This book focuses on education management and the change strategies needed to guide education in the upcoming years. It is intended for those who are responsible for selecting, supervising, developing, or evaluating people in leadership positions or who want to analyze their leadership performance and plan for further professional growth. The text analyzes the purposes, patterns, performance roles, and change strategies that constitute total leadership, and it prompts leaders to work in a simple leadership model that will strengthen leadership insights, performance, and effectiveness. It examines future trends and the importance of adapting to these changes: the essence of "total" leaders, the authentic leadership domain where total leaders define purpose, the visionary leadership domain where total leaders frame vision, the cultural leadership domain where total leaders develop ownership, the quality leadership domain where total leaders build capacity, the service leadership domain where total leaders ensure support, and how to apply total leadership to the schools. (Contains approximately 102 references.) (RJM)
TOTAL LEADERS

Applying the Best Future-Focused Change Strategies to Education
TOTAL LEADERS
Applying the Best Future-Focused Change Strategies to Education
TOTAL LEADERS
Applying the Best Future-Focused Change Strategies to Education

Words from the Authors ........................................... v
CHAPTER 1 Leading from the Future ............................... 1
CHAPTER 2 The Essence of Total Leaders ......................... 17
CHAPTER 3 The Authentic Leadership Domain: Total Leaders Defining Purpose ............................................. 35
CHAPTER 4 The Visionary Leadership Domain: Total Leaders Framing Vision ............................................ 51
CHAPTER 5 The Cultural Leadership Domain: Total Leaders Developing Ownership ................................... 67
CHAPTER 6 The Quality Leadership Domain: Total Leaders Building Capacity .......................................... 85
CHAPTER 7 The Service Leadership Domain: Total Leaders Ensuring Support ......................................... 103
CHAPTER 8 Applying Total Leadership to Your Schools ........ 121
Bibliography ................................................................ 133
About the Authors ....................................................... 139
Acknowledgments ...................................................... 141
I openly admit to being a learning addict. During my 8 years as superintendent of the Eagle County School District in Eagle and Vail, Colo., I read three to four leadership/change/futurist books per year. The rest of the time, I was busy attempting to apply what I had read. After leaving my "real job," I had more time to read and learn from the experts and found myself reading 20-30 books per year.

But in 1994, after reading and reflecting upon what I thought were two very good leadership/management books, I concluded that they had not added to my body of knowledge or understanding. All of the theorists and authors I consider to be my heroes and heroines seemed to have established a body of knowledge about the nature and critical roles of leadership and were only reinforcing each other. Apparently, I had read it all — for the time being anyway.

This new insight changed my work focus significantly. While continuing to read, listen, and learn about leadership, I — with the aid of my friend and colleague Bill Spady — began to think about how I could put all of my learning together in a way that would help the education and business leaders with whom I was consulting. My vision was to synthesize all of this literature into one comprehensive and useable leadership/change model. Total Leaders is the result of that vision.

Nothing made these pages without passing three tests. Test 1: Did my hero/heroine leadership experts agree that the information was right, important, even critical? Test 2: Did it work for me and my colleagues as we went about creating a dynamic and successful school system in Eagle County? Test 3: Did it seem to be working for the hundreds of leaders who have allowed me to be part of their own learning and development processes?
My life has been one of excitement and great fortune. I have been blessed with great learning experiences and great teachers. My desire to play college basketball took me to a small teachers college and, four years later, I found myself graduating and entering this most meaningful profession almost by chance. What a break! Although my consulting now involves working with business and industry as well as schools, my heart and mission is with education. I feel fortunate to have spent the majority of my career working in what I sincerely believe is the world's most important profession.

And I have been blessed with many GREAT teachers. Madeline Hunter taught me about students and learning, teachers and teaching, and about school structures that made teaching and learning effective. Dr. Hunter was one of the classiest people I have known.

Dwight Allen, while dean of the School of Education at the University of Massachusetts, taught me about innovations, risk taking, and change. Dwight had no fear and taught me to consistently view learning from the learner's point of view.

Ken Blanchard, my doctoral chair, taught me about leadership and change even before he became The One Minute Manager. Ken also taught me about core values, caring, and healthy relationships. His modeling is even more full of impact than his writings.

Bill Spady taught me about paradigm shifts and is the source of my vision of the ideal school and system. That part of my learning journey began more than 20 years ago when I heard Bill say that "our schools are operated in a way that makes time the constant and student learning the variable." So simple. So profound. So difficult for people caught in the old way of thinking. My work from that time on has been to make student learning the constant.

I sincerely believe that everything included here is right, important, even critical, and more significantly, I believe it is all doable. I trust that you will find our work of value to you as you lead your system into the Information Age and the new millennium.

Chuck Schwahn
January 1998
WORDS FROM THE AUTHORS

Bill Spady

As the development of this book unfolded, I realized that the original impetus for my writing a book on leadership surfaced nearly 30 years ago. It was in 1968 when I was teaching a graduate course in research methods to a cohort of sociology of education students at Harvard University.

The late sixties was an era of great unrest on university campuses across the country, and Harvard was no exception. Students were vigorously challenging the purpose and structure of American higher education, as well as the philosophy, roles, and competence of their professors. In responding to this challenge, our dean of education, Theodore Sizer, asserted that Harvard's Graduate School of Education played a unique role among education departments across the country. Its unique purpose was developing educational leaders.

Now there, I thought, was a proposition worth testing. So did my research students, many of whom were embroiled in the controversies of the time. We decided to turn the dean's declaration into a research project on Harvard's education graduates that would enable everyone to dig in and learn the realities of conducting research first hand.

Our first and biggest challenge was to define leadership. What did education leaders do that was different from what other educators did? What did teacher leaders, counselor leaders, curriculum leaders, and administrative leaders have in common? What distinguished them from other people in their states, organizations, and departments? To answer these questions, we absorbed ourselves in the day's major leadership literature.

In the end, we designed our study around two factors, which we saw as leadership essentials:

1. Leaders initiate improvements in their milieu or organization.
2. Leaders get results. By enlisting the support of others and sticking to their goal, they make something better and different happen.

All the rest, we asserted, was "details."

Nearly 30 years later, I'm prepared to say that Chuck Schwahn and I have filled in the wealth of details missing from that initial study. *Total Leaders* describes what the world's greatest experts say about leading successful change — the critical things leaders do between the time of "initiating" a change effort and seeing their intended "result" come to fruition. And it presents those details in a tight and compelling framework that shows that no one guru or school of thought addresses the total leadership and change picture.

The Total Leadership puzzle consists of five key pieces, each requiring a unique set of leadership skills, change conditions, and change processes. Deciphering the patterns in that puzzle from the countless details in more than 100 major books represented the key intellectual challenge of putting our framework together.

But working with Chuck, who is equally and passionately committed to this substance and enthusiastic about its potential impact on education, turned the challenge into fun. The more we discovered, the more things made sense and became exciting. And the more excited we got, the deeper our commitment to producing this book became.

This contagion of discovery, insight, and excitement fuels the commitment that drives us both. Chuck and I are unwaveringly committed to helping American educators develop the insights and take the steps that lead to new paradigm thinking and future-focused change. Our young people want it, our education colleagues deserve it, and our schools desperately need it.

It is in that spirit that we invite you to read and apply to your leadership work the wisdom of 100+ top thinkers found in this book. Our reward will be the realization of Total Leaders everywhere!

Bill Spady
January 1998
CHAPTER 1
Leading from the Future

Today's leaders are operating their organizations at the speed of change.

Daryl Conner

The Industrial Age officially ended in 1983 when Tom Peters and Bob Waterman's (1982) runaway bestseller, *In Search of Excellence*, was touted and quoted as the new paradigm of organizational leadership and effectiveness in major corporate boardrooms throughout the Western World. That is when the leaders of these organizations recognized that the old rules of organizational management, structuring, and functioning no longer applied.


At the same time, huge, seemingly invincible steel mills and assembly plants had permanently closed. More people were driving fuel-efficient cars and watching color televisions made outside the United States. Reverence for the standardized, assembly-line model, "Made in America" way of doing things suddenly had eroded.

The paradigm had shifted, and, as Joel Barker (1988) would say a few years later, "everything went back to zero," or at least our allegiance to the past did. What once worked superbly by the standards of the day had almost overnight become the source of the problem, often because new technologies were driving a pace of change that no one had
encountered before. To compete and stay in business, organizations had to become future focused, constantly monitor emerging trends, and operate on a set of principles no one had yet defined.

Education, on the other hand, responded quite differently to these same pressures for major change. Its response to the flood of reports issued in 1983 was almost exclusively “educentric” (Spady 1998). Encouraged by the overwhelmingly old paradigm perspectives of the *A Nation At Risk* report (1983), educators opted for trying harder with what they already had rather than working smarter with a new paradigm approach to schooling.

But elsewhere, the future was no longer an easily accepted extension of the past. It seemed alien and scary because two things had already become clear, spurred significantly by another blockbuster in its day, Alvin Toffler’s *Future Shock* (1971). First, change was the new constant and the new definition of reality. Second, successful leaders were those who could get their organizations to the future first and keep them there.

Thirty years ago, before *Future Shock*’s publication, people viewed change much more conservatively. In 1968, people saw change as an event that was predictable and dangerous. Today, that view has flipped 180 degrees as people view change as a continuous journey that is required to survive.

### The Changing View of Change

<table>
<thead>
<tr>
<th>Change in 1968</th>
<th>Change in 1998</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Destination</td>
<td>A Journey</td>
</tr>
<tr>
<td>An Event</td>
<td>A Process</td>
</tr>
<tr>
<td>Episodic</td>
<td>Continuous</td>
</tr>
<tr>
<td>Quite Predictable</td>
<td>Near Chaotic</td>
</tr>
<tr>
<td>Dangerous to Risk</td>
<td>Required to Survive</td>
</tr>
</tbody>
</table>

As everyone realized that change had become the constant and could not be avoided, leaders had no option. If they were going to lead, they had to take the helm of changing organizations. Those who did, and on whom the model in this book is based, had the awareness and motivation to recognize and adapt to this new context in innovative ways. Today, this new breed of leaders leads people in
organizations where the meaning, function, and utility of the
most accepted and revered structures and practices are subject to
challenge.

We need to view, understand, and strengthen leadership in relation to
these shifting and challenging conditions. Clearly, leaders exist to
help their organizations succeed, but they must operate within the
realities of the organization and its surrounding environment.
Understanding those realities is the first essential step in understand-
ing and applying what it means to be a "Total Leader."

The Realities Facing Total Leaders:
A Synthesis of Futurist Literature

Fifteen years ago, we independently began to compile some key
observations about shifts and changing trends. Because it was clear,
even at the time, that the prevailing Industrial Age model of school-
ing was going to come under enormous pressure over the next
decade, the trends we initially tracked had direct implications for
schools and their students. When we formally joined forces and
began to consult together, we quickly shared ideas and information
and developed a working paper for school districts called "Future
Trends" (Spady 1987).

Since then, the major futurist literature has mushroomed, portraying
an evermore complex picture of the forces that shape every aspect of
our world, careers, and personal lives. We have read hundreds of
books and articles that have given us significant insights into the
world that organizations face and the conditions for which students
need to be prepared. The major works that influenced our thinking
are listed in the bibliography.

Two years ago, we synthesized the major findings from more than 30
of these and other futurist books into a document called The Shifts,
Trends, and Future Conditions Redefining Organizations and Careers
in the '90s (Schwahn and Spady 1996), which portrays the challeng-
ing world in which Total Leaders lead. The following are some of its
major themes. To those of you who keep abreast of headlines about
corporate downsizing, expanding and contracting overseas markets,
new labor-replacing technologies, and shrinking family incomes,
many of these shifts and trends may sound like old news. This is no
surprise because, as Alvin Toffler thoroughly documents in his 1990 bestseller *PowerShift*, the Information Age has arrived.

The High-Quality, Global Marketplace

A most fundamental feature of the Information Age is the high-quality, global marketplace that has influenced almost all businesses, no matter how small or local their focus. Without question, organizational leaders today are being strongly influenced by the following shifts and trends.

**Quality as an entrance requirement.** Quality products and services, once a distinct market advantage, are taken for granted today. Quality is literally the ticket to the game, as well as the key to playing it successfully. For organizations and their employees, quality must become a way of being.

**Customers demanding value.** If you expect to sell it, it needs to have value for the customer. That means both quality and a competitive price. Even the rich expect to get a good deal.

**Transitory quality and success.** Because of the constant pace of innovation and new developments, today’s state-of-the-art can quickly become next month’s also-ran. As paradoxical and challenging as it may seem, smart companies innovate while on top rather than trying to ride the crest of the wave of their success too long. The same applies to employees who are constantly learning, upgrading, and preparing for the future.

**The seamless world economy.** With the growth of advanced communications and technologies, national economic borders are disappearing. The world is increasingly one large marketplace where ownership, resources, production, marketing, and sales can be dispersed throughout the globe. Even the smallest, most locally focused businesses are a part of this global web.

**New players entering the marketplace.** As markets and production become more global, the concentration of economic power is shifting dramatically. Formerly underdeveloped countries in Asia and Latin America are emerging as major world production centers and markets, while traditional economic giants struggle with widespread downsizing and unemployment.
“Glocalism.” While living in a world economy, we must still communicate and sell to customers who are members of local communities and cultures. Hence, markets must simultaneously satisfy both global and local values and tastes.

Being “green.” Social awareness about the fragility of the environment has become a norm. Consumers demand that companies act responsibly toward the environment and reward those companies by patronizing them.

Doing well by doing good. Being socially conscious and showing concern is not only the right thing to do, it results in customer support and financial profitability. Companies that invest in enhancing and supporting the common good appeal to the deeper sense of right and morality in their potential customers, thereby generating highly beneficial goodwill.

English as the common language. From travel to business to sports to science, English is becoming the common global language.

The Adept, Empowered Employee in the Nimble Organization

Enormous pressures exist on individuals and organizations to be future focused, capable of change, and light on their feet. Individuals who achieve these strengths become invaluable assets to their organizations and may represent the difference between the organization’s thriving and going out of business.

As a result, businesses must learn to use and capitalize on the unique strengths of their employees, just as employees must continually reassess their capabilities, talents, and potential contributions to their organizations. The dynamic that will result is dramatically different from the fixed skills/fixed career employment and organizational patterns of the now-departed Industrial Age. No book makes this theme of continuous learning, adaptation, and improvement clearer than Peter Senge’s (1990) The Fifth Discipline. Significant trends related to nimble organizations are:

Change: The only constant. For organizations and their employees, change is inevitable, improvement imperative, and survival optional. Survival results from the ability to adapt in constructive ways and be more productive. Individuals and organizations that want to be successful face the challenge of continuously learning, improving, and changing.
Mass customization. The market presses for products and services that meet highly specific needs. Nimble organizations must find ways of meeting those individual needs quickly on a mass scale. Advanced technologies in the hands of adept employees can achieve the mass customization necessary for capturing and sustaining viable markets for the organization's products or services.

Small is powerful. Smaller organizations consistently beat larger organizations to the future in almost every way. Smallness encourages clearer focus, better communication, less bureaucracy, and more rapid decision making and response to changing conditions and opportunities.

Competence as capital, knowledge as power. The knowledge and technology explosions have shifted the nature of work and the determiners of organizational success. In the 1990s, an organization's greatest asset is its people's expertise and commitment. Recruiting, developing, and using competent, growth-oriented staff has replaced the accumulation of capital as an organization's best assurance of staying competitive.

Empowered people produce. Empowering qualified people to have more control over their work is morally right and profitable. Empowerment honors the intrinsic motivation of people to use their expertise to best advantage and gives them a direct stake in achieving personal and organizational success. Empowerment works best when employees deeply identify with organizational purpose, have a clear vision of where the organization wants to go, have a strong commitment to getting there, and receive the necessary organizational supports.

The precarious intermediary. Whether in sales, management, or clerical work, a combination of automation and advanced communications technologies allows both producers and consumers to get things done either directly or on-line, thereby rendering the middle person an increasingly endangered species. As a result, self-motivated, continuously improving individuals are becoming consultants (to their former employers) or small business entrepreneurs. To survive, they make every day count and embody quality and professionalism at their best.
From competition to cooperation. Organizational success requires competing successfully in the marketplace through focused, cooperative endeavors among staff. The win-lose psychology of the Industrial Age has given way to the new win-win empowerment strategies. Success depends on finding ways of channeling individual contributions into a total team effort, rather than having individuals and divisions compete against each other.

Unit-based management. Large organizations are decentralizing into smaller units capable of focusing and applying their expertise to specific market opportunities. Hierarchical direction and oversight are being replaced by vision-driven teams of empowered, expert employees that enjoy greater autonomy and increased responsibility for the results they achieve.

The 24-hour economy. As the marketplace and telecommunications become more global and sophisticated, traditional work schedules are disappearing. Business can be transacted at any time from anywhere, giving organizations and employees greater flexibility over work roles and schedules — the greater the technological expertise of an employee, the wider the range of work role and scheduling options.

The feminine factor. A large proportion of new businesses are owned and operated by women. These businesses not only serve as a source of employment, they represent a new, congenial, relationship-oriented approach to management that balances the traditional command/control approach so widely accepted in male-dominated organizations.

Value-added decision making. Organizational success is ultimately linked to defining a mission consistent with one of three distinctively different market positions. Organizations must either add value for the customer by providing low-cost, hassle-free service; produce the leading product in the field; or provide a unique solution to the customer’s problem. Organizations that clearly make decisions consistent with one of these three missions are destined to be more successful than those that try to pursue mixed missions.
Transformational Technology

Today, individuals and organizations have powerful and efficient tools that were almost unimaginable a decade ago, yet are vulnerable to imminent obsolescence. Clearly these constantly advancing technologies have already begun to transform the very meaning, structures, and processes of work and recreation. And the potential for further transformation seems to be exponentially related to the pace of advances in the current state of the art. Two books that capture the profound implications and complexities of this major trend particularly well are Nicholas Negroponte's (1995) Being Digital and Michael Dertouzos' (1997) What Will Be. They and others note several important developments:

The Internet. The Internet and other closely related electronic communications systems give tens of millions of people access to vast arrays of immediate and inexpensive information, which reduces the need for hard copy media and stimulates the market for related hardware, software, and operator expertise. In addition, the Internet dramatically facilitates the emergence and growth of information-based cottage industries across the country.

Interactive machines and tools. Interactive machines (and the computer processors and software that drive them) are getting continually smarter and more versatile, enabling users to communicate with and more directly control the machine's processes, functions, and output. With "smart" machines and "smart" operators to get the most from them, output and productivity soar.

Digital information. As digitized, binary electronic impulses become the common form of transmitted information, and as the electronic processors of that information become more sophisticated, the distinctions begin to blur among telephones, televisions, faxes, home entertainment systems, printing presses, and computers. Consumers benefit from the marked increase in speed, versatility, and quality of digital processors. Congressional passage of the Telecommunications Act of 1996 officially endorsed the potential inherent in becoming digital.

On-demand interactive communication. As communication technologies become smarter and more versatile, control and power shift to the smart user, who can control not only what transmissions to access, store, and use, but when and where to do so.
Fixed schedules for broadcasting and observing programs or any other information source are giving way to user-flexible and user-influenced communications, creating a major quandary for those who depend on selling advertising time.

**Meaningless miles.** With the rapid expansion of on-line and satellite technologies, increasing numbers of face-to-face interactions are no longer necessary. “Friction-free” transactions enable work, business, purchases, sales, conferences, education, training seminars, research, publishing, and a host of other common activities to be handled from remote locations. Outsourcing work to New Delhi is as fast as outsourcing to a provider two miles away.

**High-level thinking.** As machines are built to do more sophisticated things faster, non-thinking, repetitive jobs continue to be eliminated. The economy of the Information Age requires highly skilled, self-directed learners and thinkers who can't be replaced by a more sophisticated robot, suggesting that the right kind of education can forge a tight link with a high-paying career.

**The paperless environment.** With increasing sophistication in technologies, digital media, and software comes the disappearance of now familiar tangibles and the needs to store and safeguard them. Paperless offices, paperless wallets and address books, and just-in-time delivery head the list of innovations that use electronic memory to supplant paper records and reduce costly inventories.

**Virtual reality.** Virtual reality simulations enable consumers to experience almost anything in detail from their own homes, including the tangible features of products, which they can examine and order at their own convenience.

**Technology saturation point.** A two-sided coin, technology offers astonishing benefits at the cost of redefining human existence. Those who stay on the cutting edge of technological advances and their applications can devote so much time to the endeavor that they surrender control over their lives and forfeit the quality of interpersonal relationships, conventional forms of interpersonal communication, cultural and personal development, and balanced, healthy lifestyles.
The Virtual Workplace

When you pull together the trends and implications described so far, the transformation of the workplace comes as no surprise. Increasingly sophisticated technology makes work and productivity less dependent on fixed physical locations, face-to-face interactions, and schedules, enabling small-scale, highly niche-oriented business to emerge everywhere and highly innovative leaders to succeed.

Among the many books that address this phenomenon well is John Naisbitt's (1994) *Global Paradox*. He and others offer four keen insights.

First, through the power of communication technologies, more people are already working outside of the conventional 40-hour-per-week job schedule and structure. Flexible schedules, job-sharing and teaming arrangements, and off-site locations place a premium on worker autonomy, responsibility, and the ability to get the job done well with minimum structure and supervision. These conditions enable capable and adaptable contractors or consultants to deliver goods on terms that work best for them.

Second, those with the necessary education, technological tools, expertise, and motivation are choosing to isolate themselves from the intensity, frustrations, and dangers of urban life by moving to and conducting their work from more congenial, remote, idyllic rural settings. This is a key feature of a more general "cashing out" process that has people opting for early retirement over greater income but continued career pressures.

Third, sophisticated networking and outsourcing strategies can launch temporary organizations capable of accomplishing just about anything without making major investments in employees, equipment, materials, or facilities.

Fourth, alliances, networking, and contracting for services enable organizations to grow, build capacity, and stay flexible and market responsive. But these strategies give others access to proprietary information and unique skills that they can later exploit to their own advantage. Hence, "owning" and safeguarding ideas and expertise are becoming increasingly problematic.
The Changing Milieu of Public Education

While the aforementioned themes and trends clearly represent major forces shaping organizations and careers in the 1990s, they are by no means a complete picture. Along with these themes and trends, a special set of challenges faces public education.

The maldistribution of wealth. Rich countries, including the United States, and their better educated citizenry are getting richer while the poor continue to bear children in disproportionate numbers, thereby lessening their per capita incomes even further. Wide economic disparities across a country's social and ethnic groups is the leading predictor of political unrest and revolution and will continue to shape internal as well as international politics and policies beyond the 1990s.

The persistent inequalities of education and training. The demands for high levels of education and technological literacy are increasing at the same time that indicators of educational achievement for young people from low socioeconomic backgrounds are falling or barely holding steady. This will continue to widen the gap between those qualified for entry into the high-tech workforce and those lacking the skills to do so and to further exacerbate the inequalities of wealth.

The move toward individual responsibility. Social programs are under attack for lack of effectiveness, governments are operating in the red, tolerance for those needing governmental assistance has waned, and admonitions for citizens to take responsibility for their lives are heard across the political spectrum. The implementation of mandatory "workfare" programs in some states reflects this new paradigm of "caring": that it's necessary for individuals to first pull their own weight rather than depend on society to care for them.

The graying of America. The over-70 segment of the population will continue to increase for the foreseeable future, resulting in a continued shift of products, services, political influence, and demands for public resources toward the elderly, which will continue to imperil the funding levels of public education.

The diversification of America. If current trends persist over the next decade, the population balance in the United States will shift...
to a non-Anglo majority during the first half of the 21st century. Paralleling this trend is a political reaction against the public funding of social and educational programs targeted to those population groups. As a result, schools must find and implement new ways to effectively teach an increasingly diverse and underserved population.

**The transparency of organizations.** Society's demand for greater organizational openness and accountability is reinforcing a major theme in effective organizational change and adaptability: namely, honest, open communication is a key to effective leadership performance, organizational credibility, employee trust and motivation, and organizational innovation and productivity. Schools must strengthen their communications resources to inform and effectively involve the larger community in order to gain needed support for public education.

**Paradigm paralysis in education.** The technologically, economically, and culturally driven forces for fundamental societal and institutional change have unleashed a powerful, ideologically grounded political backlash against change that is felt most strongly in the education arena. Despite the shifts and trends noted here, local and state policies are pressuring educators to stick with traditional methods and processes and to disavow anything that might carry the label new or progressive.

---

Enter the Total Leader

All of these trends demand a lot of people in leadership positions. The essence of a Total Leader is openness, flexibility, empowerment, and a capacity to manage increasingly complex and dynamic changes. Total Leaders share similar characteristics, which will be explored in this book:

**They are purpose-, value-, and vision-driven.** Strategic, Information Age Total Leaders focus organizations on their fundamental purpose for existing, their core values, and the vision of what they ideally want to become. These, in turn, become the key motivators of highly competent, empowered employees. By contrast, Industrial Age managers lead through hierarchical control and focus organizations on past practices, precedents, and formal policies and procedures.
They are visionaries. Visionary leadership, a key component of Total Leadership, is about working with organizational members and constituents to create and communicate a concrete picture of an organization operating at its ideal best in a world of complex, dynamic change and to identify and define the processes and strategies needed for translating that picture into concrete action.

They rely on future forecasting. In an era of rapid and constant change, organizations must keep a steady eye on the future and chart their course on a clear picture of the conditions that will most likely affect their clients, markets, and processes. Staying in business is often a matter of continually engaging in competent and insightful trend tracking and aligning the organization with the results of those analyses.

They are lifelong learners. With knowledge doubling every two years and new technologies emerging monthly, Information Age leaders and employees are never finished learning. The key for Total Leaders is to provide useful learning experiences for themselves and their staffs and to establish clear and compelling ways for the organization to benefit from what everyone learns. Developing strategies for decision making based on new learning and developments is key to personal and organizational health and success.

Total Leaders in Education

Education leaders find themselves in an enormous quandary. As we have seen, they and their constituents live in a high-quality, global marketplace that:

- Is extraordinarily dynamic and driven by transformational technologies that are almost obsolete the moment they are installed;
- Demands organizations be client centered and nimble or face extinction;
- Offers employment conditions with limitless challenge, flexibility, and opportunity for the able, adept, and highly motivated but with increasingly limited opportunities for others;
- Contains an exploding knowledge base with limitless access;
- Functions within a society becoming more diverse and unequal every day and more divided about what to do about those differences and inequalities;
Holds powerful political and cultural pressures for everyone to pull his or her own weight or reap the consequences; and
Changes constantly.

It is in this milieu that school leaders are being asked to lead and for this milieu that their schools are presumably attempting to prepare young people. But education leaders must lead amidst the enormous inertia surrounding the basic structures, processes, roles, practices, and institutional forms that constitute public education — an inertia that Spady (1998) describes in *Paradigm Lost: Reclaiming America’s Educational Future*. That inertia, described by Spady as “educentrism,” is embedded in the laws and regulations that define education; institutionalized in the structures, cultures, and practices of public education; and ingrained in the minds of all who have spent their youth (and adulthood) in schools. When addressing educational change, we automatically start with what exists and try to improve it. We are stuck in an educentric paradigm. We simply know what schools are, what they do, how they’re to be structured, and how they operate because that’s how they were when we and our parents went there.

In the face of change, many Americans believe that at least schools should remain familiar and predictable. This acceptance and advocacy of the prevailing paradigm of education reflects thinking that is neither critical in an analytic sense nor systemic in an organizational sense. This helps explain why so much failed educational change is superficial, piecemeal, episodic, situational, and/or cosmetic.

Despite this paradigm inertia, we believe that the change forces surrounding education are compelling its local and state leaders to examine and alter the most basic features and assumptions of the existing system. To facilitate that process, we encourage leaders to look at their schools as a “systemic educational iceberg” as shown here. Their challenge as future-focused Total Leaders is to melt the iceberg.
Understanding the Educational Iceberg

To understand the educational iceberg, start by recognizing the numerous Information Age challenges you and your students now face. Heed Toffler’s reminder that the Information Age isn’t in some theoretical future; it is here embodied in the shifts and trends described earlier. But the systemic iceberg is influenced little by the winds of change blowing in the real world as long as it drifts in the sea of past practices and ingrained habits.

What resists the force of the wind are layers of established practice that reflect major eras of the past:

- A Bureaucratic Age culture that thinks and acts in terms of time, programs, procedures, means, teaching, and resources rather than standards, achievement, purposes, ends, learning, and results.
• An Industrial Age delivery system that operates like an assembly line with students and teachers moving from segment to segment through the curriculum at a uniform rate for the prescribed amount of time.

• An Agrarian Age calendar running from September until June around which everything is defined, including opportunity, access to instruction, curriculum, grade levels, reporting systems, credit, teaching assignments, and contracts.

• A Feudal Age agenda of sorting and selecting the faster from the slower, the academic from the practical, and the motivated from the uninspired, all under the assumption that only some children can learn the hard stuff.

Are there alternatives to this archaic collection of self-limiting, counter-productive features? Absolutely! Many of them are spelled out in Spady’s book and resonate with the essence of Lewis Perelman’s (1992) book *School’s Out*, namely, that with today’s technologies and information systems anyone can learn anything at any-time from anywhere.

What does it take to design and implement such an Information Age learning system? We’ll discover the answer as we explore Total Leadership, the focus of the chapters that follow.
CHAPTER 2

The Essence of Total Leaders

Total Leaders are individuals who embody all of the performance abilities and attributes needed to erect the pillars of productive change and carry out the essential processes that make successful systemic change happen.

Along with futurist literature, we've been studying major books on leadership and organizational change. Most of them focus on the business world rather than education because, until recently, the challenging realities business faced attracted most of the world's best organizational researchers, consultants, and writers. Business encountered a simple reality: Maintaining the status quo was not an option; it was the kiss of death.

Now it's education's turn.

The 100 or so books we have synthesized and applied in our work focus on leaders who have decisively moved their organizations off dead center and out of their comfort and danger zones in the face of challenging realities. We're not talking about technical tinkering or segmental change (see Spady 1996c and 1998); we're talking about productive change that is comprehensive, systemic, and paradigm breaking. Productive change is defined by five explicit criteria:

It takes. Things that matter actually change.

Results improve. It leads to consistently improved outcomes.

Functions improve. It involves more effective ways of operating.

It enhances. It motivates and benefits all those involved.

It lasts. The improvements keep on improving.
Our experience suggests that only when all five criteria are met do organizations experience and sustain productive change.

Not all leaders highlighted in the literature operated in the same ways to achieve productive change, and not all of the experts and gurus who describe their efforts emphasize the same things. For example, there are significant differences between the works of Warren Bennis and W. Edwards Deming, between Kenneth Blanchard and Michael Hammer, or Stephen Covey and Peter Senge, or Peter Drucker and Tom Peters. But our continuing analysis of all their work and our ongoing commitment to integrate and apply the best of it to education began to reveal patterns, complementarities, and similarities that intrigued us. It seemed to us that they all had something important to contribute to the total picture of leadership and change, but no single person was describing the picture in its entirety. When we finally found enough consistency and replication across these many studies and books, we formed our own synthesis picture of the Total Leader.

The Grounding of Total Leaders

Today's leaders aren't what they used to be. We've found that they're more, and they're less, than they were in previous years. While this is an especially challenging era for education as well as business leaders, it is not an impossible one in which to lead adaptable, productive organizations. As Daryl Conner (1992) notes, today's leaders are operating their organizations "at the speed of change" and being driven by the major shifts and trends described in chapter 1. Moreover, today's leaders are expected to involve and empower their people, to be visible to their employees and constituents, to act with integrity, and to be accountable for their organization's performance and results.

This leadership pendulum is making a big swing from an older, entrenched authoritarian style in which decisions were viewed as black and white, to one in which decisions are seen as situational, paradoxical, and even non-rational and shaped by a democratic or participative style (Wheatley 1992). Today's leaders must be more like Jesus than John Wayne, more Ghandi than Vince Lombardi, and more Mother Theresa than Machiavelli. Total Leaders are capable of striking the beneficial balance. They strive to be decisive and build consensus, embrace core values and be tolerant, exercise productive power and empower others, evaluate and coach, be firm and care about others, and remain concerned about the bottom line while supporting creativity.
The Key Paradigm of Total Leaders

The common theme running throughout futurist and leadership literature that has most influenced our work is the inevitability of change. It's everywhere. You can't deny or hide from change. It's constant, accelerating, and here to stay. In this new era of rapid rather than gradual change, organisms and organizations face a certain reality—either adapt, change, and survive, or die. Considering the alternative, change doesn't look that bad, particularly to Total Leaders.

Openness to change creates and sustains personal and organizational health and security. It is through this paradigm that Total Leaders perceive their world and act on it. The statement's essence is the phrase, “openness to change.” One can begin the statement with this phrase, pick and combine either verb in the statement with either adjective and either noun, and come up with a series of smaller statements that are all true for Total Leaders. For example, openness to change creates organizational health. Or, openness to change sustains personal security. And so forth.

In a world of constant change, Total Leaders view stability as the source of the problem, not the solution. In heart, mind, and action, they are change agents. Total Leaders pull into the parking lot on Friday mornings wondering what they can still do this week to create significant change. Others pull in wondering how to keep the lid on until next week, at least.

The Key Purposes of Total Leaders

Total Leaders are purposeful visionaries; they look outside of “the box” for possibilities and solutions, take initiative, are persuasive, and get results. They also balance overt attention to customer and client needs with a concern for the internal quality and effectiveness of their organizations.

This simultaneous external and internal focus is reflected in Total Leaders' two fundamental reasons for being.

Their externally focused purpose is to create quality products and services that meet or exceed the present, emerging, and future needs of customers. Fulfilling this purpose is key to ensuring their organization's reputation, competitiveness, and future security.
Their internally focused purpose is to empower and motivate employees to give their best to accomplish their organization’s mission and vision. Fulfilling this purpose is key to ensuring their organization’s vitality, health, and effectiveness.

These two purposes serve as a Total Leader’s overriding priorities and decision screen. Total Leaders use this screen before setting priorities and agendas, and when assessing their organization’s productivity and health. Despite daily distractions, they consciously use these purposes to set their calendars and focus their time and attention. This way they can readily assess which of their meetings, activities, and travels have been worthwhile and which were a waste of time. Of course, these two purposes also serve as Total Leaders’ major criteria in evaluating their own job performance and effectiveness.

The Key Premises of Total Leaders

Premises are the fundamental assumptions and beliefs on which people ground their behavior and work. These beliefs serve as filters for perceiving and interpreting what exists and what choices are available, and as important shapers of behavior. For example, supervisors who believe that most people are naturally lazy and irresponsible will usually end up treating their employees accordingly and using tight direction, close supervision, and extrinsic rewards as motivators. On the other hand, those who, like Peters and Waterman (1982), believe that most people are conscientious and want to do a good job, behave consistently with that belief.

Total Leaders take the time to deeply reflect on and identify what their key operating premises are, and come down strongly on the side of employee empowerment. They believe that:

• All members of the organization have the right to find meaning in their work;
• Employees want to contribute, be responsible, and achieve at high levels, and will if given the opportunity; and
• Leaders have the power and responsibility to create and maintain a culture of innovation, cooperation, success, and sustained organizational health.

Total Leaders see the personnel glass as half full rather than half empty. With these three premises, they are psychologically posi-
tioned to tap and use the inherent talent, motivation, and pride in their employees, and to lead rather than coerce. Without premises like those of Total Leaders, effective leadership over the long haul is impossible.

The Key Principles of Total Leaders

While premises may operate at an unconscious level most of the time, guiding principles are different. They are the fundamental, self-imposed rules of behavior that form our internal compass and decision screen. We are aware of them whenever we face a difficult problem or have to make a tough decision. Not only can Total Leaders proudly describe and explain the key principles that guide their behavior, they also define their personal integrity around these key principles. Total Leaders know when they are being true to those principles, and they feel pain and guilt when they are not. Because so many people depend on knowing what the leader’s operating principles are, these principles must be made public. How else can leaders or their subordinates be empowered or held accountable for their decisions and actions?

Our reading of the literature indicates that Total Leaders consciously and consistently act on four key leadership principles:

- Honest communication, which keeps all organizational members informed, focused, and motivated. Total Leaders are honest without being brutal.
- Win-win relationships, which foster the dignity and contribution of each individual. Total Leaders believe that success is not a “zero-sum” game.
- Acknowledged power, which results in empowered and committed personnel. Total Leaders don’t believe they actually make people powerful or actively empower them. Instead, they believe that a tremendous amount of power lies within each person and that their role is to create work environments that let that power and capability emerge.
- Shared rewards, which match group and organizational accomplishments. Total Leaders distribute the organization’s tangible and intangible rewards proportionately to those who make the contributions and generate the success. Shared rewards is a direct response to the disproportionate salaries and benefits that some
executives receive compared to their main line employees, and an acknowledgment of the contribution rank and file employees make — 50 times greater — to the organization's successes.

The Five Pillars of Productive Change

Long before our analysis and synthesis of this massive literature began in earnest, we focused on defining and implementing what we now call the pillars or essential conditions of productive change. These are the make-it or break-it factors that have to be in place in order for significant change to take hold in an organization. We thought there were four of them — vision, ownership, capacity, and support — and we knew that all four had to be strong and in place or change efforts would falter.

Our more recent analysis and synthesis efforts, however, indicate that we were on the right track but one pillar short. Purpose, which we initially perceived to be a part of vision, is not only a distinct pillar of productive change, it is the key to lasting change and the glue that holds change efforts together.

The ultimate goal for Total Leaders then is to establish and sustain the five pillars of change throughout their organizations. These pillars are:

**Purpose — “It has meaning for me.”** Purpose is the deep reason the organization exists, which employees must share in order to find value and meaning in their work and constituents must endorse in order to identify with organizational aims.

Purpose lies at the very heart of both organizational change and organizational success. Establishing purpose is a Total Leader's most basic and important task. When purpose is clear, heartfelt, and personally fulfilling, it is the driving force of successful change. With it, employees and constituents can easily recognize, identify with, and embrace what the organization is there to accomplish.

**Vision — “It's clear and exciting.”** Vision is the Total Leader's blueprint and road map for change. A clear and compelling vision statement brings the purpose to life, provides a concrete description of what the organization will be like when operating at its ideal best, and gives everyone in the district and community a clear direction to pursue and standard against which to measure their performance and results.
Ownership — "I want to be part of it." Ownership is the strong identification with, investment in, and commitment to the organization's purpose and vision statement.

The motivational fuel of successful change, ownership is the result of employee and constituent investment in and commitment to what their organization is doing. This heavy involvement of employees and constituents in both designing and carrying out an organization's purpose and vision makes the organization theirs, not just the leader's.

Capacity — "I can do it." Capacity is the knowledge, skills, resources, and tools needed to successfully make the changes implied in the organization's stated purpose and vision statement.

Capacity is the "know how" and "how to" pillar. It embodies the entire array of knowledge, information, understanding, skills, processes, technologies, and resources that enables employees to carry out the desired change competently. Purpose, vision, and ownership primarily affect employee motivation to engage in productive change; capacity is about the ability to do so.

Support — "Our leader is helping us do it." Support comprises the policies, decisions, attention, resources, and procedures that enable employees and constituents to make and sustain the changes implied in the purpose and vision.

What Might Happen Without the Five Pillars of Productive Change?

The five pillars of productive change are the key elements that make up the chemistry needed for successful change to occur. Leave one element out and the balance is destroyed. For example,

- Without purpose, the organization lacks the reason to change.
- Without vision, the organization lacks a clear road map for change.
- Without ownership, the organization lacks the commitment needed for change to succeed.
- Without capacity, the organization lacks the ability to succeed.
- Without support, the organization lacks the opportunity to succeed.

Total Leaders constantly work to keep this chemistry balanced in their organizations.
Support is the organization's "proof of the pudding" — its willingness and ability to put itself and its resources squarely behind its declared purpose and vision and the people it's counting on to make them happen. Support reflects Total Leaders' commitment to and involvement in the change process.

The Five Performance Domains of Total Leaders

Ultimately, Total Leaders are defined by what they do to activate and apply the paradigm, purposes, premises, and principles described earlier in establishing these five pillars of productive change. All the ideas from the major studies, books, gurus, and training programs about leadership and change today fit into five broad clusters that we call domains of leadership performance.

After establishing the nature of each leadership domain, we described them as authentic, visionary, cultural, quality, and service. Each domain has its own set of proponents, experts, and practitioners, and each embodies a distinctive set of leadership performance roles and skills.

The Authentic Leadership Domain

The authentic leadership domain is about establishing and embodying purpose, values, and meaning throughout the organization. Authentic leaders engage employees and other constituents in reflecting deeply on and clarifying their organization's fundamental purpose and mission, the core organizational values and professional principles that embrace that purpose, and how their work as individuals can fully embody and support that purpose.

Authentic leadership establishes the moral and philosophical bedrock on which the organization operates and defines the absolute core of why the organization exists. Authentic leaders carry out three interrelated performance roles:

- Creating and sustaining a compelling personal and organizational purpose;
- Being the lead learner; and
- Modeling the core organizational values and principles of professionalism.
Each of these performance roles of the authentic leaders is described in Chapter 3.

Among the experts whose work emphasizes the authentic leadership domain are Kenneth Blanchard and Norman Vincent Peale (1988); William Bridges (1980); Tom Chapell (1993); Robert Cooper and Ayman Sawaf (1996); Stephen Covey (1989 and 1991); Covey, Roger Merrill, and Rebecca Merrill (1994); Victor Frankl (1984); Howard Gardner (1995); William Glasser (1994); Daniel Goleman (1995); John Kotter (1996); James Kouzes and Barry Poser (1993); Peter Senge (1990); Margaret Wheatley (1992); and David Whyte (1994).

The Visionary Leadership Domain

The visionary leadership domain is about creating innovative possibilities that shape organizational direction and performance. Visionary leaders involve employees and other constituents in a thorough investigation of the challenges and opportunities facing their organization's future and the potential courses of action.

Visionary leaders look far beyond the tried and true, develop the future-focused and creative orientation on which their organizations depend in a world of constant change, and establish the concrete, innovative road map of where their organizations must go and how they must operate to meet the changing and escalating needs and expectations of their customers.

They do so through three interrelated performance roles, which are described in Chapter 4:

- Defining and pursuing a preferred organizational future;
- Consistently employing a client focus; and
- Expanding organizational perspectives and options.

Among the experts whose work emphasizes the visionary leadership domain are Warren Bennis and Burt Nanus (1985); Gerald Celente (1990); Peter Drucker (1992); Andrew Grove (1996); Gary Hamel and C. K. Prahalad (1994); James Liebig (1994); Dudley Lynch and Paul Kordis (1988); Gareth Morgan (1993); Burt Nanus (1992); Morris Schechtman (1994); Michael Tracey and Fred Wiersema (1995); and Fred Wiersema (1996).
The Cultural Leadership Domain

The cultural leadership domain is about developing meaning and ownership for innovation and quality throughout the organization. Cultural leaders reach out to and actively engage all employees and constituents in ongoing activities that highlight the integrity and importance of the organization's declared purpose and vision, foster healthy and positive values and relationships among employees and constituents, and directly encourage employee and constituent ownership in charting and implementing the organization's course toward productive change.

Cultural leadership is people-oriented and creates an optimistic, inclusive, participatory, and healthy organizational climate. Cultural leaders carry out three interrelated performance roles, which are described in Chapter 5:

- Involving everyone in productive change;
- Developing a change-friendly culture of innovation, healthy relationships, quality, and success; and
- Creating meaning for everyone.

Among the experts whose work emphasizes the cultural leadership domain are Stephen Carter (1996); Stephen Covey (1989); Thomas Crum (1987); Terrence Deal and Alan Kennedy (1982); Robert Heller (1995); Eric Hoffer (1963); Ralph Kilmann and colleagues (1985); Ed Oakley and Doug Krug (1991); Thomas Sergiovanni (1990); and James O'Toole (1995).

The Quality Leadership Domain

The quality leadership domain is about building continuous improvement capacities and strategies throughout the organization. Quality leaders build the personal and organizational capacity to achieve and sustain continuous improvement and productive change. They must also initiate and actively participate in ongoing activities that continuously expand the pertinent knowledge and skills of employees, set high standards for quality results throughout the organization, and use timely and accurate information to continuously improve the organization's capacity to operate effectively.

Quality leadership is focused on improving personal and organizational productivity and excellence, and on stimulating employees to
grow and develop as people. It does so through the actions that quality leaders carry out through the three interrelated performance roles described in Chapter 6:

- Developing and empowering everyone,
- Improving the organization’s performance standards and results, and
- Creating and using feedback loops to improve performance.

Among the experts whose work emphasizes the quality leadership domain are Kenneth Blanchard and colleagues (1985); Peter Block (1987); James Collins and Jerry Porras (1994); Philip Crosby (1979 and 1989); W. Edwards Deming (1986); Max DePree (1989); Lloyd Dobyns and Clare Crawford-Mason (1991); Robert Kaplan and David Norton (1996); William Ouchi (1982); Richard Pascale and Anthony Athos (1981); Tom Peters (1992); Peters and Robert Waterman (1982); and Mary Walton (1986).

The Service Leadership Domain

The service leadership domain is about supporting empowered workers to accomplish the organization’s purpose and vision. Service leaders make the tough decisions and create enlightened policies, expanded opportunities, necessary resources, and flexible procedures that maximize employees’ talents and teamwork, consistently support their best efforts, and accomplish the organization’s purpose and vision.

Service leadership focuses on ensuring that organizational structures and procedures clearly help productive things happen. It does so through the actions that service leaders carry out through the three interrelated performance roles discussed in Chapter 7:

- Supporting and managing the organization’s purpose and vision,
- Restructuring to achieve intended results, and
- Rewarding positive contributions to productive change.

Among the experts whose work emphasizes the service leadership domain are James Autry (1991); Warren Bennis and Patricia Biederman (1997); William Bridges (1991); Peter Drucker (1995); Robert Greenleaf (1991); Michael Hammer and James Champy (1993); Paul Hersey (1984); Hersey and Kenneth Blanchard (1972); George Labovitz and Victor Rosansky (1997); and Douglas Smith (1996).
How the Domains and Pillars of Change Connect

Unique things emerged from our study of the five domains and their performance roles. We realized that each domain was explicitly connected to one of the five essential pillars of change. In fact, a specific pillar of change was each domain's key reason for being. And it became clear that Total Leaders must operate in all five domains.

In other words, each domain of leadership performance has an explicit purpose, and that purpose is to establish one of the essential pillars of change. Until all five pillars are established, one cannot be a Total Leader or successfully achieve and sustain productive change. Something critical would be missing! These five sets of critical connections are outlined in Figure 2.1 and detailed in the rest of this book.

As our work progressed in building a comprehensive synthesis of the literature, we made three further discoveries.

### FIGURE 2.1 The Performance Domains and Purposes of Total Leaders

- **Visionary Leaders**
  - Frame Vision
- **Service Leaders**
  - Ensure Support
- **Authentic Leaders**
  - Define Purpose
- **Quality Leaders**
  - Build Capacity
- **Cultural Leaders**
  - Develop Ownership
First, in exercising these performance domains, Total Leaders consistently advocate and operate according to a definable set of values and principles.

Second, there are two kinds of leadership described in the literature. One is about helping organizations operate more effectively at what they have been doing. The other, Total Leadership, is about helping organizations undertake and achieve future-focused, continuous, productive change. This second kind of leadership dominates most of the literature we have reviewed, is inseparable from the change process itself, and represents the essence of this book.

Third, there is a definable set of actions carried out within each performance domain that enables leaders to achieve a key pillar of change.

These five purposeful, simultaneous sets of actions are what we call the processes of change. As portrayed in figure 2.2, there is a distinctive process connected to each domain that allows the organization to establish a particular pillar of change.

These five processes — consideration, exploration, enrollment, development, and orchestration — are essential for Total Leaders to implement. Without them, achieving productive change is next to impossible.

Each of these processes is defined and described more fully in the following chapters.

**FIGURE 2.2 The Total Leadership Change Process Connection**

<table>
<thead>
<tr>
<th>Performance Domain</th>
<th>Change Process (to achieve)</th>
<th>Pillar of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authentic Leadership</td>
<td>Consideration</td>
<td>Purpose</td>
</tr>
<tr>
<td>Visionary Leadership</td>
<td>Exploration</td>
<td>Vision</td>
</tr>
<tr>
<td>Cultural Leadership</td>
<td>Enrollment</td>
<td>Ownership</td>
</tr>
<tr>
<td>Quality Leadership</td>
<td>Development</td>
<td>Capacity</td>
</tr>
<tr>
<td>Service Leadership</td>
<td>Orchestration</td>
<td>Support</td>
</tr>
</tbody>
</table>
The Moral Foundation of Total Leaders

In *Principle-Centered Leadership*, Stephen Covey (1990) teaches us that a clear set of positive values, when consistently acted upon, are at the heart of living a happy and successful life, and that core organizational values and leadership principles are at the heart of effective leadership. For Covey, it all begins from that values base; without that base, we lack a true north on our personal or organizational compasses.

Total Leaders intentionally create that values base. They involve the total organization in inquiring about, reflecting upon, and defining core organizational values, and they make those values part of the dialogue when considering important decisions. Because of their moral foundation, they are able to lead moral and ethical organizations.

In addition, Tom Chapell (1993) shows us in *The Soul of a Business* how we can “do well by doing good.” Chapell clearly demonstrates that leaders can act on a strong moral foundation and still have a very attractive bottom line, even over the long haul. In today’s society, when businesses are beginning to be rewarded by customers for modeling morality, we may even be at a point where the bottom line is enhanced by a strong moral foundation.

Our experiences clearly indicate that, by contrast, those individuals and organizations that have not taken the time to be explicit about their values are just not value-driven decision makers and tend to lose the trust of their employees and customers in the process.

Total Leaders have the advantage of standing on and working from a moral foundation made up of three elements:

**Personal values.** Personal values are compelling standards related to what individuals believe to be right, fair, honorable, important, and worthy of consistent attention and action. For example, if you value the inherent worth of people, you will find a way to treat everyone with whom you come into contact with dignity, even when a person has harmed you or your organization. Personal values are the first step in forming the moral pillar of authentic leaders described in Chapter 3.
Core organizational values. These are values that are widely understood, publicly endorsed, and consistently acted upon by the organization and each of its members. For example, if your organization values openness, you will have no qualms about making all the clauses of your contract public, even when you know that you may be perceived as greedy by some constituencies.

Principles of professionalism. These principles are ethical rules or decisions and performances that transcend personal considerations and circumstantial pressures and that promote the higher good of the organization and its clients. For example, if you value the professional principle of alignment, you will select the person whose competences, background, and personality best fit the job, even when a personal friend has seniority and expects the position to be his or hers.

The major difference between personal values and core values is that the latter are embraced by everyone in the organization and not just isolated individuals. Our analysis indicates that Total Leaders go well beyond simply using their personal values, the organization's core values, and the principles of professionalism as their personal decision screen. They also:

- Model the core values and the professional principles for others and are aware that they are modeling with a purpose;
- Formalize and communicate their core organizational values so that everyone knows what's important, what's expected, and how people will be held accountable for upholding the values;
- Use their core values as a screen for all important decisions to ensure that they will always be, and be seen, acting on them; and
- Make value-based decision making the norm throughout the organization so that their moral foundation will have a life of its own.

Our synthesis of the leadership and organizational change literature shows a strong consensus regarding these core values and principles of professionalism, which are consistently associated with effective leadership and with effective organizations that are built to last and provide a great deal of meaning and satisfaction for their employees.
Ten Core Organizational Values of Total Leaders

The 10 powerful core organizational values consistently embraced and modeled by Total Leaders are:

- Reflection
- Honesty
- Openness
- Courage
- Integrity
- Commitment
- Excellence
- Productivity
- Risk Taking
- Teamwork

Some of these core values may not appear to be values, but rather psychological traits and orientations. What elevates them to the values status is that Total Leaders, through modeling and influence, make them an organizational norm. For example, when Total Leaders behave openly toward new ideas, it could be argued that they just happen to have that psychological disposition. But when they make openness to new ideas a visible everyday practice and an organizational norm, we believe that openness becomes a value.

Ten Principles of Professionalism

The principles of professionalism are a bit different from personal or core organizational values. They are about how leaders think, decide, and behave as ethical professionals. While closely associated with, complementary to, and supportive of core values, the principles of professionalism of Total Leaders provide the moral and procedural rules by which organizational members are expected to behave.

Productive change efforts strengthen as well as benefit from the consistent application of principles of professionalism. Our reading of the literature indicates that they can serve as both the criteria for defining and judging professionalism in today’s complex world, and as the operating ethos of genuine learning organizations. Because these principles are particularly powerful when translated into formal agreements or covenants about how people in organizations will make decisions and act, Total Leaders may establish them as the organiza-
tion's expectations for behavior and/or even establish them as the organization's moral contract with itself.

The 10 powerful principles of professionalism are:

- Inquiry
- Connection
- Future-focusing
- Clarity
- Inclusiveness
- Win-win
- Accountability
- Improvement
- Alignment
- Contribution

Throughout the next five chapters, each of these principles and core values will be defined and explained in relation to the particular leadership domain and change process with which it has the strongest connection.
### Profile of Authentic Leaders

<table>
<thead>
<tr>
<th>The guru</th>
<th>Stephen Covey</th>
</tr>
</thead>
<tbody>
<tr>
<td>An exemplar</td>
<td>Mahatma Gandhi</td>
</tr>
<tr>
<td>An antithesis</td>
<td>Richard Nixon (enjoyed temporary successes until his core values were exposed)</td>
</tr>
</tbody>
</table>

**Mind set**

It is only when one has become an authentic, value-driven person that he or she is able to morally and effectively lead others.

**Purpose**

To establish a deep and compelling organizational purpose.

**Focus**

- Personal values and life mission
- Core organizational values
- Doing well while doing good

**Change belief**

Change happens when there is a compelling reason to change.

**Performance roles**

- Creating a compelling purpose
- Being the lead learner
- Modeling core values and declared principles

**Key sources**

- *Credibility* (Kouzes and Posner 1993)
- *Executive EQ* (Cooper and Sawaf 1996)
- *Principle-Centered Leadership* (Covey 1991)
- *The Soul of a Business* (Chapell 1993)
- *The Seven Habits of Highly Effective People* (Covey 1989)
- *The Fifth Discipline* (Senge 1990)
- *Leading Change* (Kotter 1996)
CHAPTER 3

The Authentic Leadership Domain:
Total Leaders Defining Purpose

Total Leadership starts with and revolves around authentic leadership. Its moral and psychological character and influence pervade everything an organization does.

Tom Chappel calls it The Soul of a Business. Ken Blanchard and Norman Vincent Peale see it as The Power of Ethical Management. To Stephen Covey, it's Principle-Centered Leadership; to Daniel Goleman, it's Emotional Intelligence; and to James Kotter, it's the essence of Leading Change. For Robert Cooper and Ayman Sawaf, it all adds up to Executive EQ, and for James Kouzes and Barry Posner, it comes down to a single word, Credibility. We call it:

Authentic leadership, the true heart, soul, and purposeful central domain of Total Leadership.

Total Leadership starts with and revolves around authentic leadership. Its moral and psychological character and influence pervade everything an organization does. The purposeful way in which all five Total Leadership domains are carried out depends on the character and actions of leaders who are authentic in every sense of the word.

The Essence of Authentic Leaders

Authentic leaders are masters of personal meaning and purpose. There is nothing pretentious or artificial about them. Their essence is value based and personally grounded.
The Logic Behind the Authentic leader

The logic of the essence of the authentic leader can be described by the following.

- You have to be a person to be a leader.
- Who you are as a person will ultimately be reflected in your leadership.
- If you don't have your personal act together, don't expect to have your leadership act together.
- Developing yourself as a leader begins with personal reflection, personal assessment, and personal growth.
- Organizational change will reflect the personal change and character you model in both your personal and leadership life.

The categories we used in the first half of Chapter 2 to define the grounding of Total Leaders equally apply to all of us as persons. Although we might not have framed and articulated these categories so precisely, we all operate from a fundamental paradigm perspective about life, have deeply grounded purposes for our lives, operate from premises and assumptions, and act and make decisions consistent with certain key principles.

A difference between us and authentic leaders may be that they have consciously and deeply reflected on these matters, achieved the blend of personal and leadership orientations shown in the sidebar below, and developed their inner being around that blend. For others, these remain the profound first steps in becoming the leader they want to be.

The Blend and Consistent Alignment of Personal and Leadership Grounding

How closely do your personal and leadership orientations lie? Here's one way to compare them.

<table>
<thead>
<tr>
<th>You as a Person</th>
<th>You as a Leader</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Values</td>
<td>Moral Compass</td>
</tr>
<tr>
<td>Personal Ethics</td>
<td>Leadership Principles</td>
</tr>
<tr>
<td>Life Purpose</td>
<td>Organizational Purpose</td>
</tr>
<tr>
<td>Personal Vision</td>
<td>Ideal Organization</td>
</tr>
<tr>
<td>Personal Integrity</td>
<td>Organizational Culture</td>
</tr>
<tr>
<td>Personal Reputation</td>
<td>Organizational Reputation</td>
</tr>
</tbody>
</table>
The specific nature of the personal characteristics that define the authentic leader are beautifully described in Cooper and Sawaf's (1996) book, *Executive EQ*. At their core, authentic leaders manifest high levels of:

- Self-awareness of their feelings and actions.
- Self-control of their feelings and gratification needs.
- Sensitivity and empathy toward others.
- Trustworthiness toward and in relationships.
- Openness to new ideas and experiences.
- Integrity to walk their talk and talk their walk.
- Intuition that puts them in touch with their subconscious "flow."
- Resilience and adaptability in the face of disappointments.
- Renewal and optimism when faced with the challenge of change.
- Laughter and fun, especially when the going gets tough.

In short, authentic leaders are those who many seek out to be their best friend. They have their inner and interpersonal acts together as reflective, open, and honest human beings. But authentic leaders are more than morally and psychologically healthy people. They lead by example and by establishing the most important thing in an organizational change process: its purpose.

**The Purpose of Authentic Leaders**

As we explained in the latter half of Chapter 2, the fundamental purpose of authentic leaders in a productive change process is to orchestrate and shape their organization's purpose defining process. Quite simply, people and organizations do not change if they perceive everything to be going well today, with similarly bright days waiting ahead.

Change is much more attractive when people feel threatened or when they sense an opportunity. Purpose defines and reflects those reasons to change. In today's world, the threat is always there, even when one is on top. The case that Andrew Grove (1996), Intel's CEO, makes about this in his book is simple, *Only the Paranoid Survive*. 
Purpose is the absolute bedrock of everything related to organizational effectiveness and productivity. As Total Leaders view and use it, purpose:

- Is the declared reason the organization exists;
- Defines what the organization is there to accomplish;
- Focuses all organizational decisions and actions;
- Inspires and embodies core values and principles of professionalism;
- Gives meaning to the work of organizational members;
- Provides the rationale for the organization's vision, expectations, intended outcomes, and priorities;
- Conveys to customers and constituents what the organization stands for;
- Builds employee and client trust, identification, and motivation; and
- Lies at the heart of organizational change and success.

In its broadest sense, purpose comprises three key elements that are explained later in this chapter: beliefs and values, mission, and organizational (i.e., student) outcomes. Without these, employees go through the motions or do their own thing, constituents wonder about the course of the organization, and change efforts falter due to apathy and distrust. Defining a compelling purpose is the authentic leader's most basic and important task, and they do it through the major change process we call consideration.

Opening Our Eyes to What Exists

Of the five change processes — consideration, exploration, enrollment, development, and orchestration — consideration is the most central and fundamental.

Consideration is the introspective, honest, and empathetic search for, dialogue about, and acknowledgment of two things:

- Changes, new conditions, and new realities facing an organization and its employees, students, and constituents; and
- Truths, meaning, values, and purpose on which an organization's effectiveness and success ultimately rests.

When led by capable authentic leaders and shaped by core values of reflection and honesty, the consideration process engages organization-
al members and constituents in a truthful, ongoing search for the deeper essence, meaning, and values that define and embody their organization's ultimate reason for existing, that is, its purpose and mission.

For many people, this process of serious, collective introspection, self-examination, and revelation represents an exciting time of major focusing and growth. For others, however, the consideration process brings risk, vulnerability, and uncertainty. This combination of potential opportunity and threat occurs because consideration involves raising and dealing with issues such as:

- Discovering what needs to be accomplished,
- Waking up to reality,
- Looking beneath the surface of issues and problems,
- Acknowledging the unacknowledged,
- Shedding light on things long kept in the dark,
- Searching deeply for underlying causes, meaning, or explanations, and
- Becoming sensitive to painful organizational issues and experiences.

Some organizational members and constituents openly welcome this kind of dialogue and revelation; others fear it. Consequently, wise authentic leaders establish an organizational safety zone. This zone is a location, process for, and set of formally acknowledged and endorsed ground rules that directly encourage, honor, and protect each individual's right to discuss sensitive issues and feelings openly and honestly without fear of criticism, censure, or recrimination.

Otherwise, serious introspection and the open expression of ideas, values, and feelings that consideration requires can be too easily pooh-poohed or negatively exploited by those less sensitive to their essential role in fostering productive change.

With such a zone in place, which Spady (1996c and 1998) calls the learning circle, the consideration process allows the members of an organization to perceive, acknowledge, and eventually move beyond what many may have experienced as a familiar, comfortable, but stagnant personal and organizational dead center.

This dead center keeps people and organizations stuck in one place, inhibits their effectiveness, and diminishes their integrity and well-being. By breaking the psychological and behavioral inertia that per-
vades so many organizations, the consideration process ultimately allows organizational members and constituents to overtly acknowledge that “something different and better is needed here, and we’d better start searching for what it is.”

This collective recognition that has worked in the past is no longer working well and will not work in the future requires lots of courage and character, and is usually mixed with both anxiety and enormous relief. Fortunately, it encourages everyone to take a hard look at what’s true about their strengths and limitations as individuals, and what they can willingly and successfully contribute to defining and achieving the organization’s ultimate purpose. When handled well, this hard and deep look allows people to see familiar things in new ways and to use those new perspectives to develop ideas, consider possibilities, acquire different thinking, and discover the deeper purpose of making major change.

Consideration is an ongoing component of a productive change process, not a discrete stage or event in that process. It continues as long as the overall change effort lasts and directly supports the functioning and success of the other four change processes: exploration, enrollment, development, and orchestration.

The Moral Foundation of Authentic Leaders

As they carry out the performance roles to orchestrate the consideration process, authentic leaders rely on a moral foundation for their success. Besides specifically employing the core organizational values of reflection and honesty, they also place special emphasis on the inquiry and connection principles of professionalism.

**Authentic leaders use ...**

- **Core values of reflection and honesty**
- **Principles of inquiry and connection**

*Reflection* is the process of using a values decision screen to review, assess, and judge the decisions you and your organization have made or will make, and the actions you and your organization have taken or will take. When this process is encouraged, honored, and
endorsed by the organization, reflection becomes a core value. Reflection is essential to both Total Leadership and productive change because it fosters as well as reflects a thoughtful, sensitive, logical, and empathetic orientation to people, issues, and situations. Reflection encourages a deep internal and external probing of past actions, possibilities, and solutions, and discourages impulsive, arbitrary, and simplistic decision making and behavior. Simply put, Total Leaders are reflective people.

Honesty is being truthful while being sensitive to the thoughts, needs, and feelings of others. The absence of manipulation and deceit, honesty is embodied in communication that is open, frank, and sincere. Honesty is the bedrock of trust, consistency, loyalty, and trustworthiness without which healthy relationships and productive organizational action are difficult to generate and impossible to sustain. Total Leaders are honest even when it causes them to risk themselves, because their organizations’ welfare depends on it and because their integrity demands it.

Inquiry represents the honest search for personal and organizational purpose, rich and broad perspectives on complex issues, and a deep understanding of ideas and possibilities. It means being open to all that is out there. It involves a deep personal reflection about, and a rigorous analysis of, purpose and meaning, information, theory and research, ideas, beliefs, and values.

Total Leaders think of inquiry as both a state of mind and a way of operating. Inquiry prevents organizational members from making snap decisions, from getting boxed in by outdated traditions and practices, and from missing out on newly discovered processes or technologies. Inquiry has to do with studying and learning, with testing theories, with knowing and applying the research regarding leadership and your profession, and with listening to the recognized experts in your field. Inquiry allows Total Leaders to become aware of others’ options before making important decisions, and to identify insightful and creative opportunities for productive change.

Connection represents one’s deep and genuine relationship with, and appreciation of, the value, intellectual, and feeling dimensions in oneself and others. Connection is about your “EQ,” the emotional equivalent of your IQ (see the Cooper and Sawaf elements on page 77). Connection is the awareness of the many dimensions of human talent, respect for the exploration and development of these dimen-
sions in self and others, and sensitivity to both the similarities and differences among people along these three dimensions. Most of all, it involves responding in words and deeds, positively and empathetically, to the expression of these dimensions in oneself and in others.

Connection compels people to pay attention to and acknowledge what is going on with themselves — thoughts, feelings, experiences, actions, results — among their work mates, and within their organization as a whole. Total Leaders are aware of the power of emotional intelligence, have a “high EQ,” and realize that people can increase their EQs with study, work, and connection.

Together, these four moral foundation elements strongly bolster the orientations and activities that consideration demands of organizational members.

Here are the kinds of situations in which you might be challenged to apply these for Moral Foundation elements:

**Reflection:** You become aware of new research about how children learn and you realize that your schools and teachers are out of synch with these findings.

**Honesty:** You are evaluating a teacher who has become a rather close friend and you do not believe he is meeting your high standards.

**Inquiry:** Your system does not have a clearly articulated set of beliefs regarding children and learning or teachers and teaching. You want to create a consensus about what the members of the organization believe about these two key issues.

**Connection:** You are meeting with angry parents from a different culture than yours, and you do not understand why they are making such a big issue now over something you think has happened regularly without incident in the past.
Critical Performance Roles of Authentic Leaders

To implement the consideration process as effectively as possible, authentic leaders implement three major sets of responsibilities, which we call performance roles. These broad arenas of action enable authentic leaders to make the decisions and carry out the plans that constitute the consideration process and achieve the pillar of change to which it is linked, organizational purpose. The three critical performance roles of the authentic leader are:

- Creating and sustaining a compelling personal and organizational purpose.
- Being the lead learner.
- Modeling core organizational values and the principles of professionalism.

The 15 Performance Roles of a Total Leader

- Creating and sustaining a compelling personal and organizational purpose.
- Being the lead learner.
- Modeling core organizational values and personal principles.
- Defining and pursuing a preferred organizational future.
- Consistently employing a client focus.
- Expanding organizational perspectives and options.
- Involving everyone in productive change.
- Developing a change-friendly culture of innovation, healthy relationships, quality, and success.
- Creating meaning for everyone.
- Developing and empowering everyone.
- Improving the organization’s performance standards and results.
- Creating and using feedback loops to improve performance.
- Supporting and managing the organization’s purpose and vision.
- Restructuring to achieve intended results.
- Rewarding positive contributions to productive change.
As in the other four leadership domains described in the following chapters, the first of the three performance roles listed is most central to carrying out its domain's particular change process and for achieving its essential pillar of change. The other two performance roles directly support and complement the first. However, we'll give specific attention to all three roles in each domain because they constitute the heart of Total Leadership in action.

Performance Role 1: Creating a Compelling Purpose

All 15 performance roles of the Total Leader are important, but creating a compelling purpose is the top priority. Not only is this performance role the most closely associated with the purest definition of leadership, it is also a prerequisite for the other 14 performance roles since an organization's compelling purpose virtually drives everything else it does.

When Total Leaders create a compelling purpose in a manner that builds commitment, the other 14 performance roles can easily flow from it. But if an organization lacks a compelling purpose, the other 14 are very difficult or impossible to implement successfully. This will become evident as we identify and describe each role in the chapters that follow.

Our analysis of the leadership and change literature indicates that Total Leaders lead effective, dynamic, and enduring organizations that:

- Have a clear and compelling purpose, which they involve all stakeholders in creating and maintaining;
- Embody the values of the staff in that purpose; and
- Align all the organization's functions and decisions with the purpose.

When an organization has a compelling purpose, everyone knows the direction in which the organization and its people are headed. The purpose will help everyone determine what they should be doing, and equally important, inform them of what they can stop doing.

When the organization is a school or a school district, that compelling purpose is contained in three distinct and complementary components: values and beliefs, the mission statement, and student out-
comes. These elements are not just catchy phrases that look good on your district stationery or on bumper stickers. They form an important decision screen that helps everyone in the district discriminate between what is right and wrong, and what is honored and what is not accepted. If any one of these three elements does not discriminate, it isn't doing the important job that was intended. For instance, if the mission is "... to enable all students to ...," then schools should not continue to grade students on the bell curve.

The leadership gurus cited in earlier chapters suggest that one can begin to create a compelling purpose by identifying values and beliefs, that is, those things we honor and believe and, therefore, how we do things. Those values and beliefs consist of:

- Premises (or assumptions) about the beliefs surrounding students and learning, teachers and teaching, and effective schools and organizations.
- Core organizational values that guide the thinking and actions of organizational members.
- Principles of professionalism that set standards for decision making, actions, and accomplishments.

An example of a key premise advocated by many school systems with which we have worked is, "All students can learn and succeed, but not on the same day in the same way."

### The Case for a Compelling Purpose

In the absence of organizational purpose, leadership does not exist. And if the purpose is not compelling, why would anyone want to follow?

The second component of a compelling purpose is a clear, concise, easy-to-remember mission statement that answers the questions of why the organization exists and its fundamental business. When school communities take the time to study future conditions like those outlined in Chapter 1 before creating their mission, they frequently develop one such as, "Equipping all students to succeed in a rapidly changing world."

To be effective, mission statements must be brief, discriminating, chal-
challenging, and exciting. If the mission statement isn't driving all decision making throughout the district, it simply isn't having the impact that it should. One true test of a mission statement's influence is to realize that if organizational members can't easily state the mission, then the organization doesn't have one.

When a district has identified its beliefs, values, and mission, it's ready to derive a set of student outcomes, or what graduates should know, be able to do, and be like when they leave a school system.

Most systems with whom we have worked identify outcomes that have to do with their graduates being what Spady (1994, 1996a, and 1998) calls role performers in life, such as lifelong learners, involved citizens, quality producers, community contributors, and the like. These broad outcome labels are, of course, further developed to clearly specify what a lifelong learner must know, be able to do, and be like. Student outcomes are much more compelling and significant to constituents and students when written about life roles and role performance abilities than when developed around course or program content.

**Performance Role 2: Being the Lead Learner**

Authentic leaders lead the quest for continuous personal and organizational learning. For them, learning and being a lifelong learner are as natural as breathing. Even if they didn't have an organization to lead, they would be reading a book, listening to someone, trying new things in an attempt to find better ways to do things, or simply observing some phenomenon to see what they could learn from the experience.

But lead learners do lead organizations and they realize that in a rapidly changing world, continuous learning is required, not just of the authentic leader, but of the total organization. Effective organizations, especially those effective over time, are learning organizations (Senge 1990).

The learning of the authentic leader has impact. More than simply adding knowledge, impactful learning:

* Clarifies or challenges one's values,
* Changes one's world view,
* Changes one's expectations,
* Changes one's vision, and
* Changes one's behavior.
Authentic leaders are totally open to new learning, even learning that can be quite painful given that it's not always easy to have one's values challenged or to admit to an inaccurate world view.

Lead learners are intentional about creating learning organizations. They don't leave anything of this importance to chance. They model lifelong, self-directed learning. And because they know they are models who want to make continuous learning an organizational norm, they use what they learn and let others know they are doing so. They can be seen carrying around good books, talking about what they have most recently learned or heard, and encouraging others to attend seminars they have enjoyed or to check out tapes they have found interesting.

Lead learners encourage and support the learning of others. In doing so, they provide resources and rewards for learning. For them, not being a self-directed, continuous learner is not an option.

In addition, lead learners create a culture of learning and innovation. They make learning and talking about learning a norm. They want everyone to be learning, even when no one is watching. They create this culture of learning and innovation by being collegial, by encouraging the creation of collegial groups, and by encouraging teams and teamwork. They know that people grow faster, feel more professional, feel more job satisfaction, and are more productive when they are members of collegial teams.

Lead learners are future focused because they realize that they are competing for the future. For them, studying the future and deriving future conditions for leadership and for their industry or profession is not only rewarding but also exciting and fun. That's why they encourage and expect everyone in the organization to be tracking trends, why they share their "future conditions" information with their colleagues, and why they will create and pursue new visions based upon their study of the future.

Both lead learners and learning organizations are data driven. They gather, study, analyze, and learn from data about their organization including its processes, products, production, and quality. And they gather, study, and analyze data from outside their organization including theories and new research on improvement, expert opinions, and the thinking of gurus and trend setters.
The world is exciting for lead learners. They know that they are competing for a share of their industry’s foresight (Hamel and Prahalad 1994), they know that new learning is not a zero-sum game, and they want to be leading an organization that is Built to Last (Collins and Porras 1994).

Are You a Lead Learner?

Here are some criteria to help you to analyze your own lead learner attitudes and behaviors. Are you:

- Comfortable with being uncomfortable about what you know and don’t know? Lead learners reflect deeply, and they admit they don’t know all the answers.
- A learning addict? Lead learners can’t help themselves. They learn even when they have no real need to learn.
- Always asking questions? Lead learners actually listen to the response!
- Collegial with your learning? Lead learners enjoy learning with others and are quick to share their learning with others.
- Hanging out with the bright and the bold? Lead learners associate with and establish relationships with the successful, innovators, and risk takers.
- Forever young? To a lead learner, the world is first and foremost a learning laboratory.
- Occasionally embarrassing to your friends and family? Lead learners act in ways and attempt to do things that to others, seem far from the ordinary. But when they succeed, they do their mothers proud.

Performance Role 3: Modeling Core Values and Principles

If creating a compelling purpose is the most important thing authentic leaders do to generate productive change, then modeling the core organizational values and principles of professionalism is the second most important. Why? Because, as we said at the beginning of this chapter, authentic leadership, the central domain of Total Leadership, comes down to credibility.

With credibility, as Peters and Waterman aptly demonstrated in 1982,
leaders can mobilize and channel enormous reservoirs of hands-on/value-driven good will and loyalty, which is the motivational engine that drives personal and organizational success. Without it, it's doubtful that they can get much off the ground, let alone claim the title of leader.

It is no accident, therefore, that we chose the term authentic to describe this domain of Total Leadership. Authentic means genuine, real, heartfelt, honest, open, unadulterated, and trustworthy, and this is the performance role that most embodies those qualities and gives Total Leaders their moral foundation and moral compass.

Authentic leaders model core values and principles in a number of ways. They:

- Walk their talk,
- Get going when the going gets tough,
- Arrive first and leave last,
- Put up and pull through when challenged,
- Honor their commitments and their colleagues' trust,
- Give 110 percent all the time,
- Bear the responsibility and give others the credit,
- Do unto others far better than is often done unto them,
- Stand by their word,
- Root for the underdog,
- Always come through, all things being equal,
- Ask of others only what they unfailingly demonstrate,
- Go the extra mile, and
- Are honest.

As stated in Chapter 2, authentic leadership and its three performance roles lie in the center of the productive change process. What happens in each of the other four domains is directly influenced by and aligned with this value-based operational core. The core values and the operating principles of professionalism that reside within the authentic leader are carried into the exploration process of visionary leaders, the enrollment process of cultural leaders, the development process of quality leaders, and the orchestration process of service leaders through the universal presence and influence of this single performance role.

Who the Total Leader is defines what the Total Leader can and will ultimately do, which makes modeling core values and principles the centerpiece of any leader's profile of effectiveness.
# Profile of Visionary Leaders

<table>
<thead>
<tr>
<th>The guru</th>
<th>Warren Bennis</th>
</tr>
</thead>
<tbody>
<tr>
<td>An exemplar</td>
<td>Walt Disney</td>
</tr>
<tr>
<td>An antithesis</td>
<td>George Bush (had solid values, but never got the &quot;vision thing&quot;)</td>
</tr>
<tr>
<td>Mind set</td>
<td>Vision and leadership are synonymous. If you’re not a visionary, at best, you’re a manager.</td>
</tr>
<tr>
<td>Purpose</td>
<td>To create an inspirational and concrete picture of the organization’s preferred future.</td>
</tr>
<tr>
<td>Focus</td>
<td>Shifts, trends, and future conditions</td>
</tr>
<tr>
<td></td>
<td>Emerging and future needs of clients</td>
</tr>
<tr>
<td></td>
<td>Creating scenarios of alternative futures</td>
</tr>
<tr>
<td>Change belief</td>
<td>Change happens when people are able to see a concrete picture of the future.</td>
</tr>
<tr>
<td>Performance roles</td>
<td>Defining a preferred organizational future</td>
</tr>
<tr>
<td></td>
<td>Consistently employing a client focus</td>
</tr>
<tr>
<td></td>
<td>Expanding organizational options</td>
</tr>
<tr>
<td>Key sources</td>
<td>Leaders: Strategies for Taking Charge (Bennis and Nanus 1985)</td>
</tr>
<tr>
<td></td>
<td>Competing for the Future (Hamel and Prahalad 1994)</td>
</tr>
<tr>
<td></td>
<td>The Discipline of Market Leaders (Treacy and Wiersema 1995)</td>
</tr>
<tr>
<td></td>
<td>Customer Intimacy (Wiersema 1996)</td>
</tr>
<tr>
<td></td>
<td>Visionary Leadership (Nanus 1992)</td>
</tr>
<tr>
<td></td>
<td>Built to Last (Collins and Porras 1994)</td>
</tr>
<tr>
<td></td>
<td>Trend Tracking (Celente 1990)</td>
</tr>
</tbody>
</table>
CHAPTER 4

The Visionary Leadership Domain: Total Leaders Framing Vision

If your vision sounds like motherhood and apple pie and is somewhat embarrassing, you are on the right track.

Peter Block

Gerald Celente calls it **Trend Tracking**. Peter Drucker sees it as **Managing for the Future**. To Gary Hamel and C.K. Prahalad, it’s **Competing for the Future**; to James Liebig, it’s about **Merchants of Vision**; and to Dudley Lynch and Paul Kordis, it requires the **Strategy of the Dolphin**. For Gareth Morgan, it requires **Imaginization**. And for Joel Barker it comes down to **Discovering the Future: The Business of Paradigms**.

But Burt Nanus most accurately describes it. **Visionary leadership is the future focused, creative, imaginative domain of Total Leadership**.

The meaning of and innovative way in which all five Total Leadership Domains are carried out depend on the character and actions of visionary leaders. Their creative influence is everywhere.

The Essence of Visionary Leaders

The essence of visionary leaders is paradigm-breaking imagination and innovation. They excel at creating novel possibilities that others don’t see; chart new directions and destinations for their organizations; and thrive on translating shifts and trends into productive options for organizational transformation. They turn issues and problems inside out and upside down before declaring a preferred course of action, and they never mindlessly opt for the way they’ve always done things before.
Visionary leaders create organizational direction and a clear picture of the preferred future. We learned in the last chapter that people and organizations don't change unless there is a compelling reason to change. But even if they perceive a reason to change, they cannot and will not change unless they can see and feel a picture of a preferred future.

Organizational vision is the concrete picture and a manifestation of the organization's compelling purpose. It is what the organization will look like when it consistently and creatively acts on its core values and principles of professionalism, and meets its compelling purpose. It's vision that brings excitement to the productive change process.

It takes a shared vision for an organization to embrace change. Note that the word used here is embrace, not tolerate or go along with. Warren Bennis (1985), who may be the leading authority on organizational vision, states that, “Vision is the single most empowering and motivating factor in human organizations. It can bond diverse people together.”

Visionary leaders are not unrealistic romantics. By imaginatively using the kind of information presented in the first chapter of this book and focusing on the conditions their organizations will inevitably be facing in the future, visionary leaders:

- Are more realistic than those leaders focused on past accomplishments.
- Care enough about the people in their organizations to give them a proven recipe for survival and security, namely, personal and organizational change.
- Have more than an equal stake in their organization's success and for getting it to the future first.

Moreover, their innovative nature is balanced by a self-interested pragmatism: Visionary leaders want to see their ideas work! They know that that means setting directions and goals that are within the reach of their colleagues and constituents, even though they may not fall within their current capabilities. Because of their ability to look far beyond the givens in typical situations, visionary leaders are invaluable to organizations facing the challenge of continuous change.
The Purpose of Visionary Leaders

The fundamental purpose of visionary leaders in a total change process is to orchestrate and lead their organization's vision framing process. They use their skills to:

- Involve their employees and other constituents in a thorough investigation of the challenges and opportunities facing their organization's future;
- Develop potential courses of action open; and
- Translate those options into a clear and compelling vision of what their organization can and should become when addressing these future realities and functioning at its ideal best.

This concrete, detailed, compelling document is their organizational vision. It is a highly motivating statement of what they want their organization to look like and be doing when accomplishing its purpose as well as operating at its highest performance. This vision statement demonstrates the quality and depth of the ideals that the change effort will embody when fully in place. With it, their ideal future comes to life in the present. Without it, the specifics of their declared purpose and intended change remain obscure, people hesitate to try anything new, and no one is ever quite sure where they stand as things unfold or unravel.

Expanding a Vision of the Possible

Of the five change processes, exploration is the most paradigm breaking and innovative.

Exploration is the open, thorough, and stimulating search for, dialogue about, concrete formulation of preferred pictures of the possible for the total organization and its employees and constituents functioning at their best to achieve the declared purpose.

When led by capable visionary leaders, the exploration process expands people's perspectives of the operational options and possibilities open to their organization and what is possible and desirable to include in their organizational and personal vision statements. Such a process encourages people to examine cutting-edge ideas and developments in a whole range of arenas related to their organiza-
tion's purpose and to openly discuss how they might lead to new ways of designing and conducting their work.

Without a serious and thorough exploration effort, an organization's vision will be limited primarily to images of the known and familiar, the very things it is intended to transcend. This effort must stimulate and encourage staff and constituents to search out new possibilities that lie beyond their current patterns of thinking and action because, to be transforming, a vision must be ahead of its organization's present capacity to operate.

**Exploration Implications for School Districts**

Our extensive experience with the strategic design process in which exploration is embedded suggests that school districts should invest the time in having employees and constituents ask:

- How are the realities our students will face after they leave school different from our prevailing educational expectations, programs, and patterns of action?
- What are the assumptions in this new work about students, parents, staff, and other constituents, and how are they different from what we have believed and acted upon to date?
- What kind of information do we need to gather that is consistent with our district's purpose and operating essentials?
- What's in the professional literature that could guide us?
- What models and strategies of more effective practice exist and seem applicable to our situation?
- How are we, our students, and community members unique?
- What would we look like if we were implementing everything we know about students and learning?

The more intense and extensive a district's exploration effort, the more likely it is that staff and stakeholders will become exposed to a wealth of new information and possibilities that is exciting and overwhelming in content and quality. Early on, the district should begin developing a comprehensive and sound framework of key ideas or themes around which to organize its new information and develop a plan for acting on them. The frameworks in Spady's work (1996b, 1996c, and 1998) can be useful in this regard.
The Moral Foundation of Visionary Leaders

Like all effective leaders, visionary leaders operate from a clear moral foundation. In this case, their foundation comprises the core values of openness and courage and the principles of professionalism we call future focusing and clarity. All four of these elements clearly strengthen Total Leaders' capacity to effectively carry out an insightful, paradigm-breaking exploration process.

**Visionary leaders use ...**

- **Core values of openness and courage**
- **Principles of future focusing and clarity**

*Openness* is grounded in a sense of psychological security. It reflects a willingness and desire to receive, consider, and act ethically on information, possibilities, and perspectives of all kinds. Openness pertains both to individuals and to the organizations in which they engage. By being open-minded, open in their communications, and open in their willingness and desire to have their ideas and actions challenged and judged, Total Leaders elevate openness to the status of a value and make it an expected norm in day-to-day interactions. In so doing, they make it both permissible and desirable for divergent and unconventional viewpoints to be offered and considered.

*Courage* is the willingness of individuals and organizations to risk themselves despite the likelihood of negative consequences or fear of the unknown. Courage allows individuals to express viewpoints, make decisions, and take actions that, while supported by sound information and logic, either have never been tried or run contrary to widespread opinion, customary practice, or the viewpoints of those with greater organizational power and influence. Total Leaders are not afraid of making mistakes or failing. They demonstrate the courage to act on their convictions and to make tough choices that have the potential for productive change. Total Leaders also have the courage to admit when they are or have been wrong.

*Future focusing* involves conducting a thorough and consistent study of the shifts, trends, and future conditions that redefine a profession, industry, and/or organization, and taking a visionary and far-reaching
view of emerging possibilities, potential innovations, and promising strategies. At its inherently creative, imaginative, and adventurous core, future focusing is about thinking and acting "outside the box" of conventional experience and ways of operating. It stresses the creation, discovery, and exploration of new paradigms, frameworks, models, and options. Total Leaders realize that future focusing is the critical first step in effective vision building and they ask, encourage, and maybe even insist that everyone in the organization be a trend-tracker, futurist, and lifelong learner.

Clarity is embodied in the open, honest, and comprehensible communication of one's direction and priorities, the information needed for making sound decisions and taking positive action, and the expectations that surround work and personal relationships. Clarity is about making important information and viewpoints known and accessible to those who depend on them to accomplish their goals.

Here are the kinds of situations that challenge you to apply these four Moral Foundation elements.

**Openness:** In the past you have taken a hard stand against the charter school movement. You now begin to hear reports of a number of very successful charter schools in your state. A group of parents who wish to start a charter school in your district have been meeting.

**Courage:** You are being pressured to pull books from the library that are unacceptable to a strong political group in the community.

**Future focusing:** You are beginning a strategic planning process for your system and need to identify outcomes for your graduates.

**Clarity:** Your mission statement is about a half-page long, and few people can remember it. You sense that it is not influencing the important decisions being made in your district.
Clarity is rooted in a strong desire to be honest and is the antithesis of manipulation and deceit. Clarity requires that everything in your leadership and change effort be written and communicated in crystal clear language, be agreed upon by everyone with a stake in its success, and be communicated and shared proactively with all employees and constituents. Total Leaders continually work to improve their communication skills. They learn to write and speak with clarity, but that’s not to say that their communication is formal and humorless. Since nearly everyone likes to find a bit of levity sprinkled into even the clearest of communication, clarity doesn’t always require formality.

Critical Performance Roles of Visionary Leaders

To carry out the exploration process effectively, visionary leaders undertake three major performance roles. These broad arenas of responsibility and action enable visionary leaders to make the decisions and carry out the actions that constitute the exploration process and achieve the pillar of change to which it is linked, organizational vision. The three critical performance roles of the visionary leader are:

- Defining and pursuing a preferred organizational future.
- Consistently employing a client focus.
- Expanding organizational perspectives and options.

Performance Role 4: Defining and Pursuing a Preferred Future

Although the leadership and change literature is inconsistent with its definition of mission and vision, we believe that mission is a statement of purpose, and vision is an idea, picture, or image of the future — a sense of what could be.

Simply stated, vision is the mental picture of a preferred future of a department, an organization, or a world. It’s the mental “tape” that Jack Nicklaus plays before beginning his backswing, that Michael Jordan plays when he goes up for his fade-away jump shot, and that Gail Deavers plays when she kneels in the blocks waiting for the gun to sound for the 100-meter hurdles.
The 15 Performance Roles of a Total Leader

- Creating and sustaining a compelling personal and organizational purpose.
- Being the lead learner.
- Modeling core organizational values and personal principles.
- Defining and pursuing a preferred organizational future.
- Consistently employing a client focus.
- Expanding organizational perspectives and options.
- Involving everyone in productive change.
- Developing a change-friendly culture of innovation, healthy relationships, quality, and success.
- Creating meaning for everyone.
- Developing and empowering everyone.
- Improving the organization's performance standards and results.
- Creating and using feedback loops to improve performance.
- Supporting and managing the organization's purpose and vision.
- Restructuring to achieve intended results.
- Rewarding positive contributions to productive change.

The tape that school leaders play in their minds could include the ideal student learning experience, the ideal school, the ideal school district, or the ideal leader.

Personal values and the organization’s core values and mission help leaders, their employees, and their organizations focus. While values and missions (although powerful for creating a moral foundation) are abstract, vision is concrete. Former Apple CEO John Scully believes that leaders “have to be able to make the abstract recognizable, because only then can people accept or reject it.” If vision creates focus, then concrete vision creates clarity of focus. It focuses energy, motivation, actions, learning, and investment (Peters 1994).

When does one know that he or she has a good vision, one that will pull people and make them want to be part of the action? For starters, valid and viable visions are based on an insightful analysis of
world and industry shifts, trends, and future conditions like those pre-

sented in Chapter 1. Future conditions regarding values, lifestyles,
technology, demographics, and politics and power combine to make
up a comprehensive analysis (Hamel and Prahalad 1994). If a vision
is to be futuristic, then its grounding must be based on the best
approximation of the future.

Visionary leaders make no small plans. If a vision can be achieved
at the time a leader creates it, then it's probably not a vision.
Powerful visions present significant challenges and run well ahead of
the organization's capacity to achieve it. For example, NASA estimat-
ed that they knew about 15 percent of what they needed to know in
order to get to the moon and back safely when President Kennedy
communicated that bold vision for the U.S. space program.

Peter Block (1987) believes that "If your vision sounds like mother-
hood and apple pie and is somewhat embarrassing, you are on the
right track." Visionary leaders are then, he suggests, "ready to bet the
farm."

For a vision to be powerful, it has to be useful. Useful and powerful
visions are:

- Describable in that they are clear, concrete, and easily communicated,
- Desirable, representing a preferred future that excites and enthuses,
- Doable but not without risking and heroic efforts, and
- Directing for the individual and organization.

Visionary leadership experts suggest that visions be stated in the pre-

cent rather than the future tense as if an organization is already
accomplishing them. For example, a classroom teacher's vision might
be as follows:

"My classroom is an adventureland of learning. The students eagerly
participate in our wide array of projects proving repeatedly that they
all can learn and successfully demonstrate things of significance to a
high level, even though they differ a lot in the time needed and
approach that works best for them. I continue to remind them of the
major competence outcomes toward which we are all working so that
they know what's important to demonstrate at the end and know
what they need to do to learn it. We consistently apply each lesson,
activity, and larger project directly to one or more of these real-life
performance abilities. And they remind and demonstrate to each
other in focused work groups what it means to do well on those out-
comes and ways they can improve on what they're doing or have just done.

"I consistently find ways to provide extra help, suggestions, and exercises to the few students who don't get things the first time, including having other students show them some of their learning strategies. We all share in giving support to those who make visible improvements in their work, knowing that successful learning is the strongest promoter there is in more successful learning. Because they understand and continuously apply clear performance standards so well in their everyday work, they find it easy to provide progress reports on their work to their parents every few months."

A paradox, however, surrounds the framing of an organization's vision. As Bennis says, "Great paintings were not painted by a committee, and visions seldom come from the herd. They are usually the creation of one person. But successful visions require commitment, ownership, and a broad consensus."

What are visionary leaders to do in the face of this paradox? We suggest they:

- Show how the vision manifests employee values, core organizational values, and mission.
- Encourage everyone in their organization to enhance, extend, develop, and personalize the vision.
- Always say "we" and "our," not "I" or "my" when communicating about the vision.
- Give (and give away) credit to all contributors.

Total Leaders need to see themselves as seekers, consensus builders, communicators, clarifiers, modelers, and keepers of the vision.

**Performance Role 5: Employing a Client Focus**

When visionary leaders create a compelling purpose or a concrete picture of their organization's preferred future, they do it with their customers and clients in mind. Their practices, policies, procedures, decisions, and actions are all based on what's best for the customer.

When we ask, "Who is the end user of my work?" we can usually identify an external customer. But when we ask, "Who is the user of my work?" we frequently can identify an internal customer, someone in the organization who directly relies on our work in order to accomplish theirs.
For example, end user clients of second grade teachers are their students and parents; but these teachers’ internal clients include all the rest of the teachers in the system who will eventually build on what those students learned in second grade. The same applies to visionary leaders. Their focus is on both their external and internal clients.

Visionary leaders ask their colleagues and themselves repeatedly if they meet or exceed their customers’:

**Present needs.** Wal-Mart is an example of a company that meets the expressed needs of its customers. While not innovative or one-of-a-kind, Wal-Mart products are good name brands sold cheaper than the customer can get elsewhere. Likewise, school districts that have a sound curriculum meet the needs articulated by success-oriented parents, university admissions offices, and students who have college aspirations.

**Emerging needs.** This means surprising and pleasing customers and clients with new products and services even before they ask. Chrysler’s minivans hit the market well before soccer moms asked for them because Lee Iacocca and other Chrysler leaders sensed an emerging need and designed a vehicle to fit that need. In fact, minivan sales are the main reason for Chrysler’s successes during the past decade. Likewise, school districts that have created exciting and successful magnet school programs are meeting the needs of a set of students and parents who, until the magnet school option was presented, probably didn’t even realize that their desires could be met within the structure of the public schools.

**Future needs.** Intel and Microsoft know about potential future needs, even before their customers do. Before one of their breakthrough products hits the market, they are well on their way with the development of even newer products/services that will make this “new” one obsolete (Grove 1996). Likewise, school districts that study the shifts, trends, and future conditions before identifying student outcomes consciously and systematically focus their internal and external adult clients on the future needs of their student clients.

Clearly, visionary leaders are listeners, trend trackers, and futurists. As Peters and Waterman (1982) pointed out, visionary leaders get “close to the customers” to hear what they say about their needs,
desires, hopes, and dreams. They study what's happening in the profession or industry, their society, and other nations. And they draw conclusions about what the future holds for them. Specifically, visionary leaders:

- Have frequent face-to-face meetings with their customers, and make sure that everyone else in the organization does so too. In a school, for example, if a sizable percentage of the graduation classes are college bound, visionary school leaders make sure that their teachers have face-to-face dialogues with college teachers. If a sizable percentage will seek employment right out of high school, then they meet regularly with promising employers. And they devote 90 percent of their time to asking and listening.
- Systematically involve both their organization and customers in a study of their customers' future needs. For school districts, this can be done through the consideration process described in the previous chapter and the exploration process.
- Create long-term strategic alliances with their customers and suppliers. For educational leaders, this means treating students, parents, the community, colleges and universities, and employers as customers whose satisfaction depends on your success. Parents and the community also double as "suppliers," as they supply the students and most of the district's personnel.
- View disagreements with customers and clients as a stimulus for growth. They look for win-win solutions to problems and win-win rewards from opportunities.

In sum, these four strategies lie at the heart of an effective visioning process. They also reflect the sensitivity and empathy that visionary leaders bring to their relations with customers — an ability to discover and act on future possibilities through the eyes of their customers, even before they become aware that those possibilities exist.

Why is this performance role so critical to the success of Total Leaders? Because they know that customers and clients vote with their feet and that customer satisfaction is best measured by repeat business. Because customers, have so many options in today's world, they frequently don't give organizations a second chance. This is true for schools as well. Until the 1990s, employing a client focus looked like a minor issue to educational leaders. Schools had few, if any, competitors. Today, private schools, charter schools, vouchers, home schooling, and virtual schools on the Internet are a growth
industry. Whether they turn out to be better remains to be seen, but more potential public school clients are voting with their feet and ballots. The demand for something different is here, and visionary leaders within the educational community will be the ones who find ways to meet that demand.

**Performance Role 6: Expanding Organizational Perspectives**

Defining and pursuing a preferred organizational future, the key performance role of visionary leaders, is impossible to carry out successfully without simultaneously implementing this performance role. Expanding organizational perspectives and options embodies the heart and soul of the exploration process. At its core, this process and this performance role are about what visionary leaders call breaking paradigm: Transcending and reconstructing the patterns of assumptions, beliefs, and interpretations that cause individuals to see and act on the world in particular (and limiting) ways.

Breaking constraining paradigms is the focus of Joel Barker's (1988) tremendously popular and impactful work. He coaches people to see and understand things in ways that they simply couldn't perceive before because of the blinders, preconceptions, mind sets, or limiting perspectives they had. Paradigm-breaking experiences, sometimes called revelations, great ah-ha’s, hits, or mind blowers, result in thinking, “Wow! I see this thing in a whole new way now.”

Visionary leaders are, at their core, paradigm breakers.

For example, John Carroll (1963) was a visionary leader who stood the prevailing paradigm of education on its head and provided the theoretical grounding that eventually led to the major reform efforts of mastery learning, effective schools, accelerated schools, and outcome-based education. (See Spady 1998 for an explanation of how this learning success paradigm evolved.)

Carroll based his analysis on a simple proposition: Aptitude is the rate at which people learn new things; some faster, some slower. Theoretically, all students can learn clearly defined things equally well, but the time they need to do it will vary because their aptitudes vary. This calls into question how schools are organized. They make time the constant and learning success the variable. To be effective, they need to reverse this relationship.
Today, that reversal would be a paradigm shift in a new way of viewing and doing teaching and learning.

**Try Out a New Paradigm**

All school leaders need are some simple tools and examples to easily open up a dramatically different set of possibilities and options for their internal and external clients to consider and eventually implement.

In this example, consider education being organized around a new set of expectations, instead of the current ones.

---

**Imagine Education...**

<table>
<thead>
<tr>
<th>Organized Around</th>
<th>Instead of</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Future</td>
<td>The Past</td>
</tr>
<tr>
<td>Ends</td>
<td>Means</td>
</tr>
<tr>
<td>Purposes</td>
<td>Procedures</td>
</tr>
<tr>
<td>Results</td>
<td>Resources</td>
</tr>
<tr>
<td>Outcomes</td>
<td>Processes</td>
</tr>
<tr>
<td>Goals</td>
<td>Roles</td>
</tr>
<tr>
<td>Learning</td>
<td>Teaching</td>
</tr>
<tr>
<td>Achievement</td>
<td>Programs</td>
</tr>
<tr>
<td>Performance</td>
<td>Curriculum</td>
</tr>
<tr>
<td>Standards</td>
<td>Time</td>
</tr>
<tr>
<td>Competence</td>
<td>Content</td>
</tr>
<tr>
<td>Life</td>
<td>School</td>
</tr>
</tbody>
</table>

---
What you’re likely to find in the examples in the left column is that (1) each operates around clearly defined expectations and performance criteria that determine what given levels of success mean rather than around ambiguous or comparative standards; (2) the time needed to reach a given level of performance and the methods used, is usually flexible and/or learner specific; and (3) all participants can reach the highest possible performance levels and are often given multiple opportunities for doing so.

These three features alone portray dramatic differences between current thinking and future possibilities that could be the focus of an option-expanding discussion in your schools. It is up to Total Leaders to begin such a discussion.
## Profile of Cultural Leaders

<table>
<thead>
<tr>
<th>The guru</th>
<th>Terry Deal</th>
</tr>
</thead>
<tbody>
<tr>
<td>An exemplar</td>
<td>Red Auerbach and the Boston Celtics</td>
</tr>
<tr>
<td>An antithesis</td>
<td>Jerry Jones and the Dallas Cowboys</td>
</tr>
<tr>
<td>Mind set</td>
<td>Organizational culture is the critical variable in the long-term success of organizations.</td>
</tr>
<tr>
<td>Purpose</td>
<td>To establish, monitor, and model positive organizational norms, values, and principles.</td>
</tr>
</tbody>
</table>
| Focus | Human relationships  
Creating project teams  
Visible symbols of organizational culture |
| Change belief | Change happens from the inside out when individuals are involved in, and thereby become committed to, the change. |
| Performance roles | Involving everyone in productive change  
Developing a change-friendly culture  
Creating meaning for everyone |
| Key sources | *Corporate Cultures* (Deal and Kennedy 1982)  
*Enlightened Leadership* (Oakley and Krug 1991)  
*Integrity* (Carter 1996)  
*Man's Search for Meaning* (Frankl 1984)  
*The Heart Aroused* (Whyte 1994)  
*The Balanced Scorecard* (Kaplan and Norton 1996)  
*Leading Change* (O'Toole 1995) |
CHAPTER 5

The Cultural Leadership Domain: Total Leaders Developing Ownership

Whether or not leaders are perceptive enough to recognize it, organizations have cultures, which take root, grow, evolve, and silently control the attitudes and behaviors of organizational members even when, and perhaps especially when, no one pays them any special attention.

Stephen Carter calls its essence Integrity. Thomas Crum sees it embodied in The Magic of Conflict. To Terry Deal and Alan Kennedy, its focus is Corporate Cultures; for Robert Heller it involves The Naked Manager for the Nineties; who, as Roy Kilmann and his colleagues show, must be involved in Gaining Control of the Corporate Culture. To Victor Frankl, it's manifested in Man's Search for Meaning; and for Ed Oakley and Doug Krug, it's a matter of Enlightened Leadership, which Tom Sergiovanni calls Value-Added Leadership.

From our reading of these works, we have concluded that the essence of the issue is cultural leadership, the participatory, interpersonally motivational domain of Total Leadership.

Cultural leaders bring the value and purpose dimensions of authentic leadership to life in a direct, interpersonal way. The quality and consistency of cultural leaders' relations with others are key in determining how well the other four domains of Total Leadership are carried out and how strongly those domains motivate organizational members to involve and invest themselves in the organization's change efforts.
The Essence of Cultural Leaders

Cultural leaders shape the orientations, quality, cohesiveness, and energy of their organization's culture — those often unspoken values, beliefs, norms, symbols, actions, and pressures that exist beyond an organization's policies and rules and that powerfully influence how its members:

- Relate to each other,
- Do their business,
- Value and reward each other's productivity and contributions, and
- Participate in the organization's social, recreational, and work life.

The skills and qualities of cultural leadership are needed for carrying out the enrollment process that is necessary for developing ownership of organizational purpose and change. Cultural leaders are, therefore, highly perceptive and aware people. They easily place themselves in the shoes of their peers, constituents, and employees, and readily recognize that it's critical to have an organizational culture that strongly influences people's sense of esteem and belonging.

Whether or not leaders are perceptive enough to recognize it, organizations have cultures, which take root, grow, evolve, and often silently control the attitudes and behaviors of organizational members even when, and perhaps especially when, no one pays them any special attention. Just as high blood pressure is said to be the silent killer because many people do not recognize it, negative cultures can be the silent killer of organizations, draining energy and commitment without the leader's recognition.

People who work in an organization often find it difficult to describe precisely what their culture is because they live with it every day and grow accustomed to its presence, much like fish in water. Certainly this is the case for most educators who have lived in and with our current educational system since they were five years old.

Cultural leaders avoid this problem by intentionally influencing their organization through the power of their presence and example, messages they convey, input from external sources they solicit, decisions they make, people and efforts they recognize, and principles they advocate and consistently uphold. Peters and Waterman use the term hands on/value driven to capture this essence.
Because cultural leaders are extremely sensitive to the pulse and climate of their organizations, they can readily identify the major tangible forms that a culture takes. Thanks to the pioneering work of Deal and Kennedy (1982), we recognize these tangibles as:

**Organizational heroes and heroines.** These are people who are ultimately revered by other organizational members for what they have contributed to the organization’s standing and reputation. A leader should know who they are, how closely they align with the organization’s core values and compelling purpose, and whether they are positive and change-friendly or negative and cynical. Cultural leaders deliberately elevate those who exemplify the organization’s core values and purpose to hero/heroine status.

**Rituals and ceremonies.** These are special events in which the organization’s core values and compelling purpose are celebrated and reinforced. Leaders should be aware of these events, their frequency, and whether the established procedures and ceremonies are consistent with the core values, compelling purpose, and vision. Cultural leaders deliberately create and reinforce rituals and ceremonies that embody and reinforce their organization’s core values and purpose.

**Traditions.** These are ways of thinking and doing that get handed down from year to year in the organization. It’s helpful to know if traditions have been assessed and acted upon for their impact on an organization’s core values and purpose. For example, does a school have a single valedictorian for the senior class or does it recognize a number of students for meeting very high standards? Cultural leaders deliberately act to reinforce contributions and actions worthy of becoming honored organizational traditions.

**Symbols.** Symbols are material objects that represent meaning, values, purpose, honor, and status within the organization. A leader should know what his or her organization’s symbols communicate about beliefs, values, and purpose. For example, which symbols does one see entering a school, a district office, or the superintendent’s office? Trophies and records demonstrating athletic power? Engraved listings of past National Honor Society members? The largest desk with the largest office and the best view? Cultural leaders establish symbols that directly embody the organization’s highest values and contributions to its compelling purpose.
Stories. Stories are the recounting of significant events in the organization's history and the roles people played in shaping the outcomes of those events. Leaders should reflect on what stories are retold, the heroes and heroines of those stories, and their meaning. Are the people wearing the “white hats” the defenders of the core values and ultimate organizational purpose, or are they the people who resist change? Are there stories about the leader's integrity, risk-taking, and courage? Cultural leaders monitor stories and reinforce the ones that bolster the organization's values, purpose, and vision.

The organization's culture is embodied in the daily actions and decisions of its leaders and members. That's why cultural leaders are hands on/value driven and consistently:

- Involve organizational members and clients in identifying what they see as an ideal culture,
- Assess their present culture and the gaps between it and their ideal,
- Identify the beliefs, behaviors, and norms that need to change, and
- Monitor and shape their culture over time.

The Purpose of Cultural Leaders

The fundamental purpose of cultural leaders in a productive change process is to orchestrate and shape their organization's ownership developing process. Organizational change has little chance of succeeding unless those affected by the change, both internal members and external clients, feel invested in the proposed changes and are willing to give their best efforts to making them happen. Various aspects of that psychological investment are called ownership, buy-in, commitment, motivation, involvement, and engagement.

Regardless of the term, the essence of this critical pillar of change is the feeling within organizational members and clients that they can identify with and are a part of what is going on. This feeling of belonging, being connected, participating, and contributing is the motivational fuel of productive change. With it, organizations move mountains. Without it, they barely make it up a mole hill. True cultural leaders have the orientations and abilities to create a culture of genuine engagement in which people feel a part of the decisions and actions that most affect their jobs, performances, and results.

By openly and sincerely enlisting all organizational members and
clients in defining the purpose and framing the vision, and by visibly using their input and insights in the change process, cultural leaders establish the psychological connection that makes ownership possible. This act of reaching out and bringing people into the organization’s decision making process is called enrollment.

Enrollment builds identity, allegiance, motivation, commitment, and a stronger base of expertise, and it uses the invaluable perspectives and expertise of those outside as well as inside the organization to do it. If the organization’s leaders don't engender these feelings in others, they face the grim prospect of carrying all its changes and challenges exclusively on their shoulders. They also leave untapped what several authors describe as the almost limitless reserve of employee goodwill that could exist.

**Casting the Net Widely and Deeply**

Of the five change processes, enrollment is the most personally motivating

Enrollment is the open, continuous, and enthusiastic recruitment, inclusion, and involvement of all of the organization’s employees and constituents in its productive change effort.

When led by capable cultural leaders and shaped by the core values of integrity and commitment, the enrollment process represents the open arms approach to welcoming and fully engaging both internal and external clients in an organization’s productive change process.

For educators, that means including in the process teachers, staff, students, parents, board members, employers, and other community constituents. This inclusion process is the only way to ensure that they all understand, contribute to, and take ownership for the change effort, and enlist their support and involvement when the effort is challenged.

Enrollment is based on four fundamental assumptions that embody the professional principles of inclusiveness and win-win. These key assumptions are that:

- All constituents, both outside and inside the organization, have a major stake in what the organization does, and they all contribute to and benefit from its success.
• External clients and customers bring to the organization fresh, badly needed perspectives, resources, talents, and support that are vital to defining and carrying out the organization's mission.

• The we/they, insider/outsider, closed-system attitude that characterizes most organizational hierarchies must be broken down if the inherent power and benefit of this connection is to be realized. Organizational barriers only hinder organizational success.

• Leaders can only "win" if they reach out and involve every one of these constituencies in shaping the organization's direction and success. Sincere outreach efforts transform organizations into collaborative communities.

People-focused and people-intensive, the enrollment process generates many of the same kinds of issues, opportunities, tensions, risks, and emotions inherent in the consideration process. But the issues can be even more intense as they go beyond ideas, values, and information to highly sensitive matters of people, power, and professionalism. That's why leaders expect attitudes among all parties about developing strong working relationships with each other to range from mild uncertainty and apprehension to strong suspicion and mistrust. Therefore, at the outset of this process, cultural leaders need to help everyone understand that acknowledging these feelings of apprehension is the first step in creating the communication and empathy that are vital to getting past them. Successful enrollment requires that these assumptions and operating principles be openly acknowledged, discussed, and endorsed since they are keys to developing a genuine sense of community and cooperation within the organization.

School leaders, then, have to actively recruit parents and other constituents, as well as reluctant colleagues, in the productive change effort. Otherwise, leaders run the major risk of these key constituents:

• Not understanding or sharing the purpose or vision,
• Having no ownership in the purpose or vision,
• Lacking the capacity to help implement the purpose or vision, and
• Offering no support when tough questions and implementation challenges arise.

Clearly, without the skills and a deep commitment to implementing and sustaining an expansive enrollment process, leaders are unlikely to motivate their employees and constituents to undergo the challenges inherent in a long-term productive change effort.
The Moral Foundation of Cultural Leaders

Although organizational culture is awash in symbols and manifestations of core values, there are two particular core values that underlie the culture shaping efforts of cultural leaders: integrity and commitment. The two key principles that drive their ownership-developing decisions and actions are inclusiveness and win-win.

Cultural leaders use . . .

- Core values of integrity and commitment
- Principles of inclusiveness and win-win

Integrity is the long-term expression and embodiment of honesty, fairness, trustworthiness, honor, and consistent adherence to high-level moral principles, especially those core values and professional principles recognized and endorsed by the organization. Integrity emanates from a keen sense of right and wrong and a strong sensitivity to the likely consequences of one’s decisions and actions on the interests and welfare of others. Some of its common opposites are selfishness, expedience, manipulation, and deceit. Total Leaders reflect deeply on their values and principles, are open to their organization and the public about them, and consistently model them.

Commitment is reflected in people’s willingness to devote their full energies and talents to the successful completion of undertakings they have agreed to pursue, despite challenges and adverse conditions that may arise. Commitment often requires setting aside personal comfort, convenience, and, at times, welfare and self-interest, to fulfill agreements. Commitment is strongest and comes easiest when there is tight alignment between personal and organizational values. Therefore, Total Leaders insist that their organization’s values and principles be extensions of their personal values, that they select and develop others with similar values, and that they help others find meaning in and become committed to their work.

Inclusiveness is embodied in consistent commitment to maximizing the range of opportunities for success available to organizational members, the number of people included in relevant and meaningful
organizational decisions, and the level of member and stakeholder participation and input in decisions that affect their welfare.

At its core, inclusiveness is about outreach, communication, recruitment, acceptance, involvement, and the development of ownership among organizational members and stakeholders. Its participation dimension involves including organizational members and constituents in planning and decisions. Its substance side involves taking advantage of the broad range of ideas and possibilities that these individuals will suggest, and using their input in decision making, planning, and implementation. Total Leaders include people in the process to gain their commitment, to ensure follow-through, to help everyone find meaning in their work, to be politically correct, and so forth; but it all starts with the Total Leader's firm belief that people have something to offer that will enhance the outcome for everyone involved.

Here are the kinds of situations that might challenge you to apply these four Moral Foundation elements.

**Integrity:** As superintendent, you have frequently stated that you are concerned about curriculum and instruction. It's Friday, and you are developing your work schedule for the following week.

**Commitment:** You are scheduled to present at a national conference in an attractive city. The day before you are to leave, you become aware of a difficult personnel problem involving one of your principals.

**Inclusiveness:** You are beginning a strategic planning process for your system and need to assemble a team to identify learner outcomes for your graduates.

**Win-Win:** As a new superintendent, you are being given most of the credit for turning an underachieving school district around. A reporter asks you how you did it.
Win-win embodies a commitment to achieving and experiencing mutual benefit in the agreements people make, the relationships they establish, and the rewards they obtain from the contributions they make. Win-win is about enhancing one’s status and well-being through sharing with others, publicly recognizing and honoring the value of others’ efforts and contributions, and defining self-interest and success in terms of the common good. Win-win emanates from, and projects a view of, human nature as positive, cooperative, and deserving of dignity and recognition. Its antithesis is selfishness, insensitivity, exploitation, and win-lose, which usually degenerates into lose-lose.

Win-win leads to more win-wins. If people get a fair and profitable shake with you and your organization, they’ll quite naturally want to come back for more of the same. Win-win is the heart and soul of healthy relationships and an organizational culture that evokes trust and makes people want to be involved and contribute.

The Critical Performance Roles of Cultural Leaders

To carry out the enrollment process and to achieve the pillar of change to which it’s linked, constituent ownership, cultural leaders use three performance roles:

- Involving everyone in productive change.
- Developing a change-friendly culture of innovation, healthy relationships, quality, and success.
- Creating meaning for everyone.

Performance Role 7: Involving Everyone in Productive Change

Involving everyone in productive change is one of the most important things Total Leaders do to ensure that change gets started and achieved.

Strategically, involving everyone in productive change is the precondition to carrying out four of the six previously discussed performance roles (creating a compelling purpose, defining a preferred future, employing a client focus, and expanding organizational perspectives). Unless one attends to this first, it will be impossible to create and sus-
tain a compelling organizational purpose or to define and pursue a preferred organizational future. Hence, three of the five essential pillars of change—purpose, vision, and ownership—will not materialize.

Not an event controlled by the leader, productive change is a process in which all organizational members and clients are directly involved. As noted in the previous section, without such involvement, input, and agreement, the most vital conditions for change simply collapse and organizations are left standing at the starting blocks.

Cultural leaders are able to avoid this pitfall because of their ability to see change from the perspective of the organizational members and clients who will be directly affected by whatever changes occur. Change is too frequently represented as “what we want those other people to do.” In education, this is called “fixing the teachers” but leaving the rest of the system untouched.

<table>
<thead>
<tr>
<th>The 15 Performance Roles of a Total Leader</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Creating and sustaining a compelling personal and organizational purpose.</td>
</tr>
<tr>
<td>• Being the lead learner.</td>
</tr>
<tr>
<td>• Modeling core organizational values and personal principles.</td>
</tr>
<tr>
<td>• Defining and pursuing a preferred organizational future.</td>
</tr>
<tr>
<td>• Consistently employing a client focus.</td>
</tr>
<tr>
<td>• Expanding organizational perspectives and options.</td>
</tr>
<tr>
<td>• Involving everyone in productive change.</td>
</tr>
<tr>
<td>• Developing a change-friendly culture of innovation, healthy relationships, quality, and success.</td>
</tr>
<tr>
<td>• Creating meaning for everyone.</td>
</tr>
<tr>
<td>• Developing and empowering everyone.</td>
</tr>
<tr>
<td>• Improving the organization’s performance standards and results.</td>
</tr>
<tr>
<td>• Creating and using feedback loops to improve performance.</td>
</tr>
<tr>
<td>• Supporting and managing the organization’s purpose and vision.</td>
</tr>
<tr>
<td>• Restructuring to achieve intended results.</td>
</tr>
<tr>
<td>• Rewarding positive contributions to productive change.</td>
</tr>
</tbody>
</table>
Cultural leaders know that real change happens from the inside out, with the paradigm perspectives, beliefs, values, and goals of the individual. Therefore, they take the point of view of those facing the change by using what Cooper and Sawaf (1996) call Executive EQ, their sensitivity and empathy toward the attitudes, hopes, fears, and needs of individuals, teams, and divisions within their organization. They know that when people begin to see things differently through new eyes and paradigms, they can open up emotionally as well as intellectually to the potential need for and benefits of change. Then, with a new perspective and a safe place to explore change, individuals can participate in a process with confidence that it will "work" for them.

Cultural leaders cultivate this safe place by helping others address and positively respond to questions about:

*Their psychological readiness for change.* How secure do I feel as a person and member of this organization? How does the change fit with my personal values? What's in it for me? What might I gain, and what do I stand to lose? Is the potential reward worth the obvious risk? Do I have the skills and knowledge to change?

*The organization's culture.* Are the heroes/heroines in this organization innovators and risk-takers? If not, what do they represent? What happens around here to people who try new things and fail? What happens around here to people who try new things and succeed? Do the things people admire and celebrate here support change? Are the leaders people we can trust?

*The organization's structure.* What happened to the last major change effort this organization tried? Is the organization structured to accomplish its declared purpose? Is it aligned with its declared vision? Have the leaders aligned the organization's resources and rewards with its declared vision?

With a safe psychological place established, cultural leaders can carry out the enrollment process: recruit, include, and involve all of the organization's members and clients in the consideration and exploration processes needed to launch productive change. In this way, they can define a purpose and frame a vision that will benefit from everyone's participation, input, understanding, and support.
Performance Role 8: Developing a Change-Friendly Culture

The literature strongly suggests that cultural leaders consistently work to develop a culture that has two highly visible, mutually reinforcing features. First, the culture is empowering and promotes personal initiative, improved performance, and organizational effectiveness. Second, the culture is change-friendly and openly encourages new ideas, dynamism, and lasting organizational health.

Empowering cultures—and the cultural leaders that shape them—espouse, embody, and reward four key things:

**Innovation.** Employees risk trying promising new ideas, keep what works, and discard what doesn’t. When mistakes happen, they don’t treat them as failure or blame people, but rather, do their best to learn from them.

**Cooperation.** Employees cooperate in the workplace so that they can compete successfully in the marketplace. Teaming and helping others look good are encouraged and rewarded in this culture.

**Quality.** Employees know that quality is no longer a market advantage but a ticket to the game. They carefully monitor products and processes to continuously improve them.

**Success.** Employees recognize that it’s the norm to plan well, work hard, work smart, and win. When they don’t win after doing their best, they study how to not make the same mistakes again.

These four attributes directly reinforce what appear to be five dominant norms that cultural leaders reinforce in change-friendly cultures:

- They strongly focus on customers and clients because the needs and priorities of their customers change with the times. They keep their fingers on their pulse or risk losing them.
- They enthusiastically study the future, partly because it’s fascinating and informative, and partly because their careers depend on it. They openly discuss the latest research, trends, and theories and how they can be applied.
- They demand a flat, nimble organization by cutting down the decision-making layers in the organization and placing authority close to where the action is. That way, they can respond more rapidly and creatively to challenges.
• They value risk-taking and “good shot” failures. Because they focus so much on the best information around, they’re willing to try things that show real promise. If those attempts don’t work, they figure out why.

• They get creative people working together. They know that five smart people working together can tackle a problem better than one person. They feed off each other’s insights and share the risks and rewards.

From our perspective, education leaders can benefit enormously from the emphasis cultural leaders place on these attributes and norms because the public schools are now finally facing the market forces that have compelled business and other public institutions to become empowering and change-friendly. If this seems like speculation, consider that the fastest growing segment of the K-12 education market is home schooling. This growing market is followed by private schools, charter schools, and virtual schools on the Internet — all alternatives to the unchallenged monopoly public schools once enjoyed.

School leaders can benefit from the lessons learned by another former public monopoly, the U.S. Postal Service. Twenty years ago, who would have believed that anyone could take on the postal service? It was the only game in town, a government monopoly that received large subsidies from the U.S. Treasury.

Then came along United Parcel Service, Federal Express, a host of smaller private carriers, computers, and fax machines, and suddenly, it was a whole new ball game. Literally overnight, “truly important” mail or packages arrived by private carrier, fax, or the Internet. The postal service, an inefficient bureaucracy, handled the junk mail, monthly bills, and Christmas cards.

The postal service realized they had to change to survive. They became change-friendly and began to offer the same services that their competitors had used to break their monopoly. Today, their services and prices are designed to win and retain customers. The U.S. Postal Service is now one of the world’s best national delivery services.

Today’s public schools find themselves in a similar situation. College-educated parents, home schooling, and charter schools represent the growth industries of the education world. No longer immune from the market forces that have finally caught up, schools, like the postal
service and a number of other public institutions, have a choice: deny and belittle the competition, or change and become competitive.

If Smith and Clurman (1997) are right, our response to this challenge may be related to age. The older we are in outlook, the more inclined we are to see change as a threat to our sense of security. The younger we are in outlook, the more we, like Total Leaders, are likely to see it as an opportunity.

Total Leaders are eager to meet the challenge of competing and winning so that public schools can learn to do better for all of their students. It simply requires cultural leaders who recognize that change is here to stay and are eager to create empowering, change-friendly cultures in their schools.

**Performance Role 9: Creating Meaning For Everyone**

Because, by nature, cultural leaders are hands on/value driven, they are the key ambassadors of the organization's core values, principles of professionalism, and compelling purpose. All the core values and principles of professionalism shown at the end of Chapter 2 embody the essence of the organization's culture, which gives work so much of its meaning and intrinsic worth.

These 10 core values also serve as the bedrock of purpose. Together, these values and purpose give things meaning. And when things have meaning, they bolster personal identity, motivation, and empowerment. Once these conditions are met, cultural leaders know that quality and productivity are sure to follow because people are willing to thoroughly invest themselves in their work.

Cultural leaders are creators and promoters of meaning. And the cultural leader in education has a head start because of the profession's inherent meaning in educating children and young adults to be successful in life. Meaning is everywhere in education, and cultural leaders never let us lose sight of it. They understand and continuously communicate that meaning comes from:

**A compelling purpose.** People find meaning in doing work that is significant and makes a difference in the lives of others. Organizations that lack such a purpose will only be motivating for those who want to do their own thing. There's a difference between motivating a few high performers and focusing the energy
and resources of everyone in the organization.

**Seeing and being part of the big picture.** People find meaning in doing work that is part of something lasting and bigger than themselves. This is illustrated in the story about the person who walked by a construction site and noticed three people at work, seemingly on the same task. The passerby greeted the first person and asked him what he was doing. “I’m a bricklayer,” he replied tersely. “I’m laying bricks.” He moved on until he met the second person to whom he asked the same question. “I’m a bricklayer,” he replied, “and I’m building a very large wall.” When he got to the third person and asked the question, he was told proudly with a sweeping gesture: “I’m a bricklayer, and I’m building a magnificent cathedral!”

**Challenge and high expectations.** Meaning comes from challenge and high expectations. If work is routine and something that anyone can do, what deeper meaning is there? And if high-quality products or services are not expected, who can take pride in what they’re doing and put forth a best effort? For educators, this is a key issue: Challenge is everywhere, but public education doesn’t consistently create, demand, and hold everyone accountable for meeting high expectations.

**Being in control and responsible.** Meaning is heightened when one knows he or she is in control, responsible, and will be held accountable. Good people and quality performers wouldn’t have it any other way. Denver Broncos quarterback John Elway likes being in control and being held responsible when his team is down by four points at the two-minute warning. Teachers feel a strong sense of responsibility when they know they have the nation’s future in their hands.

**Being part of a team.** For most people, winning at something as an individual is fun. But winning as a member of a team is multidimensional fun. For example, when a professional golfer wins a tournament, there’s jubilation for a moment or so, but he or she quickly retreats back to previous reserve and composure. The winner checks and signs the score card and submits to the TV interview with little emotion. But watch the final results of the Ryder Cup and you’ll see the winning team of golfers hugging, shouting, rolling in the grass, and throwing each other in a pond
if there’s one nearby. Being part of a recognizable team is emotionally enervating and meaningful, and cultural leaders deliberately work to create teams.

**Feedback/keeping score.** Ken Blanchard, author of the widely read *One Minute Manager* (1982), believes that “feedback is the breakfast of champions.” Without some form of keeping score or track, how can anyone know how well they’re doing? And without knowing how well they’re doing, how can they work toward continuous improvement? Cultural leaders create communication/feedback loops that tell their people how well they are doing. They know that keeping score creates meaning, that meaning enhances productivity, and that being productive in an important endeavor creates meaning. It’s a non-vicious, highly empowering cycle that is knowingly created by savvy cultural leaders who want to help everyone find meaning in their work.

Cultural leaders know that today is a great time to be leading. They recognize that helping people find meaning in their work is the moral thing to do and is productive for the organization as well. Education is full of opportunities for people to find meaning. Cultural leaders help make it happen.
Profile of Quality Leaders

The guru
W. Edwards Deming

An exemplar
U.S. Postmaster Marvin Runyon (who turned the post office around)

An antithesis
Montgomery Ward department store (an old standard not able to keep up)

Mind set
High-quality products and services are no longer a market advantage but an entrance requirement.

Purpose
To establish policies, procedures, and practices that guarantee the continuous improvement of products and services.

Focus
Client requirements
Quality standards
Statistical/objective measures

Change belief
Change happens when individuals and teams have the capacity to implement the vision.

Performance roles
Developing and empowering everyone
Improving organizational performance
Creating and using feedback loops

Key sources
The Empowered Manager (Block 1987)
The Circle of Innovation (Peters 1997)
Quality or Else (Dobyns and Crawford-Mason 1991)
Out of the Crisis (Deming 1986)
The Deming Management Method (Walton 1986)
Quality Is Free (Crosby 1979)
Taking Charge of Change (Smith 1996)
CHAPTER 6

The Quality Leadership Domain: Total Leaders Building Capacity

You can’t manage quality — quality is an output.
You can only manage systems.

W. Edwards Deming

Peter Block calls it The Empowered Manager. James Collins and Jerry Porras see the issue as being Built to Last, and Philip Crosby calls it The Art of Making Quality Certain. But to W. Edwards Deming, the issue is about leading organizations Out of the Crisis, which to Lloyd Dobyns and Clare Crawford-Mason comes down to Quality or Else. Richard Pascale and Anthony Athos identify it as The Art of Japanese Management; while Tom Peters sees it as Liberation Management. And Mary Walton personalizes it as The Deming Management Method. All their work focuses on one thing: quality leadership, the empowerment and continuous improvement domain of Total Leadership.

Total Leadership is about creating and sustaining productive change. Change is productive when it involves more effective ways of operating and leads to consistently improved outcomes. The knowledge, skills, strategies, standards, and expectations that it takes to achieve these improvements is the domain of quality leaders. They focus on and achieve these improvements through a process called development to establish a key pillar of change: greater organizational capacity. Without improved capacity, organizations lack the ability to implement and sustain productive change.
The Essence of Quality Leaders

Quality leadership is about developing organizational and staff capacity to change and improve. We learned in the previous chapters that people and organizations do not change unless there is a compelling reason to change, unless they have a clear picture of that change, and unless they are committed to making the change. But even then, people and organizations cannot change unless they have the capacity to do so. Quality leaders must have the orientations and abilities to stimulate employees to grow and develop as people and to establish ever higher expectations and standards concerning product and service quality and their abilities.

W. Edwards Deming, the most noted of all quality gurus, believed strongly that the organization itself is the major part of any quality or production problem (Walton 1986). Deming believed and proved that workers could and would change if quality programs started at the top and leaders implemented the kinds of organizational processes that strengthened and supported the workers' abilities.

Deming believed that 85 percent or more of the problems in any organization are caused by the organization itself and 15 percent or fewer are caused by the workers. Later in his career, he changed those figures to 94 and 6 percent.

Quality leaders know and act on their role as the standard bearers of excellence in their organizations. Doing things fast is no substitute for doing things well — excellently the first time, and even better after that. Quality leaders are able to develop, empower, and build the capacity of individuals, teams, and the total organization to change, to implement a total quality management (TQM) approach, and to continuously improve. They know that people are an organization's greatest resource, that the real capital of their organization goes home every night, and that the drive for quality in a world of constant change can never stop.

Nowhere is the need for quality leaders more apparent than in schools and school districts. Educators are members of the world's most important profession and operate a people-intensive business. Student learning success certainly deserves at least as much quality emphasis as the Ford Taurus!

There are four basic aspects of any quality paradigm: understanding client needs, setting quality standards, measuring product quality, and modifying the processes to ensure improved results. Quality leaders do them all.
Understanding Client Needs

Quality leaders go directly to clients to inquire about their needs. In understanding client needs, educational leaders face a special problem because they have so many different clients. It isn’t just the customers and the suppliers, as is the case with most businesses. Education’s clients include students, parents, communities, employers, universities, and society as a whole (Bonstingl 1992).

For example, if a district has 70 percent of its students go to college, the district should recognize universities as one of its prime clients and conduct systematic research on (1) what it takes for students to be successful there, (2) how well the district’s graduates are doing once they reach college, and (3) which factors seem to underlie success and failure. Quality leaders use such data to evaluate and improve their high school programs.

Setting Quality Standards

The ultimate concern of quality leaders is student performance on the district’s declared outcomes and the ability of their schools to achieve them for all students. So quality leaders insist that quality standards be attached to each student outcome for each level of schooling. And they insist on establishing and implementing quality standards for teaching, school-level leadership, and the superintendency, all of which are tied to results.

Quality leaders would wholeheartedly agree with the frustrating insights of a teacher from New York State with whom we worked several years ago. At the end of a seminar on setting and achieving quality standards, she observed: “Bs, Cs, Ds, and Fs represent the degree to which students don’t meet our high standards, but we think it’s okay and give them anyway.”

Measuring Product Quality

Feedback is the key to improvement. Without it, any attempt at continuous improvement will be haphazard at best. Careful measurement of product quality provides decision makers with the feedback information that supports continuous improvement. During the past several years, education has made great strides with authentic performance assessment and performance portfolios for students.
When clear quality standards are established, the foundation has been laid for a measurement system that directly reflects intended outcomes. Even more encouraging are the efforts of some school systems that apply performance assessment and portfolio processes to educators as well as to student outcomes. Quality leaders applaud this trend.

Modifying the Process

Feedback on performance allows for data-driven decision making and change. Leaders are aware of the power of intuition, insight, and gut feelings, but quality leaders know that concrete information about performance results makes for sound continuous improvement decisions. If they’re not getting the expected results, quality leaders will insist that their organizations modify what they are doing and continue to study the results of these changes to determine what works best. While quality leaders allow workers to lay out their own work so that they can improve their processes (Deming 1986), they insist that those decisions be based on the best data possible.

The Purpose of Quality Leaders

As we explained in the latter half of Chapter 2, the fundamental purpose of quality leaders in a productive change process is to orchestrate and shape their organization’s capacity building process. Quite simply, organizational change has little chance of succeeding unless those entrusted to implement the change have the tools, understanding, and technical abilities to execute the proposed changes. Developing and strengthening these abilities is what quality leaders do best. Their focus on capacity building requires that organizations improve:

- Technical knowledge,
- Employee skills,
- Tools and technologies,
- Timely information,
- Production processes,
- Decision making,
- Design frameworks,
- Performance standards,
- Training systems,
Feedback loops, implementation strategies, improvement processes, and communication networks.

These 13 factors define and embody the conditions that enable employees to implement the declared purpose and carry out desired changes competently. Remove an element or two from the list, and organizational effectiveness begins to wane.

Being sensitive to these issues, quality leaders know that purpose, vision, and ownership fuel the affective and motivational side of change, but without these critical technical elements, even the most noble and compelling change efforts will falter. When quality leaders focus on and strengthen these elements, organizations will have the ability to succeed. But without them, change becomes a nightmare of errors, frustrations, and disappointing results.

As decisive, results-oriented, and hard driving as they can be, quality leaders also know that they can't get quality on the cheap or in a hurry. Capacities of this scope and depth cannot be developed and refined overnight. They take time to build, especially when change efforts involve new paradigm thinking, new technologies, and fundamentally different ways of operating. That's why quality leaders are the champions of ongoing professional development. They fight for the budget dollars to conduct quality staff development and work extra hard to ensure that people's technical understanding and expertise don't lag behind their motivation to succeed. That's why quality leaders' continuous improvement agenda requires constant attention, limitless energy, and the resources to keep the organization's capacity growing.

Developing the Capacity for Success

Of all the five change processes, development is the most technically demanding.

Development is the focused, deliberate, continuous unlocking, building, and improvement of individual's and teams' perspectives and talents needed to create, sustain, and renew personal and organizational success.
The purpose of development is to translate staff and constituent willingness and motivation into the concrete capacities — knowledge, ideas, skills, information, tools, and competences — that enable them to make productive contributions to the organization. The massive literature we've reviewed clearly shows that lasting improvement is impossible without building and strengthening personal and organizational capacity.

First and foremost, capacity development is about all participants becoming responsible for being:

- Continuous learners who are accountable for regularly improving their decision making, actions, performance, and contributions to the organization; and
- Quality performers who are committed to applying standards of excellence to all their productive endeavors and to achieving the organization's declared purpose.

This continuous learning/continuous improvement orientation is essential to establishing what Senge (1990) regards as genuine learning organizations.

There are four major aspects to the development process that reflect the critical pillars of change that underlie everything described in this book:

- All participants must be given an opportunity to acquire the knowledge and skills needed to shape and fully understand the organization's declared purpose and vision. Without a clear picture of what these critical purpose-defining and direction-setting components are and mean to the organization and how to develop them, participants can't see where they are headed, why it's important, and what they intend to accomplish by participating in the organization and its change efforts. And without both clear purpose and vision and the skills and knowledge to back them up, participation can be unfocused, scattered, and even counterproductive.
- By participating actively in shaping the purpose and vision from the ground up, participants know that the vision is their own. They understand and identify with the vision, and are committed to making it work. Even though they may borrow elements from other people's work to shape their purpose and vision, the decision to borrow and incorporate is theirs, not someone else's. This ownership-developing process is vital to having an organization pub-
licly acknowledge its values, assumptions, and priorities and to
developing a culture that embodies them. It is also vital to being
able to implement a vision.

- Development requires the capacity to execute the vision.
  Otherwise, it's an empty promise that offers opportunities and dele-
gates responsibilities that participants lack the skills and tools to ful-
fill. Successful performance is an inseparable combination of com-
mitment and ability. Neither is a substitute for the other. Hence,
the single most important thing that can be done during this
process is to strengthen the knowledge base and competences of
the many people who will be involved in the larger change effort
over the long haul. The second most important thing is to
strengthen the tools and technologies the organization uses to pur-
sue and achieve its purpose. In the beginning, that strengthening
process must focus on what is needed to make the productive
change effort successful. Then, it can focus on the tools and skills
needed for successful program implementation.

- Development depends on organizational support, the determination
  by those in authority to make the decisions, create the opportuni-
ties, devote the time and resources, and coordinate participants’
efforts as they build the purpose, vision, ownership, and capacity
necessary for successful planning and implementation. Without this
support, and the opportunities and encouragement it provides, the
participation and contributions of employees will wane, especially
among those who volunteer their time to go the extra mile. Total
Leaders know that providing support is a matter of “putting up” or
“shutting down,” so they find ways to create opportunities for and
reward those who make exceptional personal investments.

The Moral Foundation of Quality Leaders

Besides being the champions of the four arenas of the quality para-
digm, quality leaders operate on a moral foundation that supports this
paradigm. Our reading of the literature strongly suggests that quality
leaders openly endorse, consistently model, and clearly exemplify the
core values of excellence and productivity and the professional prin-
ciples of accountability and improvement. Together, these four moral
elements define and shape their commitment to continuous improve-
ment — of themselves, their employees, and their organization’s
processes and products.
Quality leaders use . . .

- **Core values of excellence and productivity**
- **Principles of accountability and improvement**

*Excellence* represents a desire for, and pursuit of, the highest quality in any undertaking, process, product, or result. It represents a dedication to monitoring and responding constructively to whatever is done or created to ensure that there is a way for it to eventually meet or exceed the highest attainable standard of performance and consistency. Excellence requires that you be acutely aware of the present and emerging needs of your customers — outside and inside the organization — and that you meet or exceed *their* expectations. Total Leaders are able to set quality standards for all significant processes and products, create feedback loops for themselves and others, and consistently improve the quality of their products and services.

*Productivity* is reflected in the optimum use of available time, resources, technologies, and talent to achieve desired results. In addition to the simple notions of hard work and improved technologies, productivity is about using the often untapped motivation, creativity, and abilities of people to generate more "smart work," "fun work," and commitment to quality results. When work is aligned with personal values and interests, it becomes meaningful. This condition sparks the internal motivators in people, which in turn increases both their productivity and work satisfaction. Total Leaders do not, however, achieve productivity on the backs of their people. They realize that the unhealthy stress that results from long hours with difficult tasks will eventually be counterproductive to long-term health and productivity.

*Accountability* is a matter of taking responsibility for the content and process of decisions made, actions taken, and the resulting outcomes. It is being cognizant from the beginning about the need to make agreements and engage in activities with the full expectation that they must be carried out in the most competent and conscientious manner possible. Accountability is also about making sure that those agreements are kept. At its essence, it is inseparable from the deepest meaning and implications of professionalism and the core value of integrity.
Accountability applies at a personal level, at a collective/team level, and at an organizational level, and it emanates far more from within the individual or group than from the outside. Hence, accountability should not be mistaken for compliance with external standards and demands. Total Leaders not only accept accountability, they seek and embrace it. Consequently, they believe that what they do and what they produce is so important that they want their employees, their customers, and the public to know of their standards, goals, and accomplishments.

*Improvement* represents a commitment to continuously enhancing the quality of personal and organizational performance, the processes used to generate results, and the results themselves. Embracing and applying this principle of professionalism implies that standards exist (or can be defined) toward which your organization and its members can direct their sights and efforts. Defining and communicating those standards is a key component of improvement.

Here are the kinds of situations that might challenge you to apply these four Moral Foundation elements:

**Excellence:** You realize that about one-third of your graduates who choose to attend colleges and or universities drop out before completing their second year.

**Productivity:** You are aware that one of your schools is getting significantly better student learning results than another with a very similar student body.

**Accountability:** You have agreed with your board of education that improving student achievement is the top priority and that it will be a significant part of your personal evaluation.

**Improvement:** You believe that the Total Quality Management concept should be applied to your school district, but you have no clear-cut quality standards for principals and teachers.
Underlying the improvement principle are: (1) a commitment to quality and the core value of excellence, (2) a belief that everything an organization does and produces can be done better or more effectively, and (3) a conviction that continuous improvement and achieving quality should be carefully designed and monitored processes that fuel an organization’s ability to meet the constantly rising expectations and challenges from its constituents and external environment.

Total Leaders insist that quality standards be developed for all significant processes, products, and services; feedback loops be established that inform everyone of the degree to which quality standards are being met or exceeded; and that feedback be used to continuously improve the processes designed to create products and provide services.

The Critical Performance Roles of Quality Leaders

To carry out the development process effectively, quality leaders implement three critical performance roles. These broad arenas of responsibility and action directly enable them to make the decisions and carry out the actions that constitute the development process and achieve the pillar of change to which it is linked, organizational capacity. These three critical performance roles of the Total Leader are:

- Developing and empowering everyone.
- Improving the organization’s performance standards and results.
- Creating and using feedback loops to improve performance.

Performance Role 10: Developing and Empowering Everyone

This is the most central performance role to the success of quality leaders, and it contains a unique challenge. If beauty is in the eyes of the beholder, then the psychological condition that is called “empowerment” is in the perceptions and feelings of the empowered. The very word empowerment implies that if the “empower one” doesn’t feel empowered, they are not — no matter what leaders may say or do. With that clarification, we define empowerment as being in control of the variables that one perceives to be important to one’s success.

But this empowerment condition is not like blessing people and sending them forth to be forever empowered. Empowerment makes little sense if the empowered don’t know what to do with their power.
The 15 Performance Roles of a Total Leader

- Creating and sustaining a compelling personal and organizational purpose.
- Being the lead learner.
- Modeling core organizational values and personal principles.
- Defining and pursuing a preferred organizational future.
- Consistently employing a client focus.
- Expanding organizational perspectives and options.
- Involving everyone in productive change.
- Developing a change-friendly culture of innovation, healthy relationships, quality, and success.
- Creating meaning for everyone.
- Developing and empowering everyone.
- Improving the organization’s performance standards and results.
- Creating and using feedback loops to improve performance.
- Supporting and managing the organization’s purpose and vision.
- Restructuring to achieve intended results.
- Rewarding positive contributions to productive change.

As noted in the previous section, it takes a compelling organizational purpose to set the direction that empowered people take. But before individuals can be effectively empowered, they must have a maturity level that reflects four key things that quality leaders strive to have in place:

- The ability to set high yet attainable goals so that purpose and high-quality standards can be met.
- The ability to take responsibility for achieving the purpose and the standards.
- The willingness to take responsibility so that they are motivationally focused on achieving the purpose and standards.
- A receptivity to coaching (Hersey and Blanchard 1972) so they can acquire the skills and understanding necessary for achieving the purpose and standards.
Because quality leaders are so concerned about personal and organizational effectiveness, they are intentional about empowering people. They do not wait for someone to come to them to ask to be empowered. They are proactive about it and take the initiative to carry out eight essential steps. They:

- Explain and define empowerment to everyone.
- Say they want it and make it an organizational value and norm.
- Set ambitious, vision-based goals.
- Determine the maturity level of the individual since not everyone is ready to meet the four criteria yet.
- Observe, monitor, and coach, but not before people are ready.
- Provide support for performance success including structure, training, and dollars.
- Reward and celebrate the successes of those who are empowered.
- Help the empowered create bold new visions of the possible.

This approach rests on the conviction that genuine empowerment exists when one:

- Has a compelling organizational purpose in place,
- Puts people in control of the variables that they perceive to be important to their success,
- Moves decisions to the point of implementation,
- Has individuals and teams lay out their own work, and
- Allows people to express themselves through their work.

When people require new knowledge and skills above and beyond the maturity qualities, quality leaders leap into action on another front: competence development. Quality leaders believe that professional competence and growth are the responsibilities of both the individual and the organization. Each has a big stake in the outcome. Organizations need the increased capacity of their employees, and employees need to remain marketable in a work world that no longer affords lifelong employment in a single organization.

Therefore, quality leaders work closely with their employees to develop and implement professional development programs that:

- Focus on building the capacity to implement the organization’s purpose and vision.
- Align with the organization’s reward system.
- Take into account the experience and characteristics of adult learners.
• Include a strong hands-on coaching component.
• Are facilitated by the organization's heroes and heroines.
• Keep all employees on the cutting edge of their performance capabilities and current in the job market.

Performance Role 11: Improving the Organization's Performance

If we asked a cross-section of leaders to pick the one performance role on which their career success ultimately depends, we'd guess that improving the organization's performance would be their choice. Everything else looks to be an enabling factor in getting this ultimate improvement to happen. This performance role is why one signs up to be a leader.

But what specifically do you need to change to get your organization's performance to improve? If the answer is unclear, consider the following.

In Competing for the Future, Hamel and Prahalad (1994) introduced the notion of core competencies: "A bundle of skills and technologies that enables a company to provide a particular benefit to customers." In our language, the particular benefit they refer to is the organization's mission, its unique market niche, and the reason the organization exists. Its core competencies, then, are the unique tools and techniques it uses to achieve that mission. For Sony, it's pocketability. For Federal Express, it's on-time delivery. For Motorola, it's mass customization, and for schools, we hope it's learning success.

With this important notion in mind, let's focus on schools. The premises, definitions, and logic of this book clearly indicate that improving educational performance — achieving productive change — comes down to improving learning results for all students. Without becoming mired in discussing which results are most important for students in the long run and whether or not schools do much to develop them, we'll simply start the improvement effort here.

From a school leader's perspective, improving organizational performance is about improving student learning.

School leaders can start with a key concept and concrete framework. The concept is called the conditions of success, comes from Spady's (1998) Paradigm Lost, and relates to factors that directly determine whether a successful learning result is likely to happen. For example,
if students aren’t given enough time to reach a given performance level on an outcome, it doesn’t matter how good the curriculum is, how good the facilities are, how good the teacher is, or how well constructed the assessment is. The critical condition of success called time for learning was inadequate and caused lower than desired/deserved results.

Quality leaders in education are savvy about these conditions of success. The concept gives them a powerful rationale for deciding whether proposed improvements are likely to address direct causes or only indirect influences of student learning. The differences are quite clear from the four kinds of conditions of success that Spady identifies:

**Beliefs and priorities**, namely paradigm perspectives, assumptions, beliefs, philosophy, defining orientations, attitudes, and criteria for decision making held by those who work directly with students.

**Operating principles and processes**, which are the standards and criteria for action and decision making, and the techniques and strategies that instructional personnel use in planning, teaching, teaming, assessing, grading, and advancing students through the curriculum.

**Organizational structures**, or the patterns of organizing and allocating time, space, staff, students, curriculum, and learning resources that directly affect student opportunities to successfully learn what is essential.

**Support conditions**, which are the resources, processes, and strategies used to mobilize interest and participation in instructional effectiveness efforts.

If improving student learning is the goal, then school leaders should focus first on the likely direct causes. They are reflected in the operating principles and processes and organizational structures, so the initial focus should be on these. But beliefs and priorities and support conditions are important indirect influences since they bear on how the operating principles and processes and organizational structures are implemented.
Performance Role 12: Creating and Using Feedback Loops

When thinking of quality leaders, it’s easy to conjure up pictures of people with green-billed caps pouring over statistics, as we can imagine W. Edwards Deming doing. Quality leaders know that there is another aspect of feedback that is more subjective, spontaneous, and “qualitative.” Quality leaders communicate regularly with individuals and teams and informally let them know how important their role is, when and how they make contributions to the organization, how those contributions add value for the organization, and how their participation on teams creates synergy.

But quality leaders also know that occasional qualitative feedback is only part of the quality equation. Because they are thoroughly grounded in the power and crucial role of systematic objective feedback that includes performance targets, measures, data, and communication as the basis for continuous improvement, quality leaders make sure that individuals and teams create and use feedback loops on a regular basis. This information also informs them about the quality of their products and/or services, and about the effectiveness and efficiency of their processes.

Their rationale is simple. Quality leaders consider feedback a key personal motivator, especially for those who are already achievement oriented. They want to know how they’re doing, where they stand, whether they’re having a good week or year, and how to make it better. It’s natural for such achievement-oriented people to want to better their previous best and compete favorably when compared to others.

As a part of this performance role, quality leaders also embrace accountability for the quality of products and services, for organizational processes, and for how people do things. But these processes, like the conditions of success, are only the “means” part of the equation. Being accountable for the means is meaningless unless you’re also accountable for the ends. That’s why, for example, it does little good to have teachers using Madeline Hunter’s model perfectly if their students can’t demonstrate the intended learning outcomes.
Creating a Feedback Loop

Creating a feedback loop is a rather logical but somewhat complex process. Whether building widgets or educating children, there are six steps to designing and implementing a sound feedback process. School districts that have defined their student outcomes and performance standards and built a system for authentically assessing them will have a head start in creating feedback loops that are objective, meaningful, and growth-producing. These steps involved are:

**Clearly identify the product/service.** While some educators might struggle to identify their product, the verdict is already in: it's student learning. When educators have clearly defined student outcomes, their product is students' demonstrations of those outcomes.

**Set quality standards, with a heavy-duty focus on customers and clients.** For educators, quality standards often come in the form of rubrics that help practitioners determine the degree to which student demonstrations of learning meet predetermined high-level performance criteria.

**Identify the data needed to measure quality standards.** For teachers, these data may be the number or percentage of students who are demonstrating particular outcomes at given levels of proficiency. Teachers will need to specify which students are able to do which things at which levels.

**Determine how to collect, analyze, and communicate those data to all decision makers.** This step requires decisions about (1) where and how students will be assessed, (2) how the performance data will be compiled, (3) what form will make it easiest to use for teachers, principals, and the district office, (4) who is to receive the data, (5) and when the data will be available for review.

**Establish a process to ensure that the data are being used effectively.** Just because people receiving are student performance data doesn't mean they are using it, or using it effectively. Quality leaders make sure that everyone in their charge uses this feedback to determine what to change that has the potential for improving quality and productivity. If the feedback received isn't used for making improvement decisions, then the previous steps have been a waste of time.
Continuous improvement is all about.

Quality leaders know that feedback loops are the backbone of continuous improvement. What Deming and his colleagues taught the Japanese about quality and feedback after World War II is even more necessary in schools today than it is at Ford, Sony, and Nordstrom.
# Profile of Service Leaders

<table>
<thead>
<tr>
<th>The guru</th>
<th>Robert Greenleaf</th>
</tr>
</thead>
<tbody>
<tr>
<td>An exemplar</td>
<td>Mother Theresa</td>
</tr>
<tr>
<td>An antithesis</td>
<td>Karl Icahn (former chairman of Eastern Airlines)</td>
</tr>
<tr>
<td>Mind set</td>
<td>People are our most important resource, and they'll do the “right thing right” if they get support.</td>
</tr>
<tr>
<td>Purpose</td>
<td>To align the organization and its reward system to directly support its vision.</td>
</tr>
<tr>
<td>Focus</td>
<td>Organizational alignment and restructuring Worker and staff needs Leadership density</td>
</tr>
<tr>
<td>Change belief</td>
<td>Change happens, and is sustained, when people are supported in making the change.</td>
</tr>
<tr>
<td>Performance roles</td>
<td>Managing the organization’s vision Restructuring to achieve intended results Rewarding positive contributions</td>
</tr>
</tbody>
</table>
Chapter 7

The Service Leadership Domain: Total Leaders Ensuring Support

"The main thing, is to keep the main thing, the main thing!"

George Labovitz and Victor Rosansky

James Autry sees it as the balance between Love and Profit. Warren Bennis and Patricia Biederman see a key aspect of it as Organizing Genius. To William Bridges, it's a matter of Managing Transitions, while Peter Drucker calls it Managing in a Time of Great Change. Robert Greenleaf call it Servant Leadership, but Paul Hersey describes it from the perspective of The Situational Leader. George Labovitz and Victor Rosansky boldly declare its essence to be The Power of Alignment, while Douglas Smith says it's a matter of Taking Charge of Change.

They refer to what we call service leadership, the strategic alignment and management domain of Total Leadership.

Because Total Leadership is about creating and sustaining productive change, it can't succeed without service leadership. Using a powerful process we call orchestration, service leaders do everything possible to establish organizational support, the fifth and final pillar that underlies successful change efforts. They are committed to ensuring that their organizations are structured and aligned to achieve their declared purpose and vision. They make sure their organizations really do change.
The Essence of Service Leaders

Service leadership is about being "in service" to the organization's declared purpose and vision. Because they are change agents, service leaders create the conditions, procedures, incentives, and structures that enable genuine change to happen. The previous four chapters discuss how essential it is to have a reason to change, a clear picture of the change, commitment to change, and the ability to make the change. But those changes won't last until service leaders enter the picture and close the circle by establishing the direct organizational supports that make deep and lasting change possible.

While the term service sounds soft, the duty is hard. When service leaders recognize that aspects of their organization are diminishing or impeding the organization's success, they are the ones who insist that changes be made. This can be a thankless and unpopular task. But service leaders choose these tough assignments.

As the name implies, service leaders have hearts of gold, but they also have nerves of steel. When push comes to shove and the integrity of organizational purpose and success are at stake, they're the first to step up. They're not looking for a fight, but rather for successful change. Sometimes the two go hand-in-hand despite the best efforts of Total Leaders to get the roadblocks surrounding purpose, vision, ownership, and capacity out of the way.

If this sounds more tough-minded than kindhearted, service leaders will be the first to say that the compassionate thing to do is to deal with issues and get to the bottom of problems, not ignore them. To sidestep issues that impair the effectiveness of the organization and its members is no act of kindness. The organization suffers, its productive members suffer, and those contributing to the problem suffer because no action is taken to get them on a more productive and fulfilling track. Service leaders both tell it like it is, and deal with what they say. Hypocrisy isn't in their vocabulary or character.

So far, this book can be summarized into four simple propositions:

- Leadership involves the ability to create and gain consensus around a compelling vision.
- Management involves the ability to make that vision a reality.
- Both are essential to productive change.
- Service leaders are exemplary managers.
The Purpose of Service Leaders

The fundamental purpose of service leaders in a productive change process is to ensure that organizational support for change abounds. Quite simply, organizational change has little chance of succeeding unless those entrusted to implement the change have the opportunity to do so without encountering organizational obstacles including procedures, misallocated resources, poor communication and coordination, inadequate technologies, disorganization, rivalries, and a host of other liabilities.

Getting organizations aligned and structured to establish this support is what service leaders do best. Their focus on effective organizational functioning requires that they constantly address and align the policies, decisions, resources, and procedures that make it possible for employees and constituents to achieve and sustain the changes implied in their stated purpose and vision.

Support is demonstrated by the organization's willingness and ability to put itself and its resources squarely behind its declared purpose and vision and the people it counts on to make them happen. Support reflects Total Leaders' true commitment to and involvement in the change process, specifically their willingness to make decisions, commit people and resources, and operate in ways that align with organizational purpose and vision, and encourage and enable employees to carry out the changes everyone has committed to.

With adequate and consistent support, change will last. Without it, anxiety, cynicism, and a major retreat to the status quo will occur.

Consequently, service leaders must have the orientations and abilities (1) to ask organizational members what needs to be done to support their success, (2) to cultivate their desire to contribute their best, and (3) to remove organizational obstacles to their doing so. This is the heart of the change process we call orchestration.

Translating Vision into Concrete Form

The orchestration process is foremost about formally designing and executing what the organization's productive change effort exists to accomplish.
Orchestration involves the explicit, concrete, aligned design, implementation, and management of the structures and processes that directly support the organization's declared purpose and vision.

Orchestration also involves getting things to work effectively by establishing and managing the roles, mechanisms, structures, and programs that directly support the declared purpose. And it's about clearly defining and making concrete what it actually looks like to accomplish your purpose, implement your vision, have strong ownership, and possess strong capacities.

The most important asset in the orchestration process is consistently applying the professional principle of alignment to daily decision making. Alignment is the powerful standard and criterion for determining whether plans and actions match and directly support the declared purpose and vision. If what you're doing doesn't match, orchestration requires managing it and bringing it into alignment.

This is a tough duty because the organization's status quo is bound to be disrupted by the realignment and restructuring that will occur. In education, that is the operational equivalent to melting the iceberg described in Chapter 1. People's definitions of their work, careers, and status within the organization will inevitably be disrupted, which is why the other four pillars of change are so critical to the change effort.

In thinking about the orchestration process, keep in mind that it involves both designing and doing. It's a good idea to test the feasibility of the most important ideas on a trial basis before committing to them. After the ideas are tried out, they can be rigorously evaluated and openly discussed. If things don't turn out as anticipated, look for the reasons and revise things accordingly, using the feedback loop strategy described in Chapter 6.

Sending up these trial balloons early in the change effort is a smart idea, particularly if they meet three key criteria:

- They are grounded in the solid research and theory that surfaced in the consideration and exploration processes.
- They receive rigorous and informed scrutiny during the trial stage.
- They have their pros and cons shared openly with colleagues and stakeholders against some clearly defined expectations or criteria.
For example, educators frequently try out new concepts, such as new ways of grouping students, in an alternative school or a designated “experimental” program in order to test their effectiveness and suitability for wider use in the district. Often trial balloons of this kind are encouraged by awarding mini-grants to teachers or departments within a building. The purpose of the grant is to acknowledge the effort being made to innovate, to note that the district will be paying special attention to how things go, and to set expectations for the staff involved to share the results of their work with others. These same three criteria should be applied with even more intensity and care the longer a productive change effort continues. These criteria will ensure soundly grounded decisions and actions, an honest assessment of consequences, and a demonstrated desire to learn and improve from the results. That's a lot of benefit from three common sense criteria.

When applying these three criteria, school leaders need to take special note of the core values of risk taking and teamwork and the principles of alignment and contribution. Colleagues need to focus on this moral foundation since it's the strongest assurance of carrying out purposeful, ethical, informed, and responsible decision making and action during what could be a tense and challenging time for the organization.

Finally, to avoid the risk of being overwhelmed with data and detail, you must keep the big picture of the organizational purpose and vision as simple and focused as possible.

The Moral Foundation of Service Leaders

Service leaders operate from a moral foundation that places risk taking (to step up and take the road less traveled) and teamwork (everyone pulling together without special status or credit) at the pinnacle of their core values chart. These values are manifested in their commitment to two particular principles of professionalism: alignment (getting the whole herd headed in the right direction) and contribution (giving the very best). Consequently, they willingly and by nature choose to do the “heavy lifting” of Total Leadership, much like offensive linemen in football do the heavy lifting for the point makers — without the glory or headlines.
Service leaders use . . .

- Core values of risk taking and teamwork
- Principles of alignment and contribution

Risk taking is inseparable from change and improvement because both require extending beyond the tried, true, and familiar to do (different) things a different way, often without the assurance of success. Risk taking involves taking initiative, innovating, breaking the mold, speaking out, and a variety of things that foster and support the other core values, but may disrupt the status quo and invite criticism from those invested in present practices.

Total Leaders model risk taking and, most often, they make those risks public. Effective risk taking is not without planning. Total Leaders lower their and others’ risk levels by insisting that good thinking precede risk taking. Mistakes and failing are accepted, and even valued, by Total Leaders, but only when the risk to innovate and change is thought through before making the jump. A bit of a paradox here, but Total Leaders are also not afraid to follow their intuition and their gut feeling about what is possible, even when there is not much evidence available to support them.

Teamwork is less about everyone doing everything as a coordinated team, and more about working collaboratively and cooperatively toward achieving a common recognized end, with individuals going out of their way to make the performance or results of others easier and better. Teamwork requires large doses of selflessness and the ability to anticipate and empathize with the needs and priorities of the total endeavor as well as those participating in it. Total Leaders openly acknowledge that “no one of us is as smart as all of us,” and they know that the complex tasks of today’s organizations usually require the efforts of an effective team. They also know how to create teams, how to facilitate and lead teams, and how to reward team efforts so that teamwork becomes an organizational norm.
Alignment represents the purposeful, direct matching of decisions, resources, and organizational structures and processes with the organization's declared purpose, vision, and core values. Alignment is about making something totally congruent or parallel with something else. It is also about using consistency, logic, and common sense in planning, decision making, and implementation. Clearly, alignment requires both personal conviction and the same kind of analytical orientation embodied in the inquiry principle.

Without alignment, change efforts are likely to be inconsistent, illogical, and haphazard. In fact, without alignment between your organization's vision and its processes, policies, and structures, you can't expect the desired change to stick. Total Leaders know that leadership is about vision building and that new visions nearly always require new structures, new processes, and sometimes even new organizations. They also know that managing change is fundamentally about alignment of the organization with its declared purpose and vision.

Contribution represents freely giving and completely investing one's attention, talent, and available resources to enhance the quality and success of meaningful endeavors. Contribution is about caring, selflessness, responsibility, and dedication. It is also about giving your best all of the time, with no anticipation of special rewards or recognition. Teachers who work day after day with little or no recognition are excellent examples of this definition of contribution.

Contribution is inseparable from what it means to be a true professional. It occurs most naturally when people simply pay close attention to what is happening around them and respond as competently and responsibly as possible when new opportunities arise or things go awry. When organizational crises arise, contribution, not simply employment or participation, spells the difference between failure and success. Without the extra investments of time and talent by employees in the face of such circumstances, few organizations would sustain themselves. Total Leaders create a professional culture that makes contribution an expectation and a norm, and rewards it as the highest level of Abraham Maslow's (1954) hierarchy of needs.
Here are the kinds of situations that might challenge you to apply these four Moral Foundation elements.

**Risk taking:** You have been asked to teach a course on leadership for your district’s staff development program, and you know you will be expected to model effective staff development techniques.

**Teamwork:** You sense that two or three members of your administrative team have hidden agendas, and you believe that openness and trust have suffered as a result.

**Alignment:** You have created a dynamic new vision of teaching for your school system and you want to apply this vision to teacher selection, development, and.out-counseling.

**Contribution:** A principal in your district has established an outstanding reputation, and her state association has asked her to be a presenter at a series of seminars for aspiring leaders. She comes to you to request professional leave.

---

**The Critical Performance Roles of Service Leaders**

To carry out the orchestration process effectively, service leaders implement three critical performance roles. These broad arenas of responsibility and action enable them to make the decisions and carry out the actions that constitute the orchestration process and achieve the pillar of change to which it is linked, organizational support. These three critical performance roles of the Total Leader are:

- Supporting and managing the organization's purpose and vision.
- Restructuring to achieve intended results.
- Rewarding positive contributions to productive change.

Service leaders recognize that the performance role of supporting and managing the organization's purpose and vision is key to establishing the support pillar of change, but they know restructuring and rewarding positive contributions also play a critical part.
The 15 Performance Roles of a Total Leader

- Creating and sustaining a compelling personal and organizational purpose.
- Being the lead learner.
- Modeling core organizational values and personal principles.
- Defining and pursuing a preferred organizational future.
- Consistently employing a client focus.
- Expanding organizational perspectives and options.
- Involving everyone in productive change.
- Developing a change-friendly culture of innovation, healthy relationships, quality, and success.
- Creating meaning for everyone.
- Developing and empowering everyone.
- Improving the organization's performance standards and results.
- Creating and using feedback loops to improve performance.
- Supporting and managing the organization's purpose and vision.
- Restructuring to achieve intended results.
- Rewarding positive contributions to productive change.

Performance Role 13: Supporting the Organization's Purpose and Vision

"The main thing, is to keep the main thing, the main thing!" say Labovitz and Rosansky (1997). Without immediate, enthusiastic, and visible support, a newly formed compelling purpose and vision will have the shelf life of a ripe banana. Why? Because after that stimulating meeting in which people created an exciting reason for being and picture of a perfect organizational future, they return to the same offices the next morning. The people they meet on their way into the office are the same people they left the day before; the people waiting outside their offices don't even know they have this new vision; the mail in their in-boxes was sent before the vision was drafted; and their desks and surroundings look just like they did when they left.
It's reality time. They either start putting off the old “urgent” stuff to do what they just learned is the “truly important” stuff right now (Covey, Merrill, and Merrill 1994), or they can kiss their new strategic design good-bye. Framing the vision is one thing; keeping and managing it is another. And that’s what service leaders were born to do.

The service approach to management is all about alignment, the direct matching of one thing with another. What needs to get aligned with the new vision are four things: structures, policies, processes, and people (Schwahn 1993). Here’s what each entails.

**Structures.** New visions invariably demand new ways of getting things done, which in turn, demand new organizational structures. For example, if a value/belief about student learning is that schools control the conditions of student success, and the new vision is about continuous progress and performance-based learning, then the practice of grading in ink on specific days and averaging those grades is out of alignment with the vision and must be changed. And similar changes in the traditional structure of the organization will probably need to occur if practice is to be wholly consistent with the vision. Making changes of this kind requires risk taking of the first order because such changes represent major departures from the familiar and tried and true.

**Policies.** New visions frequently require establishing new policies and priorities and abandoning some long-established ways of doing business. For example, if a vision is for everyone to be empowered and encouraged to improve, but the staff evaluation policy is a deficit model that punishes people for unsatisfactory performance, it has to go. Otherwise, leaders can’t expect people to take the risks necessary for dynamic, paradigm-breaking empowerment.

**Processes.** The way a leader effectively operated in the past is probably aligned with the old vision but not a new, future-focused one. For example, a principal may have previously hired teachers simply because he thought that they would be good. But now, the principal has embraced the idea that all students can learn and that having students learn something well is more important than exactly when they learn it (Spady 1994). To bring his selection processes and practices in line with these new beliefs, the principal will have to establish a process that results
in his hiring not just a good teacher, but a good teacher whose beliefs are consistent with those of the system.

People. Everyone in the organization needs to implement the new vision. If only those who find the new vision comfortable or exciting implement it, then creating and sustaining productive change will be impossible. That is why implementing the organization's vision must become the key role and goal of every supervisor in the system. Service leaders make supporting and monitoring the implementation of the vision the central part of the supervision process. When each supervision session begins with the question, “Tell me about the things you are doing that are helping us to put our vision into practice?” the service leader clearly signals that the organization’s purpose is important and real. By using these sorts of questions, supervisors communicate their excitement to the supervisees, who also become excited. We strongly believe that dialogue-initiating questions such as these need to be asked at every level of the organization, starting with the school board’s evaluation session of the superintendent.

Managing for alignment around these four areas of organizational functioning is where the heavy lifting takes place for Total Leaders, but leaders can lighten their load by employing the strategies that service leaders use to manage the vision. They include:

- Aligning the organization and its people (Labovitz and Rosansky 1997);
- Having a bias for action (Peters and Waterman 1982);
- Creating feedback loops;
- Encouraging risk taking for promising innovations;
- Rewarding positive contributions;
- Making strategic resource allocations;
- Encouraging, coaching, developing, empowering, and, sometimes, outcounseling employees.

Being keeper of the dream and keeper of the vision is at the core of service leadership. When all organizational stakeholders are meaningfully involved in creating a compelling purpose and a picture of their preferred future, service leaders can assume that this is what everyone wants — that the organization’s stakeholders have formed a compact. At that point, service leadership is about supporting everyone to move in that new, exciting direction.
For the past decade, the term restructuring has become a buzzword in almost all fields of endeavor. But, like most terms that become indiscriminately used by people trying to prove that they are keeping up with the times, restructuring has come to mean almost anything that has to do with change of any kind, whether it is as trivial as technical tinkering or as profound as paradigm transformation. But not so for service leaders. They know that:

- A structure is a tangible, fundamental pattern of organizational action.
- Structures get created to accomplish specific organizational ends.
- Structures that make sense for accomplishing a given end may not work effectively if that end changes.
- Structures can take on a life of their own, known as institutional inertia, which makes achieving new ends very difficult.

Restructuring is a matter of repatterning the organization's major actions around its highest priority purposes and intended results; otherwise, those ends will not be realized. This is why service leaders were born to restructure to achieve intended results.

Because they inherently start with the end in mind, service leaders use purpose and vision as both their starting point and their bottom line. By aligning (i.e., designing) “back from where they want to end up” (see Spady 1994, 1998), they approach their work with a perspective that is revolutionary to those accustomed to starting with the present and planning forward.

But for service leaders, there’s only one place to start: the organization’s priority results. For educators, that means having all students demonstrate the district’s exit outcomes successfully.

Service leaders design their way back, step by step, from their desired end to where they need to start their implementation, just like mountain climbers do when they plan a climb from the peak back. At this initial design stage, everything but the end result is off the table; otherwise, old baggage and structures may be imposed on a result that may require completely new paradigm perspectives and possibilities. This challenge and opportunity is especially clear in education. It's the difference between designing curriculum from future-grounded outcomes and developing outcomes for the existing curriculum.
Here's how a service leader might address this challenge with his or her colleagues and constituents.

“Our district has used a highly future-focused strategic design process to develop an organizational mission that declares that we exist to ‘equip all our students to succeed in a changing world.’ That got us thinking and planning around the conditions and challenges our students will face once they've graduated, rather than around the curriculum structures and programs that we have inherited from past generations and various kinds of regulations and ‘mandates.’

“What we recognized once we started looking at the futures research and other educational reform literature is that our students will have to become competent at a whole range of complex performance abilities if they’re going to be successful adults. That's why we developed a framework of learning outcomes that emphasizes these real-world performance abilities. And for us, that's definitely the good news.

“The bad news is that these intended performance outcomes are dramatically different from the way our curriculum is focused and organized, what we teach, how we teach, what we test, how we test, and how we group, promote, and accredit students. Right now we structure everything around fixed, predetermined blocks of content and time, even though we know that content and competence are different, that different approaches are needed for developing competence, and that student learning progresses at different rates and in different ways.

“Therefore, we've got to fundamentally redesign and restructure what we’re doing around what we’ve already said are the highest priority results we want for our students. This means shifting our emphasis from content to competence, from time to standards, and from curriculum categories to authentic performance areas. And we’re going to have to restructure how we organize and use time, when we make critical learning experiences available, how we use staff and other adults in the community to accomplish our outcomes, and how we’re going to handle the assessment and reporting of things we say reflect ‘the real world.’ How are we going to do that if our students are spending all their time sitting at desks in classrooms?”

This scenario illustrates that service leaders develop, advocate, and unwaveringly employ the basic, common sense logic of alignment. They seek to organize themselves and their processes around the desired results. If service leaders say they want their students to be
quality producers, then they define high levels of quality in everything students do, hold those levels out as performance expectations, and give students unlimited experiences in producing things of significance.

Performance Role 15: Rewarding Positive Contributions

People mostly do what they are rewarded for. And when the rewards are for doing things consistent with their personal values and mission as well as those of the organization, it's almost certain that people will make positive contributions. Rewards are especially meaningful if they are near or at the top of Abraham Maslow's (1954) needs hierarchy. People do what meets their psychological needs, what is consistent with their values, and the things for which they are rewarded.

Service leaders believe in shared rewards be they monetary, emotional, or psychological. Shared rewards are not only powerful staff motivators, they also clearly demonstrate authentic leadership. Sharing the rewards of success is simply the moral response to organizational accomplishment.

Because service leaders reward positive contributions for productive change, they must first be able to spot a positive contribution. Specifically, they look for contributions consistent with the organization's declared values, mission, and vision:

**Hard work.** Who's doing the heavy lifting? It's a bit old fashioned, but hard work is still hard work! And it's a contribution to an organization that is nearly always critical and deeply valued. Success usually is hard work that is made meaningful through the alignment of productivity, values, and rewards. Hard work, however, should not be confused with being overworked. Service leaders don't reward workaholics. They believe that their employees have responsibilities elsewhere in their lives that require commitment and time. Hence, they reward those who work both hard and smart more than those who work long and hard.

**Risk taking and winning.** Risk taking and winning happen when everything comes together. Risk taking and winning usually create a breakthrough that shows the way for future successes. It doesn't get any better than taking a creative, insightful, and challenging chance to produce a breakthrough product — especially when that product is a breakthrough learning system for children.
Risk taking, losing, and learning. If a school leader or school system has never failed, it's obvious that they haven't taken significant risks. At the same time, they probably haven't gotten a lot better at what they're doing. Anything more than tinkering or a technical change requires risk, and risk means making a few mistakes, even when you have a good batting average. Losing isn't so bad if one takes the time to learn from it, and that's what service leaders honor as long as a thoughtful effort was behind the loss. Although we don't agree with the adage that says we learn more from our failures than our successes, we do admire Thomas Edison for learning hundreds of ways not to make a light bulb before he discovered the one that worked.

Committing fully in team efforts. "The Lone Ranger" has been replaced by the staff of "ER," the popular drama about a hospital emergency room, as the fictional hero/heroine of our day. The Lone Ranger has also been replaced by teams in most effective and enduring organizations. Most significant work in today's world is done in creative teams because projects are too large and complex for one person to do well on his or her own.

Challenges to the status quo. It takes courage to take on city hall. Most of us choose to blend in with the norms of the group and organization we're in. But telling the leader that he "has no clothes on" is sometimes what is needed to keep the organization on track and meeting customer needs. Teachers and principals who point out the places where schools continue to do things that are inconsistent with what we know about students and learning have demonstrated courage, taken a risk, and changed the course of the most important business in the community — education.

Doing it on time, with quality and a smile. Most good organizations, including schools, are privileged to employ a number of people who continue to do what is expected with superior quality and, in the process, to make the organization a better place for everyone.

The natural. Some people just seem to win more often than others. They are naturals who just seem to have it. And they are naturals who sometimes work hard and always work smart. The service leader wants to keep the natural around, even to the point of providing a bonus for renewing his or her contract.
Clearly, service leaders are about rewarding positive contributions, so they have to know a good contribution when they see one. But they also have to know a reward as their employees see one, for rewards are in the eyes of the beholder. When service leaders are unsure of how people would like to be rewarded for their contributions, they ask them. Invariably, employees begin by talking about money as the ultimate reward. Service leaders know that everyone likes money, but they also know that money does not tend to be a long-term motivator, especially for anyone who is having his or her basic needs met. After an employee receives a raise, and it makes her feel good for a week or two, then it’s back to business as usual. However, when her organization or boss gives her that raise, it’s a symbol of the value of the contribution. Chances are that the value shown will influence an employee much longer than the dollars that were symbolically attached.

Service leaders are either very aware of the powerful motivators at the top of Maslow’s hierarchy, or they are unconscious appliers of his theory of motivation. They somehow know that opportunities for recognition, esteem, and actualization are the most powerful motivators for people working at their productive and creative best. That’s why they consistently reward both teams and individuals with the motivator and the message as shown on page 119.

Clearly, service leaders recognize that the most powerful motivators are free. They work to pay fair salaries and provide fair benefits. They lobby their organizations for the welfare of their people. But beyond that, they work through the motivators of opportunity, influence, freedom, responsibility, and recognition.
Rewarding with the Motivator and the Message

Do you recognize these powerful motivators and messages? Using these consistently can encourage people to work at their productive and creative best.

<table>
<thead>
<tr>
<th>The Motivator</th>
<th>The Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recognition</td>
<td>We want others to know about your success.</td>
</tr>
<tr>
<td>Advancement</td>
<td>Let us help you with your career path.</td>
</tr>
<tr>
<td>Freedom</td>
<td>You set the agenda . . . we'll get the resources.</td>
</tr>
<tr>
<td>Responsibility</td>
<td>This is big . . . and we need you to do it.</td>
</tr>
<tr>
<td>Attagirls/Attaboys</td>
<td>I saw and appreciate what you did.</td>
</tr>
<tr>
<td>Influence</td>
<td>We want you to help us make our big, important decisions.</td>
</tr>
<tr>
<td>Dollars</td>
<td>This organization shares the rewards of its success.</td>
</tr>
</tbody>
</table>
After reading all the information, insight, and knowledge in this book, it's now time to consider some commitments about becoming a Total Leader. So far, we know:

- What the leading futurists say about the future conditions that will define organizations and careers in the 21st century (Chapter 1),
- How the best leaders in the best organizations think (Chapter 2), and
- What the best leaders in the best organizations value and do (Chapters 3 through 7).

If you have not read much of the leadership, change, and futurist literature of the past decade, but only read this book, you are now caught up. If you have read most of these best-sellers, you now have a framework with this book on which to hang everything you have learned.

While the first two chapters presented the mind set of Total Leaders, the remainder of the book gave the knowledge, insights, and strategies required to make productive change happen, which is the goal of every successful leader today. We discussed that each of the five leadership domains contained:

- A pillar of change,
- A critical change process, and
- Three performance roles.

Total Leadership happens when the pillar of change, the change process, and the performance roles of each leadership domain are focused on a comprehensive strategic design. This concentrated leadership focus gives Total Leaders and their organizations their best shot at productive change. A tall order for any leader, but Total Leadership provides the best formula known for getting things done — in an ethical manner and in a way that makes the organization even stronger when meeting its next challenge (Collins and Porras 1994).
Where To Start With Strategic Design

Strategic design has two major components. First, a Total Leader and his or her organization must develop a strategic direction. Second, when that direction has been set and clarified, the Total Leader must create strategic alignment around that strategic direction.

In short, one is a systematic, future-focused plan; the other is its implementation. Strategic direction is identifying what you want to get, and strategic alignment is structuring to get what you want.

We've helped more than 50 school systems identify their strategic directions and learned some key lessons, many of which are summarized in the Figure 8.1.
The authentic, the visionary, and the cultural domains of Total Leaders are where strategic direction happens. Authentic leaders create compelling purposes, visionary leaders create inspirational visions, and cultural leaders create committed stakeholders. Systems without a strategic direction are managed but not led, and focused on means rather than ends, on policies rather than products, and on the familiar rather than the new and challenging.

Similarly, the cultural, the quality, and the service domains of Total Leaders make strategic alignment happen. Cultural leaders create employee ownership and commitment for the implementation, quality leaders build capacity for it, and service leaders ensure the support that makes it happen. Strategic directions without the necessary organizational alignment to make them happen end up as plans on a shelf. They give the appearance of productive change but never result in genuine implementation.

In our strategic design process, Total Leaders lead their systems through a planning process that results in the creation of five key direction-setting products:

- A brief but powerful listing of the beliefs and values that serve as a decision screen for all decision makers in the school system.
- A future-focused mission statement that briefly and clearly states the purpose of the school system and the reason the school district exists.
- A framework identifying the spheres of living and the future conditions that students will face once they leave school.
- A set of future-focused student performance outcomes that explicitly identify what students will be able to do with what they have learned, and what they will be like after they leave school and are living full and productive lives.
- A future-focused vision statement that will clearly and concretely state what the school system will look like in the future when operating at its ideal best.

These five products are the outcomes for the five key steps in the direction-setting component of the overall strategic design process. When the five steps are completed, the school system will have created a comprehensive decision screen that, when applied systematically, consistently, and creatively, ensures total system focus.
Most importantly, these five direction-setting documents serve as the basis for all decisions regarding curriculum and instruction, student assessment and credentialing, student placement and advancement, and the instructional delivery system. In short, they direct everything that affects student learning — the only reason the school system exists.

Using All 15 Performance Roles To Achieve Strategic Design

The Total Leader uses all 15 performance roles to create and implement a strategic plan — that is, to set a strategic direction and to create strategic alignment. Total Leadership is the surest way of transforming an organization to make it serve the critical emerging and future needs of students, parents, and society.

Our approach to strategic design has a strong bias toward participation and involving everyone in productive change. The most effective and efficient way to gain the commitment of the staff and stakeholders is to involve them in the design process. Our process is based upon the belief that:

- Groups have a collective wisdom,
- Involvement leads to commitment,
- Involvement is an effective means of communication, and
- Involvement is an effective means of educating the staff and the community.

We've found a strong correlation between the percentage of people involved in creating a compelling purpose and commitment and the follow through it generates. If a leader involves a dozen or so people, there will be a struggle to implement the plan. If a leader involves more than 1,000, there will be support and follow through.

In starting the strategic design process, it's effective to have groups respond to a set of basic, yet profound, strategic design questions that prompt deep thinking.

Each of the following questions is tied directly to one or more performance roles of the Total Leader, which are referenced in parentheses.
What are our strongest beliefs and values about learning and teaching?

Stephen Covey (1991) suggests, and we agree, that all good planning begins by identifying what we believe and value. Total Leaders begin the strategic direction-setting process by helping the group identify their strongest beliefs and values regarding students and learning, teachers and teaching, and effective schools and effective organizations. (Creating a compelling purpose, Creating meaning for everyone)

What is the fundamental reason our school system exists?

Logic dictates that once beliefs and values have been identified and clarified, the strategic design group is in a position to identify the mission of the school system — a clear and inspirational statement of why the system exists. But before this can be done with the necessary future focus, the strategic design group must do a thorough study of the shifts, trends, and future conditions that are redefining organizations and careers in the 21st century. (Being the lead learner, Modeling the principles of productive change, Employing a client focus)

Most of the systems with which we have worked created a future-focused mission that centers on equipping all students for the future. For example, the mission of the Evergreen School District in Vancouver, Wash., is “Equipping all students to succeed in a changing world.”

In which spheres of living do you want your children/students to be successful after they finish school?

To serve the student, who is the primary client, we continue the process by asking participants to identify the spheres or arenas of life and living that are important to students’ future life success once they leave the schools. (Employing a client focus, Expanding organizational options).

The identified spheres of living (e.g., work, relationships, family) determine the significant life roles of successful, fully functioning adults.
What are the key conditions and challenges students will face in these spheres that they will need to successfully meet?

Next, the planning group, with input from experts on each life role, identifies the conditions students are likely to face in each particular sphere after they leave school. This process, too, begins with a thorough study of shifts, trends, and future conditions. (Being the lead learner)

Identifying future conditions is a prerequisite to determining student learning needs. For example, math and science will be important in most workplaces, but what math will be required? How often do we use what we learn in algebra when we work in a high-tech organization like the 3M company? What type of math does the workplace require? Most people will be surprised by the response of someone who knows today's workplaces well. (Expanding organizational options)

What will graduates need to be able to know, do, and be like to successfully meet these conditions and challenges?

Discussing what graduates should be like when they live full and productive lives can be a sensitive issue in some communities. But the “be like” of students, based on the research presented by Goleman (1992) and Cooper and Sawaf (1996) is even more important than the “know” and “do” part of student outcomes. One’s values, “be likes,” and emotional quotient are too important to be ignored by schools. (Modeling the core values, Employing a client focus)

We have yet to find a school staff and community that have not been able to create a solid consensus around 10 universally endorsed values and their definitions: honesty, integrity, trustworthiness, loyalty, fairness, caring, respect, citizenship, pursuit of excellence, and accountability. While the value labels and definitions differ among communities, the essence of these 10 universal values seems to be the desire of parents no matter what their culture, religion, or socioeconomic status.

The next step in the strategic direction-setting process is to synthesize the future conditions, the universal values, and answers to the last question into student outcome statements. For example, some dis-
tricts have chosen the student outcome label, "concerned citizens," which means that the system and the community want their graduates to live their lives as concerned citizens. The citizen part of this label comes from the life role of the same name, and the "concerned" part of the label comes from the universal values or the "be likes" that the school and community desire to foster.

Although the outcome label does set a general direction for student learning and performance, it's not specific enough to drive curriculum and instruction. For the outcome to be functional, the strategic direction-setting process must spell out what concerned citizens actually do. For example, here's how the South Washington County Schools in Cottage Grove, Minn., stated their student outcome for the civic sphere:

"Our graduates will be able to demonstrate that they are prepared to be informed, contributing citizens who:

- Promote an orderly society and use the democratic process for managing change,
- Participate in the political process by voting, volunteering, and providing input to leadership,
- Interpret the historical and theoretical foundations of the democratic political process, and
- Evaluate information to create and implement solutions concerning social, political, economic, and environmental issues."

South Washington County identified seven other similar student exit outcomes, each related to a significant life role. (Creating a compelling purpose, Employing a client focus, Creating meaning for everyone)

The beliefs and values, the mission, and the student exit outcomes constitute the compelling purpose of a school system. In effect, every activity to this point in the process could be attributed to the Total Leader's creating a compelling purpose.

What will our school system look like when we are operating at our ideal best?

The next stage, vision framing, is more the responsibility of the staff than the community. What the schools and classrooms will look like when everything is perfect, what the system will look like when
everyone acts on everything the education profession knows about students and learning, teachers and teaching, and about effective schools, should be a professional decision. That's not to say that other stakeholders should not be involved in the vision framing process, but rather that their role should be more limited than when they were helping to create the system's compelling purpose. (Defining a preferred future)

While the organization has one set of beliefs and values, one mission, and one set of student exit outcomes, visions that are aligned with these elements need to be everywhere. Schools, departments, individual teachers — actually every program and person in the system—need to be pursuing their own creative and challenging vision. (Developing a culture of innovation) But it all begins with a system vision. People need to know the school district's vision so that they can create personal visions that will accomplish the larger system vision. (Creating meaning for everyone)

Total Leaders create their organization's future (Liebig 1994); they “act rather than being acted upon, and they begin with the end in mind” (Covey 1989). Total Leaders identify many alternative futures for their organization and then choose that which will best meet their clients' needs, namely, the future needs of students. (Defining a preferred future, Employing a client focus, Expanding organizational options)

Educators can begin the vision building process by answering some key questions: How do you picture students demonstrating their learning — what are they actually doing? What are students doing when they are learning? Where is the learning taking place? How are students grouped? What are teachers doing?

Don't Forget Strategic Alignment

Often, the good intentions and excitement created by the strategic direction-setting process flounder or fail because leaders do not follow through with the alignment part of their responsibility. The quality and service domains of Total Leaders are where strategic alignment happens. Quality leaders develop powerful people, and service leaders support positive contributors.

Total Leaders are visionary leaders who create an organizational vision and then encourage, support, and, if need be, demand that
there be compatible, compelling, and challenging visions throughout
the organization. Visionary leaders insist that everyone in the organi-
ization be working toward attaining the preferred future. When indi-
viduals and teams are driven by a compelling purpose, they quite nat-
urally find meaning in their work and are ready to be given the free-
dom to use their own motivation and power to pursue their vision.

Let's continue examining the relevant questions and the performance
roles of Total Leaders within the strategic alignment process.

**What attitudes and skills do we need to acquire to implement our
challenging vision?**

The quality leader knows that empowered people are a prerequisite
to consistent quality and productivity (Glasser 1994). And because
effective visions are those that run well ahead of the capacity to attain
them, quality leaders make learning opportunities available to every-
one. For example, if the inspirational vision of the system is that all
students are able to demonstrate high-level outcomes, then principals
and schools will have to create new instructional delivery systems
and teachers will probably have to learn the skills required to individ-
ualize and personalize instruction. Building individual and organiza-
tional capacity is the essence of the quality leader (Developing and
empowering everyone, Improving organizational performance)

**How can we create an attitude for and a system of accountability?**

A critical, but often forgotten, step in the strategic alignment process
is to create a culture and system of accountability throughout the
organization. Once an organization has identified what it wants to
produce (i.e., students able to demonstrate challenging learning out-
comes), the leaders have to track the progress of students and the
organization. Students, parents, and taxpayers deserve accountable
schools, and schools and teachers cannot consistently improve if they
do not hold themselves accountable for what and how students learn.
Student assessment and the creation of feedback loops are critical
roles of Total Leaders who also create feedback loops for themselves
and help everyone else to do the same. They then monitor and use
the feedback to improve how they do things and they make sure that
everyone else is receiving and using feedback too. (Creating feed-
back loops)
What can we do to ensure that everyone is on board and implementing our new vision?

Many educators seem to think that implementing the system's compelling purpose and vision are optional. Total Leaders aren't afraid to let those who haven't gotten on board know that they need to do so. They clearly state their message, which is that implementing the vision of quality learning for all students is the reason we all are allowed to work here. (Managing the vision.) They also use the supervision process to reward those who do the hard work required when challenging individual and organizational visions. (Rewarding positive contributions) Total Leaders probably spend about 95 percent of their time encouraging, supporting, and rewarding the great people who are part of the profession. But they also realize that they are not an employment agency focused on the employee. They are educators in the business of student learning, and those not contributing to that end will find themselves confronted by the Total Leader. (Modeling the core values)

How can we restructure to align our district's programs and support with our new vision?

Total Leaders know that they have the power to align the structure, the policies, and the procedures of their organization with its vision. They know that structure, policies, and procedures are not neutral forces — they will either support, or be inconsistent with, the system's compelling purpose and vision. They can help the organization or they can make it difficult for anyone to buck the tide. For example, if a vision has to do with creating feedback loops for continuous improvement, and the student evaluation policies aren't aligned with authentic or criterion-defined assessment practices, it will be impossible to provide principals and teachers with the data necessary to improve student performance. Or, if a belief is that student success breeds more student success, yet the organization still hires teachers who grade on the curve, then the leader can't expect that belief to become part of the organizational culture. (Restructuring to achieve productive change)
Total Leaders are authentic leaders and service leaders. They walk their talk and they align structures, policies, and procedures with the organizational vision, even when it will make them unpopular and open to personal risk. (Managing the vision, Restructuring to achieve productive change) They know that the main thing is to keep the main thing (student success) the main thing.

Final Thoughts

At this time, Total Leaders represents the best of what we know about leadership and about organizational change. Although most of the thinking on these topics today comes from business and industry, we've done our best to show that it can easily be applied to educational leaders. And it is a must that educators make those applications.

Total Leaders does not suggest anything that is not tightly aligned with the best of what our profession knows about students and learning, teachers and teaching, and effective schools. We are leading the world's most important profession, and in doing so, we must take advantage of the best we know about effective leadership and systemic change. It's our choice to learn and apply to schools what Motorola knows about mass customization, what 3M knows about innovation, and what Nordstrom knows about quality and service.

The mission of our profession couldn't be more important or meaningful. Our times and challenges demand that education and educators reinvent themselves by adopting new ways of thinking and acting that take advantage of the best we know about our profession and our professional role as educational leaders. It is our hope, therefore, that all educators will become Total Leaders.
Bibliography


About the Authors

Chuck J. Schwahn

Charles (Chuck) Schwahn has made his professional life a study of leadership and effective organizations. For the past 20 years he has worked with businesses and schools throughout North America providing consultation and training on the topics of leadership, change, personnel practices, and future-focused strategic planning. His work with businesses and school systems is based upon his study of leadership and his successful 8-year experience as superintendent of the Eagle County School District, Eagle and Vail, Colo.

Chuck, who is the author of Making Change Happen, received his doctorate from the University of Massachusetts where Ken Blanchard of The One Minute Manager fame was his doctoral chair.

A South Dakotan for much of his life, Chuck is one of 10 children, born and raised on a Sioux Indian Reservation. He is enjoying a successful career that has placed him in nearly all of the critical roles in education. He has taught middle school and university students and has been a high school coach, an elementary and secondary school principal, an assistant superintendent for curriculum, instruction, and personnel, and the director of a state service center for organizational development.

Chuck has been married to his favorite teacher, Genny, for 37 years. They have one daughter, Lori, and one adorable grandchild, Spencer. Chuck's interests include reading the latest literature on leadership and the future, cutting and chopping firewood, skiing, golfing, and hiking.

Chuck can be reached at (605) 673-3723 May 1 through December 1 and (602) 977-7956 January 1 through April 31.
William G. Spady

William (Bill) Spady is internationally recognized as one of the major theorists, writers, developers, and leaders in future-focused outcome-based educational reform efforts worldwide. He is also a noted authority on strategic design and alignment strategies, systemic change, and leadership development.

Bill has authored two other books for AASA: *Paradigm Lost: Reclaiming America's Educational Future* (1998) and *Outcome-Based Education: Critical Issues and Answers* (1994). He is senior partner with Chuck Schwahn in ChangeLeaders, a consulting company dedicated to developing Total Leaders and fostering organizational transformation in education and business.

A native of Milwaukie, Ore., Bill holds three degrees from the University of Chicago — in humanities, education, and sociology. Between 1967 and 1973 he held academic appointments in the Sociology of Education at Harvard University and the Ontario Institute for Studies in Education. He served as a senior research sociologist at the National Institute of Education from 1973 until 1979 when he joined the staff of the American Association of School Administrators as an associate executive director. Bill left AASA in 1983 to become director of the Far West Laboratory for Educational Research and Development.

Bill has two adult daughters, Jill and Vanessa, and a host of highly involving hobbies and pursuits, including classical music, stereo systems, history and science documentaries, skiing, bicycling, golfing, windsurfing, and fond memories of 30 years as a classical trumpeter.

Bill can be reached at P.O. Box 4388, Dillon, CO 80435 or by phone at (970) 262-1935.
Acknowledgments

“To steal from one is plagiarism; to steal from everyone is research.” We confess. We have done an enormous amount of research in putting Total Leaders together and, therefore, we owe our profoundest thanks to more than 100 authors for sharing their unique insights and rich experiences with us in their writings. Some of them we know personally; most we don’t. But without their ideas, we could not have been so bold as to write this book, let alone call it Total Leaders.

Our genuine admiration and thanks go also to the many organizational leaders who have allowed us to help them chart their direction, development, and eventual success over the years. We have learned much from them — their beliefs, values, strategies, actions, and results all helped shape our understanding about Total Leadership.

We also know that Total Leaders would not have been possible without the commitment and support of three key people at the American Association of School Administrators. Gary Marx became interested in this work several years ago and encouraged us to develop it. Then in 1997, Paul Houston and Joe Schneider gave us the green light to develop our work into this book and a larger collaborative relationship with AASA. We thank each of them and are honored that AASA has chosen to make this book one of its member service publications.

Writing books is not easy. In this case, we had much needed encouragement and insight from several friends and colleagues from the start. Chief among them is Ron Brandt, retired executive editor for the Association for Supervision and Curriculum Development. Ron responded thoughtfully again and again to frameworks, outlines, and early chapters. We also received insights from Karen and Larry Gallio, from Kandace Laass of the U.S. Chamber of Commerce, from Bruce Wenger, and from Genny Schwahn, whose faith in us bolstered our spirits, and whose delicious food helped us keep our dueling computers running 14 hours a day.
While it is customary to thanks your editors, in this case, thanks is not enough. *Total Leaders* was produced in record time because of the tremendous energy, talent, and commitment of Ginger O’Neil and editor Barbara Hunter, who helped us find better words, organization, and formatting, and provided encouraging insights. We’d gladly do it all over again with them, but on that they get the last word.

Finally, we thank you, the reader, for taking the time to acknowledge our work. For us, *Total Leaders* is the result of a 30-year journey. We now look forward to hearing how you apply the wisdom of our 100+ gurus to improve the schools in your district. Know that we will be cheering for you along the way.

Chuck Schwahn

Bill Spady

January 1998
This book portrays our model of Total Leaders. We believe that the purposes, patterns, performance roles, and change strategies that constitute Total Leadership will be particularly valuable to readers who:

- Have read, listened to, and viewed everything out there today about leadership and would like to have it all put together in one neat and practical model;
- Haven't read much leadership research for some time and would like to catch up on it in one relatively short and productive experience;
- Face a challenge to change an organization and seek proven strategies for doing so;
- Are responsible for selecting, supervising, developing, or evaluating people in leadership positions in an organization; or
- Want to analyze their leadership performance and plan for further professional growth based upon what the experts show works.

Total Leaders is our best attempt to put the minds and insights of the most respected authorities to work in one simple yet dynamic leadership and change model that will strengthen your leadership insights, performance, and effectiveness.

American Association of School Administrators
1801 N. Moore St.
Arlington, VA 22209
(703) 528-0800
http://www.aasa.org
NOTICE

REPRODUCTION BASIS

☐ This document is covered by a signed "Reproduction Release (Blanket)" form (on file within the ERIC system), encompassing all or classes of documents from its source organization and, therefore, does not require a "Specific Document" Release form.

☐ This document is Federally-funded, or carries its own permission to reproduce, or is otherwise in the public domain and, therefore, may be reproduced by ERIC without a signed Reproduction Release form (either "Specific Document" or "Blanket").