
| IV. | Culture Building Leadership | 41.96 | 47.45 | 21.66 | 61.26 |
| **V.** | **Overall** | **43.94** | **47.62** | **25.97** | **62.05** |



## APPENDIX II: *EXECUTIVE LEADERSHIP ASSESSMENT* QUESTIONNAIRE

## EXECUTIVE LEADERSHIP ASSESSMENT

**THIS PERSON……**

1. makes sure people have the resources they need to do a good job.
2. rewards people fairly for their efforts.
3. pays close attention to what others say.
4. can be relied on.
5. respects people's differences.
6. creates opportunities for people to succeed.
7. acts in ways that have an impact.
8. enjoys making others obey her or his orders.
9. concentrates on short term goals at the expense of long range, strategic goals.
10. encourages others to act according to the beliefs and values we share.
11. provides information people need to effectively plan and do their work.
12. recognizes good performance with rewards people value.
13. communicates a clear sense of priorities.
14. follows through on commitments.
15. shows he or she cares about others.
16. designs situations that permit people to achieve their goals.
17. can see the results of her or his actions.
18. expects others to obey without question.
19. explains long range plans and goals clearly.
20. helps our organization adapt to changing conditions.
21. supports and encourages people to get the job done well.
22. express appreciation when people perform well.
23. listens for feelings as well as ideas.
24. keeps promises.
25. shows concern for the feelings of others.
26. involves others in new ideas and projects.
27. makes a difference.
28. uses power and authority to benefit others.
29. expresses a vision that engages people.
30. helps others develop a shared sense of what is important in this organization.
31. makes sure people have clear and challenging goals.
32. knows the rewards people value.
33. is able to get complicated ideas across clearly.
34. acts in ways consistent with her or his words.
35. treats others with respect, regardless of position.
36. helps others learn from mistakes.
37. is confident in her or his own abilities.
38. shares power and authority with others.
39. has plans that extend over a period of several years or longer
40. expresses and supports a set of basic values about how we should work together to achieve shared goals.

# *UNIT 6: DECISION-MAKING*

*"Providing thoughtful, accurate interpretations that get at the essence of the complex reality you observe in your organization is enormously helpful to people."*

*"Often the default interpretations people use to explain problematic realities conveniently serve to shield them from the need for them to change." ─ Heifetz, Grashow and Linsky*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*6.1 Given the video "The Missiles of October," examine techniques used by an authority figure to mobilize others to address an adaptive challenge that has broad, systemic implications.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*6.1 Examine the Vroom-Jago model of decision-making and use it to assess decision-making approaches applied in addressing an adaptive challenge.*

*6.2 Given a case study, examine the decisions made and evaluate historical decision-making processes in the context of mobilizing for adaptive change within one's community or organization.*

This page intentionally left blank.

# UNIT 6:
# DECISION-MAKING

Slide 6-1

## ENABLING OBJECTIVES

- Examine the Vroom-Jago model of decision-making and use it to assess decision-making approaches applied in addressing an adaptive challenge.
- Given a case study, examine the decisions made and evaluate historical decision-making processes in the context of mobilizing for adaptive change within one's community or organization.

Slide 6-2

This page intentionally left blank.

# ACTIVITY 6.1

## Mobilizing Others

### Purpose

Identify how others were mobilized to engage during the Cuban Missile Crisis.

### Directions

1. You will view the 150-minute video “The Missiles of October.”
2. You will work in small groups.
3. Discuss the questions assigned to your group, and prepare answers for a general discussion.
4. Present your group’s responses to the assigned questions.

This page intentionally left blank.

## ACTIVITY 6.1 (cont'd)

### Study Guide Questions

1. President Kennedy selected an executive committee to assist him in addressing the Cuban Missile Crisis. How would you describe the degree of diversity that existed among the members of the executive committee? In your opinion, would the degree of diversity be different today? Explain your answer. (7:58)

2. Premier Khrushchev relates a story about a farmer bringing a "cow into the farmhouse." Is there an ideological comparison between Khrushchev's story and the concept of disequilibrium as defined by Heifetz, Grashow and Linsky? Explain your answer. (15:20)

3. Based on a recommendation from the attorney general, President Kennedy allowed the executive committee to meet informally, and the president purposefully distanced himself from the committee's deliberations. Based on "The Practice of Adaptive Leadership" (Heifetz et al., 2009), how might the authors define the advantages and disadvantages of President Kennedy's decision to remove himself from the inner workings of the committee? (16:02)

4. President Kennedy requests that the members of the executive committee vocalize their vote (i.e., blockade versus airstrike). What reason did President Kennedy give to justify his decision to have an open vote? (49:51)

5. What was the context and impact of the meetings between John Scali (ABC News reporter) and Aleksandr Fomin (alias of spy Alexander Feklisov)? As a leader in the fire service, what is your opinion in regards to using unorthodox communication methods to test the suitability of an idea? (1:57:36)

6. What was the final resolution offered by Premier Khrushchev and accepted by President Kennedy? (2:29:40)

7. From the perspective of President Kennedy, were the nuclear weapons placed in Cuba in October 1962 an adaptive challenge or a technical problem? Explain your answer.

8. In "The Practice of Adaptive Leadership," the authors write about the need to "protect and engage the voices of dissent" (p. 145). Provide an example from the movie where President Kennedy openly demonstrated appreciation toward a member of the executive committee for expressing a contrary point of view.

9. In your opinion, were the military advisors stubbornly hawkish (supporters of war) to the point that President Kennedy marginalized their input? Explain your answer.

10. Heifetz, Grashow and Linsky offer the following: “Leadership begins … with the diagnostic work of separating a problem’s technical elements from its adaptive elements” (2009, p. 70). Provide an example from the movie where the diagnostic work of an adaptive challenge was demonstrated.

# I. MODEL FOR DECISION-MAKING

A. The Vroom-Jago dcision-making model.

The authority figure's role in decision-making is "… controlling the processes by which decisions are made in that part of the organization for which he or she is responsible." — Victor H. Vroom

Slide 6-5

B. Definition: The authority figure's role in decision-making is "… controlling the processes by which decisions are made in that part of the organization for which he or she is responsible" (Vroom, V.H. in Wren, J.T., 1995, p. 417).

Authority figures control decision-making processes by determining the amount and type of opportunities afforded to subordinates to participate in the decision.

Slide 6-6

C. How do authority figures control decision-making processes?

By determining the amount and type of opportunities afforded to subordinates to participate in the decision.

IN DETERMINING AMOUNT AND TYPE OF SUBORDINATE PARTICIPATION, WHAT OUTCOMES MUST THE AUTHORITY FIGURE CONSIDER?

- The quality of the decision.
- The acceptance or commitment of subordinates to execute the decision effectively.
- The amount of time required to make the decision.

Slide 6-7

D. In determining amount and type of subordinate participation, what outcomes must the authority figure consider?

1. The quality of the decision.

2. The acceptance or commitment of subordinates to execute the decision effectively.

3. The amount of time required to make the decision.

FIVE DECISION STYLES

- AI (Autocratic) — You decide alone.
- AII (Autocratic) — You seek information and then decide alone.
- CI (Consultative) — You consult with individuals and then decide alone.

Slide 6-8

E. Vroom and Jago have described five different decision processes.

1. AI (Autocratic) — You decide alone.

2. AII (Autocratic) — You seek information and then decide alone.

3. CI (Consultative) — You consult with individuals and then decide alone.

## FIVE DECISION STYLES (cont'd)

- CII (Consultative) — You consult with your entire group and then decide alone.
- GII (Collaborative) — You share the problem with your group and you all mutually decide what to do.

Slide 6-9

4. CII (Consultative) — You consult with your entire group and then decide alone.

5. GII (Collaborative) — You share the problem with your group and you all mutually decide what to do.

F. They have also prescribed a series of diagnostic questions to assist authority figures in determining the most appropriate decision style in various situations.

1. Quality Requirement (QR): How important is the technical quality of the decision?

2. Commitment Required (CR): How important is subordinate commitment to the decision?

3. Leader's Information (LI): Do you (the leader) have sufficient information to make a high-quality decision on your own?

4. Problem Structure (ST): Is the problem well-structured?

5. Commitment Probability (CP): If you were to make the decision by yourself, are you reasonably certain that your subordinates would be committed to the decision?

6. Goal Congruence (GC): Do subordinates share the organizational goals to be attained in solving the problem?

7. Subordinate Conflict (CO): Is conflict among subordinates over preferred solutions likely?

8. Subordinate Information (SI): Do subordinates have sufficient information to make a high-quality decision?

G. These rules form the basis for the feasible set of decision styles for given situations (Vroom, 1988, p. 61).

1. Information rule: Quality is important, and the authority figure doesn't have the expertise or information to solve the problem in isolation. (AI is eliminated.)

2. Trust rule: Quality is important; subordinates can't be trusted to solve the problem based on organizational goals. (GII is eliminated.)

3. Unstructured rule: The authority figure doesn't possess sufficient information and expertise. The problem is unstructured, and the authority figure doesn't know what information to get. Informed subordinates will increase decision quality. (AI, AII and CI are eliminated.)

4. Acceptance rule: Decision acceptance by subordinates is critical for effective implementation, and decision by authority figure may not be accepted. (AI and AII are eliminated.)

5. Conflict rule: Decision acceptance is critical, but an autocratic decision may not be accepted and subordinates are likely to disagree about the appropriate solution. (AI, AII and CI are eliminated.)

6. Fairness rule: Decision quality is unimportant, and acceptance is critical and not certain to be produced via an autocratic decision. (AI, AII, CI and CII are eliminated.)

7. Acceptance priority rule: Acceptance is critical and not certain to be produced via an autocratic decision, but subordinates are trusted. (AI, AII, CI, and CII are eliminated.)

8. The questions can also be integrated into a flowchart for easy selection of the most appropriate style.

H. Summary.

1. The Vroom-Jago model provides a useful decision-making tool for determining when to involve followers and other stakeholders in the decision-making process and at what level.

2. When it is appropriate to use group decision-making (Style GII), you need to be aware of certain potential pitfalls.

# ACTIVITY 6.2

## Decision Styles

### Purpose

Determine appropriate decision styles.

### Directions

1. Silently and individually read each of the four scenarios.

2. For each scenario, select the decision style that you believe would be most appropriate and write the style number below your assigned scenario in the space provided. Use the decision tree provided on the last activity page and answer the diagnostic questions within this decision tree as they would apply to your scenario in order to arrive at the suggested decision style.

3. When you have read each scenario, mark the easel pad set up by the instructor with your responses.

4. On the following page are five styles that you, acting as an authority figure, might use in reaching a decision. They differ only in the amount of participation that you allow your followers and thus the degree to which they can influence the final decision. The term "followers" refers to those workers who report directly to you.

5. Note that with each style, you take full responsibility. In **no case** do you give up either the authority or the responsibility for the final decision.

6. Be prepared to identify the technical and adaptive components, if any, of each scenario.

This page intentionally left blank.

## ACTIVITY 6.2 (cont'd)

### Authority Figure Style Descriptions

AI — You decide alone. You make the decision without discussing the situation with anyone. You rely entirely on personal knowledge or on information that is available in written documents.

AII — You seek information and then decide alone. You seek additional information from one or more of your subordinates to arrive at a decision. You may or may not describe the problem to them, but you solicit information only, not solutions or suggestions.

CI — You consult with individuals and then decide alone. Here, you share the problem with selected subordinates individually. You gather information from them and seek their advice about possible solutions to the problem. Still, you make the decision.

CII — You consult with your entire group and then decide alone. Using this style, you meet with your subordinates in a group and discuss the possible alternatives, essentially using them as consultants. You may use their feelings and opinions as additional input, but you retain the final decision-making power.

GII — You share the problem with your group and you all mutually decide what to do. Here, you give your subordinates full participation in the decision-making process. You may define the problem for them, provide relevant information, and participate in the discussion as any other member, but you do not use your position as an authority figure to influence them. The group is the decision-maker, and you accept not only the group's decision, but also the responsibility for it. Your description to others will be "We decided to …" not "The group decided to ..." or "I decided to ..."

This page intentionally left blank.

## ACTIVITY 6.2 (cont'd)

### Scenario 1

Setting: Fire Garage

Your position: Garage Foreman

The Department of Solid Waste, which has heavy equipment similar to yours, has been caught short-handed, and your supervisor has requested that you send one of your four mechanics to help out for two or three days to meet this emergency.

The work is relatively routine, and it only requires skills that your group already has. Any of your mechanics can be chosen because he or she will merely be working in a different section of the city and will not be doing any more or less work than he or she is doing already.

You know your people well and can easily select one who can do the job. Your own garage's workload can allow one mechanic to be gone for two or three days without any real effect.

Suggested decision style: _____

This page intentionally left blank.

## ACTIVITY 6.2 (cont'd)

### Scenario 2

Setting: Fire Department District Comprising Eight Stations

Your position: "A" Shift Battalion Chief in Charge of District

You supervise and manage eight stations with three pieces of apparatus each (truck, engine and rescue) and an average staffing of five members per apparatus. Each crew rotates periodically to the different pieces of apparatus. Their work involves independent judgment in a substantial number of incidents, and you cannot directly supervise the crews all the time.

Recently, new protocols for advanced life support (ALS) procedures were developed and implemented. One crew, which has been highly cohesive and together for several years, has experienced difficulty with the new protocols and begun complaining.

Your medical adviser has suggested alternative methods of solving the problem with the crew, and you feel compelled to take some corrective action before the crew's morale suffers and patient care deteriorates. Unfortunately, this crew would prefer to revert to the old protocols because it would be simpler and the easy way out.

Because all of the district personnel assigned to your shift have experience with both the old and the new protocols, any of them could give you the assistance you need to implement a solution.

Suggested decision style: _____

This page intentionally left blank.

## ACTIVITY 6.2 (cont'd)

### Scenario 3

Setting: Large Fire Department

Your position: Deputy Chief, Fire Department

You are the deputy chief in charge of a group of highly skilled Chief Fire Officers (CFOs). Each of the six members of your team drives a small command vehicle to and from his or her respective assignments. The makeup of your team has been relatively stable over the years, and even though the amount of seniority varies, you feel certain that every individual plans to make a career with the department. The jobs pay well, and the work is interesting and challenging.

Each CFO is assigned a territory in which he or she is responsible for all fire protection and prevention. The various assignments cover both rural and urban areas, and some CFOs must drive longer distances than others to reach their territories.

Those who have urban assignments must do a lot of stop-and-go driving, which is hard on their vehicles. You know the year and model of each command vehicle, and you know each territory. The CFOs are responsible for the maintenance and care of their vehicles.

From time to time, the motor pool supplies you with a new vehicle that you, in turn, assign to one of your CFOs. This is always a difficult job for you, and frequently your chiefs voice their dissatisfaction with the choice you make. You are not sure if there is an equitable way of deciding who gets the new command vehicle, but you must decide who will receive the new one now sitting in the chief's office parking lot. Obviously, each of the CFOs would like to have a new vehicle, but you are not sure who needs it or deserves it the most.

Suggested decision style: _____

This page intentionally left blank.

## ACTIVITY 6.2 (cont'd)

### Scenario 4

Setting: City Fire Department

Your position: Public Education Coordinator

During your 10 years as a public education coordinator for the department, you have earned the respect and admiration of both department management and the public education specialists. (There is one specialist assigned to each of the department's eight stations.) They have come to enthusiastically rely on your judgment and professional expertise in the public education area.

Now, for the first time, outside funds are available for establishing a citywide "Learn Not To Burn™" program, which will use existing public education specialists to implement the program.

You have studied a large number of similar programs operating successfully in other fire departments around the country. You have identified six approaches that would best suit your department's and your community's needs. Determining which of these six approaches is best depends on technical information, such as the socioeconomic makeup of specific schools located in the service area of each station, and the special fire risks in each service area.

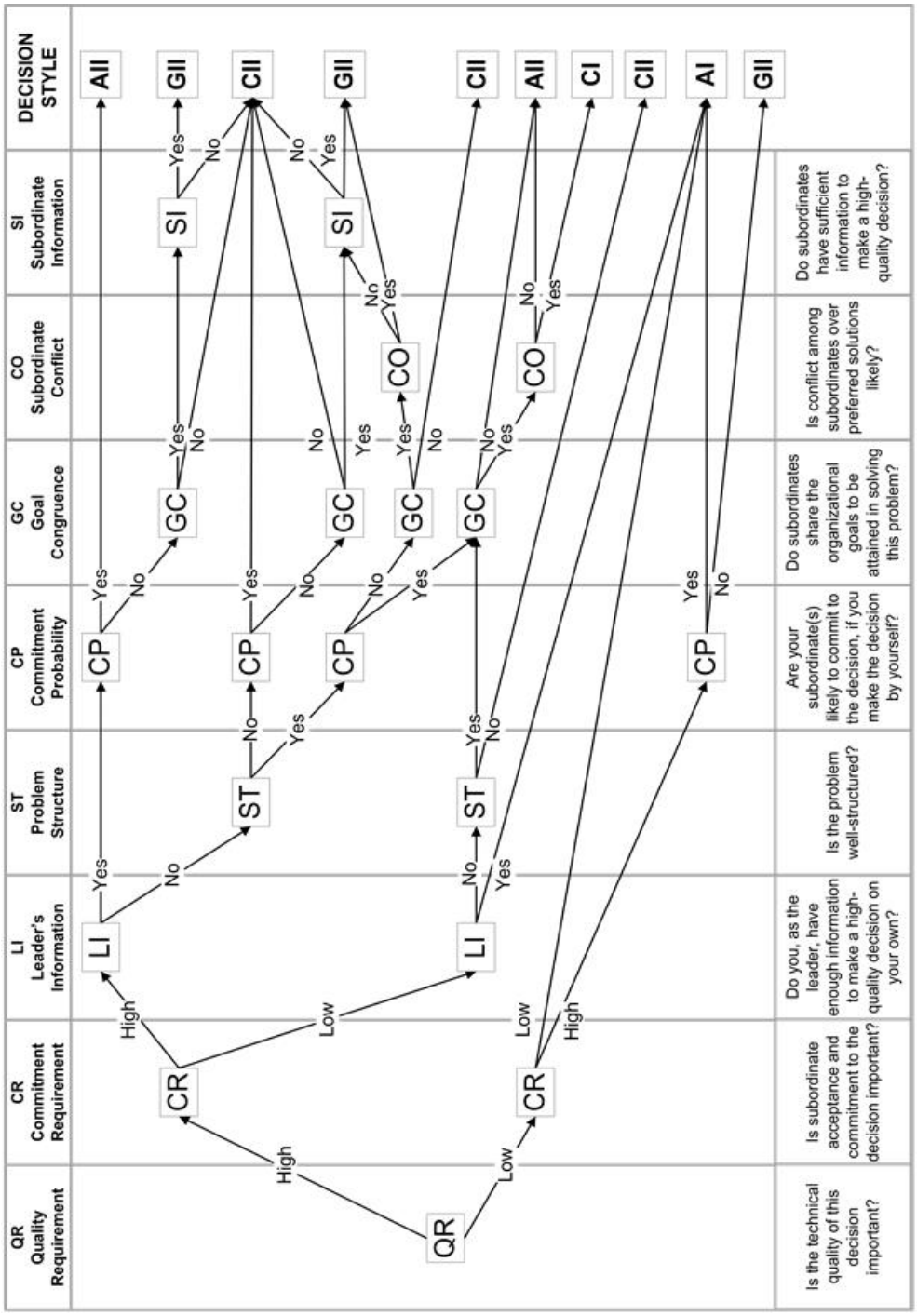
Knowing that the success of the program will depend on the hard work and support of the eight public education specialists who report to you, you now face the choice of which approach to select in implementing the program.

Suggested decision style: _____

This page intentionally left blank.

## ACTIVITY 6.2 (cont'd)

## Decision Tree




Time-Driven Decision Tree—Group Problems. Adapted from Vroom, V.H. & Jago, A. G. (1988). *The New Leadership: Managing Participation in Organizations.* Englewood Cliffs, NJ: Prentice Hall.

This page intentionally left blank.

## II. GROUP DECISION-MAKING

A. Recall that the Vroom-Jago decision-making model defines "group decision-making" as "GII (Collaborative) — You share the problem with your group and you all mutually decide what to do."

B. While there are times when it is appropriate to use group decision-making (Style GII), you need to be aware of certain potential pitfalls.

C. Definition of groupthink: a pattern of thought characterized by self-deception, forced manufacture of consent, and conformity to group values and ethics (Merriam-Webster.)

D. Correcting mistakes.

1. The Bay of Pigs fiasco is a classic example of a situation in which the groupthink phenomenon produced a clearly defective decision.

2. In contrast, the decision-making process during the Cuban Missile Crisis is an equally classic example of highly effective group decision-making in which the groupthink syndrome was never allowed to develop.

3. There are many similarities between the two crisis situations:

   a. Same authority figure (President Kennedy).

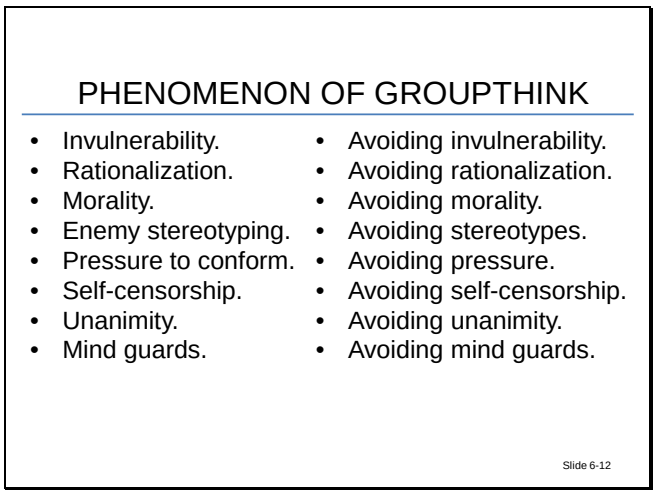
   b. Most of the same key players.

   c. Outcomes of both had potential catastrophic results for the entire world.

   d. U.S. image and credibility were at stake.

   e. Tremendous pressure.

4. Yet the outcome of each crisis was dramatically different — a total fiasco versus a critical success.




E. Phenomenon of groupthink.

1. Invulnerability.

   a. The Kennedy in-group had enormous confidence in President Kennedy's ability and luck.

   b. Group euphoria.

   c. Optimistic belief that the group could pull off the invasion even though it was a long-shot gamble.

2. Avoiding an illusion of invulnerability.

   a. Acknowledgment of grave dangers even **after** arriving at a final decision.

   b. Admission of fear, insecurity and frustration.

   c. Analysis of multiple alternatives.

   d. Development of explicit contingency plans for potential failures.

   e. International and national lobbying (United Nations (U.N.), Organization of American States (OAS), de Gaulle, congressional leaders, etc.).

3. Rationalization.

   a. Group totally ignored any warnings of proffered information that the attack was a potential disaster.

b. Group also ignored the obvious disparity in size between Castro's military forces (200,000) and the 1,400 exiles.

4. Avoiding rationalization.

a. Open acceptance/discussion of warnings from outside experts.

b. Consideration of views of lower-level advisers.

5. Morality.

a. The overriding theme of the Kennedy in-group was: "We are a strong group of good guys who will win in the end."

b. Group had the overly optimistic assumption that the "good guy" image of the United States would convince the world to believe the CIA cover story.

6. Avoiding an illusion of morality.

a. Explicit discussions of moral issues.

b. Intense awareness of U.S. "ethical" image and a desire to preserve it.

7. Stereotyping the enemy.

a. Group believed that the Cuban air force was so ineffectual that it could be totally knocked out prior to the invasion.

b. Group believed that Castro's army was so weak that the small exile brigade could establish a strong beachhead.

c. Group totally underestimated the enemy.

8. Avoiding enemy stereotypes.

a. Flexible, open-ended analysis of Soviet motives and intentions.

b. Resistance to actions that would humiliate the Soviets.

c. Insistence on allowing the Soviets a "graceful way out."

9. Pressure to conform.

a. President Kennedy allowed the CIA representatives to dominate every meeting.

b. President Kennedy did not allow Schlesinger to vote at the final meeting because he had expressed concern privately.

10. Avoiding pressure to conform.

a. Suspension of rules of protocol (no agendas, free discussions).

b. President Kennedy did not attend most meetings.

c. Individuals voiced dissent in the whole group, as well as in private meetings with President Kennedy.

d. President Kennedy's skepticism and disregard for traditional military answers.

11. Self-censorship.

12. Avoiding self-censorship.

a. Strong disagreement among members.

b. Vigorous arguments.

13. Unanimity.

a. "Our meetings took place in a curious atmosphere of assumed consensus" (Schlesinger).

b. In actuality, the three principals (President Kennedy, Dean Rusk and Robert McNamara) had widely differing assumptions about the invasion plan.

14. Avoiding an illusion of unanimity.

Multiple and frequent reversals of positions.

15. Mind guards.

a. Robert Kennedy served in this role and rebuked Schlesinger for not supporting President Kennedy when he needed him.

b. Rusk failed to transmit warnings to the group from the Undersecretary of State Chester Bowles, U.S. Information Agency (USIA) Director Edward R. Murrow, and his Intelligence Chief Roger Helsman.

16. Avoiding mind guards.

    a. Each member participated as a generalist.

    b. Robert Kennedy and Sorenson served as intellectual watchdogs and devil's advocates.

F. Decision-making defects caused by groupthink.

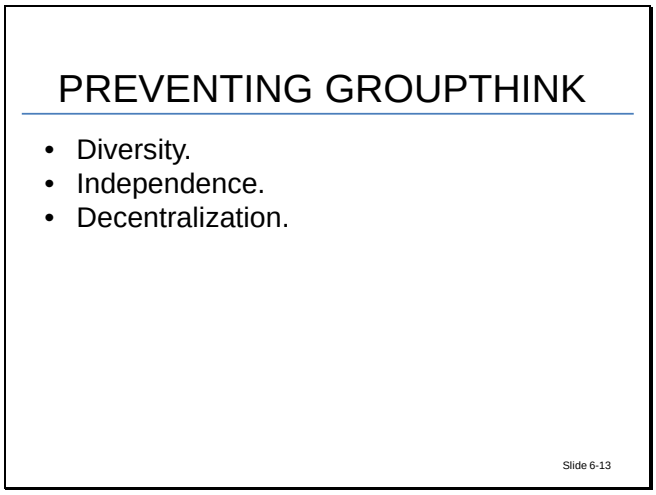
1. Limited discussion of alternatives.

2. One and only one proposed solution was not re-evaluated for possible drawbacks and risks. Originally discarded alternatives were not made known, and thus, they were not re-evaluated.

3. Limited or no use of outside experts.

4. Group uses information that supports its decision and ignores evidence counter to its decision.

5. No development of contingency plans for possible failures and/or setbacks.




G. Preventing groupthink.

1. Better group decisions emerge when these factors are ensured:

    a. Diversity.

    b. Independence.

    c. Decentralization.

2. Each group member should assume the role of critical evaluator.

3. Each group member should function as a skeptical generalist. Thus, members will examine the problem as a whole, not just from their own area of expertise or interest.

4. Dispense with protocol and formal agendas in order to encourage frank and open discussions and generate multiple ideas.

5. Invite outside experts to provide fresh insights, raise questions, identify potential pitfalls, etc.

6. Break up the large group into smaller subgroups to facilitate independent thinking away from the large group setting.

7. Hold frequent leaderless sessions to avoid the authority figure's excessive dominance and influence on the group.

8. Identify the broadest number of alternative solutions possible. Critically evaluate each alternative by defining its advantages and disadvantages.

9. Once a preferred solution has been agreed to, re-examine it for possible drawbacks, risks and negative outcomes.

10. Develop contingency plans for all possible setbacks and negative outcomes.

11. Appoint a devil's advocate.

12. Use second-chance meetings.

# ACTIVITY 6.3

## Kennedy Case Study Discussion

### Purpose

Analyze the decisions made, evaluate the decision-making process, and compare the decision-making in the Bay of Pigs with "The Missiles of October."

### Directions

Discuss the study questions below as a large group in class.

1. Compare and contrast decision-making defects in the Bay of Pigs Crisis with what was done during "The Missiles of October."

| Bay of Pigs Crisis | "The Missiles of October" Crisis |
|---|---|
| | |
| | |
| | |
| | |
| | |
| | |

2. From your experience, give fire/Emergency Medical Services (EMS) examples where you have seen each of the symptoms of groupthink, and describe what strategies could be used to avoid these symptoms and have successful decision-making.

This page intentionally left blank.

## III. ADAPTIVE LEADERSHIP PROFILE FEEDBACK REPORT

### ADAPTIVE LEADERSHIP PROFILE FEEDBACK REPORT

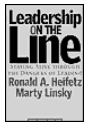
- Feedback report briefing.

Slide 6-15

A. Feedback report briefing.

### ADAPTIVE LEADERSHIP PROFILE FEEDBACK REPORT (cont'd)

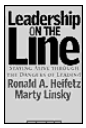
- Since 2003, the U.S. Fire Administration (USFA) has selected the pre-course reading "Leadership On the Line" as a framework to examine the behavior of exercising leadership.
- In 2015, "The Practice of Adaptive Leadership" will be the pre-course reading and frame for "Executive Leadership" (EL).



Slide 6-16

### ADAPTIVE LEADERSHIP PROFILE FEEDBACK REPORT (cont'd)

- We believe that this framework offers competencies to exercise leadership, particularly for those operating in the public sector.
- The Adaptive Leadership Profile (ALP) was developed jointly between Cambridge Leadership Associates (CLA) and USFA in 2006.

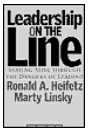


Slide 6-17

1. The ALP was developed jointly by Cambridge Leadership Associates (CLA) and the U.S. Fire Administration (USFA) in 2006.

## ADAPTIVE LEADERSHIP PROFILE FEEDBACK REPORT (cont'd)

- This report is based on both self and observer group responses to 61 questions.
- The ALP is designed to assess your familiarity and comfort with using the skills necessary for putting adaptive leadership into practice.



Slide 6-18

2. Report is based on self and observer group responses to 61 questions.

3. Report is designed to assess your familiarity and comfort with skills needed for exercising adaptive leadership.

## THE ADAPTIVE LEADERSHIP PROFILE FRAMEWORK

| | Diagnosing | Acting |
|---|---|---|
| System | • Thinking systemically<br>• Distinguishing technical problems from adaptive challenges<br>• Thinking politically | • Using interpretations experimentally<br>• Acting politically<br>• Orchestrating conflict |
| Self | • Know your defaults<br>• Know your role in the system<br>• Know your purpose | • Willing to exceed your authority<br>• Owning your piece of the mess<br>• Staying in the game, staying alive |

Slide 6-19

B. Heifetz, Grashow and Linsky's Adaptive Leadership Framework (2009, p. 6) is provided graphically on Page 2 of the feedback report; it organizes the skills of adaptive leadership along four quadrants that represent the skills measured by the instrument:

1. Understanding the environment you are working to change (diagnosing the system).

2. Acting within the environment (acting in the system).

3. Understanding yourself (diagnosing self).

4. Managing self (acting on oneself).

## ITEM (QUESTION SCORING)

- For each question answered on the 7-point scale, results are scored as follows:
  - A result between 1 and 3 suggests that this is an area of competence in which you need to do some work.
  - A result between 3 and 5 suggests that you are capable in this area of competence but that there is room for growth.

Slide 6-20

C. Each question is scored on a 7-point scale by you and your observer groups.

1. Scores between 1 and 3 point to an area of competence in which you need to do some work.

2. Scores between 3 and 5 imply capability in the area of the competence, but there is room for growth.

## ITEM (QUESTION SCORING) (cont'd)

  - And a result between 5 and 7 suggests that this is one of your particularly strong skills sets.
- Remember, there are two perspectives: self (yours) and your observer group's.

Slide 6-21

3. Scores between 5 and 7 suggest a strong skill set in the area of competence.

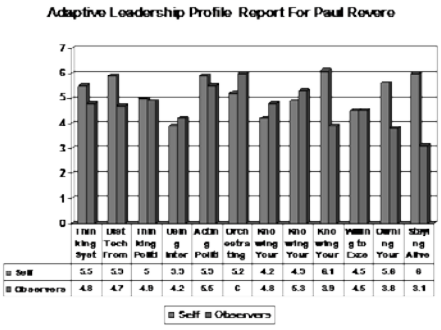
## YOUR FEEDBACK REPORT

You are the only person to see this data other than the National Fire Academy (NFA) Evaluation Center staff who scored the data and printed the reports.

Slide 6-22

D. Your feedback report is yours alone. It has not been viewed by anyone other than the NFA Evaluation Center staff who scored the data and printed these reports.

## THE OVERALL PROFILE: PAGE 3 OF YOUR REPORT




| | Thinking Systems | Use Technology | Thinking Politically | Leading Others | Adapting Politics | Orchestrating | Knowing Yourself | Knowing Your Work | Knowing Your Work | Working to Excel | Learning Your Work | Staying Alive |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Self | 5.5 | 5.9 | 5 | 3.9 | 5.9 | 5.2 | 4.2 | 4.9 | 6.1 | 4.5 | 5.6 | 6 |
| Observers | 4.8 | 4.7 | 4.9 | 4.2 | 5.5 | 6 | 4.8 | 5.3 | 3.9 | 4.5 | 3.8 | 3.1 |

Slide 6-23

E. Page 3 provides a graphic view of your scores and displays your self-scores as well as your observer group scores.

## THE OVERALL PROFILE: PAGE 5 OF YOUR REPORT

**Page 5**

**QUADRANT 1: Diagnosing the System**

Your overall score for Diagnosing the System: 3.78
Your observer group-score for Diagnosing the System: 5.25

Self score average for the class: 4.60
Observer group score average for the class: 5.10

**1. Thinking Systemically**

Your overall score for Thinking Systemically: 5.00
Your observer group-score for Thinking Systemically: 5.25

Self score average for the class: 4.92
Observer group score average for the class: 4.82

| Thinking Systemically | Self | Observer | Self Averages | Observer Averages |
|---|---|---|---|---|
| 1. Recognizes the effect of the organization's process on goal achievement | 5.00 | 5.00 | 5.35 | 6.00 |
| 15. Recognizes the impact of the organization's environment on individual's performance | 7.00 | 5.60 | 5.90 | 5.65 |
| 27. Recognizes when there is a gap between the espoused values and patterns of behavior in the organization. | 5.00 | 2.80 | 3.96 | 3.66 |
| 54. Recognizes the effect of the organization's culture on goal achievement. | 3.00 | 4.50 | 4.50 | 4.00 |

Slide 6-24

F. Other pages provide an explanation and diagnosis by quadrant (e.g., Quadrant I: Diagnosing the System).

## ADAPTIVE LEADERSHIP PROFILE FEEDBACK REPORT (cont'd)

- Remember, of the 61 items, there are five written in the negative; therefore, these are reverse-scored. They are:
  - 19. My capacity to do my job well comes mostly from my expertise.
  - 37. When firing someone, I keep the conversation as direct and brief as possible.
  - 39. I take attacks personally.
  - 56. I find myself being the only person voicing a point of view on a particular issue in a group.
  - 58. I seek to treat my professional colleagues as personal friends.

Slide 6-25

## ADAPTIVE LEADERSHIP PROFILE FEEDBACK REPORT (cont'd)

- Therefore, since these items are reverse-scored, the most effective behavior is represented by a higher number rather than a lower one.
  - For example, for Item 3, an observer group average score of 2.0 is low and would indicate that this group feels that in fact you do take attacks personally.

Slide 6-26

G. Five out of the 61 items are reverse-scored. This means, for example, that a high observer group score on the item "39. I take attacks personally," which indicates agreement with the question, is reversed in scoring to indicate a skill area that needs work.

QUESTIONS AND THOUGHTS FOR FURTHER DISCERNMENT OF FEEDBACK

- How strong (or weak) are my scores? Which areas am I the strongest in? Which areas am I the weakest in?
- Which areas have the greatest amount of variance (difference)?
- Is there any pattern where I consistently rate myself higher (or lower) than my observer group?

Slide 6-27

H. Some thoughts and questions for further consideration in reviewing scores:

1. Strength (or weakness) of scores by area.

2. Areas of greatest variation.

3. Scoring patterns (e.g., consistently higher or lower than the observer group).

QUESTIONS AND THOUGHTS FOR FURTHER DISCERNMENT OF FEEDBACK (cont'd)

- Who is my observer group? Is it representative of any group that I might ask for feedback within my organization?
- How do my scores and those of my observer group compare to my peers in this class and their observer group averages?
- Regarding the adaptive problem(s) that I am confronting, which of the 12 competencies are most important, and how effective am I regarding these behaviors?

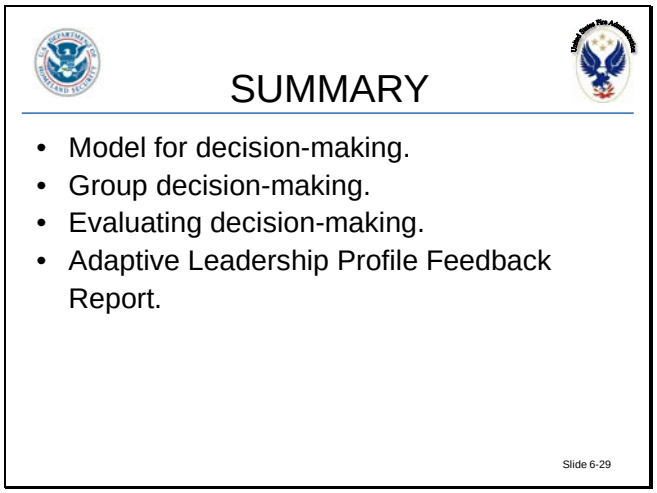
Slide 6-28

4. Representativeness of the observer group.

5. Relative comparisons between self and observer group scores with class peers and their observer group averages.

6. Relative to current adaptive challenges faced, which competencies are most important and how effective are you in terms of these behaviors?

## IV. SUMMARY



This page intentionally left blank.

# APPENDIX

## SAMPLE ADAPTIVE LEADERSHIP PROFILE

This page intentionally left blank.

# Adaptive Leadership Profile™

## Feedback Report Prepared for:

**0**

Number of Observers:
May 13, 2015

The Adaptive Leadership Profile is used with permission by the Department of Homeland Security/Federal Emergency Management Agency/U.S. Fire Administration through a purchased license and agreement from Cambridge Leadership Associates.

ADAPTIVE LEADERSHIP PROFILE™
YOUR PERSONAL REPORT

## About the Adaptive Leadership Profile™ and Your Report

The Adaptive Leadership Profile (ALP)™ is the result of years of development by leadership experts and statisticians. It is carefully designed as a learning and development resource to familiarize you with the language and practices important to exercising Adaptive Leadership effectively.

The 2x2 chart below [on page 2] portrays graphically the framework that helps organize the skills of Adaptive Leadership. It is also the organizing frame for The Practice of Adaptive Leadership (Harvard Business Press, April 2009), a hands-on field book for people who want to improve their leadership effectiveness. Each of the four quadrants deals with a distinct but related set of Adaptive Leadership™ capacities: Diagnosing the System; Acting in the System; Diagnosing Oneself; and Acting on Oneself. These four quadrants cover the essential elements of Adaptive Leadership.

Leading adaptive change requires competence at understanding the environment in which you are seeking to intervene (Diagnosing the System) and then a set of skills for intervening in the group or organization (Acting in the System). And it also requires a deep understanding of yourself (Diagnosing Oneself) plus a set of skills for effectively managing yourself (Acting on Oneself).

Each of the quadrants measures three essential skills. For example, in the Diagnosing the System quadrant, you are probably pretty effective in understanding the environment you are seeking to exercise leadership in if you scored highly on "Thinking Systemically", "Distinguishing Technical Problems from Adaptive Challenges", and "Thinking Politically".

You will receive a self-score and observer (average) score for each quadrant and each set of the skills within it. Since you completed the ALP as part of either the Executive Development or Executive Leadership Course, both the self and observer group averages of the class will be provided to you so that you can compare your scores to those of the class as a whole.

A word about scoring and reliability: You and your observers responded to each question on a 7-point scale that went from "Almost Never" to "Almost Always". Some of the questions were reverse scored (they are in italics), that is, you received a higher score for a lower numbered response. In general:

* A result between 1 and 3 suggests that this is an area of competence in which you need to do some work.

* A result between 3.1 and 5 suggests that you are capable in this area of competence, but that there is room for growth.

* A result between 5.1 and 7 suggests that this is one of your particularly strong skills sets.

The questions for ten of the twelve skills have passed muster on the statisticians' reliability and validity tests. For two of the skills, "Acting Politically" and "Knowing Your Role in the System", the questions are still in the pilot stage.

Two caveats: First, since we believe that leadership can be learned, we would hope and expect that your scores will improve over time as you practice the skills. Second, we do not hope or expect that you should aspire to be a perfect "7". While the opportunities for exercising Adaptive Leadership™ come before each of us every day, no one exercises leadership 24/7 and survives very long.

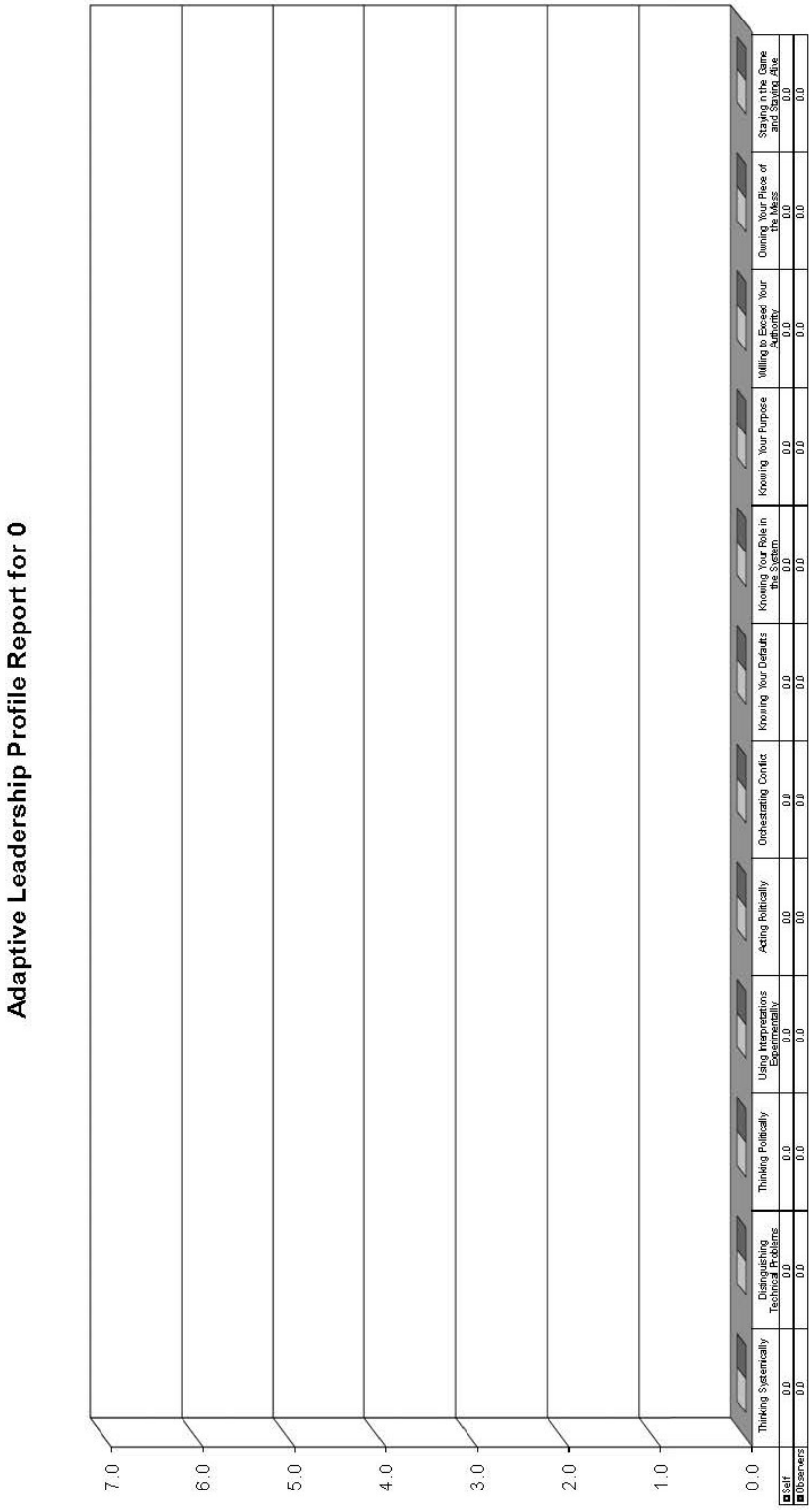
| | Diagnosing | Acting |
|---|---|---|
| System | * Thinking Systemically<br>* Distinguishing Technical Problems from Adaptive Challenges<br>* Thinking Politically | * Using Interpretations Experimentally<br>* Acting Politically<br>* Orchestrating Conflict |
| Self | * Knowing Your Defaults<br>* Knowing Your Role in the System<br>* Knowing Your Purpose | * Willing to Exceed Your Authority<br>* Owning Your Piece of the Mess<br>* Staying in the Game & Staying Alive |

The Adaptive Leadership Instrument (ALI) features a total of twelve areas or "scales" within the feedback report. These scales, four in each quadrant, are actually skills that must be effectively demonstrated to exercise leadership with the "Adaptive Leadership" framework.

These scales or skills are listed above. Notice that there are three in each of the four quadrants.

On the following page (page 3) you will find a histogram which illustrates both your self score and the average observer score for each of the twelve scales.

Throughout the feedback report (beginning on page 5), when the results for each score are reported or listed, you will find in addition to the self and observer average score for each scale, both a "normative self scale score" and a "normative observer scale score". The normative self scale score is the historical average of 749 Executive Fire Officer Program participants. The normative observer scale score is the historical average of 4,628 observers who rated the 749 EFOP participants. Both of these averages were calculated in early 2012. This reference can be used for further comparison and analysis of you own self and observer scores.


Adaptive Leadership Profile Report for 0
7.0
6.0
5.0
4.0
3.0
2.0
1.0
0.0
Thinking Systemically
Distinguishing Technical Problems
Thinking Politically
Using Interpretations Experimentally
Acting Politically
Orchestrating Conflict
Knowing Your Defaults
Knowing Your Role in the System
Knowing Your Purpose
Willing to Exceed Your Authority
Owning Your Piece of the Mess
Staying in the Game and Taming Fire
Self 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0
Observers 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0 0.0

3

## Quadrant I: Diagnosing the System

| | Diagnosing | Acting |
|---|---|---|
| System | * Thinking Systemically<br>* Distinguishing Technical Problems from Adaptive Challenges<br>* Thinking Politically | * Using Interpretations Experimentally<br>* Acting Politically<br>* Orchestrating Conflict |
| Self | * Knowing Your Defaults<br>* Knowing Your Role in the System<br>* Knowing Your Purpose | * Willing to Exceed Your Authority<br>* Owning Your Piece of the Mess<br>* Staying in the Game & Staying Alive |

## About Diagnosing the System

What is really going on? This quadrant is about your capacity for standing back and gaining some distance in order to deeply understand the environment in which you are seeking to exercise leadership. "Diagnosing the System" may be the most important and most challenging of the four quadrants. It is hard enough to see what is happening when you are part of the action. Adding to the complexity, in any organization or community of people there are competing diagnoses, competing views of reality at play held tenaciously by different factions and stakeholders. Each group has a story from its perspective that helps make sense out of what is going on. You may have a strong presumption of the right story yourself, based on your own perspective from the ground. Not only is it complicated to get past your own ground-level assumptions, plus those of others, but the leadership practice of challenging other people's stories is in itself a provocative, albeit necessary, act. Not doing so is a prescription for resorting to a quick fix/technical response and in that way preserving the status quo rather than mobilizing to address the most difficult issues. A diagnosis is always a hypothesis, your best guess at the time, an interpretation of reality that is the basis for an intervention but needs to be reality tested as well.

## Diagnosing the System

| | Self | Observers |
|---|---|---|
| Your score for Diagnosing the System: | 0.00 | 0.00 |
| Class average for Diagnosing the System: | 5.34 | 5.70 |
| Normative scale score for Diagnosing the System: | 5.37 | 5.45 |

### 1. Thinking Systemically

| | | |
|---|---|---|
| Your score for Thinking Systemically: | 0.00 | 0.00 |
| Class average for the Thinking Systemically: | 5.45 | 5.81 |
| Normative scale score for Thinking Systemically: | 5.59 | 5.64 |

**What Thinking Systemically means:**

To what extent are you able to analyze the environment from a systemic perspective, to start from the assumption that everything is connected to everything else, that no individual or issue is discrete, and that the system in which people are acting provides multiple cues? When you look at what is happening, how comfortable and skilled are you at seeing the current reality in the context of and as the product of the history, norms, values, structure, and culture of the community or organization, rather than as a function of the independent actions and decision of autonomous human beings?

**Here are the four items that looked at Thinking Systemically:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 1. Recognizes the effect of the organization's process on goal achievement. | 0.00 | 0.00 | 5.36 | 6.01 |
| 15. Recognizes the impact of the organization's environment on individual's performance. | 0.00 | 0.00 | 5.48 | 5.81 |
| 27. Recognizes when there is a gap between espoused values and patterns of behavior in the organization. | 0.00 | 0.00 | 5.12 | 5.31 |
| 54. Recognizes the effect of the organization's culture on goal achievement. | 0.00 | 0.00 | 5.84 | 6.12 |

**How to improve:**

Working on the skill of "Thinking Systemically" requires you to catch yourself when you begin to explain what is happening in terms of the qualities, good or bad, of particular individuals. Instead, think about the pressures in the current system, in their own histories, in the culture of the organization, and in the procedures and norms that have been adopted that cause them to respond the way they do. For example, when an individual or a faction resists your terrific idea, instead of assuming that they do not understand, and explaining it again, try and think about why it is threatening to them, why it feels to them as if they might have to lose something that is important to them, important enough that it would outweigh the benefits you are promising. Look for gaps between what the organization tells itself and the outside world that it stands for, and the current reality.

## 2. Distinguishing Technical Problems from Adaptive Challenges

| | Self | Observers |
|---|---|---|
| Your score for Distinguishing Technical Problems: | 0.00 | 0.00 |
| Class average for Distinguishing Technical Problems: | 5.11 | 5.48 |
| Normative scale score for Distinguishing Technical Problems: | 5.22 | 5.36 |

**What Distinguishing Technical Problems means:**

The skill of being able to distinguish technical problems from adaptive challenges lies at the heart of diagnosing what is really going on in the system in which you are trying to intervene. Technical problems are subject to the exercise of authority and authoritative expertise. They live above the neck and are subject to logic and argument. In order to make progress on adaptive challenges, difficult value choices need to be made and value conflicts need to be addressed. Identifying adaptive challenges is difficult because (1) problems come mixed, with both technical and adaptive elements; and (2) there will always be pressure in the system to label problems as primarily technical, so that authority or an expert can solve them without anyone having to give up anything important.

**Here are the five items that looked at Distinguishing Technical Problems from Adaptive Challenges:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 3. Identifies when an organizational challenge will require learning new behaviors. | 0.00 | 0.00 | 5.32 | 5.74 |
| 9. Identifies when using external expertise will not address the problem at hand. | 0.00 | 0.00 | 4.52 | 5.05 |
| 21. Sees when a proposed action will only provide a temporary solution to an organizational challenge. | 0.00 | 0.00 | 5.35 | 5.72 |
| 29. When addressing a challenge, recognizes when loss for individuals and groups will result. | 0.00 | 0.00 | 5.24 | 5.40 |
| 50. Recognizes when it is more important to have the right people and interests engaged in addressing challenges rather than in implementing his/her own preferred outcome. | 0.00 | 0.00 | 5.44 | 5.77 |

**How to improve:**

Raising your score on this skill requires practice at looking for the adaptive elements of a challenge and resisting the temptation to focus on the technical pieces of it. Adaptive issues are more about the people; technical problems are more about getting the right answer. When you think you know the right answer and people do not accept it, take that as a signal that there is an adaptive issue lurking underneath. When you do identify a key technical piece, ask yourself what value it represents in the system, what is the underlying loyalty that is manifested by the technical element? Turn away when you find yourself honing in on an understanding of the problem that lends itself to a known response. Look for those elements that seem more emotionally fraught or would disturb the system. Be conscious of the group moving to a technical interpretation. Think more about who should be involved and what process should be used to work on the issue than on what is the right outcome.

## 3. Thinking Politically

| | Self | Observers |
|---|---|---|
| Your overall score for Thinking Politically: | 0.00 | 0.00 |
| Class average for Thinking Politically: | 5.23 | 5.59 |
| Normative scale score for Thinking Politically: | 5.31 | 5.35 |

**What Thinking Politically means:**

The core concept in "Thinking Politically" is that the realities of human subjectivity and emotions are essential to leadership and organizational problem-solving. Some wise person once said, "Relationships are everything; all else is secondary." Or, to say it another way, on any issue in organizational life, the merits are relevant but not controlling. How skilled are you at thinking politically? How routinely do you analyze the relationships among the various interested parties on any issue? When you look at a community or organization, do you see factions with different and conflicting deeply-held interests and perspectives as well as individuals with a point of view?

**Here are the five items that looked at Thinking Politically:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 5. Puts self in others' shoes to understand what they see at risk and what could be gained on an issue. | 0.00 | 0.00 | 5.40 | 5.45 |
| 13. Recognizes what particular alliances will be required to achieve a purpose. | 0.00 | 0.00 | 5.56 | 5.94 |
| 24. Identifies which stakeholders need to be engaged to advance an issue. | 0.00 | 0.00 | 5.73 | 6.05 |
| 30. Seeks out the unspoken interests and loyalties of each stakeholder group. | 0.00 | 0.00 | 4.29 | 4.87 |
| 40. Identifies factions relevant to the issue. | 0.00 | 0.00 | 5.16 | 5.64 |

**How to improve:**

To begin to think more politically, use a deep faction map to analyze stuck problems that you encounter, even if the issue seems very technical. Look at who is interested, what factions have a stake, and then what is their perspective on the issue, what are their most noble values, in their own eyes at least, and what are their fears, what losses do they think they might have to take. Think about not only their first order values, but what other values they hold that might either provide opportunities for collaborating or might suggest unusual alliances you might form from shared interests on other issues that might be served by moving your issue forward. Think about factions that do not think they have a stake but, if they did, would be useful to you, and then identify what interests they do have that might provide an opportunity to work together. By doing this deep faction mapping you can begin to train yourself to be more intuitive about looking at the people involved, rather than solely at the merits of the issue.

## Quadrant II: Acting in the System

| | Diagnosing | Acting |
|---|---|---|
| System | * Thinking Systemically<br>* Distinguishing Technical Problems from Adaptive Challenges<br>* Thinking Politically | * Using Interpretations Experimentally<br>* Acting Politically<br>* Orchestrating Conflict |
| Self | * Knowing Your Defaults<br>* Knowing Your Role in the System<br>* Knowing Your Purpose | * Willing to Exceed Your Authority<br>* Owning Your Piece of the Mess<br>* Staying in the Game & Staying Alive |

### About Acting in the System

Exercising Adaptive Leadership well requires some skills that are about managing yourself and some that are about the nature of your interventions into the organization or community. Quadrant II, Acting in the System, focuses on techniques necessary for successful leadership interventions into the system. This quadrant is what most people concentrate on when trying to exercise leadership. It is one part of the "doing" of leadership (the other is Quadrant IV: Acting on Oneself). But we want to encourage you to spend as much time on your diagnostic and self-management skills as on your intervention skills, so that you tailor that intervention with the benefits of the insights from the diagnosis rather than just intervene the way you usually do or the way you feel most comfortable or competent doing. If you intervene the way you usually do, you are not likely to get a better result than you did before. Effective leadership therefore requires having a wide toolkit from which to draw to customize your intervention to the situation. Consistency is a significant resource for management; it is a constraint in leadership.

## Acting in the System

| | Self | Observers |
|---|---|---|
| Your overall score for Acting in the System: | 0.00 | 0.00 |
| Class average for Acting in the System: | 4.30 | 4.48 |
| Normative scale score for Acting in the System: | 4.37 | 4.59 |

### 1. Using Interpretations Experimentally

| | | |
|---|---|---|
| Your overall score for Using Interpretations Experimentally: | 0.00 | 0.00 |
| Class average for Using Interpretations Experimentally: | 4.59 | 4.90 |
| Normative scale score for Using Interpretations Experimentally: | 4.58 | 4.81 |

**What Using Interpretations Experimentally means:**

There are two closely related ideas here. First, any leadership intervention, really any intervention into a group, consciously or not, is based on some hypothesis of what is going on and some purpose, something you are trying to accomplish. But it is just that, a hypothesis, your best guess as to what is happening. To be more effective, you need to be aware of what theory of the situation underlies your intervention. And to get a hypothesis which is the basis for your action, you need to consider a wide range of possibilities, pushing against your own and the group's defaults and, in particular, keeping yourself and the group open to interpretations that are adaptive, systemic, and conflictual, rather than those that are technical, individual, and benign. Second, and following logically from this notion of interpretations, is that every intervention is really a test, an experiment. Bringing an experimental mindset to your intervention enables you to see contrary data and make mid-course corrections. Looking at it this way, you can even run more than one experiment simultaneously, based on different hypotheses, to see which one seems to be on target.

**Here are the six items that looked at Using Interpretations Experimentally:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 2. Challenges colleagues to name the interests that underlie their behaviors rather than take their explanations at face value. | 0.00 | 0.00 | 4.36 | 5.00 |
| 16. When the group is wrestling with a difficult problem, surfaces disagreements rather than agreements. | 0.00 | 0.00 | 3.64 | 3.22 |
| 28. When members of my team are in conflict, looks to the organization's dynamics rather than focus on the personalities involved. | 0.00 | 0.00 | 4.24 | 4.88 |
| 41. Raises group dynamics issues whenever they are impacting the effectiveness of the group. | 0.00 | 0.00 | 4.76 | 5.17 |
| 47. When the group is working on a tough issue, keeps the conversation going rather than accepting the first solution that makes sense. | 0.00 | 0.00 | 5.32 | 5.63 |
| 55. Acts decisively on one interpretation of a problem and still remains open to acting on alternatives. | 0.00 | 0.00 | 5.24 | 5.50 |

**How to improve:**

Improving your skill at "Using Interpretations Experimentally" requires developing your willingness and capacity both for developing interpretations and absorbing the pushback that often comes when you offer interpretations that are unsettling to the group. Practice being skeptical. When an individual or a group offers you a preferred interpretation of why things are the way they are, resist taking whatever they offer at face value. Ask yourself, and in some circumstances ask them as well, what are the other possible interpretations here? What are the possible interpretations we might not want to entertain? When you hear or find yourself coming to an interpretation that is focused on a single individual ("if only Joe knew how to manage."), or leads to a quick technical fix ("let's hire a consultant.") think about interpretations which are more systemic and value-laden. Finally, when you do intervene, take an experimental stance with yourself, even if it is not prudent to do so with the group. Be fully committed, but always looking for contrary data, reality checking, and being open to the possibility of making a mid-course correction. Sometimes you can get someone else to play this role for you if it is very difficult for you to be enthusiastic about a way forward and skeptical as well.

## 2. Acting Politically

| | Self | Observers |
|---|---|---|
| Your overall score for Acting Politically: | 0.00 | 0.00 |
| Class average for Acting Politically: | 3.96 | 3.83 |
| Normative scale score for Acting Politically | 4.02 | 4.29 |

**What Acting Politically means:**

There are two assumptions lurking underneath "Acting Politically". One is that the really tough problems are tough because they are about people and not issues. That is, they are about interests, values, concerns and beliefs underlying the idea and not the merits of the idea itself. Second, the resistance that you experience to your terrific idea comes from people who feel threatened by it and, if you are going to bring them along, you have to either be willing to deliver those losses to them, as they perceive it, or to accommodate some of their fears by adapting you idea and incorporating some of their concerns. So, Acting Politically is about recognizing the threat you represent and accommodating the fears of resisters to the extent necessary to get most of what you are trying to accomplish. Acting politically is about relationships, and having good ones with everyone who is involved, whether or not they share your view.

**Here are the six items that looked at Acting Politically:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 11. When leading a change process, he/she spends a lot of time meeting with the most vocal resisters. | 0.00 | 0.00 | 4.00 | 4.47 |
| 17. Understands that the behavior of his/her boss is feedback about reaction from the rest of the organization rather than boss' personal view. | 0.00 | 0.00 | 5.00 | 5.13 |
| *37. When firing someone, keeps the conversation as direct and brief as possible.* | 0.00 | 0.00 | 2.28 | 1.70 |
| 42. Willing to compromise his/her own vision to incorporate perspectives that are hostile to his/her own. | 0.00 | 0.00 | 4.00 | 4.01 |
| 48. When tackling difficult challenges, he/she expects to inflict losses on people he/she cares about. | 0.00 | 0.00 | 4.40 | 3.25 |
| *56. Finds himself/herself being the only person voicing a point of view on a particular issue in a group.* | 0.00 | 0.00 | 4.08 | 4.44 |

**How to improve:**

When you are trying to lead adaptive change, spend less time on making good arguments for your idea and more time assessing your relationships with all the key parties: allies, opponents, your senior authority, undecideds, and potential casualties. Think about what, and who, they care about. And then think about what of your idea is non-negotiable and what you are willing to leave behind in order to get most of what you want. Accept the reality that not everyone is going to be able to make it through to enjoy the future you envision. But pay attention to those potential casualties and treat them well, because their friends and allies in other factions will be watching to see how empathetic you are towards them in making their own determinations about whether to go along. And finally, it is really not smart to try to tackle adaptive challenges alone, although the group would often prefer to have you out there by yourself, taking all the risk.

## 3. Orchestrating Conflict

| | Self | Observers |
|---|---|---|
| Your overall score for Orchestrating Conflict: | 0.00 | 0.00 |
| Class average for Orchestrating Conflict: | 4.35 | 4.71 |
| Normative scale score for Orchestrating Conflict: | 4.50 | 4.66 |

**What Orchestrating Conflict means:**

Your team or organization will almost always want you to resolve or repress whatever conflict surfaces. But conflict is a necessary ingredient for progress on adaptive issues. Rather than be the conflict resolver or repressor, try to think of yourself as the conflict orchestrator: surfacing conflict, working it through, letting the tension rise, and acknowledging the risks and potential losses. Skills associated with this quality include creating a space where people can work through tough issues, full of conflict, without destroying their relationships. Being good at orchestrating conflict also requires holding back, not offering your own opinion, especially if you are in an authority role. Once you do that, then you become the issue and the group can stop doing the hard work that they have to do. That takes considerable self-discipline, especially when you think you know the right answer.

**Here are the six items that looked at Orchestrating Conflict:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 6. Before or at the beginning of meetings, he/she creates explicit ground rules and norms that encourage participation and engagement, while allowing for vigorous dissent. | 0.00 | 0.00 | 3.88 | 4.75 |
| 18. Gets the group to resolve their difficult issues themselves, even if he/she has a preferred outcome. | 0.00 | 0.00 | 4.69 | 5.09 |
| 31. Surfaces unspoken conflict and disagreement even when it is disruptive. | 0.00 | 0.00 | 4.08 | 4.12 |
| 43. When leading the team, if members distract the group's work, he/she stops the work and comments on their impact. | 0.00 | 0.00 | 3.92 | 4.36 |
| 49. Is willing to risk having difficult conversations about work issues. | 0.00 | 0.00 | 5.40 | 5.70 |
| 57. Nurtures conflict as a critical resource for dealing with difficult issues. | 0.00 | 0.00 | 4.12 | 4.25 |

**How to improve:**

How can you practice being a conflict orchestrator rather than a conflict resolver? First, recognize that you are working against your group's defaults. The pressure will usually be on you to resolve the conflict or to keep it under the surface so it does not shatter the illusion of agreement. Second, build up your own tolerance for conflict and disequilibrium Our experience is that people who are not competent enough at orchestrating conflict are often conflict averse themselves. Hold steady when conflict arises, rather than step in to calm things down. When the voice in your head tells you that something is wrong, name it, or even if you cannot name it, just speak up and say that something does not feel ok to you, and let others try to name exactly what it is. It is more difficult to lean into the orchestrating role. When you have what you think is the right idea for how the conflict ought to be resolved, hold back, especially if you are in the authority role, rather than offer your "solution", and undermine the possibility of the group tackling the issue themselves.

## Quadrant III: Diagnosing Oneself

| | Diagnosing | Acting |
|---|---|---|
| System | * Thinking Systemically<br>* Distinguishing Technical Problems from Adaptive Challenges<br>* Thinking Politically | * Using Interpretations Experimentally<br>* Acting Politically<br>* Orchestrating Conflict |
| Self | * Knowing Your Defaults<br>* Knowing Your Role in the System<br>* Knowing Your Purpose | * Willing to Exceed Your Authority<br>* Owning Your Piece of the Mess<br>* Staying in the Game & Staying Alive |

### About Diagnosing Oneself

Being able to stand back and observe yourself as an actor in the environment or in the midst of action is a critical competency in exercising Adaptive Leadership. This is more than a matter of finding out how you are doing; it is closer to asking, what do you bring to the party? It is hard to see ourselves from a distance, especially when others see us differently than we see ourselves. What are your core skills and are they what are required in the current situation? How are you understood by the group? What is your formal role? Your informal role? What issues or values do you represent? Does the intervention you are contemplating fit with your purpose? Are you clear about why you are doing what you are doing? Looking at yourself from a distance is an essential element of understanding the environment in which you seek to intervene.

## Diagnosing Oneself

| | Self | Observers |
|---|---|---|
| Your overall score for Diagnosing Oneself: | 0.00 | 0.00 |
| Class average for Diagnosing Oneself: | 4.68 | 4.97 |
| Normative scale score for Diagnosing Oneself: | 4.74 | 4.83 |

### 1. Knowing Your Defaults

| | | |
|---|---|---|
| Your overall score for Knowing Your Defaults: | 0.00 | 0.00 |
| Class average for Knowing Your Defaults: | 4.51 | 5.13 |
| Normative scale score for Knowing Your Defaults: | 4.70 | 4.84 |

**What Knowing Your Defaults means:**

"Knowing Your Defaults" requires having a clear-eyed sense of your skills, competencies, and vulnerabilities. This skill is about learning to avoid the "when you have a hammer in your hand, everything looks like a nail" syndrome. What do you fall back on? What behaviors do you revert to when under pressure? Where is your comfort zone? The wider your toolkit, the more styles and skills you have at your disposal, the more effectively you can tailor your intervention to the particular situation. The more predictable you are, the more the group knows for certain how you will react in any situation, the easier you are to manage. Working at the edge of your competency is often necessary for Adaptive Leadership. If you keep doing what you have always done and do well, do not expect a different result. Distinguish your defaults, your preferred skill-set and your comfort zone on the one hand and, on the other, ways of intervening for which you have the capacity but not the preference or the experience. Knowing your defaults is about the willingness to use your capacity on behalf of your purpose, even when it stretches you beyond your preferred behavior.

**Here are the four items that looked at Knowing Your Defaults:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 34. Recognizes when he/she is being used by the group or organization to avoid difficult issues. | 0.00 | 0.00 | 4.44 | 4.65 |
| 35. Recognizes when his/her own behavioral change will be required if the challenge is to be addressed effectively. | 0.00 | 0.00 | 4.32 | 5.41 |
| 36. Acts outside of his/her own comfortable ways of doing things when those preferences are interfering with progress. | 0.00 | 0.00 | 4.60 | 4.98 |
| *39. Takes attacks personally.* | 0.00 | 0.00 | 4.68 | 5.50 |

**How to improve:**

Your defaults are your preferred ways of behaving. Knowing your potential toolkit is different from knowing your preferred ways. Try experimenting with behaviors that you see in others that are effective for them but well outside your comfort zone. If you typically would not do so, raise your voice when you see that doing so might get you the attention you need to get the group to focus on the issue. Practice stepping into an unknown space when you do not have a clear answer or maybe even a clear understanding of the problem, but you just know there IS a problem. Understand where your limits are, where your preferred toolkit ends, and work to both push those boundaries further and to ally yourself with people whose range of behaviors add to yours so that you can both avail yourself of their skills in pursuit of your purpose and learn them yourself.

## 2. Knowing Your Role in the System

| | Self | Observers |
|---|---|---|
| Your overall score for Knowing Your Role in the System: | 0.00 | 0.00 |
| Class average for Knowing Your Role in the System: | 4.42 | 4.32 |
| Normative scale score for Knowing Your Role in the System: | 4.32 | 4.31 |

**What Knowing Your Role in the System means:**

In any organization of human beings, even your family, people have both formal and informal roles. In a family, you might be the mom or dad or eldest child. In a company, you might the CEO or the VP for Sales and Marketing. With any formal role comes responsibilities and some expectations, which might be explicit or just understood. In addition, every person in any human organization has informal roles, i.e., the planner, the worrier, or the humorist. And, finally, people embody values for a group. You might embody eternal optimism or empathy or caring about the disadvantaged. Whatever your formal role, your informal role, and the values you embody, knowing all that information is critical in deploying yourself effectively in exercising leadership. Each role, and each value that you embody, may be in certain circumstances, a resource and in other circumstances, a constraint. The formal role is usually easy to discern, although perhaps the ways in which it is a resource and a constraint are more opaque. Your informal role and the values you embody for the group may be harder for you to get a handle on, especially when they are different from how you experience yourself.

**Here are the five items that looked at Knowing Your Role in the System:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 7. Knows when his/her formal role gets in the way of making progress. | 0.00 | 0.00 | 4.56 | 5.05 |
| 14. Can name what is expected of him/her that is beyond his/her formal role. | 0.00 | 0.00 | 5.60 | 6.11 |
| *19. Capacity to do his/her job well comes mostly from his/her expertise.* | 0.00 | 0.00 | 3.04 | 2.11 |
| 26. Knows what stereotypes he/she represents for his/her colleagues. | 0.00 | 0.00 | 4.72 | 5.04 |
| *58. Seeks to treat his/her professional colleagues as personal friends.* | 0.00 | 0.00 | 4.16 | 3.28 |

**How to improve:**

Think of ways in which your formal role in the organization is a resource and the ways in which it is a constraint. Notice what assignments you are given and when and how you are asked to participate to better understand how the group understands you. Make a note when the group looks to you for expertise that is not part of your formal role, such as treating you as if you were speaking on behalf of all the people in your race, religion, ethnicity, or region. Then decide whether your being stereotyped in this way is useful to you in making progress on your issues, or marginalizes you by making you only relevant as representing that perspective. Notice whenever people are surprised by your response as a signal about the group's expectations of you. Preserve and respect the boundaries created by roles, maintaining the distinction between personal friendships and business friendships.

## 3. Knowing Your Purpose

| | Self | Observers |
|---|---|---|
| Your overall score for Knowing Your Purpose: | 0.00 | 0.00 |
| Class average for Knowing Your Purpose: | 5.12 | 5.45 |
| Normative scale score for Knowing Your Purpose: | 5.21 | 5.34 |

**What Knowing Your Purpose means:**

"Knowing Your Purpose" is straightforward enough. If exercising leadership on adaptive issues is difficult and risky, then the only reason to do so is on behalf of some purpose, something you care deeply about. Knowing your purpose, and then being able to articulate it to yourself and others is important because your purpose provides guidance about which issues to take on and which decisions you make will be consistent and further your objectives. Seeing the small decisions as well as the larger ones in the context of purpose will reinforce that purpose both for you and for others. But you cannot do any of that unless you are first clear yourself. Purpose is a two-edged sword. Too much of it can get in your way, putting off others who connect with a more dispassionate approach, and blinding you to landmines because you are so focused on your noble pursuit.

**Here are the five items that looked at Knowing Your Purpose:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 4. Can articulate a personal definition of what is important in life. | 0.00 | 0.00 | 5.64 | 6.00 |
| 12. Recognizes how day-to-day decisions fit into a bigger picture. | 0.00 | 0.00 | 5.72 | 6.14 |
| 23. Can articulate what would be worth leaving the organization over. | 0.00 | 0.00 | 4.65 | 4.52 |
| 38. Distinguishes between making short term progress and preserving enduring important purposes when they conflict. | 0.00 | 0.00 | 4.76 | 5.42 |
| 44. When confronted with compelling, competing personal values, he/she chooses which takes priority. | 0.00 | 0.00 | 4.84 | 5.18 |

**How to improve:**

Identifying your purpose is usually a function of either determining what you would be willing to take enormous risk for, or choosing among competing purposes, all of which are important to you. You can help identify what you care about by watching carefully the choices you make, rather than listening to what you say. The day-to-day choices you make reveal a lot, often uncomfortably, about what is really most important to you. Another step toward clarifying your purpose is by first trying to articulate it to yourself ("I would be willing to leave my position if...") and then trying to say it to others. Reminding yourself of purpose might mean keeping it literally in front of you, a sign on your office wall, or asking someone close to you to help you monitor your behavior.

## Quadrant IV: Acting on Oneself

| | Diagnosing | Acting |
|---|---|---|
| System | * Thinking Systemically<br>* Distinguishing Technical Problems from Adaptive Challenges<br>* Thinking Politically | * Using Interpretations Experimentally<br>* Acting Politically<br>* Orchestrating Conflict |
| Self | * Knowing Your Defaults<br>* Knowing Your Role in the System<br>* Knowing Your Purpose | * Willing to Exceed Your Authority<br>* Owning Your Piece of the Mess<br>* Staying in the Game & Staying Alive |

### About Acting on Oneself

Deploying yourself well is always important, but deploying yourself in the interests of exercising leadership on adaptive challenges is a challenge in itself because it takes some adaptation on your part, some deviation from the way you usually deploy yourself. As long as you do what you usually do, nothing different will result. And when you begin to do something other than what is expected of you, you will meet resistance and generate discomfort. So acting on the self on behalf of your leadership purpose involves pushing the boundaries, acting outside of your norms and typically outside of your comfort zone as well.

## Acting on Oneself

| | Self | Observers |
|---|---|---|
| Your overall score for Acting on Oneself: | 0.00 | 0.00 |
| Class average for Acting on Oneself: | 4.44 | 4.70 |
| Normative scale score for Acting on Oneself: | 4.75 | 4.89 |

### 1. Willing to Exceed Your Authority

| | | |
|---|---|---|
| Your overall score for Willing to Exceed Your Authority: | 0.00 | 0.00 |
| Class average for Willing to Exceed Your Authority: | 4.88 | 4.88 |
| Normative scale score for Willing to Exceed Your Authority: | 4.79 | 4.75 |

**What Willingness to Exceed Your Authority means:**

The "Willingness to Exceed Your Authority" is one of the most difficult and important capacities in the Adaptive Leadership framework. It begins with the idea that if you want to nurture deep change, you will have to go beyond what some or maybe all, of your authorizers expect you to do. If you keep doing what is expected , nothing new will happen, You have probably already been doing what is expected of you pretty well for a long time. But leading on adaptive issues requires a willingness to push the boundaries of your authorization and go beyond what you are supposed to do. This is different from doing what you are good at, although there may be overlap between the two. Your authorizers, from below, above and parallel to you, have a contract for services with you. They authorize you to do a set of activities and to do them at a certain level of competence. As long as you do those things and do them well, they will be happy. But they do not authorize you to disturb them, to ask them to take losses, or to put them at risk on behalf of making progress. If you do go too far beyond your authorization, you are likely to be marginalized or otherwise disempowered. So the notion here is to dance on the edge of your scope of authority in the interests of your purpose. Your authorizing environment is a complex place. It might consist of many factions: your boss, your subordinates, your peers, and your external constituents, both those who supply you with resources and those who use your product or services. You need the authorization of all of them to do your job. And each of those factions has an idea of what they expect you to do and how they expect you to do it. It is easier to challenge some authorizers than others. For example, it is almost always more dangerous to challenge your boss' expectations than those of your subordinates. And there are often conflicts among your authorizers, so you will have to choose which ones to challenge. And notice we used the language of "will" not "skill" here. That is because pushing the boundaries of your scope of authority is usually well within your skill set, but takes some courage because of the risk.

**Here are the six items that looked at Willingness to Exceed Your Authority:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 8. Takes the risk and accepts the consequences of exceeding authority to make a decision that will be good for the organization. | 0.00 | 0.00 | 5.36 | 5.03 |
| 20. Risks experiencing the disapproval of people in authority to do what is in the best interest of the group. | 0.00 | 0.00 | 4.92 | 5.31 |
| 33. Moves off long held positions when a change of direction is necessary. | 0.00 | 0.00 | 5.00 | 5.01 |
| 46. Treats resistance as evidence that a hard problem is being addressed. | 0.00 | 0.00 | 4.52 | 4.69 |
| 51. Stays open to alternative actions, even when he/she is clear about what to do. | 0.00 | 0.00 | 5.44 | 5.47 |
| 59. Acts "above his/her pay grade" when the organization's actions do not match its espoused values. | 0.00 | 0.00 | 4.04 | 3.80 |

**How to improve:**

Leadership is an improvisational and experimental act. Testing the boundaries of your authority is risky. So the way to improve your willingness to exceed your authority is by running careful experiments. Look for low-risk opportunities to try on some behaviors that are beyond others' expectations of you, when you think those behaviors will help you make progress. Try asking for forgiveness, rather than permission, on some minor matters to assess the system's tolerance for deviance. Read resistance carefully, to try to get better at knowing when you are on that edge. Read and use others as reality checks on whether you are pushing too hard, or not enough. One of the ways you can use your authority to exercise leadership is to protect others around you who try to take the risk of exercising leadership themselves, to reward reasonable risk-taking in service of the mission when it does not work out, rather than punish them for their lack of success.

## 2. Owning Your Piece of the Mess

| | Self | Observers |
|---|---|---|
| Your overall score for Owning Your Piece of the Mess: | 0.00 | 0.00 |
| Your observer group-score for Owning Your Piece of the Mess: | 5.35 | 5.09 |
| Normative scale score for Owning Your Piece of the Mess: | 5.21 | 4.93 |

**What Owning Your Piece of the Mess means:**

We start from the logical premise that if you are trying to nurture change in a system, organization or community of which you are a part, then despite all the things you might be doing to try to foster the change, there must be something you are doing, some belief you are holding onto, some way of being, that is contributing to the status quo, the current reality, that you want to change. Your contribution to the current reality may be quite small compared to others' but it is there. It is hard for people doing noble work to see their piece of the current reality. Their piece might even be part of the way they are going about their noble work that is making it more difficult for others to come along. Whatever the piece, if you can identify it, two good things happen. First, since it is more or less, at least theoretically, under your control, you might be able to do something about it and thereby make some progress on the challenge by eliminating that little barrier. And second, if people observe you willing to do something that is difficult for you, it will make them more willing to do whatever it is you are asking of them which they are finding it difficult to do.

**Here are the five items that looked at Owning Your Piece of the Mess:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 10. When addressing a problem, begins by naming his/her own contribution to it. | 0.00 | 0.00 | 4.88 | 4.34 |
| 22. Acknowledges the unintended negative consequences of his/her own actions. | 0.00 | 0.00 | 5.38 | 5.44 |
| 45. Apologizes in public after having made a mistake. | 0.00 | 0.00 | 5.96 | 5.46 |
| 52 Willing to be vulnerable in front of co-workers in order to advance the purposes of the group. | 0.00 | 0.00 | 5.16 | 5.11 |
| 60. Says "I don't know" when that is the case. | 0.00 | 0.00 | 5.68 | 5.46 |

**How to improve:**

Getting better at "Owning Your Piece of the Mess" has three parts: identifying the piece, doing something about it, and acknowledging it to the group. Getting better at identifying begins with accepting the assumption that you DO own a piece of the problem. If you are so caught up in the rightness of what you are doing that you cannot see it, consulting with some others might provide some clues. It is the doing something about it and acknowledging it that typically are more difficult. Whatever you are doing or holding onto that is getting in the way must be important to you or must meet some need or fear that you have. So changing the behavior or giving up the idea will be a risk and a possible loss. It is your adaptation. It is almost always the case that when you are leading adaptive change, you have to make some adaptations as well. And being public about it is its own challenge, especially if you are in a position of senior authority in a culture where confessing error or not being a clean machine is frowned upon. If this is an issue for you, we would encourage you to begin to get better at this part of this competence by devising a low-risk experiment. Confess to your most trusted subordinates and see how they absorb it. If all goes well, ask them how (not whether) you should communicate this to a larger group of colleagues. Take it step by step. If you get really good at this from a senior role, you are likely to begin to notice a change in the norms of the organization, with people more likely to take personal responsibility and confess error when it is appropriate because they will have observed that there is no penalty for doing so when it is warranted.

## 3. Staying in the Game and Staying Alive

| | Self | Observers |
|---|---|---|
| Your overall score for Staying in the Game and Staying Alive: | 0.00 | 0.00 |
| Your observer group-score for Staying in the Game and Staying Alive: | 4.00 | 4.52 |
| Normative scale score for Staying in the Game and Staying Alive: | 4.23 | 4.99 |

**What Staying in the Game means:**

"Staying in the Game" begins with the realization that leading adaptive change is stressful and demanding work, physically, mentally, and emotionally. There are many pressures on you. It is easy to forget that it is taking a toll. But it is not self-indulgent, no matter how important your purpose, to spend some time taking care of yourself. Your purpose needs you to be at the top of your game, and you cannot be at the top of your game if you are physically exhausted, mentally drained, and emotionally at the edge.

**Here are the four items that looked at Staying in the Game:**

| | Self | Observers | Self Class Average | Observer Class Avg. |
|---|---|---|---|---|
| 25. Routinely schedules time for personal reflection. | 0.00 | 0.00 | 3.24 | 3.53 |
| 32. Avoids working beyond physical limits and endurance. | 0.00 | 0.00 | 3.28 | 3.77 |
| 53. Treats his/her own health as a critical resource. | 0.00 | 0.00 | 4.92 | 5.21 |
| 61. Manages his/her relationship between work and personal life. | 0.00 | 0.00 | 4.56 | 5.59 |

**How to improve:**

This is not the time and place for self-help advice. If you did not score as well as you would have wished on this competence, you probably know exactly what you need to do to score higher. What is important to note here is that the system will not create the time and space for you to do this work for yourself. Organizations are good at getting everything they can from us, not replenishing us. You need to make it a priority and preserve that commitment when the system tries to eat away at it around the edges. People will send e-mails and call your cell phone when you are at home on family time if they think you will answer. They will schedule meetings during your lunchtime long walk if they think you will be willing to skip it. And if you are willing to come in at 6 am and not leave until 9 pm, why should the system not let you do it?

**Adaptive Leadership Profile Questions**

1. I recognize the effect of the organization's process on goal achievement.
2. I challenge colleagues to name the interests that underlie their behaviors rather than take their explanations at face value.
3. I identify when an organizational challenge will require learning new behaviors.
4. I can articulate a personal definition of what is important in life.
5. I put myself in others' shoes to understand what they see at risk and what could be gained on an issue.
6. Before or at the beginning of meetings, I create explicit ground rules and norms that encourage participation and engagement, while allowing for vigorous dissent.
7. I know when my formal role gets in the way of making progress.
8. I take the risk and accept the consequences of exceeding authority to make a decision that will be good for the organization.
9. I identify when using external expertise will not address the problem at hand.
10. When addressing a problem, I begin by naming my own contribution to it.
11. When leading a change process, I spend a lot of time meeting with the most vocal resisters.
12. I recognize how day-to-day decisions fit into a bigger picture.
13. I recognize what particular alliances will be required to achieve a purpose.
14. I can name what is expected of me that is beyond my formal role.
15. I recognize the impact of the organization's environment on individuals' performance.
16. When the group is wrestling with a difficult problem, I surface disagreements rather than agreements.
17. I understand that the behavior of my boss is feedback about reaction from the rest of the organization rather than the boss' personal view.
18. I get the group to resolve their difficult issues themselves, even if I have a preferred outcome.
19. *My capacity to do my job well comes mostly from my expertise.*
20. I risk experiencing the disapproval of people in authority to do what is in the best interest of the group.
21. I see when a proposed action will only provide a temporary solution to an organization challenge.
22. I acknowledge the unintended negative consequences of my own actions.
23. I can articulate what would be worth leaving the organization over.
24. I identify which stakeholders need to be engaged to advance an issue.
25. I routinely schedule time for personal reflection.
26. I know what stereotypes I represent for my colleagues.
27. I recognize when there is a gap between espoused values and patterns of behavior in the organization.
28. When members of my team are in conflict, I look to the organization's dynamics rather than focus on the personalities involved.
29. When addressing a challenge, I recognize when loss for individuals and groups will result.
30. I seek out the unspoken interests and loyalties of each stakeholder group.
31. I surface unspoken conflict and disagreement even when it is disruptive.

24

32. I avoid working beyond physical limits and endurance.
33. I move off of long held positions when a change of direction is necessary.
34. I recognize when I am being used by the group or organization to avoid difficult issues.
35. I recognize when my own behavioral change will be required if the challenge is to be addressed effectively.
36. I act outside of my own comfortable ways of doing things when those preferences are interfering with progress.
37. *When firing someone, I keep the conversation as direct and brief as possible.*
38. I distinguish between making short term progress and preserving enduring important purposes when they conflict.
39. *I take attacks personally.*
40. I identify factions relevant to the issue.
41. I raise group dynamic issues whenever they are impacting the effectiveness of the group.
42. I am willing to compromise my vision to incorporate perspectives that are hostile to my own.
43. When leading the team, if members distract the group's work, I stop the work and comment on their impact.
44. When confronted with compelling, competing personal values, I choose which takes priority.
45. I apologize in public after having made a mistake.
46. I treat resistance as evidence that a hard problem is being addressed.
47. When the group is working on a tough issue, I keep the conversation going rather than accepting the first solution that makes sense.
48. When tackling difficult challenges, I expect to inflict losses on people I care about.
49. I am willing to risk having difficult conversations about work issues.
50. I recognize when it is more important to have the right people and interests engaged in addressing challenges rather than in implementing my own preferred outcome.
51. I stay open to alternative actions, even when I am clear about what to do.
52. I am willing to be vulnerable in front of co-workers in order to advance the purposes of the group.
53. I treat my own health as a critical resource.
54. I recognize the effect of the organization's culture on goal achievement.
55. I act decisively on one interpretation of a problem and still remain open to acting on alternatives.
56. *I find myself being the only person voicing a point of view on a particular issue in a group.*
57. I nurture conflict as a critical resource for dealing with difficult issues.
58. *I seek to treat my professional colleagues as personal friends.*
59. I act "above my pay grade" when the organization's actions do not match its espoused values.
60. I say "I don't know" when that is the case.
61. I manage my relationship between work and my personal life well.

**Italicized items are reverse scored.**
**Scoring Algorithm**

| Quadrant | Scale | Items |
|---|---|---|
| Diagnosing/System | Thinking systemically | 1, 15, 27, 54 |
| Diagnosing/System | Distinguishing technical problems from adaptive challenges | 3, 9, 21, 29, 50 |
| Diagnosing/System | Thinking politically | 5, 13, 24, 30, 40 |
| Acting/System | Using interpretations experimentally | 2, 16, 28, 41, 47, 55 |
| Acting/System | Acting politically | 11, 17, 37, 42, 48, 56 |
| Acting/System | Orchestrating conflict | 6, 18, 31, 43, 49, 57 |
| Diagnosing/Self | Knowing your defaults | 34, 35, 36, 39 |
| Diagnosing/Self | Knowing your role in the system | 7, 14, 19, 26, 58 |
| Diagnosing/Self | Knowing your purpose | 4, 12, 23, 38, 44 |
| Acting/Self | Willing to exceed your authority | 8, 20, 33, 46, 51, 59 |
| Acting/Self | Owning your piece of the mess | 10, 22, 45, 52, 60 |
| Acting/Self | Staying in the game/Staying alive | 25, 32, 53, 61 |

This page intentionally left blank.

# *UNIT 7: POLITICS AND PUBLIC POLICY*

*"Among the numerous advantages promised by a well constructed Union, none deserves to be more accurately developed than its tendency to break and control the violence of faction." — James Madison, "The Federalist No. 10"*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*7.1 Analyze the influence of politics on the formation of public policy.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*7.1 Identify the relevance of factional interests to the formation of public policy.*

*7.2 Apply systemic and political thinking to identify the existence of factions within their own communities.*

*7.3 Evaluate the interests of different factions to determine their influence on achieving desired outcomes.*

This page intentionally left blank.

# UNIT 7: POLITICS AND PUBLIC POLICY

Slide 7-1

## ENABLING OBJECTIVES

- Identify the relevance of factional interests to the formation of public policy.
- Apply systemic and political thinking to identify the existence of factions within their own communities.
- Evaluate the interests of different factions to determine their influence on achieving desired outcomes.

Slide 7-2

## I. THE FEDERALIST PAPERS

## THE FEDERALIST PAPERS

- Eighty-five essays and articles.
- Advocate for ratification of the Constitution by New York state.
- Widely believed to be authored by:
  - Alexander Hamilton.
  - John Jay.
  - James Madison.

Slide 7-3

A. Background.

1. Eighty-five essays and articles, commonly referred to now as The Federalist Papers, written to advocate for ratification of the Constitution, specifically by New York state and published in 1787 and 1788.

2. Widely believed to be authored by:

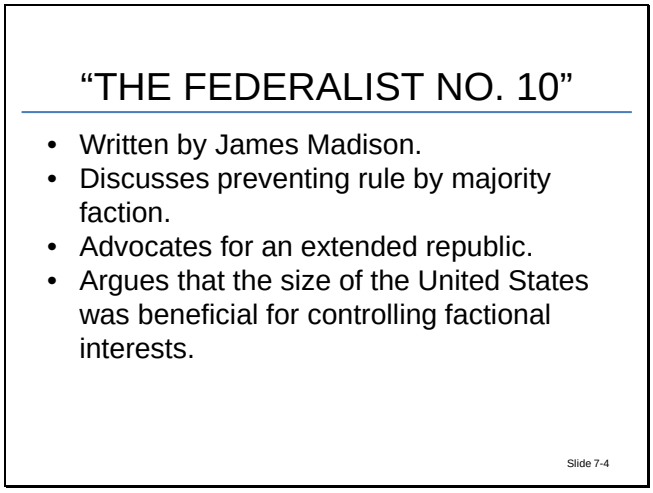
   a. Alexander Hamilton.

   b. John Jay.

   c. James Madison.

3. A primary source used to interpret the United States Constitution. The essays provide insight into the philosophy and motivation behind the system of government being proposed.

4. The authors' intent was to influence the vote in support of ratification, as well as to provide insight for later interpretations of the Constitution.




B. "The Federalist No. 10."

1. Written by James Madison and published on Nov. 23, 1787.

2. Discusses prevention of rule by majority faction.

3. Advocates an extended republic (i.e., a political system or government in which people elect representatives to exercise power for them).

4. Argues that the size of the U.S. was beneficial in the control of factional interests.

## II. WHAT DO WE MEAN BY PUBLIC POLICY?

### PUBLIC POLICY

- Public policy refers to action (or inaction) taken by governmental entities regarding an issue or set of issues that a significant number of people or groups regard as important and in need of solving.

Slide 7-5

A. Public policy refers to action (or inaction) taken by governmental entities regarding an issue or set of issues that a significant number of people or groups regard as important and in need of solving. These include:

1. Actions.
2. Laws and regulatory measures.
3. Priorities regarding funding.

B. In the U.S., public policy is:

1. Exemplified in the Constitution, acts of legislation, and decisions by the judiciary.
2. Reflected in both the decision-making process and analysis of decisions.

### PUBLIC POLICY (cont'd)

- Reflects concepts that define the constitution of the state.
- Regulates the state's powers.
- Defines and regulates the relationship between the state and its citizens.

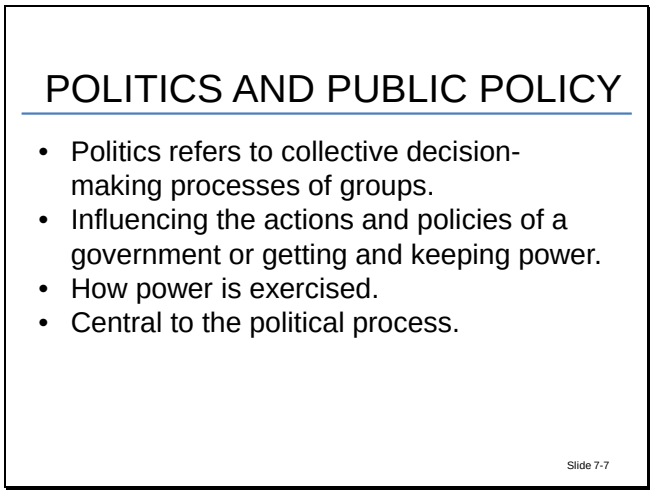
Slide 7-6

C. Public policies reflect concepts that define the constitution of the state, regulate its powers, and/ or define and regulate the relationship between the state and its citizens.

D. The formation of public policy is a public activity that affects a broader swath of individuals and interests than those of private individuals and organizations.

"But because the public is the source of political authority — that is, the authority to act on the public's behalf — it is clear that government is at the center of efforts to make public policy." (Birkland, 2005)

## III. THE RELATIONSHIP BETWEEN POLITICS AND PUBLIC POLICY




A. Politics refers to collective decision-making processes of groups.

B. Merriam-Webster defines politics as:

"Activities that relate to influencing the actions and policies of a government or getting and keeping power in a government; the work or job of people (such as elected officials) who are part of a government; the opinions that someone has about what should be done by governments : a person's political thoughts and opinions" (http://www.merriam-webster.com/dictionary/politics).

C. In essence, politics has to do with how power is exercised and used to allocate resources and benefits to some while imposing costs and burdens on others.

D. Formulating public policy is a central component of the political process.

## PUBLIC POLICY VERSUS POLITICS

- Public policy refers to action (or inaction) taken by governmental entities regarding an issue or set of issues that a significant number of people or groups regard as important and in need of solving.
- Politics refers to activities that relate to influencing the actions and policies of a government or getting and keeping power in a government.

Slide 7-8

## PUBLIC POLICY VERSUS POLITICS (cont'd)

- Where do these processes intersect?
- How is power wielded and defined in your organization? In your community? Give examples.

Slide 7-9

E. The direction and shape of public policy is influenced by groups with an interest in an issue.

1. Interest groups attempt to influence the shape of public policy through various means:

   a. Advocacy.

   b. Mobilization.

   c. Education.

   d. Political pressure.

2. Competing interest groups attempt to influence the policymakers in their favor.

This page intentionally left blank.

# ACTIVITY 7.1

## Examining a Public Policy Debate

### Purpose

Examine a public policy issue, and identify interest groups and their approach to the issue.

### Directions

1. Within your table group, discuss the issue, the interest groups, and the outcomes of the debate thus far.

2. Identify the following, and record on an easel pad:

    a. The issue.

    b. Interest groups involved.

    c. Interest groups' position relative to the issue/how they frame the issue.

    d. Methods used to attempt to influence the shape of the public policy.

    e. Degree of success or failure in influencing the outcome (or progress thus far).

3. Be prepared to present your evaluation to the class.

This page intentionally left blank.

# ACTIVITY 7.2

## Seeport Exercise

### Purpose

Examine the influence of competing interests (factions) on decision-making and outcomes.

### Directions

1. The Seeport Exercise involves a negotiation that demonstrates the influence of competing interests on outcomes.

2. You will be provided confidential instructions for the following roles:

    a. Seeport negotiator.

    b. Governor's negotiator.

    c. Federal DCR negotiator.

    d. Environmentalist.

    e. Union leader.

    f. Other ports representative.

3. You will count off in groups of six. All ones will be assigned the role of Seeport negotiator, all twos the role of governor's negotiator, and so on.

4. Multiple negotiations will occur at the same time, each of which will consist of six to a group.

5. Each role represents an interest group, and each role receives instructions for how to approach the negotiations.

6. You will have 30 minutes to read the description of the negotiations (see Appendix B) and the instructions for your role (these will be distributed in class), and you will have an additional 30 minutes to think about how you want to approach the negotiations and prepare.

7. There will be up to three rounds of negotiation.

8. The total amount of time allowed for the negotiations is 75 minutes.

9. Read the entire description very carefully, as well as the instructions that pertain to your role.

10. After the 60 minutes have passed, your negotiations should be underway or beginning.

11. Inform your instructor when your group finishes your negotiations, and reconvene when all negotiations are over or when 75 minutes have passed.

12. The exercise will end with a discussion of the outcomes of the different groups' negotiations and the relevance of the exercise to the points that Madison was making in "The Federalist No. 10."

## IV. SUMMARY

### SUMMARY

- The Federalist Papers.
- What do we mean by public policy?
- The relationship between politics and public policy.

Slide 7-12

This page intentionally left blank.

# APPENDIX A

## THE FEDERALIST NO. 10: THE UTILITY OF THE UNION AS A SAFEGUARD AGAINST DOMESTIC FACTION AND INSURRECTION

This page intentionally left blank.

# THE FEDERALIST NO. 10

## THE UTILITY OF THE UNION AS A SAFEGUARD AGAINST DOMESTIC FACTION AND INSURRECTION

**Daily Advertiser**

Thursday, November 22, 1787

[James Madison]

**To the People of the State of New York:**

AMONG the numerous advantages promised by a well constructed Union, none deserves to be more accurately developed than its tendency to break and control the violence of faction. The friend of popular governments never finds himself so much alarmed for their character and fate, as when he contemplates their propensity to this dangerous vice. He will not fail, therefore, to set a due value on any plan which, without violating the principles to which he is attached, provides a proper cure for it. The instability, injustice, and confusion introduced into the public councils, have, in truth, been the mortal diseases under which popular governments have everywhere perished; as they continue to be the favorite and fruitful topics from which the adversaries to liberty derive their most specious declamations. The valuable improvements made by the American constitutions on the popular models, both ancient and modern, cannot certainly be too much admired; but it would be an unwarrantable partiality, to contend that they have as effectually obviated the danger on this side, as was wished and expected. Complaints are everywhere heard from our most considerate and virtuous citizens, equally the friends of public and private faith, and of public and personal liberty, that our governments are too unstable, that the public good is disregarded in the conflicts of rival parties, and that measures are too often decided, not according to the rules of justice and the rights of the minor party, but by the superior force of an interested and overbearing majority. However anxiously we may wish that these complaints had no foundation, the evidence, of known facts will not permit us to deny that they are in some degree true. It will be found, indeed, on a candid review of our situation, that some of the distresses under which we labor have been erroneously charged on the operation of our governments; but it will be found, at the same time, that other causes will not alone account for many of our heaviest misfortunes; and, particularly, for that prevailing and increasing distrust of public engagements, and alarm for private rights, which are echoed from one end of the continent to the other. These must be chiefly, if not wholly, effects of the unsteadiness and injustice with which a factious spirit has tainted our public administrations.

By a faction, I understand a number of citizens, whether amounting to a majority or a minority of the whole, who are united and actuated by some common impulse of passion, or of interest, adversed to the rights of other citizens, or to the permanent and aggregate interests of the community.

There are two methods of curing the mischiefs of faction: the one, by removing its causes; the other, by controlling its effects.

There are again two methods of removing the causes of faction: the one, by destroying the liberty which is essential to its existence; the other, by giving to every citizen the same opinions, the same passions, and the same interests.

It could never be more truly said than of the first remedy, that it was worse than the disease. Liberty is to faction what air is to fire, an aliment without which it instantly expires. But it could not be less folly to abolish liberty, which is essential to political life, because it nourishes faction, than it would be to wish the annihilation of air, which is essential to animal life, because it imparts to fire its destructive agency.

The second expedient is as impracticable as the first would be unwise. As long as the reason of man continues fallible, and he is at liberty to exercise it, different opinions will be formed. As long as the connection subsists between his reason and his self-love, his opinions and his passions will have a reciprocal influence on each other; and the former will be objects to which the latter will attach themselves. The diversity in the faculties of men, from which the rights of property originate, is not less an insuperable obstacle to a uniformity of interests. The protection of these faculties is the first object of government. From the protection of different and unequal faculties of acquiring property, the possession of different degrees and kinds of property immediately results; and from the influence of these on the sentiments and views of the respective proprietors, ensues a division of the society into different interests and parties.

The latent causes of faction are thus sown in the nature of man; and we see them everywhere brought into different degrees of activity, according to the different circumstances of civil society. A zeal for different opinions concerning religion, concerning government, and many other points, as well of speculation as of practice; an attachment to different leaders ambitiously contending for pre-eminence and power; or to persons of other descriptions whose fortunes have been interesting to the human passions, have, in turn, divided mankind into parties, inflamed them with mutual animosity, and rendered them much more disposed to vex and oppress each other than to co-operate for their common good. So strong is this propensity of mankind to fall into mutual animosities, that where no substantial occasion presents itself, the most frivolous and fanciful distinctions have been sufficient to kindle their unfriendly passions and excite their most violent conflicts. But the most common and durable source of factions has been the various and unequal distribution of property. Those who hold and those who are without property have ever formed distinct interests in society. Those who are creditors, and those who are debtors, fall under a like discrimination. A landed interest, a manufacturing interest, a mercantile interest, a moneyed interest, with many lesser interests, grow up of necessity in civilized nations, and divide them into different classes, actuated by different sentiments and views. The regulation of these various and interfering interests forms the principal task of modern legislation, and involves the spirit of party and faction in the necessary and ordinary operations of the government.

No man is allowed to be a judge in his own cause, because his interest would certainly bias his judgment, and, not improbably, corrupt his integrity. With equal, nay with greater reason, a body

of men are unfit to be both judges and parties at the same time; yet what are many of the most important acts of legislation, but so many judicial determinations, not indeed concerning the rights of single persons, but concerning the rights of large bodies of citizens? And what are the different classes of legislators but advocates and parties to the causes which they determine? Is a law proposed concerning private debts? It is a question to which the creditors are parties on one side and the debtors on the other. Justice ought to hold the balance between them. Yet the parties are, and must be, themselves the judges; and the most numerous party, or, in other words, the most powerful faction must be expected to prevail. Shall domestic manufactures be encouraged, and in what degree, by restrictions on foreign manufactures? are questions which would be differently decided by the landed and the manufacturing classes, and probably by neither with a sole regard to justice and the public good. The apportionment of taxes on the various descriptions of property is an act which seems to require the most exact impartiality; yet there is, perhaps, no legislative act in which greater opportunity and temptation are given to a predominant party to trample on the rules of justice. Every shilling with which they overburden the inferior number, is a shilling saved to their own pockets.

It is in vain to say that enlightened statesmen will be able to adjust these clashing interests, and render them all subservient to the public good. Enlightened statesmen will not always be at the helm. Nor, in many cases, can such an adjustment be made at all without taking into view indirect and remote considerations, which will rarely prevail over the immediate interest which one party may find in disregarding the rights of another or the good of the whole.

The inference to which we are brought is, that the *causes* of faction cannot be removed, and that relief is only to be sought in the means of controlling its *effects*.

If a faction consists of less than a majority, relief is supplied by the republican principle, which enables the majority to defeat its sinister views by regular vote. It may clog the administration, it may convulse the society; but it will be unable to execute and mask its violence under the forms of the Constitution. When a majority is included in a faction, the form of popular government, on the other hand, enables it to sacrifice to its ruling passion or interest both the public good and the rights of other citizens. To secure the public good and private rights against the danger of such a faction, and at the same time to preserve the spirit and the form of popular government, is then the great object to which our inquiries are directed. Let me add that it is the great desideratum by which this form of government can be rescued from the opprobrium under which it has so long labored, and be recommended to the esteem and adoption of mankind.

By what means is this object attainable? Evidently by one of two only. Either the existence of the same passion or interest in a majority at the same time must be prevented, or the majority, having such coexistent passion or interest, must be rendered, by their number and local situation, unable to concert and carry into effect schemes of oppression. If the impulse and the opportunity be suffered to coincide, we well know that neither moral nor religious motives can be relied on as an adequate control. They are not found to be such on the injustice and violence of individuals, and lose their efficacy in proportion to the number combined together, that is, in proportion as their efficacy becomes needful.

From this view of the subject it may be concluded that a pure democracy, by which I mean a society consisting of a small number of citizens, who assemble and administer the government in person, can admit of no cure for the mischiefs of faction. A common passion or interest will, in almost every case, be felt by a majority of the whole; a communication and concert result from the form of government itself; and there is nothing to check the inducements to sacrifice the weaker party or an obnoxious individual. Hence it is that such democracies have ever been spectacles of turbulence and contention; have ever been found incompatible with personal security or the rights of property; and have in general been as short in their lives as they have been violent in their deaths. Theoretic politicians, who have patronized this species of government, have erroneously supposed that by reducing mankind to a perfect equality in their political rights, they would, at the same time, be perfectly equalized and assimilated in their possessions, their opinions, and their passions.

A republic, by which I mean a government in which the scheme of representation takes place, opens a different prospect, and promises the cure for which we are seeking. Let us examine the points in which it varies from pure democracy, and we shall comprehend both the nature of the cure and the efficacy which it must derive from the Union.

The two great points of difference between a democracy and a republic are: first, the delegation of the government, in the latter, to a small number of citizens elected by the rest; secondly, the greater number of citizens, and greater sphere of country, over which the latter may be extended.

The effect of the first difference is, on the one hand, to refine and enlarge the public views, by passing them through the medium of a chosen body of citizens, whose wisdom may best discern the true interest of their country, and whose patriotism and love of justice will be least likely to sacrifice it to temporary or partial considerations. Under such a regulation, it may well happen that the public voice, pronounced by the representatives of the people, will be more consonant to the public good than if pronounced by the people themselves, convened for the purpose. On the other hand, the effect may be inverted. Men of factious tempers, of local prejudices, or of sinister designs, may, by intrigue, by corruption, or by other means, first obtain the suffrages, and then betray the interests, of the people. The question resulting is, whether small or extensive republics are more favorable to the election of proper guardians of the public weal; and it is clearly decided in favor of the latter by two obvious considerations:

In the first place, it is to be remarked that, however small the republic may be, the representatives must be raised to a certain number, in order to guard against the cabals of a few; and that, however large it may be, they must be limited to a certain number, in order to guard against the confusion of a multitude. Hence, the number of representatives in the two cases not being in proportion to that of the two constituents, and being proportionally greater in the small republic, it follows that, if the proportion of fit characters be not less in the large than in the small republic, the former will present a greater option, and consequently a greater probability of a fit choice.

In the next place, as each representative will be chosen by a greater number of citizens in the large than in the small republic, it will be more difficult for unworthy candidates to practice with success the vicious arts by which elections are too often carried; and the suffrages of the people

being more free, will be more likely to centre in men who possess the most attractive merit and the most diffusive and established characters.

It must be confessed that in this, as in most other cases, there is a mean, on both sides of which inconveniences will be found to lie. By enlarging too much the number of electors, you render the representatives too little acquainted with all their local circumstances and lesser interests; as by reducing it too much, you render him unduly attached to these, and too little fit to comprehend and pursue great and national objects. The federal Constitution forms a happy combination in this respect; the great and aggregate interests being referred to the national, the local and particular to the State legislatures.

The other point of difference is, the greater number of citizens and extent of territory which may be brought within the compass of republican than of democratic government; and it is this circumstance principally which renders factious combinations less to be dreaded in the former than in the latter. The smaller the society, the fewer probably will be the distinct parties and interests composing it; the fewer the distinct parties and interests, the more frequently will a majority be found of the same party; and the smaller the number of individuals composing a majority, and the smaller the compass within which they are placed, the more easily will they concert and execute their plans of oppression. Extend the sphere, and you take in a greater variety of parties and interests; you make it less probable that a majority of the whole will have a common motive to invade the rights of other citizens; or if such a common motive exists, it will be more difficult for all who feel it to discover their own strength, and to act in unison with each other. Besides other impediments, it may be remarked that, where there is a consciousness of unjust or dishonorable purposes, communication is always checked by distrust in proportion to the number whose concurrence is necessary.

Hence, it clearly appears, that the same advantage which a republic has over a democracy, in controlling the effects of faction, is enjoyed by a large over a small republic, -- is enjoyed by the Union over the States composing it. Does the advantage consist in the substitution of representatives whose enlightened views and virtuous sentiments render them superior to local prejudices and schemes of injustice? It will not be denied that the representation of the Union will be most likely to possess these requisite endowments. Does it consist in the greater security afforded by a greater variety of parties, against the event of any one party being able to outnumber and oppress the rest? In an equal degree does the increased variety of parties comprised within the Union, increase this security. Does it, in fine, consist in the greater obstacles opposed to the concert and accomplishment of the secret wishes of an unjust and interested majority? Here, again, the extent of the Union gives it the most palpable advantage.

The influence of factious leaders may kindle a flame within their particular States, but will be unable to spread a general conflagration through the other States. A religious sect may degenerate into a political faction in a part of the Confederacy; but the variety of sects dispersed over the entire face of it must secure the national councils against any danger from that source. A rage for paper money, for an abolition of debts, for an equal division of property, or for any other improper or wicked project, will be less apt to pervade the whole body of the Union than a particular member of it; in the same proportion as such a malady is more likely to taint a particular county or district, than an entire State.

In the extent and proper structure of the Union, therefore, we behold a republican remedy for the diseases most incident to republican government. And according to the degree of pleasure and pride we feel in being republicans, ought to be our zeal in cherishing the spirit and supporting the character of Federalists.

PUBLIUS

# APPENDIX B

## SEEPORT GENERAL INFORMATION FOR ALL INTERESTED PARTIES WITH CONFIDENTIAL INSTRUCTIONS TO THE SEEPORT NEGOTIATOR FROM THE BOARD OF DIRECTORS OF THE SEEPORT CONSORTIUM

This page intentionally left blank.

# SEEPORT
# GENERAL INFORMATION FOR ALL INTERESTED PARTIES WITH CONFIDENTIAL INSTRUCTIONS TO THE SEEPORT NEGOTIATOR FROM THE BOARD OF DIRECTORS OF THE SEEPORT CONSORTIUM[1]

A newly formed industrial consortium, Seeport, is interested in building and operating a deepwater port in the city of Delta on the coast of the state of Seaborne. The consortium's members, drawn from a variety of commercial enterprises, expect to participate in the financing, construction, and operation of the port. Seeport has already engaged in some preliminary planning and design work, but cannot proceed without a license issued by the Federal Licensing Agency (FLA).

## The Project

The deepwater port proposed by Seeport would be the first of its kind on the East Coast. It would be located near the city of Delta at the estuary of the Banksedge River. Like the European seaport, Rotterdam, it would accommodate a new generation of large cargo ships and supertankers—ships considered to be especially cost-effective in transporting raw materials and container goods.

The deepwater port would be based on an artificial island of roughly nine square miles created with fill from the dredging of an access channel. The island would be connected to the shore by a network of highways, railroads, and pipelines. On-shore, an Air-Sea Cargo Center would be developed, along with connections to existing highways, railroads, and pipelines. Substantial infrastructure would be needed to support an intermodal freight terminal of this sort. Most of the industrial plant and ancillary facilities would be located on the island.

While certain components of the port would be operational as early as 5 years after construction begins, the port's full development might not be completed until 20 years later. The projected cost of the port is roughly $4 billion (in current dollars.)

## The Parties

The Seeport consortium is excited about the prospect of building a deepwater port in Seaborne. It believes such a port could generate substantial profits within 10 years after operations begin. (Seeport bases its projections on an independent study by Transport Associates Inc., which concluded that such a port could be economically viable with several possible scenarios.) In

[1] This exercise is a modified version of the Deeport exercise which was written by Denise Madigan and Thomas T. Weeks under the supervision of Dr. David A. Lax, Professor James K. Sebenius, and Professor Lawrence Susskind. Modifications were made by Assistant Professor Michael D. Watkins.

© 2007 Michael Watkins.

addition, Seeport believes that the local, regional, and national economies could benefit from a port that would dramatically reduce the transport costs of imports and exports.

Several other parties, however, have an interest in the deepwater port. Each would like to exert some influence over the terms of Seeport's application for a license. Following are descriptions of five of the most powerful parties:

***The Environmental League:*** This coalition of environmental interest groups is generally opposed to any "development" of coastal areas, especially development projects that might threaten fragile ecosystems, add to air and water pollution, increase waste disposal problems, and increase health and safety risks. The league is worried that Seeport's proposed port would seriously damage the coastal environment around Delta and destroy the Banksedge River ecology. The League will be represented by a member of its board of directors.

***Local Federation of Labor Unions (The Unions):*** The Unions is generally pleased that new industrial development is being considered for Delta. It anticipates the creation of hundreds of new jobs in the short run and long run. It will argue strongly, however, that these jobs should be reserved for local union members. The Federation will be represented by a member of its executive committee.

***Other Ports in the State:*** The four small existing ports in the state of Seaborne are not pleased with Seeport's proposal. They expect to lose a substantial amount of business to the new port, if it is constructed. They are skeptical of Seeport's claim that all regional ports will share in the economic benefits generated by the new deepwater port, and they are concerned that they may not have the resources to successfully make the transition to being "feeder" ports. The other ports will be represented by a consultant hired by the board of directors of the Seaborne Port Association.

***Federal Department of Coastal Resources (DCR):*** This federal agency has a dual mandate: (1) to help realize the economic potential of the nation's coastal resources and (2) to preserve the environmental integrity of the nation's coastal areas. The DCR would like to see a deepwater port established somewhere on the East Coast and has the resources and authority to subsidize such a port if it so chooses. The Department of Coastal Resources will be represented by an aide to the secretary.

***Governor Sherwood (of Seaborne):*** Governor Sherwood is eager to promote development in her state. The governor is sensitive, however, to the concerns of organized labor, environmental groups, and the other ports in the state, and is therefore anxious to see that everyone shares in the benefits of the new port. The governor will be represented by a member of her political staff.

## The Licensing Process

Seeport submitted an application one month ago for FLA review. While aware of the other parties' interests in its proposal, Seeport expected little difficulty in obtaining a license to proceed.

The FLA, however, has recently been criticized by several members of Congress for failing to consider the "broader public interest" in its previous licensing determinations. Consequently, the FLA is now very sensitive to the extent of political support surrounding each application it reviews.

In this case, the FLA has decided that it will not approve Seeport's application unless it is clear that there is substantial political support for this project. It has therefore decided that it will approve Seeport's proposal only if Seeport can muster the support of at least four of the other interested parties. The FLA would prefer to see all five parties support a Seeport application but will grant a license if only four lend their support.

Thus, any two parties, together, can exercise veto power over the project by preventing adequate support. In addition, Seeport and the governor can individually veto any project. Finally, the federal DCR can veto any project that involves any federal loan support.

## The Issues

Preliminary discussions have taken place between Seeport and representatives of the other parties. As a result of these conversations, Seeport has identified five issues that seem to be of concern to all or some of the parties. A general description of the issues follows; the individual concerns of the parties are summarized separately in their confidential instructions.

### Issue No. 1: Industry Mix

The deepwater port itself is only part of the development Seeport has planned. With the construction of the port will come a variety of industries seeking access to the port. These industries will either lease or purchase land, both on the artificial island and on-shore. The bulk of Seeport's revenues associated with the new port will flow from these real estate ventures.

Seeport has initially requested complete freedom in developing the port lands. This means that it could develop (or encourage) any mix of industry or plant, including oil refineries, steel mills, and a resource recovery plant. The environmentalists, however, have argued that strict limits should be placed on the industry mix allowed in the area: they are asking that only relatively light industries, such as high-tech production plants, be allowed.

As a result of this controversy, three options have surfaced:

1a) Restricted to all light — would be limited to only light industries such as high-tech production industries; dirty plants would be excluded

1b) Restricted to medium — would exclude most heavy industries, such as petrochemical plants, but would allow Seeport to include medium industries such as food processing

1c) Unrestricted mix — no industry would be excluded, but the Seeport's preferred mix would probably be dominated by oil refineries, petrochemical plants, steel mills, and a resource recovery plant because these are the industries that would benefit most from construction of a deepwater port.

Air pollution, water pollution, and waste disposal would vary with the industry mix selected. But, regardless of the industry mix in the project, all industries would have to conform to existing federal and state pollution regulations.

## Issue No. 2: Ecological Impact

If the present Seeport plan is enacted, the dredging of the access channel, the creation of the island, and general construction activity at the port would seriously disrupt existing ecologically delicate areas both on and off shore. Damage would most likely include the alteration of nesting habitats, a reduction in natural tidal flushing, the destruction of wetlands, serious land erosion, adverse affects on existing fisheries, and substantial subsurface geological disruption (caused by drilling and dredging).

Seeport admits that the new deepwater port would cause some damage to the ecological setting, but also claims that such damage would be within the limits defined by federal and state regulations. Environmentalists counter that the damage would be excessive, and that Seeport has no right to disrupt the area.

In light of these arguments, four possible outcomes have been identified:

2a) **Significant harm** to the coastal ecology: This would involve significant unremedied disruption to the ecological balance. Fish and animal nesting habitats would be altered (or effectively destroyed), valuable wetlands would disappear, water temperatures and currents would change, and certain types of aquatic flora and fauna would be destroyed. All this would take place within existing federal and state guidelines.

2b) **Some prevention** of ecological damage: This would involve special precautions to divert construction and dredging activity (where possible) away from the most ecologically delicate areas.

2c) **Some reconstruction** of the ecological setting: In addition to diverting construction activities away from sensitive areas, this option would include the relocation or recreation of destroyed coastal habitats. It would also include attempts to avoid disrupting marine temperatures and currents.

2d) **Significant improvement** of the ecological setting: Like the previous option, this would include activities to prevent ecological damage and maintain the environment.

But it would also include a variety of other efforts to improve the local environment, including fisheries management and wildlife protection programs, the creation of new and larger protected wetland areas, an active anti-erosion program, and the construction and operation of a small waste treatment facility to treat effluent flowing into the estuary from the Banksedge River.

## Issue No. 3: Employment Rules

Construction and operation of the deepwater port is expected to generate hundreds of new jobs in the community. These jobs can be distributed among potential employees in one of four ways:

3a) Unlimited union preference: Blue collar jobs would be reserved for local union workers. This would enable local union members to claim most of the new jobs generated by Seeport.

3b) Union Quota 2:1: Significant preference would be given to union members such that the ratio of union to non-union workers in blue collar occupations would not be less than 2 to 1.

3c) Union Quota of 1:1: Limited preference would be given to union members such that the ratio of union to non-union workers in blue collar occupations would not be less than 1 to 1.

3d) No union preference (unrestricted hiring practices): Seeport would be free to hire whomever it chooses. In this scenario, most workers would probably be non-union workers, enabling Seeport to maintain the maximum degree of labor flexibility and to reduce expected wage costs.

## Issue No. 4: Federal Loans

The newly created federal Department of Coastal Resources (DCR) has a mandate to promote economic development of coastal areas while preserving the environmental integrity of these areas. It can provide substantial loans to help cover the construction and operating costs of the port during the next 20 years. DCR is interested in seeing the port developed but has implied that there will be strings attached if it lends money for the project.

Seeport estimates that the total cost of the project will be $4 billion. It has requested $3 billion in loans. DCR is considering this, and three other options:

4a) No federal loan

4b) $1 billion loan

4c) $2 billion loan

4d) $3 billion loan

## Issue No. 5: Compensation to the Other Ports in the State

Seeport believes that the new port will generate significant economic growth both in and outside the state. It contends that the entire regional economy will be improved by the port, and that the other four small existing ports in Seaborne will benefit from this growth.

The other ports, however, expect to suffer a substantial loss of traffic once the new port begins operation. They have estimated the present value of their losses to be roughly $600 million. This represents their losses for a 10-year period after the new port begins operation. These four ports argue that they should be compensated for their losses.

In light of this conflict, five possible options are up for consideration. Seeport could provide:

5a) $600 million (or 100% compensation) to the other ports

5b) $450 million (or 75% compensation) to the other ports

5c) $300 million (or 50% compensation) to the other ports

5d) $150 million (or 25% compensation) to the other ports

5e) No compensation

This money would be paid by Seeport to the other ports at the beginning of the project. Although the ports would be free to spend this money as they wished, they could use these funds to make changes in their facilities that would enable them to serve more effectively as feeder ports for the new deepwater port.

### The Negotiation

In the original license application submitted to the FLA, Seeport proposed the following:

- An unrestricted industry mix
- Significant harm to the coastal ecology (but within limits prescribed by federal and state laws)
- A $3 billion loan from the DCR
- No special preference for union workers
- No compensation payments to other ports

Seeport is free to submit changes to its proposal at any time during the licensing review process, but it is anxious to have its application approved as is.

In an attempt to muster support for its current proposal, Seeport has invited all of the key parties to a meeting at the Ritz-Carlton Hotel in the city of Delta. Seeport's stated objective for the meeting is to seek a negotiated agreement among all parties to ensure support for its proposal. Of course, Seeport needs the support of only four of the other parties to secure a license, including the governor and the federal DCR (unless there is no federal loan).

## Mechanics of the Negotiation

All parties have agreed to attend the meeting. Each party has seen a copy of Seeport's current FLA application.

The discussions may progress in any direction, but Seeport will be searching for a proposal that will win enough votes for FLA approval. Anyone can suggest alternative proposals and request a vote.

Although all parties have agreed to attend the meeting, they need not meet as a group throughout the negotiating session. Parties can opt to walk away from the discussion if they so desire. In addition, they are free to meet privately in smaller groups at any time.

Once a proposal is passed, the votes are binding and the parties cannot renege on their promise of the support. To be binding, a vote must be on a "package" that addresses all five of the issues. The parties remain free, however, to explore improvements in the agreement. But proposed improvements must be supported by all the parties to the original agreement, otherwise the original agreement stands.

Negotiations must stop at the end of the meeting. If no agreement is reached, the FLA will reject Seeport's application for a license.

This page intentionally left blank.

# *UNIT 8:*
# *INFLUENCE AND PERSUASION*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*8.1 Distinguish the skills and techniques associated with influence from those associated with persuasion.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*8.1 Analyze the use of influence.*

*8.2 Describe the four components of a successful persuasion approach.*

*8.3 Analyze the effective application of the four key components to situations where persuasion is critical to leading effectively.*

This page intentionally left blank.

# UNIT 8: INFLUENCE AND PERSUASION

Slide 8-1

## ENABLING OBJECTIVES

- Analyze the use of influence.
- Describe the four components of a successful persuasion approach.
- Analyze the effective application of the four key components to situations where persuasion is critical to leading effectively.

Slide 8-2

## I. INFLUENCE OVERVIEW

## DEFINITIONS

- Influence is “the capacity or power of persons or things to be a compelling force on or produce effects on the actions, behavior, opinions, etc., of others.”
- Persuasion is “the ability to present a message in a way that leads others to follow it.”

— Dr. Jay Conger

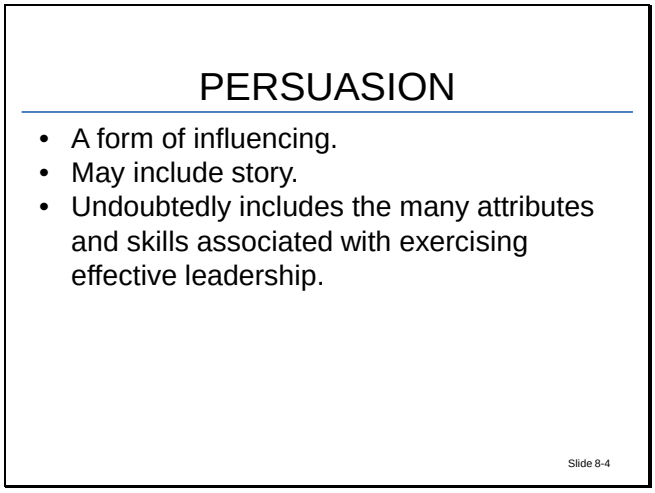
Slide 8-3

A. Definitions of **influence** and **persuasion.**

1. Influence is "the capacity or power of people or things to be a compelling force on or produce effects on the actions, behavior, opinions, etc., of others."

2. The basic definition used for **persuasion** in this unit comes from the book "Winning 'Em Over" by Dr. Jay Conger:

   "Effective persuasion is the ability to present a message in a way that leads others to follow it."

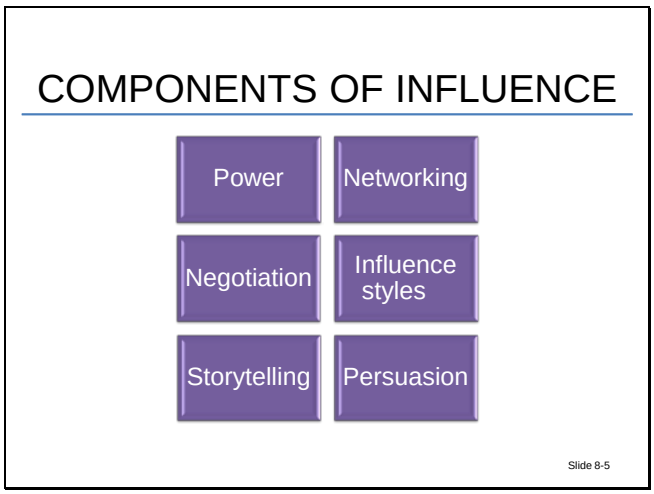



B. Recipients of influence.

1. Internal — the organizational audience of people subject to the formal authority of the authority figure.

2. External — the peers and superiors within the higher reaches of the organization, and those elements outside the organization's boundaries.

C. Factors that contribute to the capacity to influence.




1. Power.

   a. To get one's way.

   b. Dependent on others' perception of our resources and dependence on others to commit their resources on our behalf; affected by job title, charisma, reputation for expertise.

2. Networking.

   a. "… the ability to create and maintain an effective, widely based system of resources that works to the mutual benefit of oneself and others."

   b. Uses the skill dimensions associated with using relevant information, having good working relations, and maintaining and communicating a good track record.

   c. Kotter suggests that networking involves creating a "... network of cooperative relationships among those people (an executive feels) are needed to satisfy their emerging agendas" (Kotter, 1999).

   d. Requires activities on the part of the authority figure both inside and outside of the organizational framework.

3. Negotiation.

   a. Overall process of dealing with others to obtain tangible and intangible resources to achieve one's aims.

   b. Involves negotiation-style setting that can affect the outcomes.

c. Definition of “winning” needs redefinition in effective negotiation.

4. Influence styles.

a. There are three influence styles.

b. Each individual has preferences in his or her personal influence style.

c. Each style has its place in the executive skills repertoire of an effective authority figure.

5. Storytelling.

a. Process of “story” is implicit in other influence tools.

b. Storytelling can be used to provide “teachable moments.”

c. Offers a unique tool for communicating facts, data, information, values, commitment and passion.

6. Persuasion.

Used to educate and involve the other person in our point of view so that he or she will want what we want.

7. Influencing is highly dynamic and must be evaluated throughout the implementation/process phase.

D. Where power and influence intersect.

1. Both are about getting your way, but influence is more subtle.

2. Influence involves attempting to educate another person to want or agree to support the same thing(s) you do.

3. Factors affecting the decision to agree or support include:

a. Affinity (you like me).

b. Fear (you fear me).

c. Respect (you respect my expertise).

4. Use of influence to gain support is more difficult than the use of power (e.g., picking a lock versus breaking down the door).

## II. INFLUENCE STYLES

### LOGICAL PERSUASION

- Focus is on getting the facts straight and doing the necessary cost-benefit analysis (CBA).
- Relies on logical arguments, getting the facts, and marshaling the evidence.
- Homework is done carefully.
- Counterarguments are considered in advance.

Slide 8-6

A. Logical persuasion.

1. The focus is on getting the facts straight and doing the necessary cost-benefit analysis (CBA).

2. This style heavily relies on logical arguments, getting the facts, and marshaling the evidence.

3. People using this style do their homework carefully and leave no stone unturned when presenting all the facts and in developing counterarguments to anticipated points likely to be raised by the target of the influence attempt.

### COMMON VISION

- Arguments can be factual but have additional qualities.
- Appeals to personal values and emotions of others.
- Considers the aspirations and values of others.
- Attempts to identify and articulate a common or shared vision of the future.

Slide 8-7

B. Common vision.

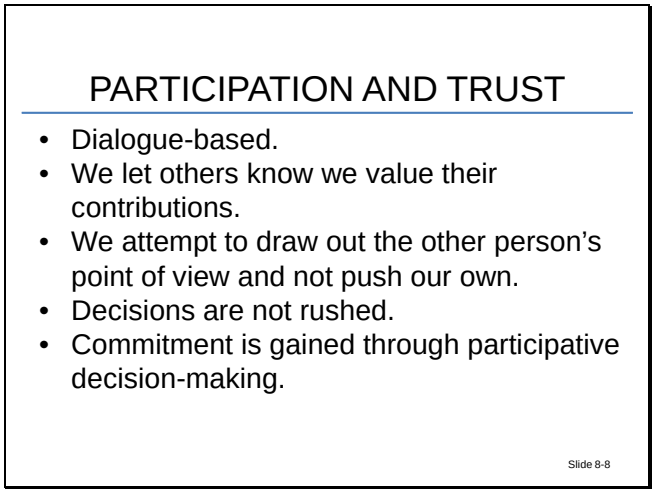
1. This approach is factually based but with additional qualities.

2. They appeal to the values and emotions of the other person and often convey excitement about the future.

3. When using this style, we think through the possible hopes, values and aspirations of the other person.

4. We try to identify and articulate a common or shared vision of what the future might be like if the other person does what we are proposing.

5. This strategy is often based on appeals to the other person's emotions, trying to kindle excitement about a better future the other person may value for himself or herself, others, and/or the organization.




C. Participation and trust.

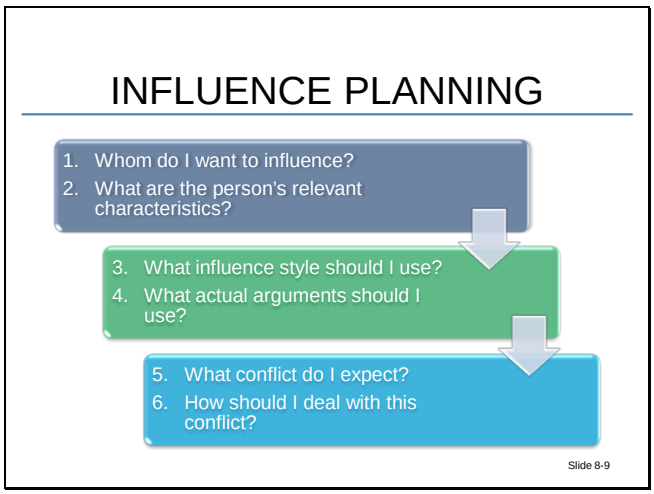
1. Using this style, we develop a dialogue with others to draw them into discussion so that in the end they want what we want because they helped develop it.

2. This style lets others know we value their contribution.

3. Rather than pushing our point of view, this style seeks to draw out the other person's.

4. Decisions are not reached in haste, so the other person knows there is plenty of time to explore his or her views.

5. The other person's participation is encouraged to build commitment.




D. Developing the influence plan.

1. With the influence process activities and styles as tools, you can think through how you want to develop your arguments; you develop an influence plan.

2. Ask the following questions to begin:

   a. Whom do I want to influence?

   b. What are the person's relevant characteristics? (What is it about this person that might provide a clue to the best influence approach?)

   c. What influence style should I use?

   d. What actual arguments should I use as I apply each selected influence style? (The styles represent argument categories that help point one to specific arguments.)

   e. What conflict do I expect? What do I expect the other person to say in rebuttal?

   f. How should I deal with this conflict?

   g. When you have a really tough opponent, a difficult issue to resolve, and you care a lot about the outcome, using the influence strategies outlined here will give you an edge.

## III. PERSUASION

### PERSUASION

"Successfully urge to do: talk into."

— Oxford Dictionary

Slide 8-10

A. Oxford Dictionary: "Successfully urge to do: talk into."

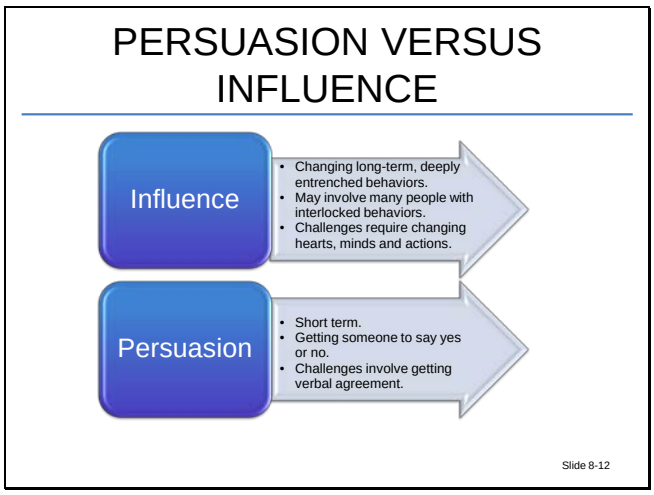
B. What is not persuasion?

1. The hard sell.
2. A one-way process.
3. Success on the first try.
4. No need for compromise.
5. Marshaling a great argument.
6. Manipulation.

### CONSTRUCTIVE VERSUS MANIPULATIVE PERSUASION

- Who benefits (win-win or win-lose)?
- Is the information reliable or misleading and inaccurate (fraud)?
- Does it feel like a competitive test of wills or a healthy dialogue and positive debate (test/competitiveness = win-lose)?

Slide 8-11




C. What distinguishes persuasion from influence?

1. Influence.

   a. Involves the challenge of changing long-term, deeply entrenched behaviors.

   b. Requires getting support from many people with many interlocked behaviors.

   c. Requires changing hearts, minds and actions.

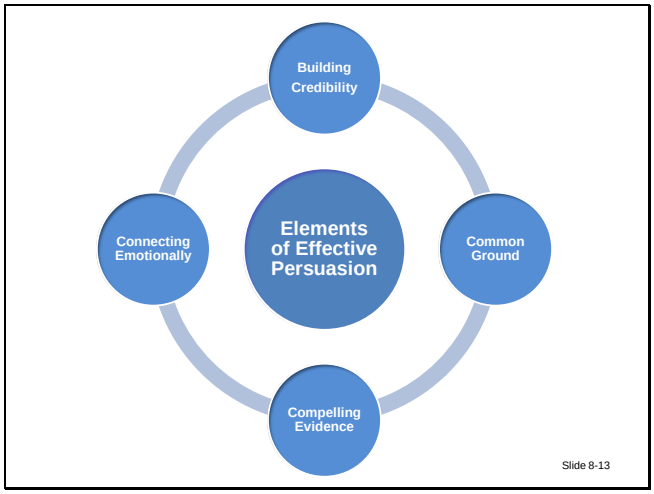
2. Persuasion.

   a. Challenges are more short term.

   b. This typically involves getting someone to say yes or no.

   c. Challenge revolves around getting verbal agreement.

## IV. CONGER'S FOUR ELEMENTS OF EFFECTIVE PERSUASION




A. Credibility.

1. Expertise — must be able to demonstrate the expertise claimed, or credibility will be destroyed.

2. Relationship — must demonstrate consistently by actions and attitude (beliefs and values) in daily interactions.

3. Referent power — indirect measure of credibility.

   a. Who is in your corner?

   b. With whom do you associate?

   c. What access have you created and maintained?

B. Common ground (framing).

1. Find a way of presenting the case from a viewpoint of the other person's wants and desires (goals and rewards).

2. "The way we frame an opportunity, for example, influences expectations." If we see and express it only through our own values, we may set up, unwittingly, an expectation on the part of the other person that we are only out for ourselves (values and beliefs).

3. Speak in the language of the person you are appealing to (language).

C. Compelling evidence.

1. Is the evidence we present meaningful to the other person?

2. Do we demonstrate the positive first or last?

    a. Negative first can demonstrate a way of looking at the situation that indicates a compelling need for change.

    b. Positive first can anchor a person in the right way, against which they may not want to argue.

3. Are we ready to show/turn counterarguments into support for our position?

4. Are we keeping the argument simple? Using analogies? Stories?

D. Connecting emotionally.

1. Emotions are the result of deeply held beliefs. Tapping into the emotions of the other person touches him or her at that level.

2. Showing our own emotion or passion lets a person into our world of values.

    a. When those values are shared by the other person, we connect.

    b. Or, by showing emotion and passion, we may be able to demonstrate our commitment in a way that the other person otherwise would not understand. (As the saying goes, “If you can fake sincerity, you’ve got it made!”)

This page intentionally left blank.

# ACTIVITY 8.1

## Practicing the Model

### Purpose

Provide an opportunity for students to examine the Persuasion Model by applying the theoretical aspects of each component (framing, compelling positions/evidence, emotional matchmaking and credibility).

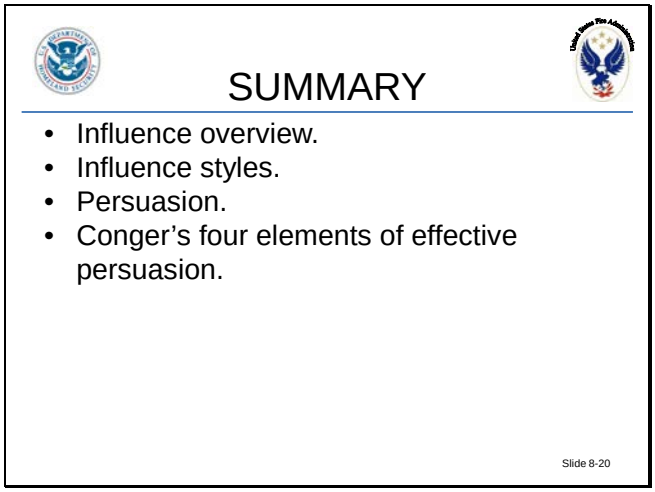
### Directions

1. The instructor will introduce each video segment.

2. The instructor will facilitate a large group discussion regarding the video segment and the component.

This page intentionally left blank.

## V. SUMMARY


SUMMARY
• Influence overview.
• Influence styles.
• Persuasion.
• Conger's four elements of effective persuasion.
Slide 8-20

This page intentionally left blank.

# *UNIT 9: NEGOTIATION*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*9.1 Assess their strengths and weaknesses in terms of negotiation.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*9.1 Determine relevant constituent groups and the arguments that would appeal to these groups.*

*9.2 Determine their negotiation style.*

This page intentionally left blank.

# UNIT 9:
# NEGOTIATION

Slide 9-1

## ENABLING OBJECTIVES

- Determine relevant constituent groups and the arguments that would appeal to these groups.
- Determine their negotiation style.

Slide 9-2

This page intentionally left blank.

# ACTIVITY 9.1

## Constituent Groups

### Purpose

Determine relevant constituent groups and the arguments that would appeal to these groups.

### Directions

1. Read the short case:

   Joan Burns, president of a small college in northern New England, has made a decision: She is going to allow drinking on campus by students 21 years of age. The college has never allowed drinking, but in the past two winters, nine students have died in accidents driving the 12 miles to town to party. On-campus drinking will have its problems, but the possibility of saving lives is worth the problems. The question on her mind is how to do it. She could just use her power as president to force the change (i.e., "break down the door"). Ultimately, she'll seek some advice, but right now she's trying to conceptualize a strategy. She begins to jot down thoughts and questions: Who are the various constituent groups, and what are their values on this issue? Whom should I approach and in what order? What arguments will be most persuasive with each target person?

2. Name several constituent groups with whom the president will need to deal.

   _____

   _____

   _____

3. What arguments might appeal to each of these groups?

   _____

   _____

   _____

4. What are the adaptive challenges, in this case?

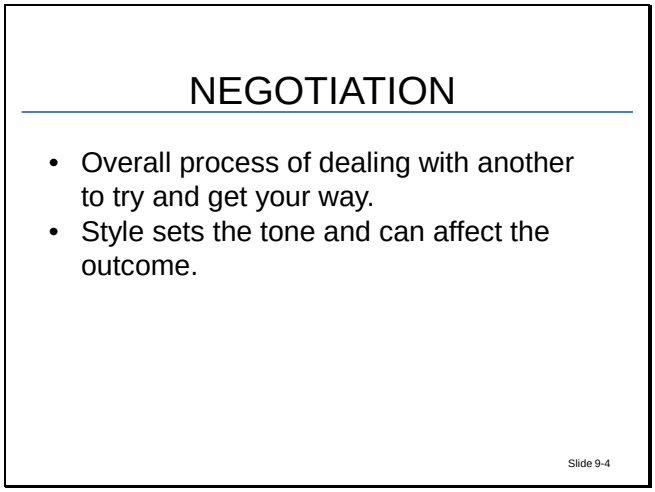
   _____

   _____

   _____

This page intentionally left blank.

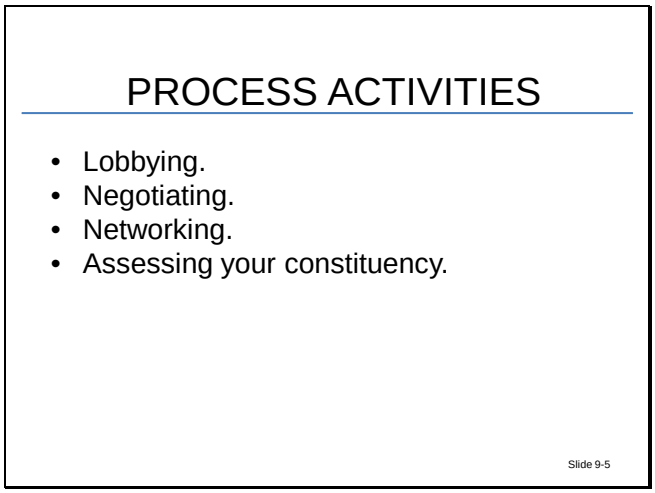
## I. PURPOSE OF NEGOTIATION




A. Definition and importance.

1. The overall process of dealing with another in trying to get your way.

2. The style of negotiation, soft versus hard, sets the tone of the encounter and can affect the outcome.




B. Four influence process activities.

1. Lobbying — identifying all the bases that need to be touched to accomplish your objective. Who are the people you need to talk to, and in what order should you approach them?

2. Negotiating — the direct bargaining that takes place with each individual. This is where influence styles are helpful, as you'll see later.

3. Networking — using a third party to assist you in the campaign, perhaps due to special relationships or technical competencies.

4. Assessing your constituency — this is essentially vote-counting, keeping track of the degree of support you have. If you were going into a meeting to get final approval for an idea from a group of people, it would be nice to know in advance how many were on your side.

# ACTIVITY 9.2

## Negotiation Profile

### Purpose

Determine your negotiation style.

### Directions

1. Refer to the Negotiation Style Worksheet. Think of a person with whom you negotiate often, and think of an issue which the two of you negotiate frequently.

2. For each pair of opposing characteristics, plot a point that best represents your attitude or approach. The point may be on the left or right or anywhere along the line.

3. After doing this for all 13 characteristics, draw a series of straight lines connecting your 13 points. This is your negotiation style.

This page intentionally left blank.

## ACTIVITY 9.2 (cont'd)

### Negotiation Style Worksheet

| Soft Bargaining Characteristics | Your Standard Approach (Indicate Your Tendency) | Hard Bargaining Characteristics |
|---|---|---|
| Participants are friends. | | Participants are adversaries. |
| The goal is agreement. | | The goal is victory. |
| Make concessions to cultivate the relationship. | | Demand concessions as a condition of the relationship. |
| Be soft on the people and the problem. | | Be hard on the problem and the people. |
| Trust others. | | Distrust others. |
| Change your position easily. | | Dig into your position. |
| Make offers. | | Make threats. |
| Disclose your bottom line. | | Mislead as to your bottom line. |
| Accept one-sided losses to reach agreement. | | Demand one-sided gains as the price of agreement. |
| Search for the single answer, the one they will accept. | | Search for the single answer, the one you will accept. |
| Insist on agreement. | | Insist on your position. |
| Try to avoid a contest of wills. | | Try to win a contest of wills. |
| Yield to pressure. | | Apply pressure. |

This page intentionally left blank.

## II. EFFECTIVE NEGOTIATION

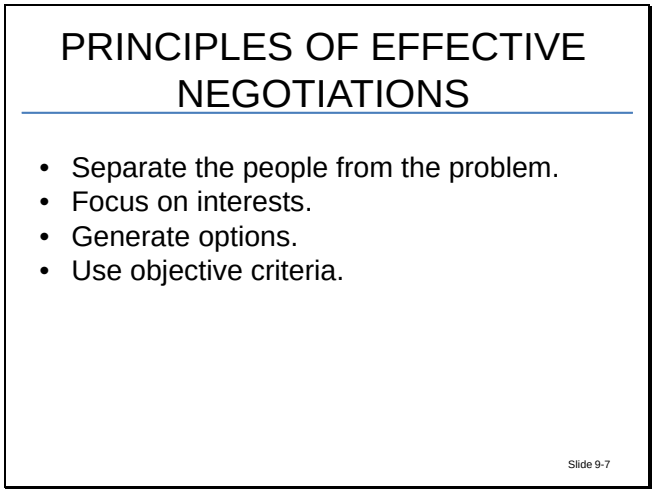
A. Produces a good agreement.

1. Improves relationships.

2. Satisfies the interests of both parties.

3. Considered fair and lasting.

4. Is not the same as positional bargaining (e.g., price haggling), which tends to neglect the parties' interests in favor of one side winning.




B. Four principles of negotiation.

1. Separate the people from the problem.

   a. Seek understanding of the other side's viewpoint.

   b. Acknowledge emotions, try to understand their source, and allow each side to express them.

   c. Give full attention when listening, and when speaking, keep focused on what you are trying to communicate.

2. Focus on interests rather than positions.

   a. Identify the party's interest in the issue.

   b. Discuss each side's interests, and pay attention.

c. Maintain interest in your own position but be open to other proposals and options.

3. Generate a variety of options before settling on an agreement.

a. Generate different options, and keep the options separate from evaluation of them.

b. Evaluate after generating proposals, and start with those that are most promising.

c. Focus on shared interests.

d. Seek options that are compatible or complementary to differences.

4. Insist that the agreement be based on objective criteria.

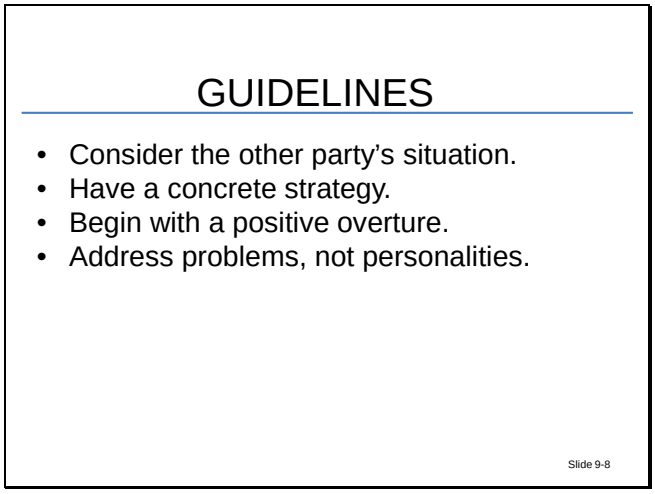
a. Develop objective criteria that are legitimate and practical.

b. Determine if everyone can agree to the criteria.

c. Approach each issue as a shared search for criteria that are objective.

d. Keep an open mind.

e. Don't give in to pressure or threats.



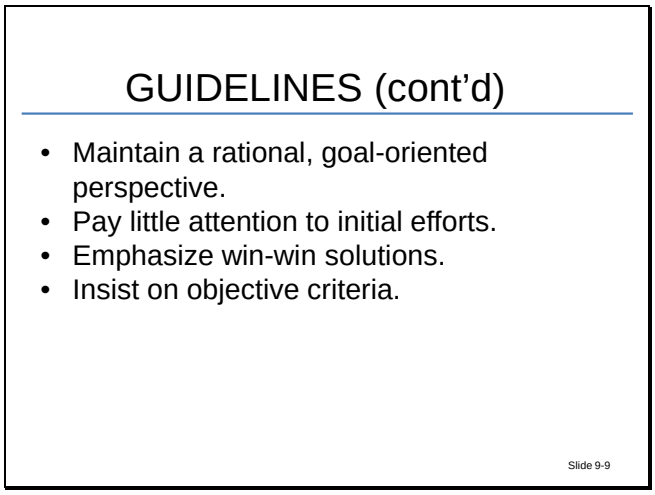

C. Guidelines.

1. Consider the other party's situation — acquire as much information as you can about your opponent's interests and goals.

2. Have a concrete strategy — know how you will respond to any given situation.

3. Begin with a positive overture — establish rapport before starting negotiations.

4. Address problems, not personalities — do not concentrate on the personal characteristics of your opponent.




5. Maintain a rational, goal-oriented frame of mind — don't get hooked by an emotional outburst.

6. Pay little attention to initial efforts — it's merely a point of departure.

7. Emphasize win-win solutions — look for ways to satisfy the real needs of both without harming either.

8. Insist on using objective criteria — don't succumb to emotional pleas or stubbornness; keep to rational, objective criteria (Robbins and Hunsaker, 1996).

This page intentionally left blank.

# ACTIVITY 9.3

## Preparation for Gettysburg Staff Ride Presentation

### Purpose

Deliver a brief two- to three-minute presentation summarizing historical research and personal reflection on one or more leadership decisions made at the Battle of Gettysburg.

### Directions

### Part 1

1. Watch the video "The Gettysburg Story" (Borritt, 2013). This video follows the sequence of the stops in the Gettysburg staff ride battlefield tour.

2. Review the questions on the following activity worksheet pages. Each set of questions pertains to one of the stops on the Gettysburg staff ride, which occurs Week 2, Thursday.

### Part 2

1. Your group will be assigned a set of questions for one of the five selected staff ride stops. Each member of your group should then select at least one question from the set of questions for your assigned stop. As a whole, the group must answer all questions for your given stop.

2. Each student must select a unique question. No two students within the group may select the same question. If there are more than six students in a group, then an instructor may assign questions to group members from the set of questions in Appendix B in Unit 14.

3. During the Gettysburg staff ride on Week 2, Thursday, each member of your group will have approximately two- to three-minutes to present a brief summary of your historical research and personal reflection on your selected question.

4. Consult the provided reference and familiarize yourself with the historical context of the leadership decisions made by the subject in your question.

5. This is a group assignment; as such the grade assigned to the group will apply to all members of the group. All members must participate in answering the assigned questions. The collective responses must incorporate the following:

    a. Correlation of historical elements of the Battle of Gettysburg in answers to the assigned questions using the staff ride student materials and/or additional research as reference to support responses.

b. A comprehensive response to each of the assigned questions from the perspective of the concepts of the adaptive leadership model.

c. An exploration of the presence and effect of the exercise of leadership versus the use and effect of positional authority, citing specific examples to support conclusions.

d. A specific correlation of answers to the main focus and overall purpose from **each** of the four courses of the Executive Fire Officer Program (EFOP).

## ACTIVITY 9.3 (cont'd)

### Group 1 Presentation Questions

### Macpherson's Ridge/Oak Hill Peace Light
### (Battle of Gettysburg, Day 1, July 1, 1863)

- "When you make a distinction between the roles you play and yourself, you gain the emotional strength to ignore personal attacks" ("The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World," p. 213). How does this statement help explain one of the possible reasons for the lack of Confederate cavalry near Gettysburg on July 1?

- Heifetz and Linsky state that "it becomes critically important to communicate in every way possible the reason to sacrifice … people need to know that the stakes are worth it" ("Leadership on the Line: Staying Alive Through the Dangers of Leading," p. 94). Who has done a better job of this — Gen. Lee or Gen. Meade? Explain your answer.

- Heifetz et al. stress that "often the most powerful thing you can do to help your organization is to buy time rather than apply quick technical fixes that have worked in the past" ("The Practice of Adaptive Leadership," p. 110). With respect to the "on-screen" Confederate and Union commanders on the morning of July 1, discuss the relevance of the above statement.

- Maintaining the capacity for reflection even in the "fog of war" is critical for any "commander." A key task according to Heifetz and Linsky is to "get on the balcony" and find out "where your people are at" ("Leadership on the Line," p. 62).

  - Who is best prepared to do this at 9 a.m. on July 1 — Lee or Meade? Explain your answer.

  - Who is best prepared to find out "where your people are at" by 3 p.m. on July 1 — Lee or Meade? Explain your answer.

- "Adaptive leadership takes you out of your daily routine into unknown territory, requiring ways of acting that are outside your repertoire, with no guarantee of your competence or success" ("The Practice of Adaptive Leadership," p. 231). What are the effects of the opening of fighting on both Lee and Meade on the morning of July 1? How do they cope with the disequilibrium?

This page intentionally left blank.

## ACTIVITY 9.3 (cont'd)

## Group 2 Presentation Questions

## Peach Orchard
## (Battle of Gettysburg, Day 2, July 2, 1863)

- During the Confederate's morning planning on July 2, Gen. Lee is described by several observers as being "anxious, impatient and ruffled." Heifetz et al. state that "the hunger for power is human … and some people have a disproportionate need for control" ("The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World," p. 166). Do you believe this statement is applicable to Lee as he plans to attack the Union positions over the objections of his senior subordinate? Explain your answer.

- Heifetz and Linsky maintain that "both your survival and your success depend on your skill at reaching a true understanding of the varying perspectives among factions" ("Leadership on the Line: Staying Alive Through the Dangers of Leading," p. 63).

  - Do Lee and Gen. Longstreet understand each other's perspectives, their stakes and fears?

  - Answer the same question for Union Gen. Meade and Gen. Sickles.

- What aspects of Daniel Goleman's "emotional intelligence" (Executive Leadership (EL), Unit 4: Thinking Politically) either helped or hindered both Lee and Meade in dealing with their respective subordinates Longstreet and Sickles on July 2? Briefly explain your answers.

- Heifetz et al. state that the "improvisational ability to lead adaptively relies on responding to the present situation rather than importing the past into the present and laying it on the current situation like an imperfect template" ("The Practice of Adaptive Leadership," p. 199). Explain how this applies to Union 3rd Corps Commander Sickles as he decides to advance to the Peach Orchard without orders on July 2. What is the correlation to today's fire and emergency services organizations?

- Organizational culture was a significant influence to both Lee and Meade.

  - In what ways are the organizational cultures of both the north and south armies similar to those of today's fire and emergency services?

  - In what ways are todays' community cultures affecting the exercise of leadership with fire and emergency services?

This page intentionally left blank.

## ACTIVITY 9.3 (cont'd)

## Group 3 Presentation Questions

## Little Round Top
## (Battle of Gettysburg, Day 2, July 2, 1863)

- Heifetz et al. recommend that "integrating your ambitions and aspirations" is a way of "staying connected to your purpose" ("The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World," p. 242). How does this statement apply to the Union Regimental Commander Col. J. Chamberlain on the afternoon of July 2 while defending the left of the Union line?

- Organizations with significant adaptive capacity usually demonstrate certain characteristics. **Explain** how each of the following three key characteristics enabled Chamberlain to successfully hold the Union left flank on Little Round Top.

  - A commitment to building leadership capacity.

  - Openness and commitment to learning.

  - Independent judgment ("The Practice of Adaptive Leadership," pp. 103-105).

- Gen. Lee sought out and received sage advice from trusted fellow Confederate officers such as Gen. Longstreet. In spite of considerable efforts by Longstreet to persuade Lee to take a different approach and not engage at that time, Lee moved forward.

  - How do the deliberations of Lee regarding long-term strategies and outcomes compare and contrast to those of President Kennedy during the Cuban Missile Crisis (Missiles of October)?

  - In terms of Heifetz and Linsky's thoughts on the use of confidants, were Lee and Kennedy effective in their use of confidants? What determines effectiveness? Explain your answer.

This page intentionally left blank.

## ACTIVITY 9.3 (cont'd)

## Group 4 Presentation Questions

### Virginia Monument and Pickett's Charge
### Followed by a Walk to The Angle — High Water Mark
### (Battle of Gettysburg, Day 3)

- Heifetz et al. stress that authority figures need to "see themselves as a system" ("The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World," p. 181). Gen. Lee appears to be making decisions on July 3 based on his intuition. Is his use of intuition and "recognition primed decision-making" appropriate here?

- One can argue that Lee was "connected to his purpose" through his close "integration of his ambitions and aspirations." Heifetz et al. explain that "having a sense of purpose is essential to the practice of leadership," but they warn that "purpose can also become a constraint" ("The Practice of Adaptive Leadership," pp. 243-246). What are some of the **common traps** that Lee may have fallen into?

- In discussing the need to manage one's hungers, Heifetz et al. state that "managing one's grandiosity means giving up the idea of being the heroic lone warrior who saves the day" ("The Practice of Adaptive Leadership," p. 171). What are some of the dangers of suffering from a "kind of hubris" as some Civil War authors believe might have happened to Lee?

- The authors state that "getting people to focus their attention on tough problems can be a complicated and difficult task" ("The Practice of Adaptive Leadership," p. 154). Explain how Gen. Meade does this around midnight after the July 2 fighting is over.

- A key task according to Heifetz and Linksy is to "get on the balcony" and find out "where your people are at" ("Leadership on the Line: Staying Alive Through the Dangers of Leading," p. 62). Who is best prepared to do this as dawn breaks on July 3 — Lee or Meade? Explain your answer.

- Meade proved to be the better "commander" at Gettysburg. Discuss some of the attributes (use of staff, command and control and decision-making styles) that made him a more effective "battlefield commander." Compare and contrast Meade's "command styles" with those of modern Emergency Operations Center (EOC) commanders.

This page intentionally left blank.

## ACTIVITY 9.3 (cont'd)

### Group 5 Presentation Questions (Optional)

### Soldiers National Cemetery

- How do the citizens of Gettysburg cope with the "debris of battle" after the two armies move south? Explain the roles played by the federal and state government's relief organizations and private citizens in responding to this horrific "man-made" humanitarian crisis.

- Prior to and during the Battle of Gettysburg, the perceptions of soldiers on both sides were that a great battle was forthcoming and that loss would most likely be significant.

  - How does a person exercising leadership maintain organizational momentum through times of member's uncertainty and fear?

  - How does one maintain organizational momentum in the midst of the battle (emergency scene) when significant loss has already occurred?

  - Where might the Battle of Gettysburg fall within Heifetz and Linsky's model of the "Zone of Productivity?" Why?

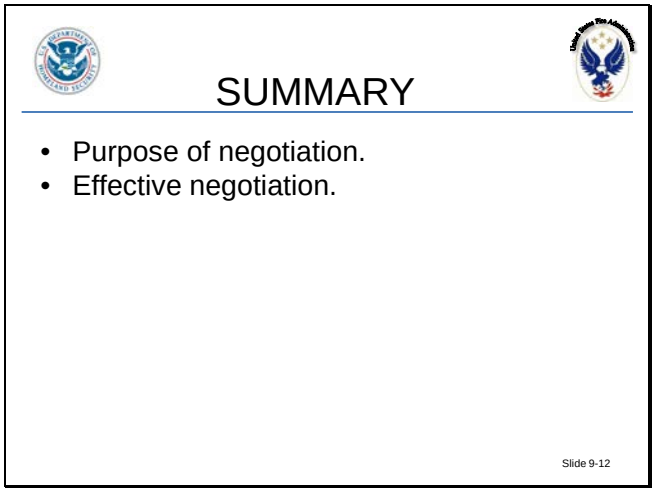
- Casualties are said to be an expected, albeit undesirable, outcome of war. Heifetz and Linsky say that the exercise of adaptive leadership will result in casualties as well.

  - In what specific ways might a person exercising leadership minimize the undesirable casualties of the exercise of leadership?

  - What are the leadership lessons regarding casualties that can be determined from the vast number of "unknowns" laid to rest in the Soldiers National Cemetery?

This page intentionally left blank.

## III. SUMMARY


SUMMARY
• Purpose of negotiation.
• Effective negotiation.
Slide 9-12

This page intentionally left blank.

# *UNIT 10: MANAGING MULTIPLE ROLES*

*"The classical view says that the manager organizes, coordinates, plans, and controls; the facts suggest otherwise."*
*— Henry Mintzberg*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*10.1 Assess the diverse set of roles one plays in personal and professional life and the impact of these multiple roles on effective leadership.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*10.1 Research, interpret, analyze and present an application of Mintzberg's research to their work situation.*

*10.2 Analyze key issues, role conflicts and ambiguities to develop a solution to the problems presented in the case.*

This page intentionally left blank.

# UNIT 10: MANAGING MULTIPLE ROLES

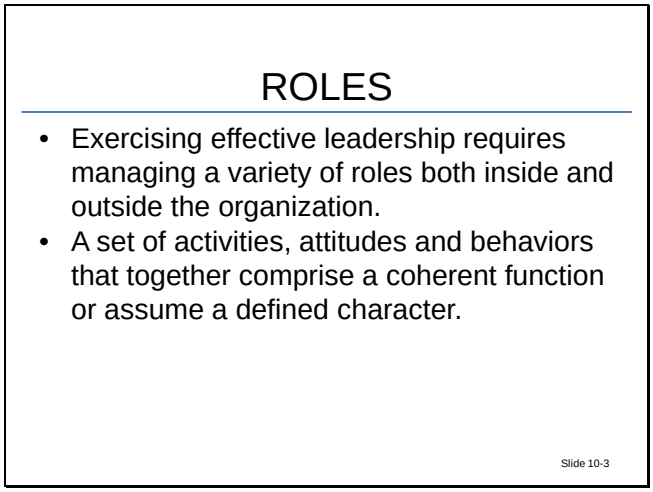
Slide 10-1

## ENABLING OBJECTIVES

- Research, interpret, analyze and present an application of Mintzberg's research to their work situation.
- Analyze key issues, role conflicts and ambiguities to develop a solution to the problems presented in the case.

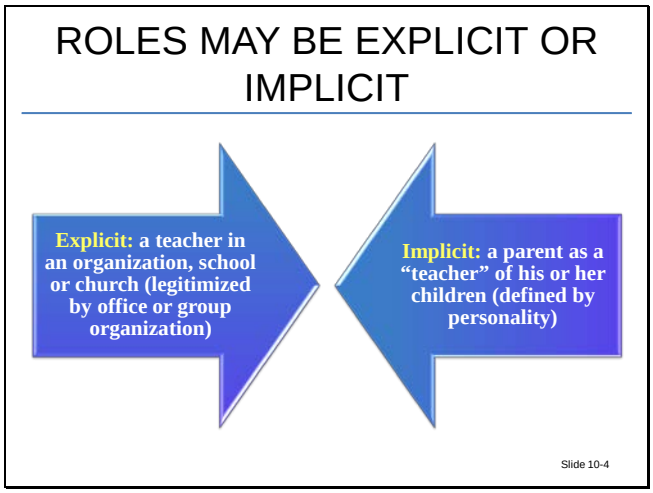
Slide 10-2

# I. ROLES




A. To exercise leadership effectively, a fire chief must manage a variety of roles, both inside and outside of the organization. This unit will enable students to identify the major roles a chief must fill.

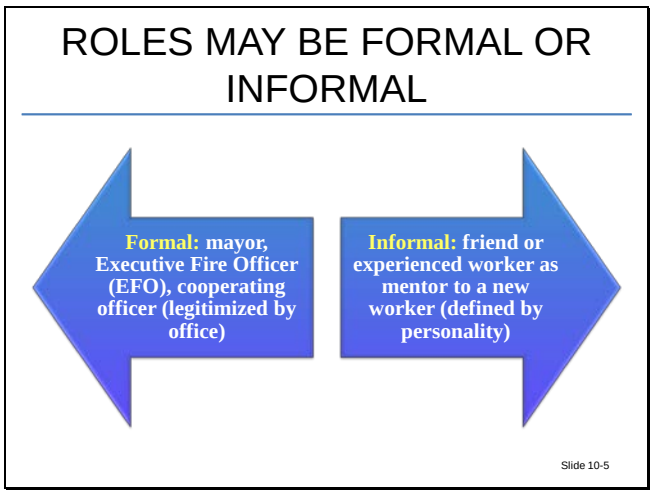
B. A role is a set of activities, attitudes and behaviors that make up a coherent function or assume a defined character.




C. Roles may be explicit or implicit.

1. Explicit roles include examples such as a teacher in an organization, school or church (legitimized by office or group organization).

2. Implicit roles include examples such as a parent as a "teacher" of his or her children (defined by personality).

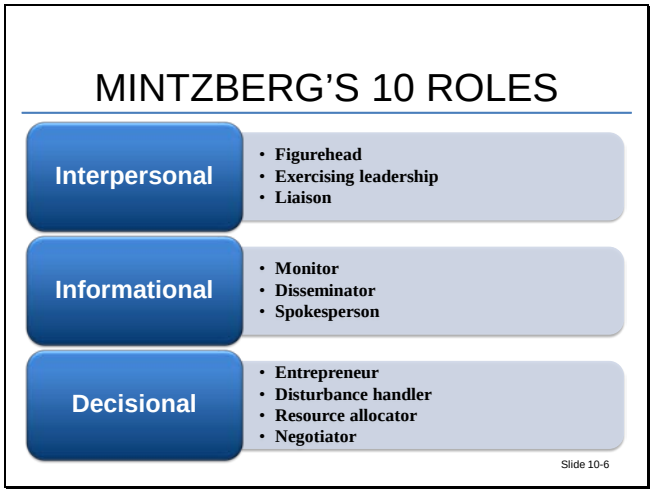



D. Roles may be formal or informal.

1. Formal roles are legitimized by office and include examples such as mayor, Executive Fire Officer (EFO), and cooperating officer.

2. Informal roles are defined by personality and include examples such as a friend or mentor.

## II. MINTZBERG'S 10 ROLES (30 min.)




A. In "The Manager's Job: Folklore and Fact," Henry Mintzberg determined through research that certain role functions better describe the activities of a top-level manager (authority figure/CEO) than do other traditional management descriptions.

B. Mintzberg's "management" roles apply more aptly to today's definition of those exercising leadership as distinguished from manager.

C. Mintzberg's roles.

1. Interpersonal roles.

a. Figurehead performs ceremonial duties.

- President Kennedy making political campaign speeches at Yale, etc., to portray "business as usual" during crisis.

- Meeting heads of state, ambassadors.

b. Exercising leadership. The leader takes direct action typical of an authority figure: directing, ordering, hiring and firing.

- President Kennedy chairing Cabinet, directing meetings.

- President Kennedy giving orders to staff.

- (Indirect) McNamara's conversation with admiral on instructions to ships conducting blockade.

- President Kennedy meeting with the British ambassador.

c. Liaison makes contact outside of chain of command with peers and other appropriate people external to the organization.

- President Kennedy meeting with the British ambassador.

2. Informational roles.

a. Monitor "perpetually scans his or her environment for information. She, or he, interrogates her liaison contacts and subordinates, and receives unsolicited information, much of it as the result of personal contacts she has developed" (Mintzberg). President Kennedy used the following as sources of information:

- U2 photos.

- Reporter Scali.

- Robert Kennedy's talks with the Russian ambassador.

- McNamara on phone to ships while CIA director in contact with his own people at scene simultaneously.

b. Disseminator gives out information others would not have provided otherwise.

- President Kennedy finally letting Pierre Salinger in on the crisis, and sharing with the Cabinet what report Scali received from Russian contact.

c. Spokesperson gives out information to people outside of his or her unit or staff.

President Kennedy:

- Giving speech to the nation on the crisis.

- Informing de Gaulle and other world leaders.

- Messages and letters to Khrushchev.

3. Decisional roles.

a. Entrepreneur seeks to improve the unit through new approaches as needed in response to changes in the environment.

President Kennedy:

- Supporting the blockade over bombing and invasion.

- Bringing outsiders in to meetings, such as former Secretary of State Dean Acheson.

- Supporting Robert Kennedy's idea of ignoring the second letter.

- Pushing the staff to come up with alternatives.

- Using reporter Scali's contact.

b. Disturbance handler responds to crisis and conflicts among staff members in organization and environment.

President Kennedy:

- Pushing Cabinet people to work through disagreements.

- Supporting alternative views such as Ambassador Adlai Stevenson's.

c. Resource allocator decides who will get what in a group or organization such as money, people and so on, starting with his or her own time.

President Kennedy:

- Keeping appointment schedule during crisis (e.g., making political speeches).

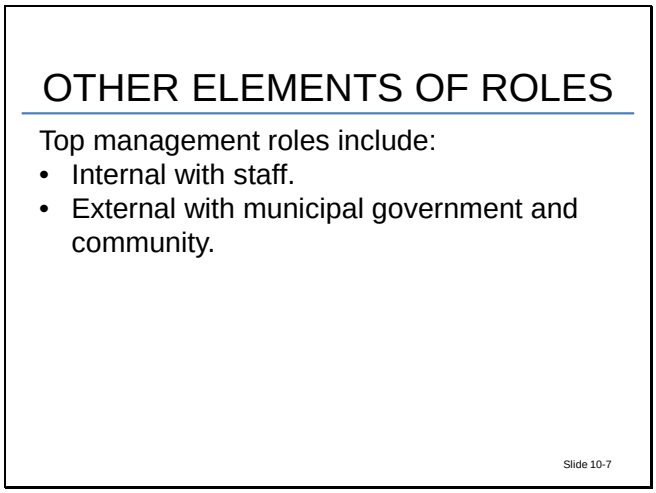
- Making Salinger wait awhile on the phone.

- Sending Robert Kennedy to the Russian ambassador instead of to state dinner.

d. Negotiator settles issues with outside people, such as raises for staff, union, and city manager.

- President Kennedy with Khrushchev.

## III. OTHER ELEMENTS OF ROLES

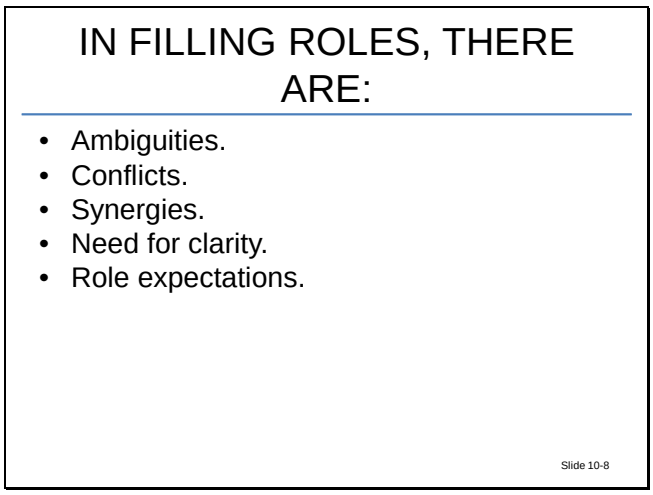



A. There are other roles, such as mentor, change agent and visionary.

B. There are internal and external roles for the top manager (within the organization and outside of it).

1. Internal with staff.

2. External with municipal government and community.




C. In filling roles, there are:

1. Ambiguities.

   a. Senior management of fire department also a union member.

   b. Amount of entrepreneurism for the department done by the chief versus how much is up to city hall.

2. Conflicts for the fire chief, such as what's best for the jurisdiction versus what's best for the department, and vice versa.

3. Synergies, such as when a positive image of the fire department helps at budget time with the city.

4. Need for clarity, such as how much participation in decision-making one allows one's subordinates.

5. Role expectations that include assessing how many elements of one's role are defined by others, such as the mayor, city/county manager, peers, subordinates, other's exercising leadership in the community, etc.

This page intentionally left blank.

# ACTIVITY 10.1

## Incentives for Excellence at the Colorado State Hospital

### Purpose

Analyze key issues, role conflicts and ambiguities to develop a solution to the problems presented in the case.

### Directions

1. Using your table groups, each group will dialogue and develop responses to each of the study questions.

2. A large group debrief will be conducted, asking each group to provide its responses to the study questions.

3. Discuss the following study questions as a large group in class.

    a. What are some of the key issues in this case?

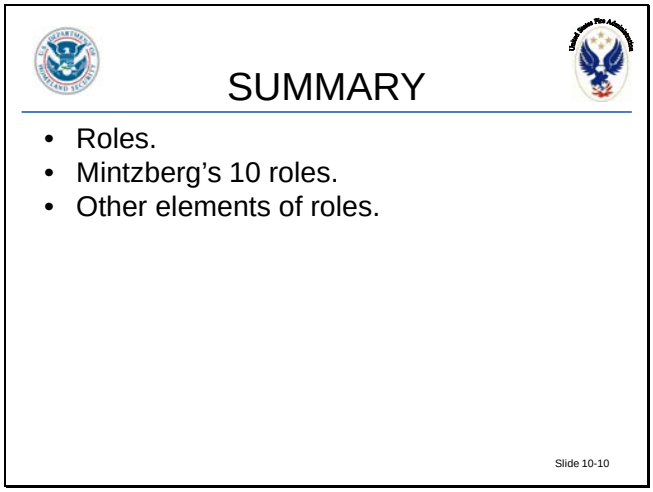
    b. What are the role issues contributing to underlying problems, including the lack of a role being filled adequately, role conflicts, ambiguities, etc.? How well did Dr. Kort perform the following roles?

    c. What would you do to deal with the issues in this case?

    d. Describe similar examples in the fire service.

This page intentionally left blank.

## IV. SUMMARY


SUMMARY
• Roles.
• Mintzberg's 10 roles.
• Other elements of roles.
Slide 10-10

This page intentionally left blank.

# *UNIT 11: TAKING RISKS*

*"Fortune sides with him who dares." — Virgil*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*11.1 Evaluate the value of experimentation and risk-taking in the exercise of adaptive leadership.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*11.1 Explain the benefits of experimentation for continuous learning.*

*11.2 Discuss the potential rewards associated with experimentation and risk-taking.*

This page intentionally left blank.

# UNIT 11:
# TAKING RISKS

Slide 11-1

## ENABLING OBJECTIVES

- Explain the benefits of experimentation for continuous learning.
- Discuss the potential rewards associated with experimentation and risk-taking.

Slide 11-2

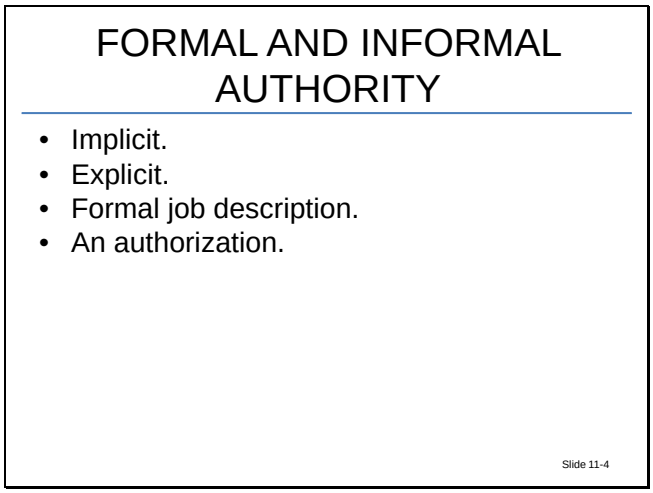
## I. HAVING AUTHORITY AND EXERCISING LEADERSHIP

## LEADERSHIP AND AUTHORITY: ARE THEY THE SAME?

Slide 11-3

A. Having authority and exercising leadership are not the same, and having power (position, referent power, expert power, to name a few) is not the same as exercising leadership. (Source: "The Practice of Adaptive Leadership," pp. 23-28.)

B. Having followers does not make one a leader.




C. According to Heifetz et al., formal and informal authority come from essentially the same social contract, which they describe as, "Party A entrusts Party B with power in exchange for services." The contract can be:

1. Implicit.

2. Explicit.

3. A formal job description.

4. An authorization.

D. The authorizer in a relationship can be anyone who gives you attention in exchange for what you do to solve problems.

E. Formal and informal authority both come with limits, that is, the scope of authority is definite. (See Figure 2-2 on p. 25 of "The Practice of Adaptive Leadership.")

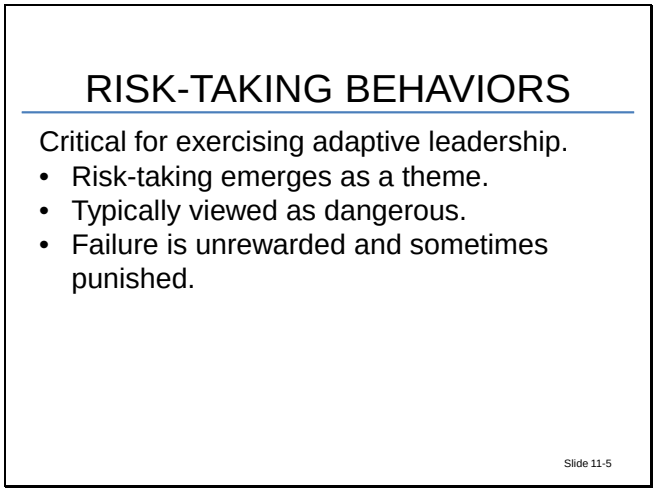
1. Within the scope of authority, an individual acting as an authority figure does what is expected within the social contract.

2. Stepping outside one's defined scope of authority involves challenging expectations.

a. The boundary lines are never clearly articulated.

b. The danger associated with stepping outside one's scope of authority occurs when the expectations of the one(s) who conferred the authority in the first place are being challenged.

## II. THE ROLE OF RISK-TAKING IN AN ADAPTIVE CULTURE




A. Heifetz et al. view risk-taking as a critical component of exercising adaptive leadership.

1. Risk-taking emerges as a theme.

   a. Its presence is a necessary element for building an adaptive culture.

   b. Its absence is one signal that an organization may be unable to build or sustain an adaptive culture.

2. Risk is typically viewed as dangerous.

3. Failure is unrewarded and sometimes punished.

B. Heifetz et al. also view risk-taking as an opportunity for continuous learning and reflection, both attributes of adaptive cultures. They consider the following as benefits of wide experimentation:

## BENEFITS OF WIDE EXPERIMENTATION

- Increases the odds of producing results.
- Enables gathering information and lessons quickly.
- Increases learning with each result.
- Sends signal that experimentation is valued.
- Produces positive outcomes when failures are rewarded too.

Slide 11-6

1. Experimenting widely increases the odds of generating ideas that produce results.

2. Experimenting widely, but in small increments, enables the experimenters to gather information and lessons quickly.

3. Results of experiments can be positive, neutral or negative. Lessons can be gleaned from each experiment and can allow practitioners to become smarter with each increment.

4. The willingness to find the lessons in any kind of results sends employees the signal that experimentation is valued.

5. Rewards that recognize risk-taking failures as well as successes result in:

    a. Commitment to experimentation.

    b. Extracting lessons from all aspects of the work.

    c. Sticking one’s neck out.

## INNOVATION AND RISK-TAKING

- Innovation is "something different that has impact."
  - Risk-taking is "the probability of something happening times the resulting cost or a benefit, if it does."

— Heather Barnhouse,
"Innovation and Risk-Taking — A Disciplined Approach"
(October 2012)

Slide 11-7

C. Innovation and risk-taking — a disciplined approach.

1. Heather Barnhouse, a partner at Dentons Canada LLP, in a presentation titled "Innovation and Risk-Taking — A Disciplined Approach" (October 2012), defined innovation to be simply "something different that has impact."

   a. Barnhouse also defined risk-taking simply as "the probability of something happening times the resulting cost or a benefit, if it does."

   b. Barnhouse indicates that innovation in organizations is a necessity in order to remain competitive, adaptive and flexible.

2. In her presentation, she indicates many organizations use a process of going to what she calls "innovation island," which is often a retreat setting process guided by consultants who will soon leave.

3. Innovation island is absent all of the daily interference and challenges facing today's executives.

4. When returning from innovation island, executives often become frustrated with efforts to implement innovative ideas.

5. Daily routines and priorities, corporate politics, and established organizational culture often derail innovation efforts.

6. Barnhouse says organizations must redefine the innovation process.

   a. She says ideas are only the beginning.

   b. Executives must incorporate the innovation process into daily rituals and cultures.

7. She indicates six steps to innovation.

   a. Step 1: Focus.

      - Many ideas are bad ideas, but that cannot be determined without a disciplined vetting process.

      - Ideas articulated by humans are often full of bias. Humans will overestimate the value of their own ideas while downplaying the ideas of others.

      - Executives must establish a process for refining and cultivating good ideas. This includes:

        -- Clarifying objectives.

        -- Defining the sandbox.

        -- Shifting the search area.

   b. Step 2: Connect.

      - Executives need to create opportunities for unexpected individuals to meet both formally and informally.

      - Encourage free flow of ideas.

      - Design or modify the workspace or workflow to facilitate connectivity.

c. Step 3: Tweak.

- Encourage the daily sharing of concepts regardless of stage of development.
- Pursue constant feedback.
- Don’t be afraid to stop a bad idea.

d. Step 4: Select.

- Choose worthwhile ideas, and pursue them.
- Encourage experience to help refine and select worthwhile ideas.
- Human experience is considered the greatest of all persuaders.

e. Step 5: Stealthstorm.

- Every organization has hidden politics that new ideas must be navigated through in order to become reality.
- Storytelling is a key factor in helping new ideas navigate the world of organizational politics.

f. Step 6: Persist.

- Executives must be persistent.
- It is imperative to incorporate innovation into daily routines and rituals.
- Efforts to innovate should not be held in reserve for trips to “innovation island.” Innovation needs to be part of the organizational culture that is nurtured and embraced by those exercising leadership.

## INNOVATION AND RISK-TAKING (cont'd)

- What is the innovation culture that exists in your organization?
- What challenges have you faced attempting to implement innovations learned in the Executive Fire Officer Program (EFOP)?
- How does this relate to the concepts of adaptive leadership?

Slide 11-9

## III. EXCEEDING YOUR AUTHORITY

## EXCEEDING YOUR AUTHORITY

- Recognize that the boundary of your scope of authority is flexible.
- Try to understand the reasons for resistance or encouragement.
- Remember that the people invested in the status quo prefer things as they are.

Slide 11-10

Exceeding your authority is a risk in and of itself, and it distinguishes the exercise of adaptive leadership from exercising good management (Heifetz et al., 2009, pp. 282-284).

A. Knowing where the boundary of your scope of authority lies is difficult because it is flexible.

B. Knowing the difference between acting within your scope of authority or outside it sometimes rests in your ability to recognize the reasons for the resistance to, or encouragement for, what you are doing.

C. Those people who are invested in the status quo will exert pressure to maintain things as they are.

D. More specifically, the people who authorize you prefer solutions that require the least cost and disruption.

# ACTIVITY 11.1

## Exceeding One's Authority

### Purpose

Examine effective and ineffective examples of exceeding authority.

### Directions

1. Work in your table groups on this activity.

2. Answer the questions on the worksheet that follows about an individual who has exceeded his or her authority (preferably in a positive way) and the results.

3. Record your answers on an easel pad.

4. Be prepared to discuss your insights and observations with the class.

5. You will finish by individually answering these reflection questions (adapted from "The Practice of Adaptive Leadership").

    a. What is your formal role within your organization?

    b. How do you define what you are expected to do within your organization?

    c. What do you think others expect of you?

    d. What actions have you taken that have resulted in pushback and resistance from above and/or below?

    e. How do you interpret the resistance vis-à-vis your scope of authority?

This page intentionally left blank.

## ACTIVITY 11.1 (cont'd)

### Exceeding One's Authority

1. How did the selected individual exceed his or her authority as a public manager? Give examples.

_____

_____

_____

2. What details illustrate moments when the selected individual received pushback, and from whom?

_____

_____

_____

3. What boundaries did the selected individual cross? Was the boundary-crossing necessary to get his or her work accomplished?

_____

_____

_____

4. In what ways, if any, was the selected individual challenging established norms of behavior? In what ways was his or her approach effective and/or ineffective?

_____

_____

_____

This page intentionally left blank.

## IV. SUMMARY

### SUMMARY

- Having authority and exercising leadership.
- The role of risk-taking in an adaptive culture.
- Exceeding your authority.

Slide 11-12

This page intentionally left blank.

# *UNIT 12: BEING IN TRANSITION: UNDERSTANDING CHANGE DURING MIDLIFE AND BEYOND*

*"We are always in transition." — Dr. Charlie Beitz*

*"Youth is a gift of nature; age is a work of art." — Anonymous*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*12.1 Integrate strategies for successfully transitioning through life and career stages.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*12.1 Illustrate the underlying framework of personal and professional transitions and useful frames of reference for thinking about change during adulthood.*

*12.2 Describe their own characteristic style of coping with transitions.*

*12.3 Develop an awareness of the issues and tasks that need to be dealt with at midlife.*

*12.4 Analyze what characteristics enable authority figures to manage career transitions successfully.*

This page intentionally left blank.

# UNIT 12: BEING IN TRANSITION: UNDERSTANDING CHANGE DURING MIDLIFE AND BEYOND

Slide 12-1

## ENABLING OBJECTIVES

- Illustrate the underlying framework of personal and professional transitions and useful frames of reference for thinking about change during adulthood.
- Describe their own characteristic style of coping with transitions.

Slide 12-2

## ENABLING OBJECTIVES (cont'd)

- Develop an awareness of the issues and tasks that need to be dealt with at midlife.
- Analyze what characteristics enable authority figures to manage career transitions successfully.

Slide 12-3

## I. OVERVIEW

### MAJOR UNIT COMPONENTS

- The underlying framework of the transition process.
- Useful frames of reference for thinking about change during adulthood.
- The tasks and myths of midlife.
- Useful strategies for dealing constructively with midlife transitions.

Slide 12-4

The major components of this unit include:

A. The underlying framework of the transition process.

B. Useful frames of reference for thinking about change during adulthood.

C. The tasks of midlife and the psychological issues associated with those tasks.

D. Useful strategies for dealing constructively with midlife transitions.

### SPHERES OF LIFE

Slide 12-5

## II. TRANSITION FRAMEWORK

### TRANSITION

- Moving from one stage or event (or nonevent) to another.
- Involves varying degrees of instability.
- Alters roles, relationships, routines and assumptions.

Slide 12-6

A. Definition of "transition."

1. Moving from one stage or event to another with varying degrees of instability (disequilibrium) in the adaptive process and altering our roles, relationships, routines and assumptions.

2. Transitions affect everything we do.

3. Bridges describes transition as a psychological (internal) process and change as an external process.

### STAGES OF TRANSITION

- Ending.
- Neutral zone.
- New beginnings.

Slide 12-7

B. Three stages of transition.

1. Ending: The paradox of transition is that it begins with an ending.

2. Neutral zone.

a. This is the zone of disequilibrium in Heifetz and Linsky's approach to adaptive challenges.

b. The neutral zone phase of the transition process — the one the world pays least attention to, according to William Bridges — is where individuals and groups reorient themselves from the old way to the new way. If they do not have the time or resources to do that, the new way simply won't work (Bridges, W., 2003, p. 147).

c. Heifetz and Linsky's view of the challenge of adaptive leadership would relate Bridges' "neutral zone" to the "gap" between current and new realities.

3. New beginnings.

People can have a beginning only if they have made an ending and navigated the neutral zone.

C. Typical transition experience.

1. No two people experience transition precisely the same way.

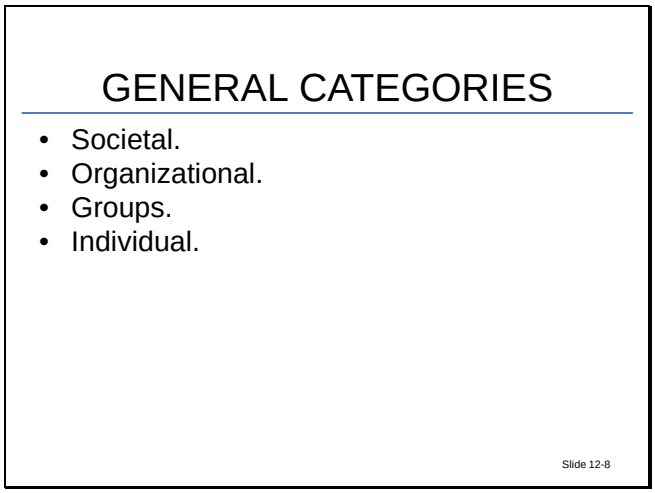
2. No two transitions are identical.

D. Most transitions share several characteristics:

1. People feel overwhelmed at times.

2. People experience surprise.

3. People discover that old habits don't work.



E. General categories.

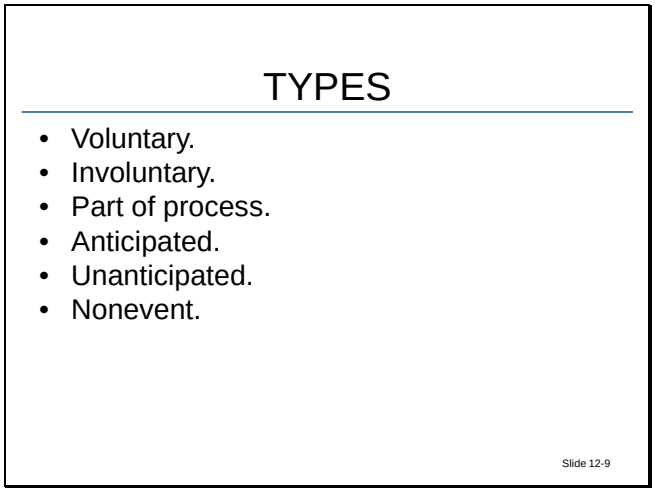
Transitions can be viewed "from the balcony," that is, from a macro perspective:

1. Societal — Major transitions from agricultural to industrial to information economies in the past 100 years have had major impacts on our society.

2. Organizational — Changes in organizations used to be seen like the human life cycle, but with downsizings, mergers and takeovers, transitions have been compressed.

3. Groups — Groups go through inclusion/control/openness transitions in order to be fully effective and reverse the process when they disintegrate.

4. Individual — This is the personal level that actually affects the other three levels. It is where the psychological elements of transitions rest.




F. Types of transitions.

1. Voluntary.

2. Involuntary.

3. Part of process.

4. Anticipated.

5. Unanticipated.

6. Nonevent.

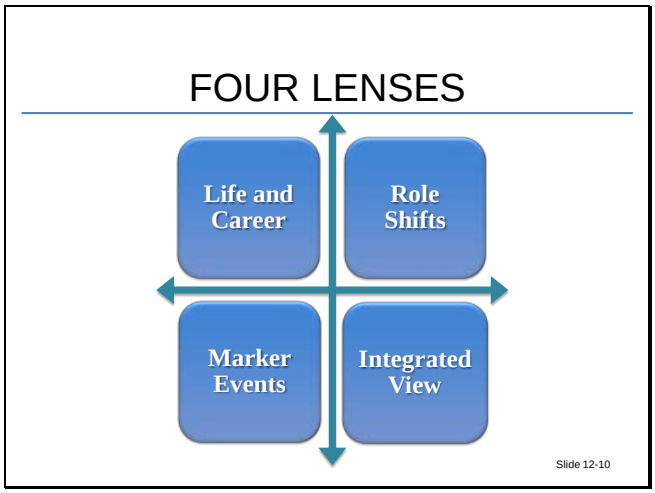
7. We have a number of different kinds of transitions affecting us all the time in the four spheres of our lives. We need to be aware of these.

G. Key insight.

1. Transition times between situations, relationships and identities are key times in the natural process of self-renewal.

2. We need to be aware of all of the elements underlying the framework of transition. If we are to understand their impact on us better and be able to analyze their complexities, we need some useful frames of reference to use as lenses through which to make sense of the changes in adulthood.

## III. FRAMES OF REFERENCE




A. Life and career stages — specific time intervals.

B. Role shifts.

The roles we live change throughout our lives.

C. Marker events.

There are certain events in our lives that we cannot change to return to the way things were before the event occurred.

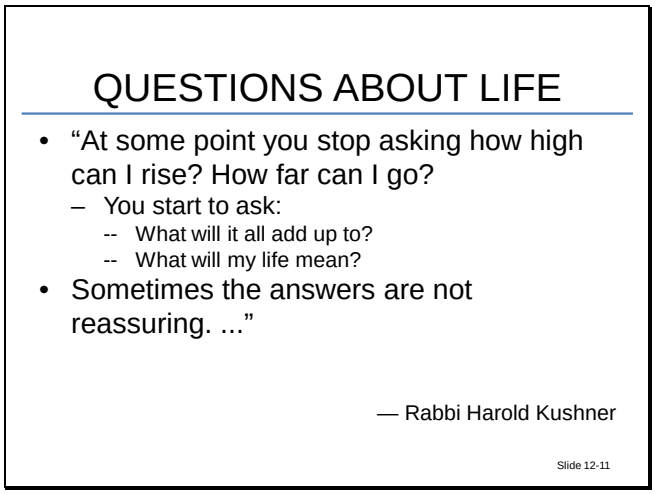
D. Integrated view.

1. At midlife/midcareer, there are certain tasks and psychological issues that must be addressed because of major shifts in our roles and because of major marker events that create and delete certain roles and create new tasks and psychological issues.

2. Attempting to view the changes in adulthood from this broader view, and recognizing the interrelationships and interdependencies of all of these frames of reference, gives us a more comprehensive understanding of what we are facing and enables us to focus on dealing with the tasks and myths of midlife.

3. Integrated views are those from the balcony where a systems perspective can be observed.

## IV. TASKS AT MIDLIFE




A. Some psychologists view midlife transition as a "watershed." Re-evaluation takes place, and we become more "ourselves" than what we have thought society and our parents wanted us to be.

B. Some people see midlife occurring not as an age group-related phenomenon, but when we start to ask ourselves the following types of questions. As Rabbi Harold Kushner says, "Sometimes the answers are not reassuring. …"

1. What will it all add up to?

2. What will my life mean?

## KEY TASKS OF MIDLIFE

- Self-assessment.
- Good health.
- Loss and separation.
- Role shifts.
- Generational issues.

Slide 12-12

C. So what are the key tasks of midlife and the assumptions we need to address?

1. Self-assessment.

   Research indicates that self-assessment becomes particularly necessary during midlife as we do a re-evaluation. Where we have come from, where we are, where we want to go — these are key areas in any self-assessment.

2. Good health.

   Health issues need to be addressed in earnest at this time, particularly if we haven't done so earlier. Our lifestyle behaviors appear to account for more than 50 percent of our health problems. We need to have a thorough health evaluation.

3. Loss and separation.

   How we approach and cope with the losses and separations at midlife have a major impact on our emotional and physical well-being.

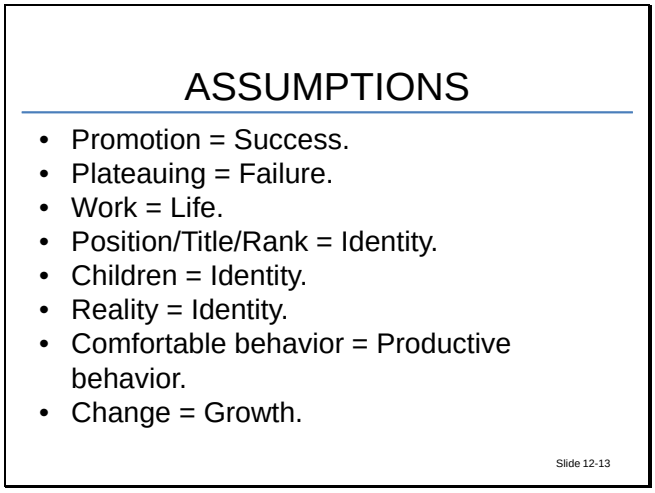
4. Role shifts.

   Major role shifts, as we mentioned earlier, take place during midlife. (For example, we can be forced to become parents to our parents, or our spousal role can become more important than the parental role.) These shifts need to be recognized.

5. Generational issues.

   Generational issues seem to come to the forefront during midlife as we grapple with what we have accomplished, what we still want to contribute in the four spheres of our lives, and what we want to leave behind.

6. Remember that change is inevitable, but growth is optional. Because we have been programmed by others and by our environment to accept certain things as true, there are a number of myths that we have to consciously address during midlife.




7. Assumptions that need to be dealt with:

   a. Promotion = Success.

      - Organizations are like pyramids. The number of promotions gets smaller at the top — and many other factors affect promotions.

   b. Plateauing = Failure.

      - Everyone plateaus. There can be only one person at the top, but that doesn't mean everyone else is a failure.

   c. Work = Life.

      - Our whole identity shouldn't be connected to our job and organization.

        -- This is why it is so hard for some people to let go and seek new opportunities in the other spheres of their lives.

        -- This seems to be a real problem: the higher we go in organizations, the more we begin to believe we deserve all the perks that come along with the rank.

d. Position/Title/Rank = Identity.

- It is really hard to leave when our whole self-identity is tied to the title.

e. Children = Identity.

- We have roles other than parent that need to be dealt with at midlife; sometimes the children have turned out differently than we wanted them to, and we see it as our "total failure."

f. Reality = Identity.

- Life is not perfect, people are not perfect, and we can't control everything; reality will never meet all of our highest expectations.

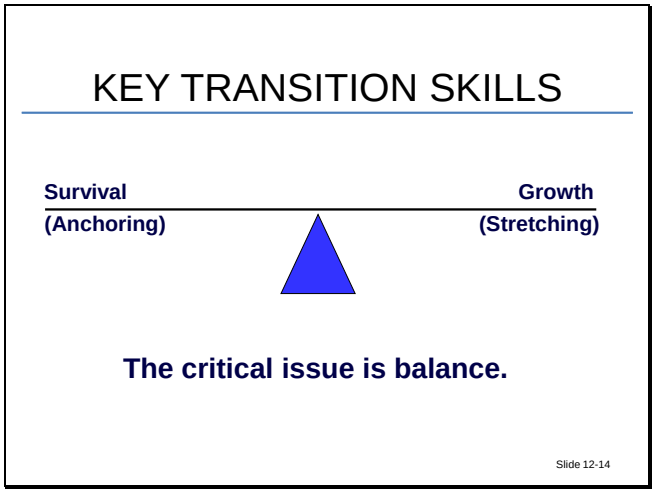
g. Comfortable behavior = Productive behavior.

- If we are very comfortable in what we are doing, we are not growing. Habitual behavior may be comfortable but not productive.

h. Change = Growth.

- As we said earlier, change is inevitable, but growth is optional; it takes stretching and accepting risks for us to grow. The key skills are how to survive and grow at the same time.

## V. STRATEGIES FOR DEALING WITH TRANSITIONS



A. The critical issue in dealing with transition effectively is balance. There needs to be a conscious balance between the tension present with trying to cope with (survive) the transition and at the same time growing (stretching) into the new beginning.

B. Survival — anchoring.

1. Using coping skills to deal with the stress of transition.

2. Use of strengths.

3. Focus on balance.

C. Pathfinding — stretching.

1. Taking risks — Step outside your comfort zone.

2. Openness — with yourself and with others.

3. Tolerating ambiguity — Recognize it as part of the growth process.

D. Useful coping strategies for midlife transition.

How can personal management skills help?

1. Valuing skills help you determine what's important to you.

2. Planning skills let you turn your values into action plans.

3. Commitment skills give you ways to make those plans work.

4. Time-use skills help you cut down on wasted time.

5. Pacing skills save you energy.

E. How might relationship skills help?

1. Contact skills can help you meet new people.

2. Listening skills can help you form deeper, more rewarding relationships.

3. Assertiveness and fight skills can buy you time and space when you need to escape.

4. Nest-building skills help you create a physical environment that supports rather than stresses you.

F. How might outlook skills help?

1. Relabeling skills can help you interpret the meaning of events.
2. Surrender skills strengthen your ability to let go of past treasures.
3. Faith skills let you tap into a source of strength beyond yourself.
4. Whispering skills help you remember that you are a worthwhile person.
5. Imagination skills give you broader perspective and the gift of laughter.

G. How can self-care skills help?

1. Exercise skills increase your strength and stamina.
2. Nourishment skills give your body high-quality building materials.
3. Gentleness skills help you minimize wear and tear.
4. Relaxation skills help you unwind and let go of tension.

H. Useful pathfinding (reflection) strategies for midlife transition.

# ACTIVITY 12.1

## Aging Successfully: The Example of Robert E. Lee Case Study

### Purpose

Analyze what characteristics enable authority figures to manage career transitions successfully.

### Directions

Discuss the study questions as a large group in class.

1. Describe the characteristics of Robert E. Lee that enabled him to manage career transition.

_____

_____

_____

2. Are these strengths or assets transferable to a contemporary executive officer? If so, why, and if not, why not?

_____

_____

_____

3. Should retirement represent a divorce from one's professional career? Why or why not?

_____

_____

_____

This page intentionally left blank.

## VI. SUCCESSFUL TRANSITIONS

### SUCCESSFUL TRANSITIONS

- Raise your awareness of when you are in transition.
- Become aware of your style of dealing with endings and beginnings.
- Recognize what to hold on to and what to let go of as you move from then to now to the future.
- Expect the uneasiness of the in-between stages of transition.

Slide 12-16

A. Day-to-day guidelines.

1. Raise your awareness of when you are in transition.
2. Become aware of your style of dealing with endings and beginnings.
3. Recognize what to hold on to and what to let go of as you move from then to now to the future.
4. Expect the uneasiness of the in-between stages of transition.

### SUCCESSFUL TRANSITIONS (cont'd)

- Expect to be puzzled by the unknowns of the transition process.
- Welcome today and look forward to tomorrow, rather than prolonging yesterday.
- Use your competence, confidence and creativity as you risk moving to the new — the unknown.

Slide 12-17

5. Expect to be puzzled by the unknowns of the transition process.
6. Welcome today and look forward to tomorrow, rather than prolonging yesterday.

7. Experiment rather than being a prisoner of the familiar.

8. Use your competence, confidence and creativity as you risk moving to the new — the unknown.

B. Organizational implications of transition.

1. Organizations don't seem to realize that they are really managing transitions — and that starts right from the beginning.

2. Organizations can better address transition issues through the following:

   a. Orientation.

   b. Training.

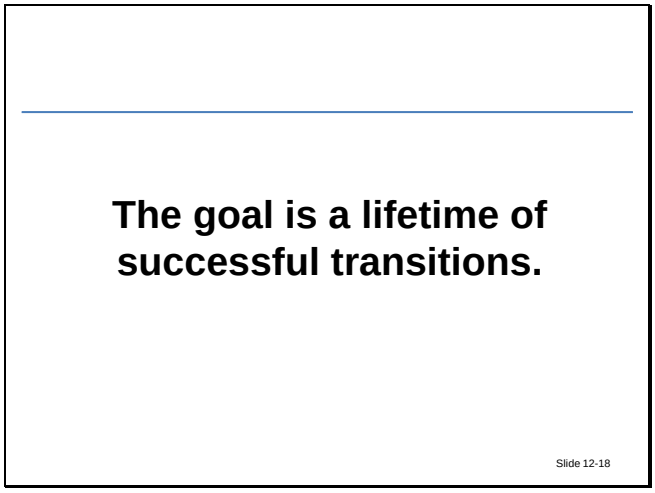
   c. Career planning.

   d. Job enrichment.

   e. Job rotation and retraining.

   f. Monitoring.

   g. Quality of life.




C. Remember that the real goal of what we have been discussing is a lifetime of successful transitions.

## VII. SUMMARY

### SUMMARY

- Overview.
- Transition framework.
- Frames of reference.
- Tasks at midlife.
- Strategies for dealing with transitions.
- Successful transitions.

Slide 12-19

This page intentionally left blank.

# *UNIT 13: MAINTAINING LIFE/WORK BALANCE*

*"We are, all of us, vulnerable to falling prey to our hungers. Self-knowledge and self-discipline form the foundation for staying alive." — Ronald A. Heifetz and Marty Linsky, "Leadership on the Line"*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*13.1 Integrate strategies for maintaining life/work balance into their Personal Development Plan.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*13.1 Articulate the difference between role and self.*

*13.2 Describe personal characteristics, attributes and influences that affect an individual's performance in exercising leadership.*

*13.3 Illustrate actions and activities that support maintaining one's health and outlook during adaptive challenges.*

This page intentionally left blank.

# UNIT 13: MAINTAINING LIFE/WORK BALANCE

Slide 13-1

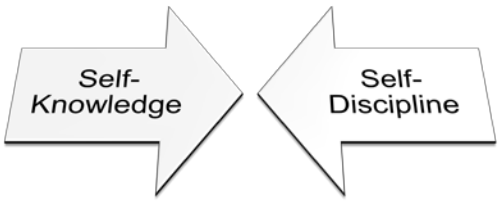
## ENABLING OBJECTIVES

- Articulate the difference between role and self.
- Describe personal characteristics, attributes and influences that affect an individual's performance in exercising leadership.
- Illustrate actions and activities that support maintaining one's health and outlook during adaptive challenges.

Slide 13-2

## I. YOUR ROLES AND YOURSELF

## YOUR ROLES AND YOURSELF




Slide 13-3

A. Personal Development Plan debrief.

## YOUR ROLES AND YOURSELF (cont'd)

"If you are what you do, what are you when you don't?"

— Tom Bay, Ph.D., "CYA: Change Your Attitude" (1997)

Slide 13-4

B. Recognizing who we are and what influences affect our performance can help us stay alert as we exercise leadership and help us "stay alive" as we address challenges.

C. Heifetz and Linsky, in their book "Leadership on the Line" (p. 164), point out that to exercise leadership requires self-knowledge and the discipline to manage oneself, especially when one begins to see oneself as unique and unfettered by the same constraints as everyone else.

D. The human needs (hungers) they focused on in "Leadership on the Line" include:

## MANAGE YOUR HUNGERS

- Power and control.
- Affirmation and importance.
- Intimacy and delight.

Slide 13-5

1. Power and control.

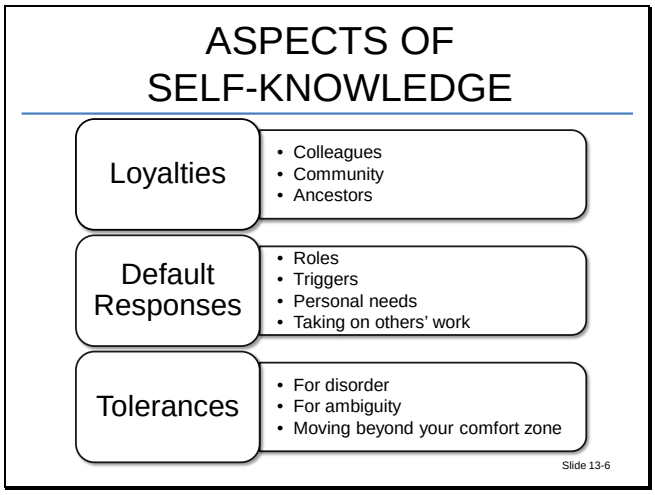
2. Affirmation and importance.

3. Intimacy and delight.

E. Each need is normal, but relating to them is different than giving in to them.

F. Recognizing and managing needs, examining one's own behaviors and ensuring that those needs are used to productive ends, is critical for anyone exercising leadership.

G. In "The Practice of Adaptive Leadership," the authors urge seeing yourself as a system as a way to add dimension to the understanding of who you are.




1. Loyalties — they suggest identifying aspects of your past and present that influence you and how you function. This includes:

   a. Colleagues.

   b. Community.

   c. Ancestors.

2. Default responses — the authors point to the importance of recognizing your default responses, that is, the ways you automatically respond to events that include knowing:

   a. Roles you play.

   b. Your triggers.

   c. Your personal needs.

   d. Why you may take on the work of others.

3. Tolerances.

   a. For disorder.

   b. For ambiguity.

   c. Moving beyond your comfort zone.

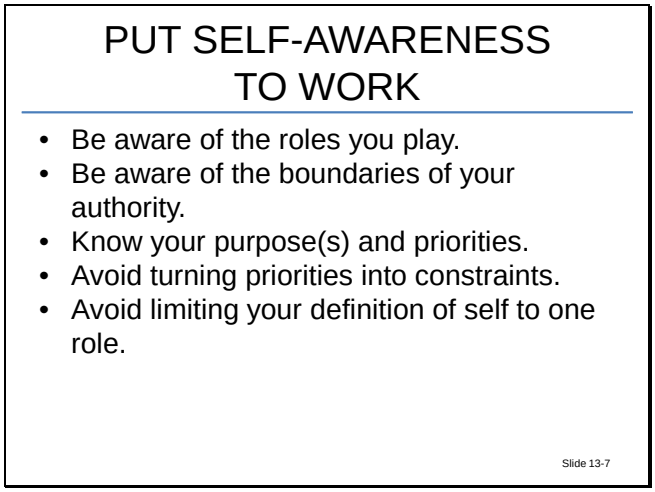
H. Each of us serves multiple roles in our social system.

I. Limiting our definition of self to one role can result in:

   1. Making it difficult to see our complexities and falling into default responses.

   2. Revealing characteristics that help others manage us to their advantage.

## II. THE WORK OF STAYING ALIVE




A. Put self-awareness to work.

   1. Be aware of the roles you play, but don't confuse who you are with what you do.

   2. Be aware of the boundaries of your authority so you recognize expectations, resources, allies and the like. Know the sources of your:

      a. Informal authority.

      b. Formal authority.

3. Know what matters to you, be aware of your priorities, and understand that these change.

4. Avoid turning your priorities into constraints that can:

   a. Make you single-minded.

   b. Marginalize you.

   c. Make you sound self-righteous.

5. Avoid limiting your definition of self to one role, as this can result in:

   a. Making it difficult to see your complexities and falling into default responses.

   b. Revealing characteristics that help others manage you to their advantage.

B. Be your own steward.

1. Pay attention to yourself by doing things that keep you from burning out:

   a. Maintain your health.

   b. Pay attention to your important relationships.

   c. Get involved outside of work.

2. Recognize the importance of having people in whom you can confide.

   a. Identify them.

   b. Take the time to talk to them.

3. Satisfy your need for things like power, intimacy and affirmation in your private life, not in your work life.

4. Nurture your health by maintaining good habits, such as exercise, eating a healthy diet, and so on.

5. Find a place where you can reflect.

6. Create balance in your life.

This page intentionally left blank.

# ACTIVITY 13.1

## Maintaining Life/Work Balance

### Purpose

Identify ways to maintain life/work balance while exercising leadership.

### Directions

1. Use the worksheet that follows to identify and define what you will do to maintain life/work balance as you continue to develop personally and professionally.

2. You should review your completion of Part 4 of your Personal Development Plan as an aid to completing the questions.

3. Refer to the worksheet every few weeks or once a month as you exercise leadership and use it to measure what you are doing to maintain yourself and to determine whether you need to make adjustments.

This page intentionally left blank.

## ACTIVITY 13.1 (cont'd)

## Maintaining Yourself

1. Using your Personal Development Plan as a guide, answer the following questions:

   a. What specific actions will you take to maintain balance between the various facets of your life?

   _____

   _____

   _____

   b. What personal "hungers" do you have that may encroach on the work you need and want to do? (See pp. 201-204 in "The Practice of Adaptive Leadership.")

   _____

   _____

   _____

   c. What specific actions will you take to "get on the balcony" to assist you in maintaining a comprehensive perspective on all the facets of your life?

   _____

   _____

   _____

   d. Who will be your confidant(s) during your personal leadership development?

   _____

   _____

   _____

e. Describe one thing that you will do for yourself each day to maintain your personal, family and professional health?

_____

_____

_____

f. How will you maintain consistency in your life and your personal leadership philosophy?

_____

_____

_____

g. Where will you go when you need time to reflect on past and future events?

_____

_____

_____

h. What activities/friendships/events offer you renewal?

_____

_____

_____

i. What small-scale outcomes can satisfy your need for accomplishment?

_____

_____

_____

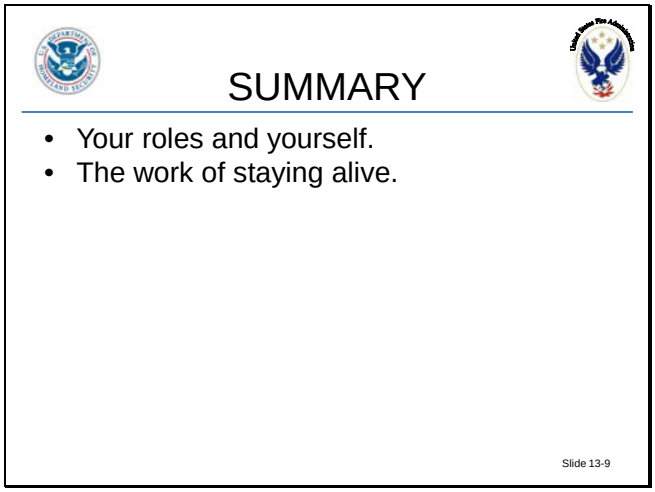
2. Choose a partner, and discuss Part 4 of your Personal Development Plan.

3. Be open and honest in listening to your partner's feedback.

4. Everyone will have an opportunity to review their answers and receive feedback from their partners. Be prepared to be open and honest in giving feedback to your partner.

This page intentionally left blank.

## III. SUMMARY


SUMMARY
• Your roles and yourself.
• The work of staying alive.
Slide 13-9

This page intentionally left blank.

# *UNIT 14: CAPSTONE: A VISIT TO GETTYSBURG*

*"… (B)ut one of them would make war rather than let the nation survive, and the other would accept war rather than let it perish, and the war came." — Abraham Lincoln, second inaugural address, March 1865*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*14.1 Assess leadership opportunities and influences within the context of organization, environment and culture, and develop plans for the exercise of adaptive leadership to meet identified opportunities.*

### *ENABLING OBJECTIVES*

*The students will be able to:*

*14.1 Assess the influences of organization, environment and culture on individuals exercising leadership during "in extremis" events.*

*14.2 Discuss the impact of a conflict of values when exercising leadership.*

*14.3 Analyze the similarities and differences of the leadership environments surrounding Gens. George Meade and Robert E. Lee.*

*14.4 Discuss the actions needed and risks associated with exercising leadership during times of extreme disequilibrium.*

*14.5 Describe the relevance of the exercise of leadership within the Gettysburg battle to the application of leadership in today's fire and emergency services.*

This page intentionally left blank.

# UNIT 14:
# CAPSTONE: A VISIT TO GETTYSBURG

Slide 14-1

## ENABLING OBJECTIVES

- Assess the influences of organization, environment and culture on individuals exercising leadership during “in extremis” events.
- Discuss the impact of a conflict of values when exercising leadership.
- Analyze the similarities and differences of the leadership environments surrounding Gens. George Meade and Robert E. Lee.

Slide 14-2

## ENABLING OBJECTIVES (cont’d)

- Discuss the actions needed and risks associated with exercising leadership during times of extreme disequilibrium.
- Describe the relevance of the exercise of leadership within the Gettysburg battle to the application of leadership in today’s fire and emergency services.

Slide 14-3

## I. BIOGRAPHICAL SKETCHES OF COMMANDERS AT THE BATTLE OF GETTYSBURG — FROM THE MOVIE "GETTYSBURG"

**"Gettysburg — The Challenge of Leadership Remains"**

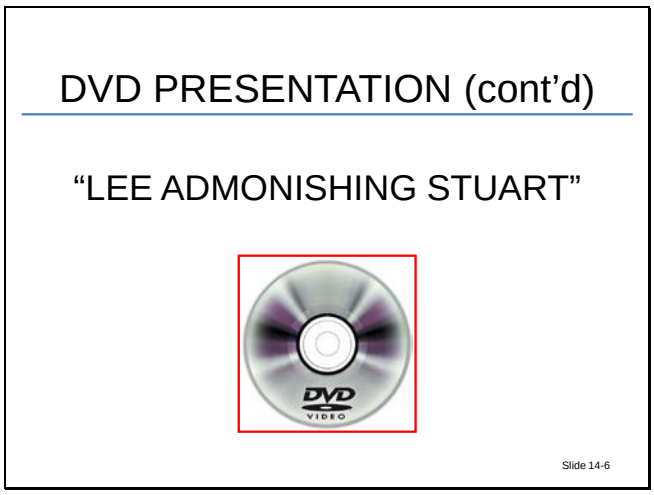
Slide 14-4

DVD PRESENTATION

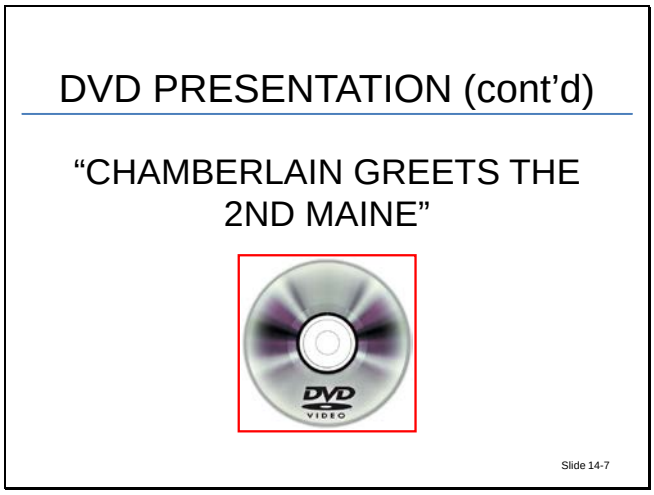
"ARMISTEAD"

Slide 14-5

A. Segment 1: "Armistead."




B. Segment 2: "Lee Admonishing Stuart."




C. Segment 3: "Chamberlain Greets the 2nd Maine."

## II. STAFF RIDE TO GETTYSBURG NATIONAL MILITARY PARK

A. MacPherson's Ridge, July 1, 1863 (Battle of Gettysburg, Day 1), Stop 1 — Presentation 1.

B. Oak Ridge Peace Light, July 1, 1863 (Battle of Gettysburg, Day 1), Stop 2 — Presentation 1.

C. Peach Orchard (Battle of Gettysburg, Day 2), Stop 3 — Presentation 2.

D. Little Round Top, July 2, 1863 (Battle of Gettysburg, Day 2), Stop 4 — Presentation 3.

E. Virginia Monument and Pickett's Charge, July 3, 1863 (Battle of Gettysburg, Day 3), Stop 5 — Presentation 4.

F. The Angle — High Water Mark (Battle of Gettysburg, Day 3), Stop 6.

G. Soldiers National Cemetery, Stop 7 — Presentation 5.

## III. DEBRIEF ON GETTYSBURG STAFF RIDE

# APPENDIX A

## GETTYSBURG STAFF RIDE AGENDA

This page intentionally left blank.

## Gettysburg Staff Ride Agenda

**Note:** All times are approximate and are subject to change based on weather, traffic and other influences. Instructors may modify times to meet curriculum objectives.

| | |
|---|---|
| 0700 | Meet in J-Building classroom for supplies and movement to the bus |
| 0715 | Depart National Emergency Training Center (NETC) |
| 0745 | Stop 1: MacPherson's Ridge — Group 1 Presentation (first half) |
| 0830 | Stop 2: Oak Ridge Peace Light — Group 1 Presentation (second half) |
| 0900 | Stop 3: Peach Orchard — Group 2 Presentation |
| 0955 | Stop 4: Little Round Top — Group 3 Presentation |
| 1115 | **Lunch stop*** |
| 1215 | Depart lunch stop |
| 1230 | Stop 5: Virginia Monument — Group 4 Presentation |
| 1300 | Walk to Stop 6: High Water Mark |
| 1345 | Stop 7: Soldiers National Cemetery — Group 5 Presentation |
| 1415 | Stop 8: Visitors Center |
| 1500 | Depart to NETC |
| 1530 | Return to J-Building classroom |

*** The lunch stop is planned at the Soldiers Cemetery bus parking area. Students may obtain a sack lunch from the cafeteria (must be preordered) or have the option — at their own expense — to walk to any number of local food establishments that are within a five- to seven-minute walk. Restrooms are located on the bus, area restaurants and the Soldiers Cemetery.**

**Students leaving the bus area must provide a cellphone number to one of the instructors to notify students of any last-minute changes to the agenda that may require their return to the bus sooner than anticipated.**

This page intentionally left blank.

# APPENDIX B

## “EXECUTIVE LEADERSHIP” COURSE STAFF RIDE ADDITIONAL QUESTIONS FOR REFLECTION

This page intentionally left blank.

## "Executive Leadership" Course Staff Ride
## Additional Questions for Reflection

1. Of the two Commanding Generals, which one did you identify most with, and why (George G. Meade or Robert E. Lee)?

2. What disadvantages did Alfred Iverson bring to the field on July 1, 1863? Is it fair that he was relieved of command for his actions at Gettysburg?

3. Should Confederate war dead have been allowed to be buried in the newly acquired and established **Soldiers National Cemetery** at Gettysburg in the fall of 1863?

4. Should George G. Meade have been more aggressive in pursuing Robert E. Lee and his retreating Army from Gettysburg into Virginia?

5. There is no question that history judges the **Army of the Potomac** to have been the victor at Gettysburg over the **Army of Northern Virginia.** The term "high water mark of the Confederacy" applies to Gettysburg. Yet at the time, the Union win at Vicksburg (the day after Gettysburg, July 4, 1863) received far more attention in the northern press. Why do you think this was true then?

6. Was the Civil War truly a contest over slavery and the right of states to have such power, or do you feel it was a war contested about the sovereignty of states and that slavery just happened to be the issue at hand?

7. Abraham Lincoln was obviously confronted with significant adaptive problems. There was disequilibrium. What were some of the strategies, tactics, and approaches that he facilitated and employed?

8. If you had one minute to explain to your family and colleagues the experience of Gettysburg, what key words would you use? What would you say?

9. Regarding the staff ride to Gettysburg, what lesson or experience was most valuable to you organizationally (will have direct application to your organization)?

10. Regarding the staff ride to Gettysburg, what lesson or experience was most valuable to you personally (will have direct application to you personally)?

This page intentionally left blank.

# APPENDIX C

## GETTYSBURG STAFF RIDE GUIDE

This page intentionally left blank.

## Gettysburg Staff Ride Guide

### The Army of the Potomac
Strength at Gettysburg: 93,000-95,000

**Union Order of Battle (Command Level)**

Commanding Gen. George Meade

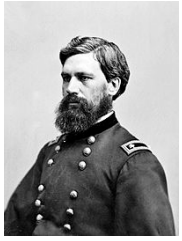
Gen. John Reynolds
Army 1st Corps

Gen. Winfield Scott Hancock
Army 2nd Corps

Gen. Daniel Sickles
Army 3rd Corps

Gen. George Sykes
Army 5th Corps

Gen. John Sedgwick
Army 6th Corps



Gen. Oliver Howard
Army 11th Corps

Gen. Henry Slocum
Army 12th Corps

Henry Hunt
Chief of Artillery
Cavalry Commander

Alfred Pleasonton
Chief of Staff

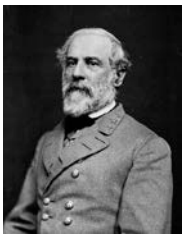
Daniel Butterfield
Chief Engineer

Gouverneur Warren

Dr. Jonathan Letterman
Chief Surgeon

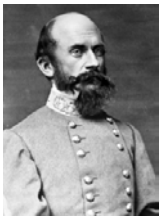
## The Army of Northern Virginia
Strength at Gettysburg: 75,000

**Confederate Order of Battle (Command Level)**



Commanding Gen.
Robert E. Lee

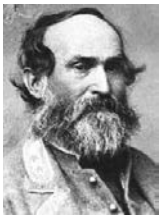
Lt. Gen. James Longstreet
Army 1st Corps



Lt. Gen. Richard Ewell
Army 2nd Corps

Lt. Gen. A. P. Hill
Army 3rd Corps

Gen. Lafayette McLaws



Gen. Jubal Early

Gen. Henry Heth

Gen. John Bell Hood

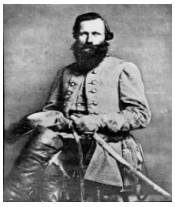
Gen. Edward “Allegheny” Johnson

Gen. William Dorsey Pender

Gen. George Pickett

Gen. Robert Rhodes

Gen. Richard Anderson



Gen. James Ewell Brown
Stuart — Cavalry Commander

HEADQUARTERS OF THE ARMY,
*Washington, D. C., June 27, 1863.*

Maj. Gen. GEORGE G. MEADE,
*Army of the Potomac:*

GENERAL: You will receive with this the order of the President placing you in command of the Army of the Potomac. Considering the circumstances, no one ever received a more important command; and I cannot doubt that you will fully justify the confidence which the Government has reposed in you.

You will not be hampered by any minute instructions from these headquarters. Your army is free to act as you may deem proper under the circumstances as they arise. You will, however, keep in view the important fact that the Army of the Potomac is the covering army of Washington as well as the army of operation against the invading forces of the rebels. You will, therefore, maneuver and fight in such a manner as to cover the capital and also Baltimore, as far as circumstances will admit. Should General Lee move upon either of these places, it is expected that you will either anticipate him or arrive with him so as to give him battle.

All forces within the sphere of your operations will be held subject to your orders.

Harper's Ferry and its garrison are under your direct orders.

You are authorized to remove from command, and to send from your army, any officer or other person you may deem proper, and to appoint to command as you may deem expedient.

In fine, general, you are intrusted with all the power and authority which the President, the Secretary of War, or the General-in-Chief can confer on you, and you may rely upon our full support.

You will keep me fully informed of all your movements, and the positions of your own troops and those of the enemy, so far as known.

I shall always be ready to advise and assist you to the utmost of my ability.

Very respectfully, your obedient servant,
H. W. HALLECK,
*General-in-Chief.*

FREDERICK, MD., *June* 28, 1863—7 a. m.
(Received 10 a. m.)

General H. W. HALLECK,
*General-in-Chief:*

The order placing me in command of this army is received. As a soldier, I obey it, and to the utmost of my ability will execute it. Totally unexpected as it has been, and in ignorance of the exact condition of the troops and position of the enemy, I can only now say that it appears to me I must move toward the Susquehanna, keeping Washington and Baltimore well covered, and if the enemy is checked in his attempt to cross the Susquehanna, or if he turns toward Baltimore, to give him battle. I would say that I trust every available man that can be spared will be sent to me, as from all accounts the enemy is in strong force. So soon as I can post myself up, I will communicate more in detail.

GEO. G. MEADE,
*Major-General.*

George Meade
(1815-1872)

George Meade was the Commanding General of the Army of the Potomac during most of the *Gettysburg Campaign* time period having been appointed on June 28, 1863 two days prior to Gettysburg. He graduated from the U. S. Military Academy (West Point) in 1831, 19th in his class of 56 cadets. Meade was a career officer, having served in the Second Seminole War and the American War with Mexico. He also worked as a Civil Engineer involved in such projects as coastal construction, lighthouses, and surveying. Following the Battle of Fredericksburg in 1862, he was promoted to V Corps Commander and directed these soldiers at Chancellorsville. At Gettysburg Meade made excellent use of capable subordinates (Reynolds and Hancock) to whom he delegated great responsibilities. Unfortunately for Meade's reputation, he did not skillfully manage the political manipulators he inherited from Hooker, 3rd Corps commander Sickles, and others who later publicly questioned his command decisions (particularly with Sickles) and resistance to pursue Lee after Gettysburg, nor did he manage the press effectively who publicly questioned his command decision making. Many historians consider Meade to have been competent and outwardly humble. Meade would die at the age of 57. Sickles would live for 42 years after Meade's death.

Daniel Sickles
(1819-1914)

Daniel Sickles is perhaps one of the most controversial figures associated with the Gettysburg Campaign. A native of New York City and an attorney, Sickles became a member of the New York Assembly in 1843. Linked to many scandals during his life, the most notorious of these was the murder of Philip Barton Key, his wife's suitor in 1859. Sickles was acquitted in his plea of "temporary insanity", the first successful known such defense. With the outbreak of the Civil War, Sickles attempted to repair his image first by raising a regiment which then turned into a full brigade, the *Excelsior Brigade*. One of the regiments, the *73rd New York* was comprised of volunteer firefighters and following the war, they would become the Fire Department of New York. In return for this effort Sickles was able to acquire a Brigade General commission. An ally of General Hooker, both had "salty" reputations. On July 2, 1863 at Gettysburg during the second day of engagement, Sickles insubordinately extended his Third Corps to the front of their assigned position putting the entire Army of the Potomac at risk. Following the war, Sickles would champion and defend his position, and create new controversy as well. He is responsible for (as a Congressman) the "Sickles Act" which created the Gettysburg National Military Park in 1895. He died at 95 years of age.

James Longstreet
(1821-1904)

James Longstreet or known by his General and soldiers as "Old Pete" was a career soldier who served as a lieutenant general in the Confederate States Army (CSA). Longstreet grew up in Georgia and Alabama, graduated from the military academy at West Point (1842) and served the United States with distinction in the war with Mexico (1846-48) under Zachary Taylor and Winfield Scott. When the southern states seceded from the United States in 1861, Longstreet resigned his commission in the U.S. Army and signed on with the CSA. By the end of 1862 he was a lieutenant general, in command of the First Corps of Northern Virginia, which was more than half of General Robert E. Lee's army. Longstreet is mostly remembered for his role commanding the 1st corps in the 1863 battle at Gettysburg. In the years after the War, Longstreet was accused of being slow to carry out Lee's orders on July 2nd and thus causing the Confederate defeat. Lee died in 1870, having publicly praised Longstreet, who he called "My Old War Horse." Nonetheless, Longstreet was disparaged for decades in the South, partly for Gettysburg and partly because he was a "scalawag": after the war he joined the *Republican Party* (Abraham Lincoln's party) and supported Ulysses Grant for president in 1868. He later served as American minister to Turkey (1880-81).

Lewis A. Armistead
(1817-1863)

After being expelled from West Point, Armistead was directly commissioned into the Army in 1839 and served in the Mexican War. He had a reputation of being a bold, grizzled veteran fighter. His primary motivation during the Civil War was his Commonwealth of Virginia and the right of Virginia to dictate its future. He was wounded in battle at Antietam. At Gettysburg, Armistead was assigned to George Pickett's Division as a Brigade Commander...the other two in his Division were Garnett and Kemper.

Armistead led his Brigade in the grand assault against the Union center on the third day of battle at Gettysburg, observers accounted "10-15 paces in front of his men". He was mortally wounded at the angle, and died two days later in a Union field hospital. Hid body today is buried in Baltimore Maryland.

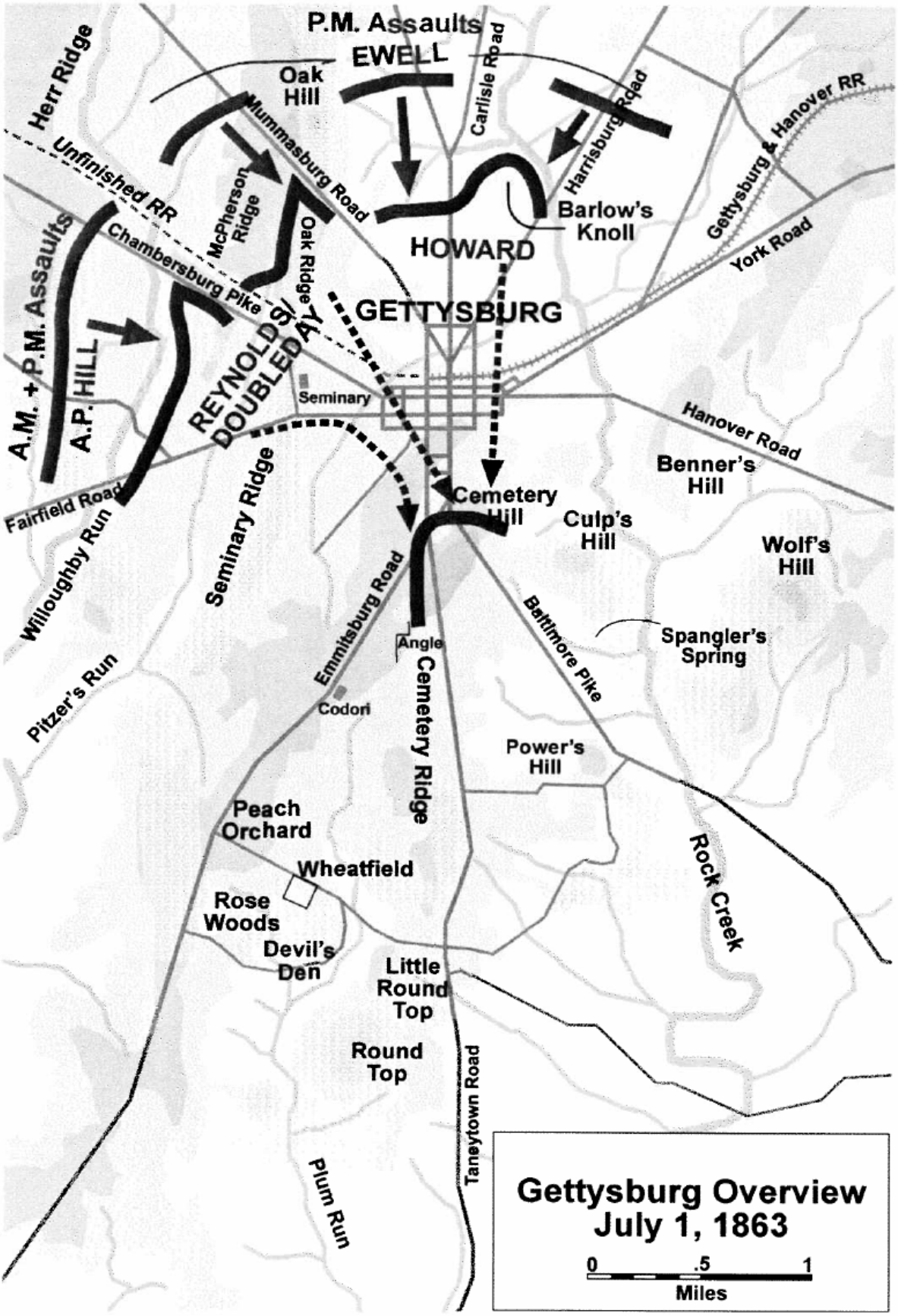
One of his closest friends, Union Corps Commander Winfield Scott Hancock opposed Armistead on the third day.

Robert E. Lee
(1807-1870)

Robert E. Lee was abandoned by his father who left behind many debts when Robert was very young. He was raised by his Mother who was an invalid (from arthritis, a disease which would also inflict his wife in later years). Robert wanted to study medicine, but opted for West Point. He graduated second in his class without a single demerit. His first assignment was with the Army Corps of Engineers. In 1859 he led a group of marines to Harpers Ferry West Va. to control a slave rebellion. Later he was offered command on the Federal Army by President Lincoln, an offer "he could not accept". He later assumed command as Commanding General of the Army of Northern Virginia, C.S.A. One of his greatest war victories was the Battle of Chancellorsville in May 0f 1863, just weeks before the Gettysburg Campaign. His second invasion of the North in 1863 (the first ending at Antietam) would see the Army of Northern Virginia lose at Gettysburg. After the war, Lee would return to Virginia. He served as President of Washington & Lee University and became a role model for thousands of former Confederates in regards to living with honor and respect in the face of defeat. His decision and rationale on the third day at Gettysburg to attack the Union center will never be fully explained nor resolved.

Joshua Lawrence Chamberlain
(1828-1914)

Professor Joshua Chamberlain was 34 years old when he enlisted in the Army. His academic standing entitled him to an officer position, and he asked the Governor for assistance (through mentoring). Chamberlain later wrote of his mentor, Attleburt Ames, "I learned a great deal from him, but I did not care for the way he treated his people". Colonel Chamberlain was awarded command of the 20th Maine Regiment. Shortly before Gettysburg, an additional 102 soldiers from the 2nd Maine were placed under his command as "mutineers". Chamberlain convinced all but one or two to take back their arms. Chamberlain's leadership on July 2, 1863 at Little Round Top is now viewed as a turning point in the battle, for which the 20th Maine defended the Union line (left-flank) against the advancing Confederates. He later received the Medal of Honor for his actions. Some historians feel that Chamberlain is receiving more credit than what is due acknowledging recognition to Strong Vincent's Brigade of which the 20th Maine was one regiment of. Following the war Chamberlain returned to Maine and served as President at his college alma mater, Bowdoin, and also as a two-term Governor of Maine.


P.M. Assaults
EWELL
Oak Hill
Herr Ridge
Carlisle Road
Harrisburg Road
Gettysburg & Hanover RR
Mummasburg Road
Unfinished RR
McPherson Ridge
Oak Ridge
Barlow's Knoll
HOWARD
Chambersburg Pike
GETTYSBURG
York Road
A.M. + P.M. Assaults
A.P. HILL
REYNOLDS/DOUBLEDAY
Seminary
Hanover Road
Benner's Hill
Fairfield Road
Willoughby Run
Seminary Ridge
Cemetery Hill
Culp's Hill
Wolf's Hill
Emmitsburg Road
Baltimore Pike
Spangler's Spring
Angle
Cemetery Ridge
Pitzer's Run
Codori
Power's Hill
Peach Orchard
Wheatfield
Rock Creek
Rose Woods
Devil's Den
Little Round Top
Round Top
Taneytown Road
Plum Run
Gettysburg Overview
July 1, 1863
0
.5
1
Miles

Alfred Iverson
1829-1911

Alfred Iverson was born and raised in Clinton Georgia. He enrolled in Tuskegee Military Institute leaving there to become a Lieutenant at the age of 17. His regiment was raised to fight in the Mexican-American War. When the Civil War broke out, Iverson left the U.S. Army and received a commission from Jefferson Davis, receiving appointment as Colonel of the 20th North Carolina Regiment. He was severely wounded at the Battle of Gaines Mills. His entire regiment "ran away" at the Battle of Sharpsburg (Antietam). On November 1, 1862 Iverson was appointed Commander of his brigade which contained all North Carolinians. When Iverson attempted to replace his regimental command position, 26 of his field officers signed a letter of protest. Afterwards Iverson would refuse to consider any of these 26 for future promotion for his regimental command position that he had vacated.

At Gettysburg Iverson's Brigade as a part of Rodes's Division of Ewell's Third Corps advanced to attack the Union right on the afternoon of July 1 at Oak Ridge.

The Brigade sustained destructive fire and a high rate of casualties within seconds. Iverson was relieved of command by Lee in October of 1863. He would survive until 1911 and is buried in Atlanta Georgia.

"Learning that the Alabama Brigade, on my left, was moving, I advanced at once, and soon came in contact with the enemy, strongly posted in woods and behind a concealed stone wall. My brigade advanced to within 100 yards, and a most desperate fight took place. I observed a gap on my left, but presumed that it would soon be filled by the advancing Alabama brigade by Colonel O'Neal……

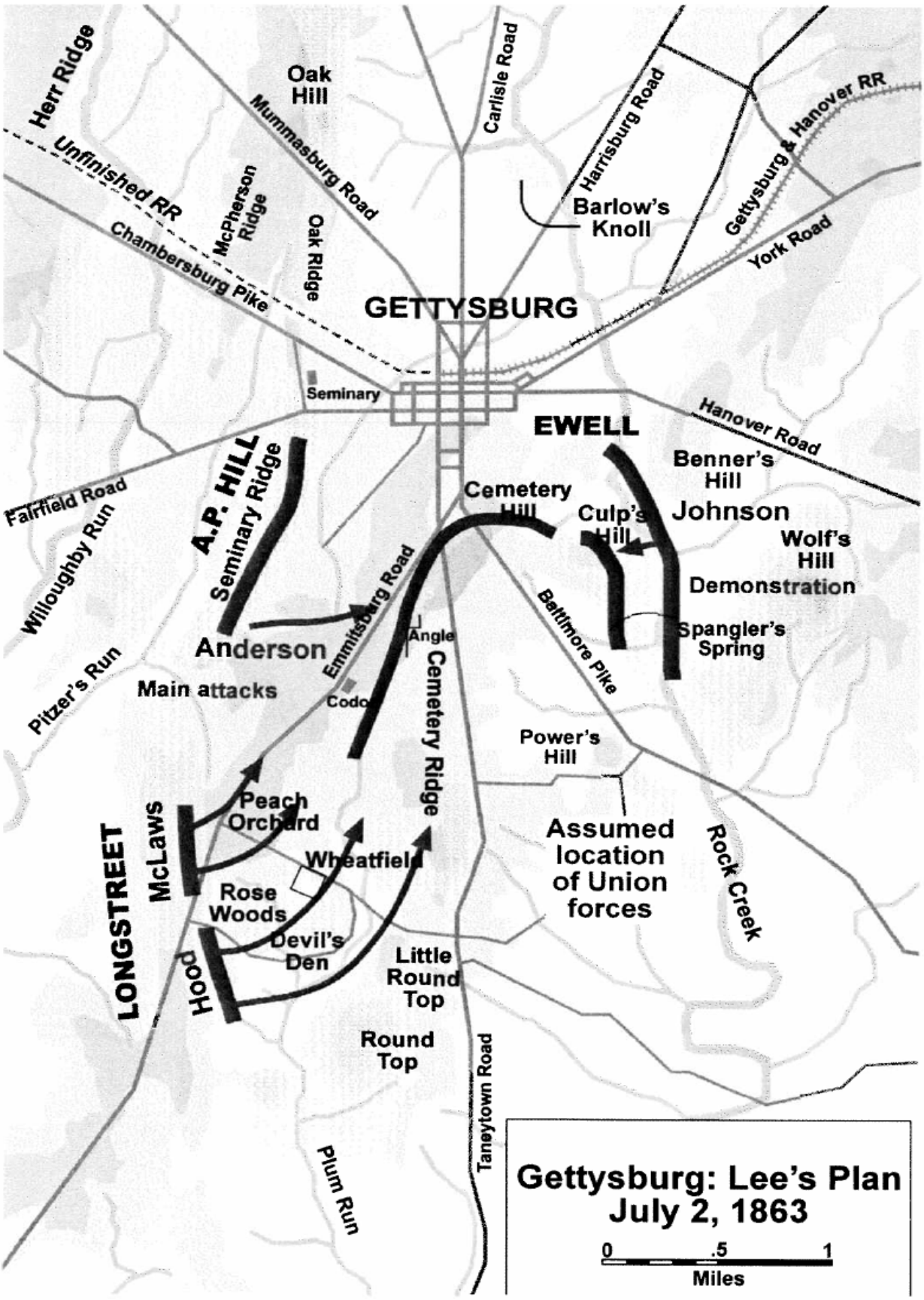
When I saw white handkerchiefs raised, and my line of battle still lying down in position, I characterized the surrender as disgraceful; but when I found afterward that 500 of my men were left lying dead and wounded on a line as straight as a dress parade, I exonerated, with one or two disgraceful individuals exceptions, the survivors, and claim for the brigade that they nobly fought and died without a man running to the rear. No greater gallantry and heroism has been displayed during the war. I endeavored during the confusion among the enemy incident to the charge and capture of my men, to make a charge with my remaining regiment and the Third Alabama, but in the noise and excitement I presume my voice could not be heard."

---

(Source: War of the Rebellion Official Records – Testimony of Randall Iverson, Series I, Vol. 27.,pp. 579-580.)

Iverson had ordered his brigade forward on July 1, 1863, and:

- Did not reconnoiter the ground to his front.
- Remained physically in the rear of his formation in a place of protection.
- Did not order skirmishers in advance of the brigade.
- Did not coordinate his advance (attack) with the brigade on his left, that of Col. Edward O'Neal.


Herr Ridge
Oak Hill
Mummasburg Road
Carlisle Road
Harrisburg Road
Gettysburg & Hanover RR
Unfinished RR
McPherson Ridge
Oak Ridge
Barlow's Knoll
Chambersburg Pike
York Road
GETTYSBURG
Seminary
Hanover Road
EWELL
Benner's Hill
Fairfield Road
A.P. HILL
Seminary Ridge
Cemetery Hill
Culp's Hill
Johnson
Willoughby Run
Wolf's Hill
Demonstration
Emmitsburg Road
Baltimore Pike
Spangler's Spring
Anderson
Angle
Pitzer's Run
Main attacks
Codori
Cemetery Ridge
Power's Hill
Peach Orchard
Assumed location of Union forces
Rock Creek
LONGSTREET
McLaws
Wheatfield
Rose Woods
Devil's Den
Hood
Little Round Top
Round Top
Taneytown Road
Plum Run
Gettysburg: Lee's Plan
July 2, 1863
0 .5 1
Miles

## Brigadier General Samuel Kosciusko Zook

## (Hancock's) Second Corps, Caldwell's Division, Third Brigade

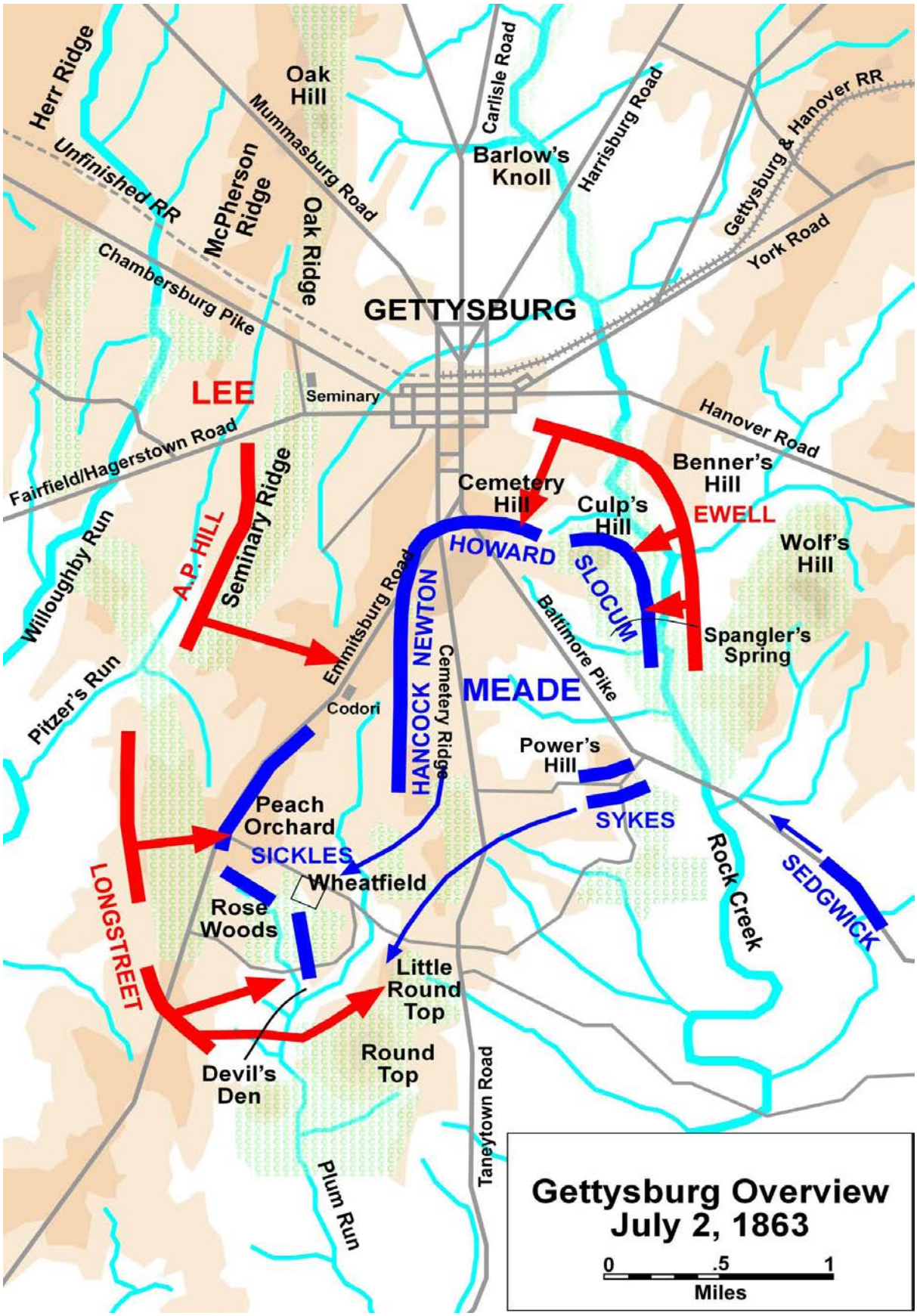
1821-1863

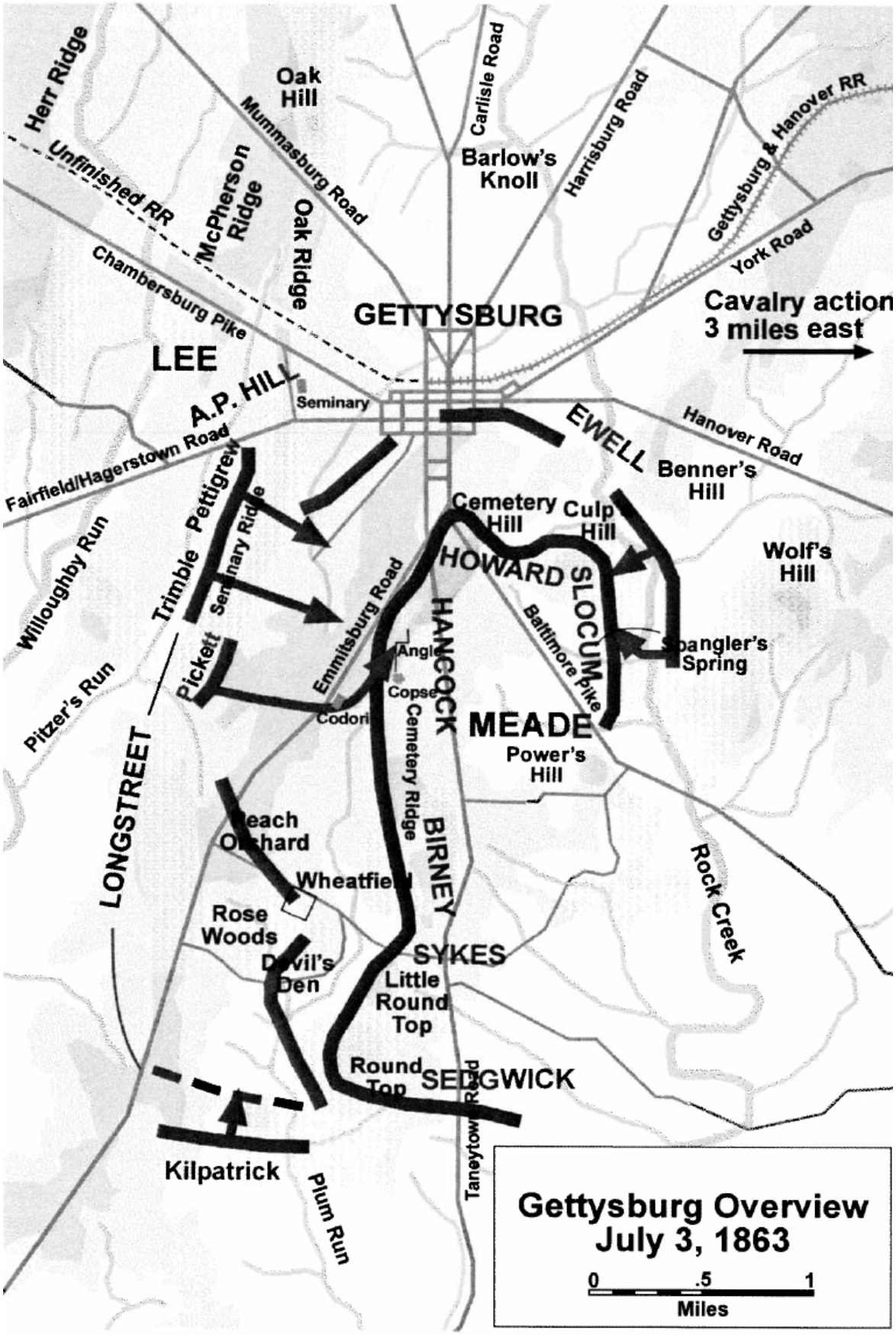
Samuel Zook had no formal military training but had extensive militia experience. Growing up in Valley Forge Pennsylvania, Zook was enamored with the military and it was known he had even arrested his young sister for "a failure to obey orders". He was an early pioneer of telegraphy, and helped erect telegraph lines west to the Mississippi River. He became Superintendent of a telegraph company and moved to New York City. He combined his earlier military interests in New York by joining the 6th New York Militia. He worked his way up to Lieutenant Colonel when the Civil War erupted.

Zook was very principled and was not afraid to articulate his values. After becoming Colonel of the new 57th New York Volunteers, Zook sent a letter to William Clark stating "I am determined to have none but gentlemen for my officers and no amount of men will induce me to depart from this determination. Some Colonels are so eager to get men they will receive the most ignorant and vulgar loafers".

Zook suffered terribly from rheumatoid arthritis to the extent that it was observed he had great difficulty some mornings in just moving around. He would take alkaloid colchicines; now know today to be poisonous. The colchicines caused great intestinal disorders. During the Seven Days Battle in Virginia Zook demonstrated his skills by scouting behind enemy lines and discovered a "ruse" being employed by Confederate General Magruder. Zook reported the ruse, but his Corp Commander (Sumner) was afraid to act upon it. Zook would later serve at Fredericksburg where he had his horse shot from underneath him (he was promoted to Brigadier General following Fredericksburg) and at Chancellorsville. Zook went on medical leave following this battle but rejoined his regiments shortly before Gettysburg.

Within Winfield Scott Hancock's Second Army Corps at Gettysburg, Zook's Brigade was one of four in Caldwell's 1st Division. His regiments consisted of the 52nd New York; the 57th New York; the 66th New York; and the 140th Pennsylvania. Zook's Brigade arrived on Cemetery Ridge on July 2 sometime in mid-morning hours. When Dan Sickles moved his 3rd Corps forward from their assigned position, Caldwell's Division was ordered to provide support. As the Division moved south, Zook was intercepted by an officer (Many believe it was Major Henry Tremain of Sickles 3rd Corp) asking for immediate assistance.) Zook complied and detached his Brigade. Zook's Brigade would form on the right of the line with the First (Cross) and Second (Kelly) to his left. Concurrently, soldiers of Barnes's Division were retreating and the entire area near the Wheatfield, Trostle's Woods and Stony Ridge was a milieu of smoke, fighting, and chaos. Zook, mounted on his horse, led his Brigade across the Wheatfield Road towards Stony Ridge. Colonel Richard Roberts, commander of Zook's 140th Pennsylvania was quoted at this time saying *"Men of the 140th! Recollect that you are now defending your own soil and are fighting to drive the invader from your own homes and firesides. I shall therefore expect you to conduct yourselves as if in the presence of your wives, your sisters, and your sweethearts, and not disgrace the flag you bear or the name of Pennsylvanians."* The regiment answered its Colonel with a cheer.


Herr Ridge
Oak Hill
Carlisle Road
Harrisburg Road
Gettysburg & Hanover RR
Unfinished RR
Mummasburg Road
McPherson Ridge
Oak Ridge
Barlow's Knoll
Chambersburg Pike
York Road
GETTYSBURG
LEE
Seminary
Hanover Road
Fairfield/Hagerstown Road
Seminary Ridge
Cemetery Hill
Benner's Hill
Culp's Hill
EWELL
Willoughby Run
A.P. HILL
HOWARD
SLOCUM
Wolf's Hill
Emmitsburg Road
NEWTON
Baltimore Pike
Spangler's Spring
Cemetery Ridge
MEADE
Pitzer's Run
Codori
Power's Hill
HANCOCK
Peach Orchard
SYKES
SICKLES
Rock Creek
SEDGWICK
Wheatfield
LONGSTREET
Rose Woods
Little Round Top
Round Top
Devil's Den
Taneytown Road
Plum Run
Gettysburg Overview
July 2, 1863
0
.5
1
Miles


Herr Ridge
Oak Hill
Mummasburg Road
Carlisle Road
Harrisburg Road
Gettysburg & Hanover RR
Unfinished RR
McPherson Ridge
Oak Ridge
Barlow's Knoll
Chambersburg Pike
York Road
GETTYSBURG
Cavalry action 3 miles east
LEE
A.P. HILL
Seminary
EWELL
Hanover Road
Benner's Hill
Fairfield/Hagerstown Road
Pettigrew
Trimble
Seminary Ridge
Cemetery Hill
Culp Hill
Wolf's Hill
Willoughby Run
HOWARD
SLOCUM
Emmitsburg Road
HANCOCK
Baltimore Pike
Spangler's Spring
Pickett
Angle
Copse
Codori
Pitzer's Run
Cemetery Ridge
MEADE
Power's Hill
LONGSTREET
Peach Orchard
BIRNEY
Wheatfield
Rock Creek
Rose Woods
Devil's Den
SYKES
Little Round Top
Round Top
SEDGWICK
Taneytown Road
Kilpatrick
Plum Run
Gettysburg Overview
July 3, 1863
0
.5
1
Miles

# TACTICS

The tactical legacy of the eighteenth century had emphasized close formations of soldiers trained to maneuver in concert and fire by volleys. These "linear" tactics stressed the tactical offensive. Assault troops advanced in line, two ranks deep, with cadenced steps, stopping to fire volleys on command and finally rushing the last few yards to pierce the enemy line with a bayonet charge.

These tactics were adequate for troops armed with a single-shot, muzzle-loading, smooth-bore musket, with an effective range of about eighty yards. The close-order formation was necessary to concentrate the fire power of these inaccurate weapons. Bayonet charges might then succeed because infantry could rush the last eighty yards before the defending infantrymen could reload their muskets after firing a volley.

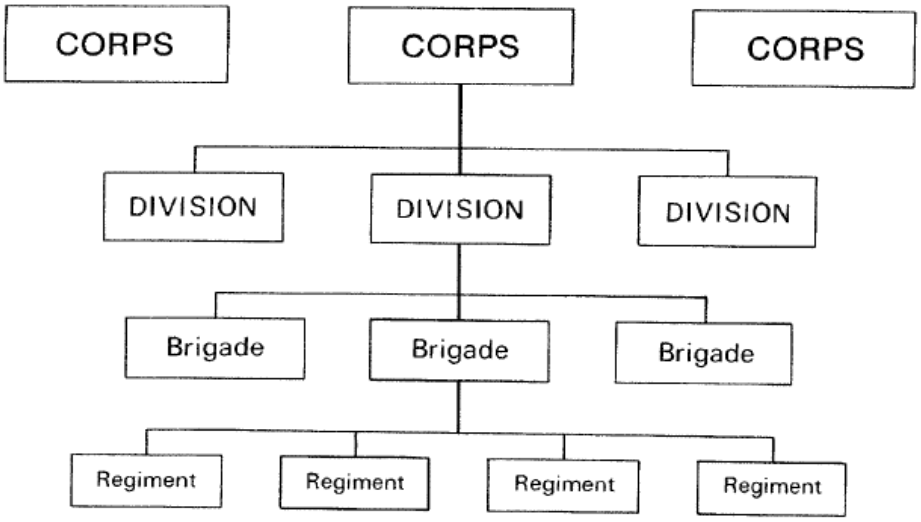
The U.S. Army's transition from smooth-bore muskets to rifles in 1855 had two main effects in the Civil War: it strengthened the tactical defensive and increased the number of casualties in the attacking force. With an effective range of over 300 yards defenders firing rifles could decimate infantry formations attacking according to linear tactics.

Thus, during the Civil War the widespread use of the rifle caused infantry assault formations to loosen up slightly, with individual soldiers seeking available cover and concealment. However, because officers needed to maintain visual and verbal control of their commands during the noise, smoke and chaos of combat, close-order tactics continued to the end of the war.

Rapid movement of units on roads or cross country was generally by formation of a column four men abreast. The speed of such columns was prescribed as 2 miles per hour. Upon reaching the field each regiment was typically formed into a line two ranks deep, the shoulders of each man in each rank touching the shoulders of the man on either side. A regiment of 500 men (250 men in each rank) might have a front of about 200 yards. The distance between ranks was prescribed as 13 inches. Both front and rear ranks were capable of firing, either by volley or individual fire.

## Army Organizational Structure

## Circa 1863




The infantry regiment of ten infantry companies was the basic administrative and tactical unit of the Civil War armies. Each regiment was staffed by a colonel, lieutenant colonel, major, adjutant, quartermaster, surgeon (with rank of major), two assistant surgeons, a chaplain, sergeant major, quartermaster sergeant, commissary sergeant, hospital steward, and two principal musicians. Each company was staffed by a captain, a first lieutenant, a second lieutenant, a first sergeant, four sergeants, eight corporals, two musicians, and one wagoner.

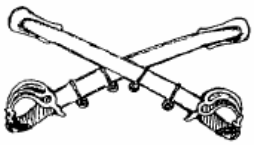
The authorized strength of a Civil War infantry regiment was about 1,000 officers and men, arranged in ten companies. Discharges for physical disability, disease, special assignments, courts martial, and battle injuries all combined to reduce effective combat strength. Before too long a typical regiment might be reduced to less than 500. Such was the case at Gettysburg.

Brigades were made up of two or more regiments, with four or more regiments being common. Union brigades averaged 1,000 to 1,500 men, while on the Confederate side they averaged 1,500 to 1,800. (Confederate brigades typically had more men, but smaller regiments.) Union brigades were designated by a number within their division, and each Confederate brigade was designated by the name of its current or former commander.

Divisions were formed of two or more brigades. Union divisions contained 2,500 to 4,000 men, while the Confederate division was somewhat larger, containing 5,000 to 6,000 men. As with brigades, Union divisions were designated by a number in the Corps, while each Confederate division took the name of its current or former commander.

Corps were formed of two or more divisions. The strength of a Union corps averaged 9,000 to 12,000 officers and men, those of Confederate armies might be as high as 20,000. Two or more corps constituted an army, the largest operational organization. During the Civil War there were at least 16 armies on the Union side, and 23 on the Confederate side.

In the Eastern Theater the two principal adversaries were the Union Army of the Potomac and the Confederate Army of Northern Virginia. There were generally seven corps in the Union Army of the Potomac. Upon the death of General Stonewall Jackson two months before Gettysburg, the Army of Northern Virginia reorganized into three corps.



# CAVALRY

General Buford's cavalry at Gettysburg fought dismounted. In such situations, the skirmish line was in advance, with the main body behind. Mounted companies would be stationed on one or both flanks. The horse holders were behind the main body. In practice, the number fours would hold the mounts in as sheltered a position as possible, yet near enough to be readily available.

Gettysburg Horses by the Numbers:
Approx. number of horses —72,243
Approx. number killed –3,500 to 4,500*

*Most of them were not disposed of until July 15.

In and Out (for one horse per day):
10 gallons water
12 pounds of grain
14 pounds of hay

12-15 pounds of manure
2 gallons liquid waste

For the total number of horses:
722,430 gallons of water
866,916 pounds of grain
1,011,402 pounds of hay

975,281 pounds of manure
144,486 gallons liquid waste

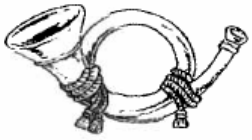
Cavalry troopers were armed with early breech loading carbines and revolvers that could be managed from horseback.

Most Common Weapons
.52 cal. Sharps Carbine, single-shot, breech-loader:
Range - 150-200 yards; 9 rounds per minute

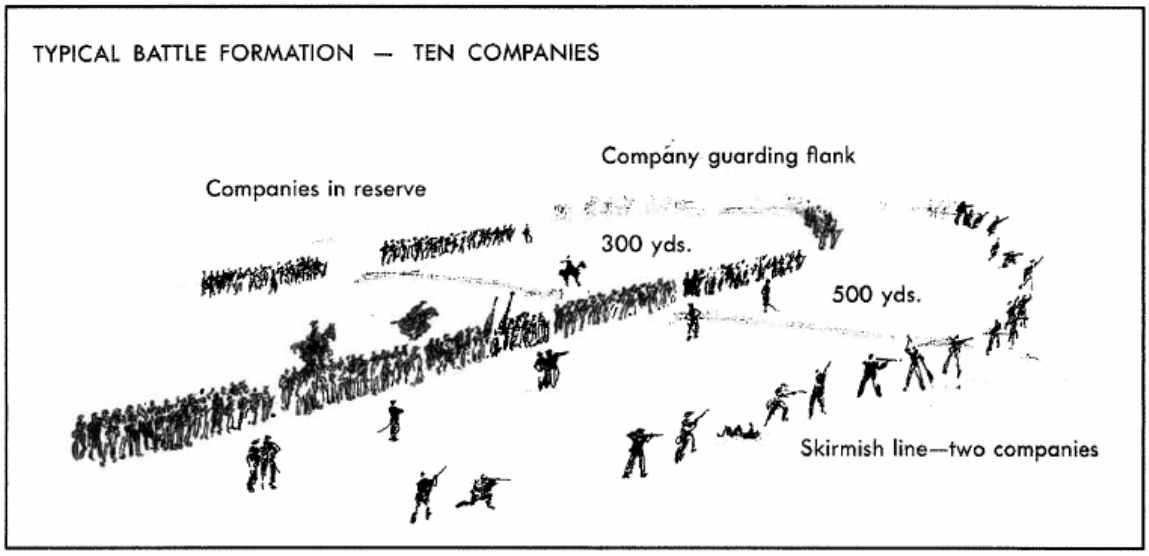
.52 cal. Spencer Carbine, 7-shot, breech-loader:
Range - 150-200 yards; 8 rounds per minute

.36 & .44 cal. Colt Revolver, 6-shot:
Range - 20-50 yards

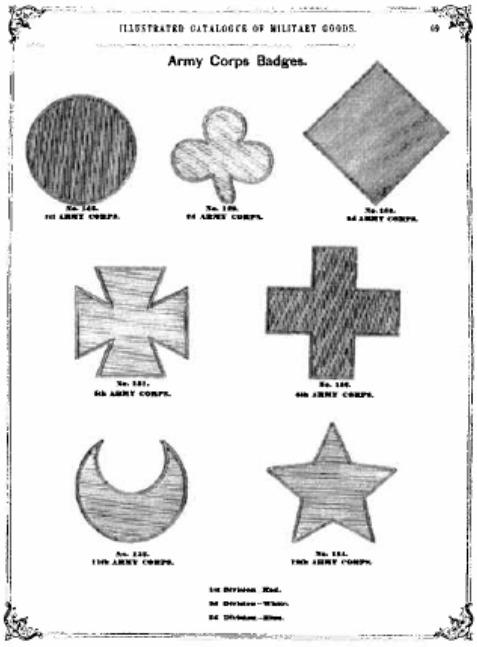
The cavalry was the "eyes" of the army. For the first two years of the war, the Confederacy had the upper edge in horsemanship. By the time of the Gettysburg Campaign, however, the Federal cavalry had come of age and remained respectable during the rest of the war. It required an enormous supply of animals to keep the troops mounted. Confederates supplied their own mounts which could be difficult—by the end of 1863 horses in the South were selling for $2000 to $3000 each. Northern cavalrymen were less apt to be horse owners so the Federal or State government or a patriotic organization furnished mounts. The price averaged $140.



# INFANTRY




Infantrymen were armed with muzzle-loading rifles firing the Minie ball, or smooth-bore muskets firing a round ball. These weapons could be fired at a rate of three rounds per minute and required the soldier to stand to reload.



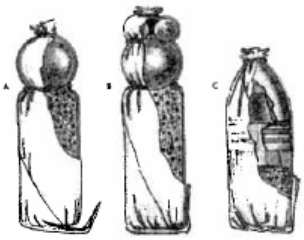

Most Common Weapons

.58 cal. Springfield rifled musket:
Range - 1000 yds maximum (200-300 yds accurately)

.577 cal. British Enfield rifled musket:
Range - 1100 yds maximum (200-300 yds accurately)

.69 cal. Smooth-bore musket:
Range - 200 yds maximum (50-100 yds accurately)

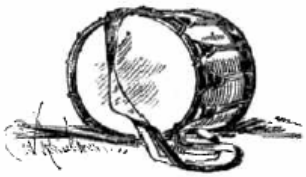
Each type was muzzle-loaded and could be fired 3 rounds per minute.

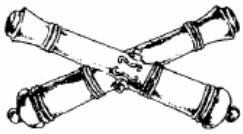


A. .69 caliber musket ball with powder charge.

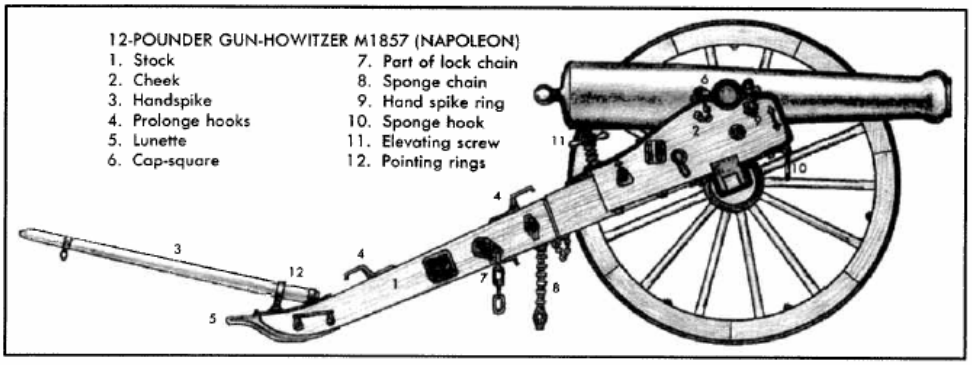
B. Buck & Ball

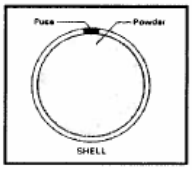
C. .58 caliber Minie ball with powder charge



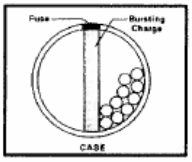


# ARTILLERY



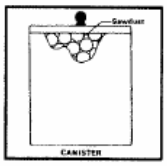




**Shell**—Fused, hollow projectile with a powder-filled cavity. Exploded into 4 or 5 large pieces (shrapnel). Used at 500—1500 yds.

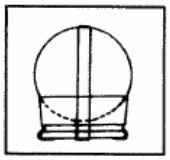



**Spherical Case** —Fused, hollow projectile with powder and a number of small iron balls that dispersed in all directions. Used at 500-1500 yds.

**Canister**—Cylindrical tin can filled with iron balls packed with sawdust. Bursts open immediately upon exiting muzzle, like a large shotgun blast. Used at 50-300 yds.




**Shot**—Solid Projectile



**12-pounder bronze cannon**. Commonly referred to as the **"Napoleon"**, this bronze smoothbore gun fired a twelve-pound ball; each gun weighed an average of 1,200 pounds. This powerful cannon could fire round explosive shell and solid shot up to a mile, and charges of canister up to 300 yards with accuracy. Napoleons on the battlefield today have a light green patina.

**2.9-inch (10-pounder) Parrott Rifle**. This iron cannon was rifled (grooved inside the barrel) and fired an elongated shell made specifically for the gun. Designed before the war by Captain Robert Parker Parrott, this gun was longer than a Napoleon, sleeker in design, and distinguishable by a thick band of iron wrapped around the breech. The 10-pounder Parrotts used during the Gettysburg Campaign had an effective range of over 2,000 yards. This type of gun is black in color.

**3-inch Wrought Iron Gun**. This sleek weapon was also called the **3-inch Ordnance Rifle**. This is an iron gun, similar in length to the Parrott Rifle, fired an elongated shell, and was deadly accurate up to a mile. Much lighter than the Napoleon, the gun weighed an average of 800 pounds and could be easily transported and manhandled by its crew. This type of gun is black in color.

**Model 1841 12-pounder Howitzers**. A pre-war bronze gun dating back to the 1840's, a number of howitzers were still in use by the Army of Northern Virginia during the Gettysburg Campaign. The barrels of these guns are several inches shorter than other artillery pieces giving them a stubby appearance. These powerful guns packed a wallop at close range but were not desirable for long range work. . Larger 24-pounder field howitzers were also produced and a small number were at Gettysburg. Howitzers on the battlefield today have the aged light green color.

# *UNIT 15: REFLECTIONS ON "EXECUTIVE LEADERSHIP" AND THE EXECUTIVE FIRE OFFICER PROGRAM*

### *TERMINAL OBJECTIVE*

*The students will be able to:*

*15.1 Summarize their reflections and experiences in the "Executive Leadership" (EL) course and the Executive Fire Officer Program (EFOP).*

### *ENABLING OBJECTIVES*

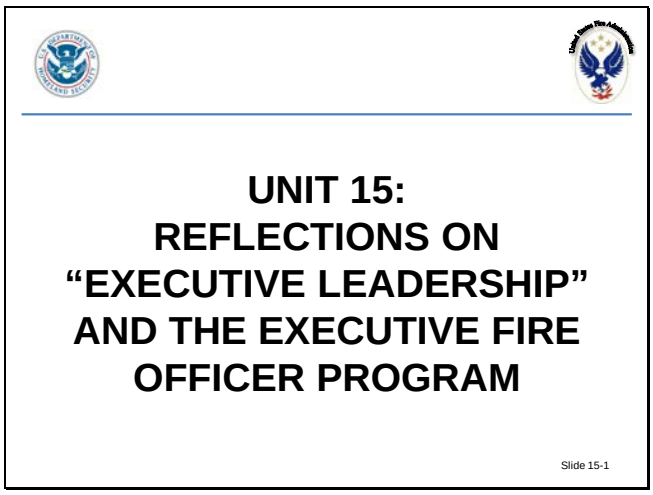
*The students will be able to:*

*15.1 Assess the applicability of course learning to the work environment.*

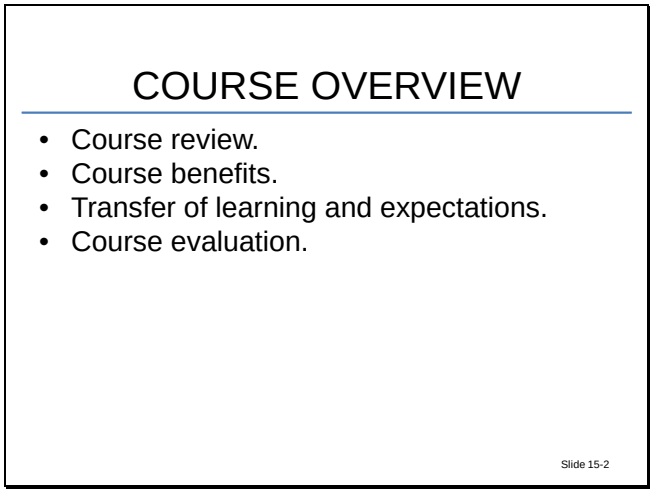
*15.2 Assess the applicability of their EFOP to their personal spheres of life (self, family, organization, community).*

*15.3 Reflect on initial course and program expectations to actual experiences.*

This page intentionally left blank.




## I. COURSE OVERVIEW




A. Course review.

B. Course benefits.

C. Transfer of learning and expectations.

D. Course evaluation.

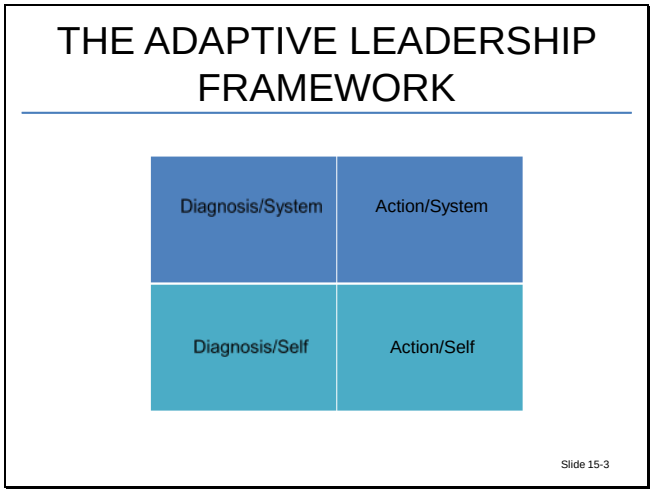
## II. REFLECTIONS ON "EXECUTIVE LEADERSHIP" AND THE EXECUTIVE FIRE OFFICER PROGRAM

A. Review of course goals.

1. The Executive Fire Officer (EFO) will develop the ability to conceptualize and employ the key processes and interpersonal skills used by effective executive-level managers.

2. "Executive Leadership" (EL) is the concluding course in the Executive Fire Officer Program (EFOP) sequence. The goal of EL is to provide a framework of executive-level competencies by focusing on personal effectiveness.

3. The EL course's focus on personal effectiveness is captured in the Adaptive Leadership Framework introduced in "The Practice of Adaptive Leadership."




B. Adaptive Leadership Framework.

1. The framework identifies two essential processes: diagnosis followed by action.

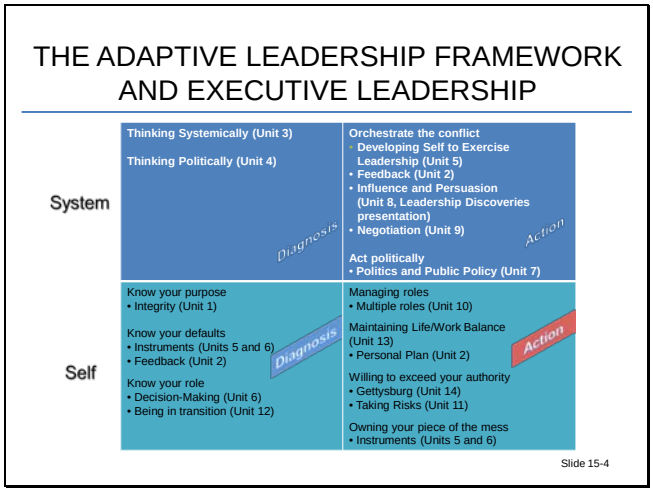
2. Within each process are two dimensions:

   a. Toward the organizational or social system.

   b. Toward the self.

3. List benefits derived from this course and the EFOP.

## III. LEARNING INSIGHTS




A. EL unit review and reflection.

B. Unit 1: Purpose and Integrity.

Having something that matters deeply is necessary for exercising adaptive leadership. Absent this sense of purpose, there is no reason to exercise leadership, only to exercise authority.

C. Unit 2: Giving and Using Feedback.

1. Feedback is necessary for developing self-awareness, which is necessary for anyone exercising leadership.

2. Personal development planning provides an opportunity to use feedback and reflection as tools for self-development.

D. Unit 3: Thinking Systemically.

1. A diagnostic component that is essential for dealing with adaptive challenges requires the ability to think systemically.

2. The interrelationships that exist among structures, cultures and so on provide insights into how ingrained behaviors and characteristics respond to change efforts.

E. Unit 4: Thinking Politically.

1. Understanding that the interests of stakeholders emerge from the examination of political relationships.

2. Getting on the balcony enables one to examine and understand the interests, fears, values and loyalties of stakeholders.

3. Possessing emotional intelligence allows one to manage oneself and relate to others, both of which are needed for thinking politically.

F. Unit 5: Developing Self to Exercise Leadership.

1. Authority figures provide order, direction and protection. Authority is not the same as exercising leadership.

2. An authority figure's scope of authority is defined by his or her authorizing environment.

3. Executive derailment is often linked to the changes that occur as one ascends the organizational hierarchy.

G. Unit 6: Decision-Making.

1. Decision-making is an essential component of being an authority figure and exercising leadership.

2. Decision-making can be stymied by the presence of groupthink or enhanced by the ability of those involved to frame and create alternatives for consideration.

H. Unit 7: Politics and Public Policy.

1. "The Federalist No. 10" advocated for an extended republic as a method for preventing majority rule.

2. Understanding the views, interests and desires of factions is critical for anyone involved in developing public policy. This is an aspect of learning to think politically.

I. Unit 8: Influence and Persuasion.

1. Methods to help one engage and mobilize others. Influence and persuasion both involve moving others to action or to follow.

2. In the case of an adaptive challenge with no known solution, influence and persuasion may, or may not, play a role.

J. Unit 9: Negotiation.

1. A skill that can be incorporated to mobilize others.

2. Effective negotiation involves understanding stakeholder interests in order to focus on the interests versus the position.

K. Unit 10: Managing Multiple Roles.

1. Individuals must manage multiple roles in their lives.

2. Roles can create conflicts when the expectations of others collide with the ability of the individual to satisfy the expectations.

3. Others' expectations emerge from perceptions of the authority's power. Exercising leadership pits the individual against his or her roles and purpose(s).

L. Unit 11: Taking Risks.

1. Taking risks and experimenting offer the opportunity for reflection and continuous learning.

2. Encouraging experimentation within the organization can contribute toward developing an adaptive culture.

3. Exercising leadership most often occurs at the edge of one's authority or just beyond it. Otherwise, one is merely acting within his or her authority role.

M. Unit 12: Being in Transition: Understanding Change During Midlife and Beyond.

1. Transitions occur in each sphere of one's life. They start with an ending and progress through a neutral zone into new beginnings.

2. Transitions can be voluntary, involuntary, unexpected, unrewarded, and even something that doesn't happen.

3. Transition frames of reference include role shifts, life events and marker events.

4. Useful strategies for dealing with transitions include being self-aware, maintaining balance, being open, taking risks and so on.

N. Unit 13: Maintaining Life/Work Balance.

1. Self-awareness and self-discipline are necessary for exercising leadership.

2. Seeing yourself as a system provides information that can help you see how the past influences the present, what your triggers are, and what your needs are.

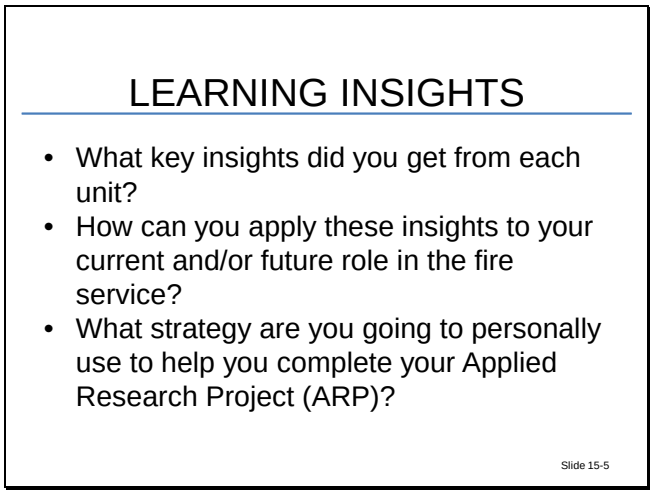
3. Being your own steward is a necessity for staying alive while exercising leadership.

O. Unit 14: Capstone: A Visit to Gettysburg.

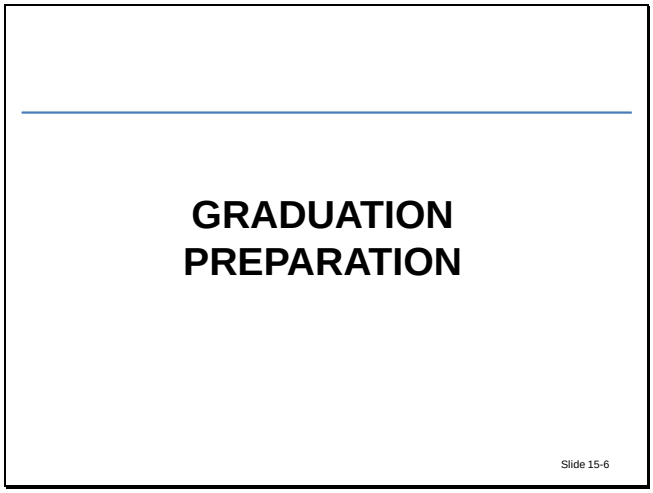
1. There are many influences on the effective exercise of leadership including environment, culture and episodic elements such as "in extremis" events.

2. Periods of extreme disequilibrium create both risks and opportunities.

3. Individual and organizational conflict of values impacts the exercise of leadership.




## IV. GRADUATION PREPARATION



# BIBLIOGRAPHY

This page intentionally left blank.

# BIBLIOGRAPHY

## Required Texts

Heifetz, R. A., and Linsky, M. (2002). "Leadership on the Line: Staying Alive Through the Dangers of Leading." Boston, MA: Harvard Business School Press.

Heifetz, R. A., Grashow, A., and Linsky, M. (2009). "The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World." Boston, MA: Harvard Business Review Press.

Shaara, M. (2011). "The Killer Angels: The Classic Novel of the Civil War." New York, NY: Ballantine Books Trade Paperbacks.

## Unit 1: Purpose and Integrity

Bonoma, T. V. (1984). Questions and Answers about Case Learning. In Bonoma, T. V. (Ed.), "Managing Marketing: Text, Cases, and Readings" (xiii-xviii). New York, NY: The Free Press.

Carter, S. (1996). "Integrity." New York, NY: Harper Perennial.

## Unit 2: Giving and Using Feedback

Blumberg, P. (2000, Spring). Giving Constructive Feedback to Students. "Teaching Matters," 2(2), 9.

Heifetz, R. A., and Linsky, M. (2004, April). When Leadership Spells Danger. "Educational Leadership," 61(7), 33-37.

National Fire Academy. (2013). "Executive Skills Series: Exercising Leadership Through Difficult Conversations." (Course Number F0522). Emmitsburg, MD: Author.

Patterson, K., Grenny, J., McMillan, R., and Switzler, A. (2012). "Crucial Conversations: Tools for Talking When the Stakes are High." New York, NY: McGraw Hill.

Stone, D., Patton, B., and Heen, S. (2010). "Difficult Conversations: How to Discuss What Matters Most." New York, NY: Penguin Books.

Torres, R. (2013, October). "What it takes to be a great leader." (Streaming Video). Retrieved from http://www.ted.com/talks/roselinde_torres_what_it_takes_to_be_a_great_leader).

## Unit 3: Thinking Systemically

Aronson, D. (1999). "Overview of Systems Thinking." Available from http://www.thinking.net/Systems_Thinking/OverviewSTarticle.pdf.

Cambridge Leadership Associates. (n.d.). "Adaptive Leadership™ Case Consultation Guide." Cambridge, MA: Author.

Forrester, J. (1998). "Designing the Future." Presentation conducted at a conference of the University of Seville, Seville, Spain.

Senge, P. (2006). "The Fifth Discipline: The Art and Practice of the Learning Organization." New York, NY: Crown Business.

## Unit 4: Thinking Politically

Goleman, D. (2004). What makes a leader? In "Best of HBR: Inside the mind of a leader." Cambridge, MA: Harvard Business Review.

Semmelweis, I. P. (2015). In Encyclopedia Britannica. Retrieved from http://www.britannica.com/EBchecked/topic/534198/Ignaz-Philipp-Semmelweis).

## Unit 5: Developing Self to Exercise Leadership

Bass, B. M. (1985). "Leadership and Performance Beyond Expectations." New York, NY: Free Press.

_____ (1985, Winter). Leadership: Good, Better, Best. "Organizational Dynamics," (13, 3). Philadelphia: Elsevier.

Bass, B. M., and Stogdill, R. M. (2008). "The Bass Handbook of Leadership: Theory, Research, and Managerial Applications" (4th ed.). New York, NY: The Free Press.

Mandela, N. (1995). "Long Walk to Freedom: The Autobiography of Nelson Mandela." Boston, MA: Back Bay Books.

McCall, M.W., and Lombardo, M. M. (1983). "Off the Track: Why and How Successful Executives Get Derailed." Technical Report No. 21. Greensboro: Center for Creative Leadership.

Moore, M., and Khagram, S. (2004). On Creating Public Value: What Business Might Learn from Government about Strategic Management. In "Corporate Social Responsibility Initiative Working Paper No. 3." Cambridge, MA: John F. Kennedy School of Government, Harvard University.

Rosenbach, W. E., and Taylor, R. L. (2012). “Contemporary Issues in Leadership” (8th ed.). Boulder, CO: Westview Press.

Sashkin, M., and Rosenbach, W. E. (2012). A New Leadership Paradigm. “Contemporary Issues in Leadership” (8th ed.). Boulder, CO: Westview Press.

Taylor, R. L., and Rosenbach, W. E. (1989). “Leadership Challenges for Today’s Manager.” Nichols Publishing Company and McGraw-Hill.

VanFleet, D. D., and Yuki, G. A. (1989). A Century of Leadership Research. “Contemporary Issues in Leadership” (2nd ed.). Boulder, CO: Westview Press.

Yuki, G. A. (2008). “Leadership in Organizations.” (8th ed.). Upper Saddle River, NJ: Prentice Hall.

## Unit 6: Decision-Making

Bonoma, T. V. (1984). Questions and Answers about Case Learning. In Bonoma, T. V. (Ed.), “Managing Marketing: Text, Cases, and Readings” (xiii-xviii). New York, NY: The Free Press.

Janis, I. L. (1972). “Victims of Groupthink: A Psychological Study of Foreign-Policy Decisions and Fiascoes.” Boston, MA: Houghton Mifflin Company.

Vroom, V. H. (1995). Decision Making and the Leadership Process. In Wren, J. T. (Ed.), “The Leader’s Companion: Insights on Leadership Through the Ages” (pp. 417-427). New York, NY: The Free Press.

Vroom, V. H., and Jago, A. G. (1988). “The New Leadership: Managing Participation in Organizations.” Englewood Cliffs, NJ: Prentice Hall.

## Unit 7: Politics and Public Policy

Birkland, T. A. (2005). “An Introduction to the Policy Process: Theories, Concepts, and Models of Public Policy Making.” Armonk, NY: M.E. Sharpe Inc.

Hamilton, A., and Madison, J. (1787, November 22). The Federalist No. 10: The Utility of the Union as a Safeguard Against Domestic Faction and Insurrection. “The New York Daily Advertiser,” pp. 57-63.

## Unit 8: Influence and Persuasion

Conger, J. A. (2001). “Winning ’Em Over: A New Model for Management in the Age of Persuasion.” New York, NY: Simon and Schuster.

Kotter J. P. (1999). “John P. Kotter on What Leaders Really Do.” Cambridge, MA: Harvard Business Review Press.

## Unit 9: Negotiation

Fisher, R., Ury, W., and Patton, B. (2011). “Getting to Yes: Negotiating Agreement Without Giving In.” New York, NY: Penguin Books.

Robbins, S. P., and Hunsaker, P. L. (1996). “Training in Interpersonal Skills.” Englewood Cliffs, NJ: Prentice Hall.

## Unit 10: Managing Multiple Roles

Mintzberg, H. (1973). “The Nature of Managerial Work.” New York, NY: Harper and Row.

_____ (1975, July/August). “The Manager’s Job: Folklore and Fact.” Cambridge, MA: Harvard Business Review.

Solano, H., and Roberts, M. (1992). “Incentives for Excellence at the Colorado State Hospital.” Cambridge, MA: John F. Kennedy School of Government, Harvard University (C 16-93-1222.0).

## Unit 11: Taking Risks

Barnhouse, H. (2012, October 22). Innovation and Risk-Taking: A Disciplined Approach. (PowerPoint Presentation). Dentons Canada, LLP. Available from http://www.dentons.com/en/insights/alerts/2013/october/22/innovation-and-risk-taking-presentation.

## Unit 12: Being in Transition: Understanding Change During Midlife and Beyond

Bridges, W. (2003). “Managing Transitions: Making the Most of Change.” Philadelphia, PA: De Capo Press.

Feldman, D. (1987). Career and Life Stages: A Career Development Perspective. In Jones, J. and Pfeiffer, W. (Eds.), “The 1987 Annual Handbook for Group Facilitators.”

Parker, M. W., Achenbaum, W. A., Fuller, G. F., and Fay, W. P. (1994, Winter). Aging Successfully: The Example of Robert E. Lee. "Parameters," pp. 99-113.

## Unit 15: Capstone: A Visit to Gettysburg

**Recommended Overview Reading for Gettysburg Staff Ride Presentations**

Pfanz, H. W. (1993). "Gettysburg — Culp's Hill and Cemetery Hill." Civil War America. Chapel Hill, NC: University of North Carolina Press.

_____ (1994). "The Battle of Gettysburg." National Park Civil War Series. Consohohocken, PA: Eastern National Park and Monument Association.

_____ (1998). "Gettysburg — The Second Day." Civil War America. Chapel Hill, NC: University of North Carolina Press.

_____ (2010). "Gettysburg — The First Day." Civil War America. Chapel Hill, NC: University of North Carolina Press.

**Recommended Reading for Group 1 Presentations at "Executive Leadership" (EL) Gettysburg Staff Ride, Stop 1, Seminary and McPherson's Ridge: Decisions by Buford, Reynolds, and Others, July 1863.**

Coddington, E. B. (1997). "The Gettysburg Campaign: A Study in Command." New York, NY: Touchstone.

Herdegen, L. J. (2010). "Those Damned Black Hats! The Iron Brigade in the Gettysburg Campaign." New York, NY: Savas Beatie, LLC.

Longacre, E. (2003). "General John Buford: A Military Biography." Cambridge, MA: De Capo Press.

Pfanz, H. W. (2010). "Gettysburg — The First Day." Civil War America. Chapel Hill, NC: University of North Carolina Press.

Shue, R. S. (1995). "Morning at Willoughby Run: The Opening Battle at Gettysburg — July 1, 1863." Gettysburg, PA: Thomas Publications.

**Recommended Reading for Group 2 Presentations at EL Gettysburg Staff Ride, Stop 3, Peach Orchard: Decision by Dan Sickles to advance his 3rd Corps to the Peach Orchard, July 2, 1863.**

Coddington, E. B. (1997). "The Gettysburg Campaign: A Study in Command." New York, NY: Touchstone.

Hessler, J. A. (2010). "Sickles at Gettysburg: The Controversial Civil War General Who Committed Murder, Abandoned Little Round Top, and Declared Himself the Hero of Gettysburg." New York, NY: Savas Beatie LLC.

Keneally, T. (2003). "American Scoundrel: The Life of the Notorious Civil War General Dan Sickles." New York, NY: Anchor Books.

Pfanz, H. W. (1998). "Gettysburg — The Second Day." Civil War America. Chapel Hill, NC: University of North Carolina Press.

Sauers, R. A. (2005). "Gettysburg: The Meade-Sickles Controversy." Military Controversies Series. Dulles, VA: Brassey's Inc.

Tucker, G. (1995). "High Tide at Gettysburg: The Campaign in Pennsylvania." Baltimore, MD: Butternut and Blue.

**Recommended Reading for Group 3 Presentations at EL Gettysburg Staff Ride, Stop 4, Little Round Top: Decisions by Joshua Chamberlain, Strong Vincent, and William Oates, July 2, 1863.**

Chamberlain, J. L. (1996). "Through Blood and Fire at Gettysburg: General Joshua L. Chamberlain and the 20th Maine." Gettysburg, PA: Stan Clark Military Books.

Coddington, E. B. (1997). "The Gettysburg Campaign: A Study in Command." New York, NY: Touchstone.

Pfanz, H. W. (1998). "Gettysburg — The Second Day." Civil War America. Chapel Hill, NC: University of North Carolina Press.

Pullen, J. J. (2008). "The Twentieth Maine: A Classic, the Story of Joshua Chamberlain and His Volunteer Regiment." Mechanicsburg, PA: Stackpole Books.

Trudeau, N. A. (2003). "Gettysburg: A Testing of Courage." New York, NY: Harper Perennial.

Tucker, G. (1995). "High Tide at Gettysburg: The Campaign in Pennsylvania." Baltimore, MD: Butternut and Blue.

**Recommended Reading for Group 4 Presentations at EL Gettysburg Staff Ride, Stop 6, The Angle (High Water Mark): Decisions by Gen. Robert E. Lee and Lt. Gen. James Longstreet to attack the Union Center, July 3, 1863.**

Coddington, E. B. (1997). "The Gettysburg Campaign: A Study in Command." New York, NY: Touchstone.

Gallagher, G. W. (1998). "The Third Day at Gettysburg and Beyond." Military Campaigns of the Civil War Series. Chapel Hill, NC: University of North Carolina Press.

Hess, E. J. (2010). "Pickett's Charge: The Last Attack at Gettysburg." Civil War America Series. Chapel Hill, NC: University of North Carolina Press.

McPherson, J. M. (1998). "For Cause and Comrades: Why Men Fought in the Civil War." New York, NY: Oxford University Press.

Reardon, C. (2003). "Pickett's Charge in History and Memory." Civil War America Series. Chapel Hill, NC: University of North Carolina Press.

Trudeau, N. A. (2003). "Gettysburg: A Testing of Courage." New York, NY: Harper Perennial.

Tucker, G. (1995). "High Tide at Gettysburg: The Campaign in Pennsylvania." Baltimore, MD: Butternut and Blue.

**Additional Reading Available at the LRC for EL students:**

McPherson, J. M. (2008). "Tried by War: Abraham Lincoln as Commander in Chief." New York, NY: Penguin Press.

O'Reilly, B., and Dugard, M. (2011). "Killing Lincoln: The Shocking Assassination that Changed America Forever." New York, NY: Henry Holt and Co., LLC.

Sears, S. W. (2004). "Gettysburg." New York, NY: First Mariner Books.

This page intentionally left blank.

# BIBLIOGRAPHY OF ASSIGNED READINGS


**Assigned Reading for the Course**

Heifetz, R., Grashow, A., and Linsky, M. (2009). "The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World." Cambridge, MA: Harvard University Press.

Shaara, M. (2011). "The Killer Angels: The Classic Novel of the Civil War." New York, NY: Ballantine Books Trade Paperbacks.

**Assigned Reading for Assessment 1, Nelson Mandela Case Study Analysis**

Mandela, N. (1995). Chapters 79-81 and 88, pp. 481-492, 517-523. In "Long Walk to Freedom: The Autobiography of Nelson Mandela." Boston, MA: Back Bay Books.

**Assigned Reading for Assessment 2, Kennedy Case Study Analysis**

Janis, I. L. (1983). "Chapter 1: Introduction: Why So Many Miscalculations?" and "Chapter 2: A Perfect Failure: The Bay of Pigs." In "Groupthink: psychological studies of policy decisions and fiascoes." (2nd ed.) (pp. 2-13) and (pp. 14-47). Boston, MA: Houghton Mifflin.

**Assigned Reading in preparation for discussion in Unit 7: Politics and Public Policy**

Hamilton, A., and Madison, J. (1787, November 22). "The Federalist No. 10: The Utility of the Union as a Safeguard Against Domestic Faction and Insurrection," pp. 57-63. The New York Daily Advertiser.

**Assigned Reading in preparation for Activity 10.1: Incentives for Excellence at the Colorado State Hospital.**

Solano, H., and Roberts, M. (1992). "Incentives for Excellence at the Colorado State Hospital." Cambridge, MA: John F. Kennedy School of Government, Harvard University (C 16-93-1222.0).

**Assigned Reading in preparation for Unit 13: Maintaining Life/Work Balance.**

Feldman, D. (1987). Career and Life Stages: A Career Development Perspective. In Jones, J. and Pfeiffer, W. (Eds.), "The 1987 Annual Handbook for Group Facilitators."

**Assigned Reading in preparation for Activity 12.1: Aging Successfully: The Example of Robert E. Lee Case Study.**

Parker, M. W., Achenbaum, W. A., Fuller, G. F., and Fay, W. P. (1994, Winter). Aging Successfully: The Example of Robert E. Lee. “Parameters,” pp. 99-113.

**Recommended Reading in preparation for Gettysburg Staff Ride Presentations**

Pfanz, H. W. (1994). “The Battle of Gettysburg.” National Park Civil War Series. Consohohocken, PA: Eastern National Park and Monument Association (available at the NETC LRC).

# BIBLIOGRAPHY OF VIDEOS

## Unit 1: Purpose and Integrity

"Finding the Courage to Act"

Whyte, D. (Writer), and Christensen, J. (Producers). (1998). "Finding the Courage to Act." (FireStarter Series Collection) (DVD). (Available from ChartHouse Learning, http://www.charthouse.com, 221 River Ridge Circle, Burnsville, MN 55337, USA).

## Unit 4: Thinking Politically

"Leadership and Self-Deception"

CRM Learning (Producer), and The Arbinger Institute (Writer). (2009). "Leadership and Self Deception." (DVD) United States: CRM Films. (Available from CRM Learning, http://www.crmlearning.com/Leadership-and-Self-Deception-P54387.aspx, 2720 Loker Ave West, Ste Q, Carlsbad, CA 92010-6606).

This video is based on the following book:

The Arbinger Institute. (2010). "Leadership and Self Deception: Getting Out of the Box" (2nd ed.). San Francisco, CA: Berrett-Koehler Publishers, Inc.

## Unit 5: Developing Self to Exercise Leadership

"The Long Walk of Nelson Mandela"

**This video is available commercially on recorded media and is available to the public in streaming video format. It was originally broadcast on PBS on May 25, 1999.**

Frontline (Producer). (1999). "The Long Walk of Nelson Mandela." (Streaming Video). (Retrieved from http://www.pbs.org/wgbh/pages/frontline/shows/mandela/).

Frontline (Producer). (1999). "The Long Walk of Nelson Mandela." (Television Broadcast on DVD). United States: PBS Home Video.

"The Missiles of October"

Berger, R. and Brodkin, H. (Producers), and Page, A. (Director). (1974). "The Missiles of October." (Motion Picture on DVD). United States: MPI Home Video.

## Unit 8: Influence and Persuasion

"Gandhi"

Attenborough, R. (Director, Producer). (1982). "Gandhi" (Motion Picture on DVD). United States: Sony Pictures.

"Hoosiers"

Anspaugh, D. (Director), and Pizzo, A. (Producer, Writer). (1986). "Hoosiers." (Motion Picture on DVD). United States: 20th Century Fox.

"Dead Poets' Society"

Weir, P. (Director), and Schulman, T. (Writer). (1989). "Dead Poets' Society." (Motion Picture on DVD). United States: Touchstone Home Entertainment.

"Eyes on the Prize"

Hampton, H. (Director), Vecchione, J., and Else, J. (Producers). (1986). "Eyes on the Prize: America's civil rights years 1954-1965." (Television Broadcast on DVD). United States: PBS.

## Unit 9: Negotiation

"The Gettysburg Story"

**This video recording is available in live streaming or on demand formats at www.gettysburgstory.com. It was originally broadcast on American Public Television on November 13, 2013.**

Borritt, J. (Director), and Borritt Films, LLC (Producer). (2013). "The Gettysburg Story: America's greatest battle as you've never seen it before." (Television Broadcast on DVD). United States: Right to Rise.

## Unit 15: Capstone: A Visit to Gettysburg

Maxwell, R. F. (Director), Maxwell, R. F. and Shaara, M. (Writers). (1993). "Gettysburg." United States: Turner Home Entertainment.

# ACRONYMS

This page intentionally left blank.

## ACRONYMS

| | |
|---|---|
| **ACE** | American Council on Education |
| **ALA** | Adaptive Leadership Assessment |
| **ALAI** | Adaptive Leadership Assessment Instrument |
| **ALP** | Adaptive Leadership Profile |
| **ALS** | advanced life support |
| **ARP** | Applied Research Project |
| **CBA** | cost-benefit analysis |
| **CEO** | Chief Executive Officer |
| **CFO** | Chief Fire Officer |
| **CIA** | Central Intelligence Agency |
| **CLA** | Cambridge Leadership Associates |
| **CP** | commitment probability |
| **CR** | commitment required |
| **DCR** | Department of Coastal Resources |
| **EACRR** | "Executive Analysis of Community Risk Reduction" |
| **EAFSOEM** | "Executive Analysis of Fire Service Operations in Emergency Management" |
| **ED** | "Executive Development" |
| **EFO** | Executive Fire Officer |
| **EFOP** | Executive Fire Officer Program |
| **EL** | "Executive Leadership" |
| **ELA** | Executive Leadership Assessment |
| **EMS** | Emergency Medical Services |

| | |
|---|---|
| **EOC** | Emergency Operations Center |
| **ESS** | Executive Skills Series |
| **ESS: ELTDC** | **"**Executive Skills Series: Exercising Leadership Through Difficult Conversations" |
| **FLA** | Federal Licensing Agency |
| **GC** | goal congruence |
| **IAFC** | International Association of Fire Chiefs |
| **IAFF** | International Association of Fire Fighters |
| **IG** | Instructor Guide |
| **IT** | information technology |
| **LI** | leader's information |
| **LRC** | Learning Resource Center |
| **NATO** | North Atlantic Treaty Organization |
| **NETC** | National Emergency Training Center |
| **NFA** | National Fire Academy |
| **NFPA** | National Fire Protection Association |
| **NLC** | National League of Cities |
| **OAS** | Organization of American States |
| **Q&A** | question-and-answer |
| **QR** | quality requirement |
| **SAW** | Student Activity Worksheet |
| **SC** | subordinate conflict |
| **SI** | subordinate information |
| **SM** | Student Manual |

| | |
|---|---|
| **SMART** | **S**pecific, **M**easurable, **A**ttainable, **R**ealistic and **T**imely |
| **ST** | problem structure |
| **TEWT** | Tactical Exercise Without Troops |
| **U.N.** | United Nations |
| **USFA** | U.S. Fire Administration |
| **USIA** | U.S. Information Agency |

This page intentionally left blank.