CONSTRUCTING AN INTEGRATED MODEL OF PUBLIC-SECTOR

LEADERSHIP COMPETENCIES: AN EXPLORATION

by

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ABSTRACT

Constructing an Integrated Model of Public-Sector Leadership Competencies:
An Exploration

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Driven by the forces of globalization, the sweeping developments of recent decades have prompted changes in societal perceptions of leadership. The meaning of the concept itself has changed so dramatically that public leadership does not mean public-sector leadership anymore as the sectoral boundaries have been crossed to include individuals from the private and nonprofit sectors, civic leaders, and community volunteers involved in addressing pressing social, economic, and environmental problems (Luke, 1998). And yet, the chain of recent, universally acknowledged public sector leadership failures indicate that lack of leadership in public organizations is, if not immediately apparent, quite real.

Increasingly, leadership quality is being linked to leadership training and development. In particular, an approach to leadership development and selection that is gaining momentum under "the pervasive influence" of New Public Management in the US and a number of other countries (Mau, 2009) is based on a set of identifiable personal characteristics called competencies.

This research offers an analysis of competency-based approaches and addresses the need for better articulation of leadership models to ensure a better fit with the public sector (Trottier et al., 2008). The purpose of this theory-building exercise has been to create an

integrated model of public-sector leadership competencies that could be used as a template in developing a leadership training program for public sector executives and/or managers. Exploratory in nature and qualitative in terms of methodology, the research offers a phenomenological perspective and provides critical assessment of the competency movement's place within the processes transforming public service. Grounding the analysis in the existing leadership and public administration literature, I ask the questions: How well does the competency-based approach serve the mission of producing public leaders capable of sustaining high performance in their work communities—departmental units or agencies? And is it capable of capturing and integrating new and emerging competencies as they appear?

The synthesis of selected competency models into the integrated model brings the disparate and disjointed language of competency modeling one step closer to a common denominator, thus deepening our understanding of this phenomenon. It also responds to the perceived need to further develop competency-based theory of leadership and contributes, through the advancement of the topic, to the improvement of our civil service and its leadership cadre's training and development.

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Chapter One – Introduction

> The time has come to bring government into the 21st century.
> —Paul A. Volcker, Chairman of the National
> Commission on the Public Service.

Current State of Public-Sector Leadership

Driven by the forces of globalization, the sweeping developments of recent

decades have prompted dramatic transformational changes in societal perceptions of

leadership in general, and public-sector leadership in particular. According to Morse et al.

(2008, 11),

> The so-called new governance is shifting leadership away from traditional
> command-and-control conceptions toward partnerships and networks. Leading
> from positions of formal authority is giving way to "leading from the middle."
> Rather than focusing on leading followers in an organizational context, today's
> public leaders are "boundary crossers," who work in collaboration with other
> public-sector partners, as well as those from the private and nonprofit sectors.

Luke (1998) indicates that the meaning of the concept itself has changed. *Public*

leadership does not mean public-sector leadership anymore because:

> This type of leadership must focus attention and mobilize sustained action by
> multiple and diverse stakeholders to address issues usually defined in terms of
> desired outcomes or results. This form of leadership is pursued not only by
> elected officials and appointed public administrators but also by individuals in the
> private, educational, and nonprofit sectors, including civic leaders and community
> volunteers. To address pressing social, economic, and environmental problems,
> we need public leadership, not public sector leadership (1998, 5).

Morse and Buss (2007, 9-10) have identified three "contextual trends" linked to

globalization "that are having and will increasingly have a major impact on public

leadership in the coming years:"

1. The twin demographic shift termed the "browning" (referring to Asians and

   Hispanics being the fastest-growing groups in the U.S. that, according to

population projections, will surpass non-Hispanic whites by the middle of the century) and "graying" (referring to the dramatic increase in both the average age of the population and the absolute number of old people projected to happen in the coming years in industrialized countries) of America. This shift drives major social, economic, and political changes and challenges.

2. The "increased presence of global threats," such as global terrorism, border security, disease pandemics, and natural disasters. Unpredictable and borderless, these threats require cross-jurisdictional, time-crossing, and other "boundary-crossing" approaches to solutions.

3. "Low trust not just in government but in all large institutions generally" being the sign of the time and a dominant feature of "the leadership landscape." The climate in which public leaders operate is one of "built-in suspicion of government and a general antitax sentiment" (Morse et al., 2007, 9-10). Denhardt (2009) writes in this regard,

> Trust in government, trust in business and indeed trust in all major social institutions has declined dramatically in the past several decades. Cynicism about our leaders is rampant and many are viewed not as being helpful (much less inspiring), but at best providing comic relief from the problems we face (xviii).

These trends and the interconnectedness of the sweeping changes they cause have provided a backdrop for the discussion on the importance of leadership. Thus, writing about such challenges as global warming, the global financial credit crisis, public health and security threats that "span and interconnect boundaries, crossing levels of government, sectors, communities and nations," Raffel, Leisink and Middlebrooks (2009) bring attention to the fact that the need for, and expectations of, effective public

leadership have never been greater than they are now. They argue, in particular, "the importance of effective public sector leadership is multiplied, impacting millions of people" (Raffel et al., 2009, 1).

Contemplating on how much America's sense of itself as a secure nation has eroded after 9/11, Bennis (2009) concurs: "One thing we know is that a more dangerous world makes the need for leadership, in every organization, in every institution, more pressing than ever" (xxiv). In a similar vein, Ingraham (2006, 2) writes about "leadership's centrality to effective organization and good government" highlighted by the "events of the past few years:" "The complexity of problems confronted by organizations and their leaders in all sectors has increased exponentially." She and her collaborator Getha-Taylor (2004, 95) argue, "Effective leaders create positive organizational cultures, strengthen motivation, clarify mission and organizational objectives, and steer organizations to more productive and high performing outcomes." Ingraham and Getha-Taylor (2004, 111) also regard "top-notch," as they put it, public-sector leadership and expertise as instrumental in confronting "the challenges ahead." Challenges that, according to Luke (1992, 19), in the conditions of interdependence and interconnectedness, require of individual leaders and administrators new interpersonal and analytical skills in order for them to manage in the public interest. Among these challenges are: "overseeing virtual workers; increased specialization; demands for collaboration within and across agencies; demands for efficiency and transparency; and a culturally diverse workforce that spans four generations" (CLCS, 2009, 3).

In their turn, Zaplin and Smith-Heimbrock (2008, 151) argue that the effectiveness of public-sector leadership is measured by the "degree to which public

administrators are able to incorporate a global perspective into their decision making and operations." They (2008, 151) contend, "Effective global leadership is urgent for the field of public administration in which the drive to provide needed policies and services intersects with the legitimate—and democratically legitimating—demand for public accountability."

Denhardt (2009, xviii) shifts the discussion from establishing the need for effective leadership to the lack of sources it might come from, as "the apparent lack of leadership" has permeated government, corporations, and the entire society alike.

Such recent, universally acknowledged public sector leadership failures as the U.S. failure in the reconstruction of Iraq, FEMA's inadequate response to Hurricane Katrina and failure in the recovery of New Orleans, or the Federal Reserve's failure to foresee and prevent financial market collapse due to the sub-prime mortgage crisis (Raffel et al., 2009, 1) indicate that lack of leadership in public organizations is, if not immediately apparent, quite real. There is also enough survey evidence to support this conclusion.

Citing the Partnership for Public Service's 2003 study *Best Places to Work* conducted on the data from the U.S. Office of Personnel Management's (OPM) 2002 Federal Human Capital Survey (FHCS), Ingraham and Getha-Taylor (2004, 95-96) indicate that more than half of the federal employees surveyed found leadership to be deficient in the federal government. According to the same survey's (FHCS) results for 2008, only forty-two percent of respondents (out of 210,000) are satisfied with policies and practices of their senior leaders, only 40 percent think that leaders in their organizations generate high levels of motivation and commitment in the workforce, and

only 52 percent hold the organization's senior leadership in high regard (OPM, 2008, 14).

A study of confidence in leadership conducted in 2007 by the Center for Public

Leadership at Harvard's John F. Kennedy School of Government and *US News and*

World Report found that 77 percent of participants believed the US was in the middle of a

leadership crisis and 79 percent thought the country would decline if better leaders are

not found. The results of the survey conducted a year later (but prior to the presidential

elections) were even worse (Bennis, 2009, 204).

Bennis (1997) for years has been calling attention to a leadership crisis in the U.S.

and around the world. He argues that this crisis is hard to identify and, "unlike the

possibility of plague or nuclear holocaust," it "will probably not become the basis for a

best-seller or a blockbuster movie, but in many ways it is the most urgent and dangerous

of the threats we face today, if only because it is insufficiently recognized and little

understood" (21).

James McGregor Burns traces the causes of the leadership crisis all the way back

to the founding fathers and the drafting of the U.S. Constitution. In his seminal book

Leadership (1978, 385), he argues: "The American presidency was not designed to be the

center of leadership in the new republic… the President… was to be the chief *executive*—

'The executive power shall be vested in a President of the United States of America,' the

Constitution decreed—but he was not to be the executive *leader*." Contrary to their intent

to put the presidency above political conflict, however, the framers of the Constitution

"built conflict into the very structure of American government… As the presidency

became more directly responsive to the people through constitutional and political

changes, the office came to confront and embody the most fundamental conflicts in

American life" (Burns, 1978, 385-386). In time, and especially today, these revolutionary changes have highlighted the demand for *executive leadership* (Roberts, 1993, 45).

In his turn, Kettl (2009) speaks of the lack of theoretical support from the academe and of political support from elected representatives that public leaders experience. He (2009, 235) contends that

> [T]hey struggle to achieve important results through complex partnerships; they adopt rocket science style tactics and hope that their steps are in the right direction; but they find little reinforcement that their strategies are sound. Theorists have not yet developed a model for how high-performing organizations in the information age ought to work, and elected officials provide little support.

Rost (1991, 100) argues that the crisis of leadership is not in that we lack true leaders or that the leaders lack a vision, but that during this time of transition "our school of leadership is still caught up in the industrial paradigm while much of our thought and practice in other aspects of life have undergone considerable transformation to a postindustrial paradigm. We will not resolve that crisis in leadership until scholars and practitioners begin to think radically new thoughts about leadership, until they begin to make quantum leaps in leadership theory, until they develop a new school of leadership that is serviceable to the coming era."

According to Van Wart (2009, 3), the inherent antipathy of Americans toward centralized executive power and "the outright denial of a role for administrative leadership," as well as historical/political reservations of many academics about executive leadership and the unwillingness of traditional democratic theory to "acknowledge anything other than a purely technical role for the administrative apparatus of government" (2009, 2) are among the reasons—or "ironies," as Van Wart puts it—

why public sector leadership has ceded its position both in practice and as an academic field.

Arguing from a systems perspective, Murphy (1981, in Thompson, 1993, 8) points to a paradox of the current reform movement that stems from constitutional fragmentation of political power in the U.S. intended to increase the capacity of the subunits of government. As it turns out, greater capacity of governments has unintended consequences—"fragmentation, disarray, confusion, and lack of leadership." Interestingly enough, James Bryce (1891, in Thompson, 1993, 8) recognized this problem almost a century and a quarter ago: "There is an excessive friction in the American system, a waste of force in the strife of various bodies and persons created to check and balance one another… Power is so much divided that it is hard at a given moment to concentrate it for prompt and effective action." One only needs to remember 9/11, or hurricane Katrina (and most recently Sandy), or constant standoffs between President Obama and Republican Congress, the most recent example of which is the failure to adopt a gun control legislation, to see the enduring validity of Bryce's observation. According to Thompson (1993, 8), "The current pattern of fragmentation raises genuine concern about gridlock and drift, the ability to deliver programs efficiently and effectively, and accountability."[1]

In discussing the effects fragmentation of power has on leadership, Thompson (1993, 9) cites Barry Keen, California senate majority leader, who argued that the constitutional arrangement enabling "voters to elect legislative majorities of one philosophy and chief executives of another philosophy… virtually guarantees stalemate." Thus, Keenan observed:

> Some people argue that the problems of government are personal, rather than structural. They say our leaders don't lead, or they don't care, or they are crooks, or they're quitting. But these charges beg the question—why can even the best people in government accomplish so little? The reasons are partly societal… partly attitudinal…, but mainly structural.

The highly politicized environment of public sector organizations may, too, have contributed to, and perpetuated, the leadership crisis. The political nature of many top agency appointments resulted in the creation of what Ingraham and Getha-Taylor (2004, 96) have labeled as "the bifurcated administrative model"—a dual structure combining political positions filled by elected and appointed officials and career positions filled from the ranks of career bureaucrats. As Peters (1988, 147) indicates, these two categories view public policymaking quite differently, with career civil servants advocating policies that have technical superiority, even if they take longer times to take to fruition, and political executives—feeling the pressure to accomplish something during their short term in office (so as to have a chance to hold another office in the future)—favoring policies that can produce immediate results, even if they are technically inferior in the long run. Ink (2007, 49) deplores that this "unfortunate path" is gradually weakening the opportunity of career public servants "to provide the professional leadership this country needs to administer our laws effectively." Assessing the dynamics of the relationship between politicians and civil servants, Svara (2007, 95) puts it into the context of the governance processes that shape the world. He (2007, 95) writes:

> The nature of government and the roles of politicians and administrators are different when governance combines governmental and private actions, is cross-jurisdictional, and is global. The terms of engagement are altered in ways that at times reduce the capacity of administrators to shape and influence decisions…

One of the consequences of the practice of political appointments is that we have what Heclo (1977) dubbed a "government of strangers," whereby political executives lacking the prerequisite knowledge and supportive networks necessary to run a public agency "descend on Washington" for brief, averaging less than two-year, terms (Thompson, 1993, 21). Often these "birds of passage" "acquire the programmatic and political knowledge they need to function effectively just about the time they leave office" (Thompson, 1993, 21). A remnant from Jacksonian days, this practice reflects a perception that the duties of public officials are so simple that everyone can perform them. Criticizing this system for creating an impression of "amateur governance" (Thompson, 1993, 21), Heclo (1977, 239) states: "Possibly some governments, like some musical instruments, might respond well to amateurs, but unfortunately the U.S. executive branch is a place for violinists, not kazoo players."

Lack of professional management training, knowledge or skills among those elected, appointed or promoted to (executive) leadership positions is another, although related, problem. Zauderer and Ridgeway (2003, 31-32) observe,

> Professionals in public service are frequently trained in technical fields such as engineering, law, accounting and finance, geography, biology, medicine, soil science and economics. Their strong technical background enables them to exercise judgment in their field of practice. However, this background may be of little use in the domain of leadership and management.

Having entered that domain, to cite Denhardt and Denhardt (2009, 12),

> [T]he new administrator soon discovers a completely new world of work. Now the most pressing questions are not the technical ones, but rather those having to do with management, with program planning and design, with supervision and motivation, and with balancing scarce resources. …it is almost as if one has been asked to change professions in midcareer from technical expert to public manager.

Mau (2009, 319) argues that the "bifurcated" structure of political and career positions has important ramifications for leadership development and succession planning, especially when considered against the backdrop of "huge loss of expertise and talent as a result of massive impending retirements" (314) of "baby-boomers." Similarly, noting that both political appointments and the career ranks are flawed as sources of leadership, and that "the awkward intersections of the two frequently compound these flaws," National Commission on the Public Service (2005, 35) calls for "immediate changes in the entry process for top leaders and the long-term development of a highly skilled federal management corps."

Thus, increasingly, leadership quality is being linked to leadership training and development. After all, as Zauderer and Ridgeway (2003, 32) put it,

> Executives with minds educated in the realm of leadership and organization studies can more consistently diagnose and improve their organizations and exercise enlightened judgment in the public interest.

Then the question becomes: How is it done? Ingraham and Getha-Taylor (2004, 97) argue, "Although the need to develop public-sector leaders is increasingly apparent, how this task is accomplished is not nearly so obvious." As Fiedler (1996) points out, "While executives and those engaged in selection and training well recognize the importance of the fit between manager and job, we know all too little about what specifically determines this 'fit'" (248-249).

Addressing perceived inadequacies in public administration education, Denhardt (2009, xix) writes,

> … the field of public administration has been developed to prepare and to guide public managers not public leaders. So how do we teach managers to be leaders? And what changes does that mean in their roles and responsibilities? The mainstream version of our field has focused on management and how managers

can be constrained to act in a way consistent with guidelines promulgated by political leaders. But if we now ask managers to lead, what must we then say about the role of initiative and direct responsiveness on their part?

Roberts (1993) suggests that the problem is the one of selection process and criteria preventing civil service systems from "growing" a public agency's own executive leaders or "buying" them from the outside. As Roberts (1993, 48) comments,

> …civil service systems are set up mainly to deliver neutral competence that can be objectively determined and ascertained through standardized means… [while the job criteria for top government posts] …require savvy and responsive individuals who are highly competent *and* have the trust of their political superiors. Staffing these sensitive positions is akin to corporate headhunting. This government headhunting needs to be flexible and sophisticated, because what is being looked for are elusive and complex qualities, such as leadership and judgment, that cannot be measured by solely objective criteria. Today, the choice of the system for selection of top-level public officials has never been more important. The complexity of …government and the enormity of its public missions cannot tolerate either incompetence, ignorance, inflexibility, or exclusion in top posts.

Treverton (2005, 281) draws attention to another problem—an oversight in developing skills of tomorrow's leaders. He states, in particular, "The nation is producing too few future leaders who combine substantive depth with international experience and outlook. Also in short supply are managers with a broad strategic vision in a rapidly changing world." Fairholm (2011, 14) adds to the discussion that the increasing complexities of social environments in which leaders operate require that they expand their skill sets to incorporate those grounded in other disciplines, such as psychology, sociology, anthropology, economics, and finance.

An approach to leadership development and selection that is gaining momentum under "the pervasive influence" of NPM in the US and a number of other countries (Mau, 2009, 314) "is based on a set of commonly accepted competencies" (Ingraham et al., 2004, 97). However, with the deepening of the processes pertaining to the transformation

of governance, our perceptions about public leadership, the way it is conceptualized and practiced, are changing (Morse et al., 2008). On top of that, some observers (Newbold and Terry, 2008) talk about a transition underway in the field of public administration from NPM to New Democratic Governance. Are competency-based models capable of capturing these changes?

Narrowing Down the Focus: The Research Questions

A close look at competency models should start with the questions: Does the competency-based approach reflect the sweeping changes that are transforming the public sector? Is it grounded in leadership theory and research? How well does it serve the mission of producing public leaders capable of sustaining high performance in their work communities—departmental units or agencies? And lastly, how well does this approach "prepare the next generation of leadership" (CLCS, 2009, 3)? In other words, is it capable of capturing and integrating new and emerging competencies as they appear?

Each of these questions demarcates the steps in which the present inquiry has progressed, culminating in the construction of an integrated public-sector leadership competency model of my own. To set the stage, I analyze in Chapter Two the context in which public leaders and managers operate. It will also help me to locate the competency movement within the processes transforming public service. Chapter Three provides an exhaustive discussion of leadership theories as it takes place in the mainstream and public administration leadership literatures, with a purpose to establish theoretical linkages between leadership approaches and competency models. The beginning of Chapter Four deals with the notion of competency, the problems arising from its definitions, and the four main approaches underlying our understanding of what competency is. The second

part of the chapter is dedicated to describing those managerial and leadership competency models, both applied and theoretical, that provided material for the integrated model. Along with the integrated model, they shed light on the content, advantages, limitations, and potential of competency-based approaches to public-sector leadership. Chapter Five focuses on the methodology of this theory-building exploration, in particular, on the construction of the integrated model, while Chapter Six provides the overview of the model itself. The conclusions, the limitations of this study, and the agenda for future research are discussed in Chapter Seven.

Proposition Based on Chapter One

P1:   Leadership competency models can effectively capture and help institutionalize new and emerging competencies through periodic revisions and adjustments of their content.

Chapter Two – The Changing Context of Public Management

Kaboolian (1996, 84) argues that context makes it possible to see "the public manager as a dynamic force in reacting to and creating the circumstances surrounding their work," indeed, in "designing and transforming government institutions and practices." This chapter offers a brief review of the preset-day context our public leaders and managers find themselves in, which serves as a backdrop to the discussion of what competencies they need to possess to be perceived as effective.

Public organizations, according to Kettl (1996, 2), "have always thought to achieve their missions by trying to control the world in which they operate." And now this world is rapidly changing and becoming uncontrollable. As H. George Frederickson (1999, 1) wrote, if there was one word to describe public management at the juncture of the twentieth and twenty-first centuries that word would be "change." Occurring at an accelerating rate that is "beyond the bounds of even the most brilliant minds" (Luke, 1992, 13), change and complexity have become two defining characteristics, indeed the new norm, of the present-day environmental context in which public managers work, and in which we all live. As Denhardt (2009, xvii) describes our present-day world,

> In many ways, it seems, our lives are spinning out of control. The massive forces of globalization, political realignment and international terror seem to be overwhelming. Corporations, public organizations and non-profits seem to exist in a world of complexity and turbulence far more frenzied than we have experienced before. Even in our personal world the struggle to give our individual lives focus, to sort out the complexities of family life and social relationships and to cope with jobs, technology and information overload bear down upon us daily.

It is in this world, within this new norm, that uncertainty has turned into "the fundamental problem for complex organizations," while coping with uncertainty has become "the essence of the administrative process" (Frederickson, 1982, 505). According

to Kettl (1996, 2), "The growth of shared responsibility for organizational missions is breaking down traditional ways of understanding what organizations do and how they do it." As explained by Luke (1992, 19), "An enlarging ring of often unforeseen, unintended or indirect consequences increases vulnerability and openness to outside influences, making public managers increasingly dependent on individuals and organizations outside of the managers' view." Luke (1992, 13) calls this new pattern of increasing dependence on others—the pattern that is impacting the present-day context of public management in the U.S.—"the crystallization of interconnectedness." Partly a result of sweeping globalization processes evident in and affecting the market, banking, trade, labor migration, as well as energy and technology flows, and partly "a result of the considerable ecological and climatological impacts of the natural-resource, political, and economic interdependencies," it has been compared "to what evolutionary biologists call anagenesis: a rather sudden, qualitative shift in evolutionary development." This shift is evident in "the rapid formation of global and local interdependencies" and interconnections "among the polity, the economy, and the biosphere" and in the instantaneous creation of "invisible—yet tangible—intersocietal and interorganizational webs that now encircle the planet" and "link historically separate and autonomous agencies, organizations, and institutions" into intergovernmental and intersectoral networks (Luke, 1992, 13-14). These processes, according to Luke (1992, 14), have changed the historical nature of public policy and management at the local, state, federal, and global levels so fundamentally that there is little resemblance left "to the public administration context that has existed during the first two hundred years of American history." The tragic events of September 11th show that our government, for the first time

since its existence, has entered the era "where decisionmakers' personal and historical experience provides imperfect guidance" (Lempert et al., 2005, 114).

Kettle (2002, 22), writing about fundamental transformations of the institutions of government before the twenty-first century, argues that each of them was driven by intellectual leadership of their reformers. The new millennium, by contrast, ushered another, subtler, but no less fundamental, transformation that "emerged from the triumph of bottom-up pragmatism" (Kettl, 2002, 22; 2000, 496). The essence of this transformation was in the following:

> Front-line administrators struggled to cobble together new tactics for solving the problems they faced, but new problems often surfaced faster than their solutions could be applied. Administrative orthodoxy became increasingly disconnected from administrative realities. The twenty-first century reformers faced nothing less than the intellectual and governmental crises of the Progressives, and they reached to frame solutions that would prove just as enduring (Kettl, 2002, 22).

Kettl (2009, 136) argues that, not unlike the Mendocino Triple Junction, American government transformations were occurring along three tectonic plates: privatization ("the role of government—the relationship between public institutions and the private and nonprofit sectors"), federalism ("the role of federalism—the relationship between the national, state, and local governments"), and globalization ("the role of the United States in the world—the relationship between America and the other forces (political, economic, and social) that shape global life"). "Throughout American history, these plates have periodically shifted, but usually they have shifted one at a time." At the end of the twentieth century, however, the US has undergone a tectonic shift of all three plates, and the tragic events of 9/11 helped recognize this shift (136). Unlike the shift at the beginning of the twentieth century, with the Progressives providing a theoretically

grounded plan for action, at the dawn of the twenty-first century there is "no strong intellectual movement to guide" the transformation (Kettl, 2009, 163).

Emerging Models of Governance

Writing about dramatic changes in the practice of public administration, including the structure of government, management of government structures, and the proper role of public administration in governance, Peters (1996, 15) argues, "Many of the old certainties about government and the role of the public service are now either totally altered or are subject to severe questioning." He names four such certainties that "are no longer as canonical as they once were" (15-18):

1. The assumption of a "neutral," or apolitical, civil service and associated with that the politics/administration dichotomy. "It is increasingly clear that civil servants do have significant, if not necessarily dominant, policy roles in most contemporary governments…"

To play this role successfully, public managers must possess *political skills*. By framing the issue in terms of conflict, J.Q. Wilson was able to nail the essence of these skills: "public agency leaders can be efficacious, but only by more or less dutifully obeying, not bravely commanding, the unchanged administrative and ever-changing political imperatives between which they are sandwiched" (DiIulio, 1991, 195).

2. The "assumption of hierarchical and rule-based management within the public service and the authority of civil servants to implement and enforce law and policy outside the narrow confines of the public service. The neat Weberian model of management does not apply within public organizations to the extent

that it once did, and in its place we encounter a variety of alternative sources of

organizational power and authority," such as

- the market as a "standard against which to compare the structure and performance of government organizations," as evidenced in market-based reforms. Assumed here is the belief that marketization of government "will help change the behavior of government managers, which implicitly is understood to be unresponsive and insufficiently motivated" (Perry et al., 2008) by higher-purpose ideals of public service.
- the "dialectic," or participatory organizational model that invites rank-and-file employees and clients to take part in the decision-making process. "This change in management is at once a manipulative mechanism for increasing efficiency and a genuine moral commitment to participation."
- contractual model wherein public organizations "negotiate societal compliance with their decisions" as well as "compliance with contracts for service delivery, rather than directly implement programs through legal and other authoritative means."
- "network practices in governance"; and
- the expectation of public servants' ability to "make their own decisions about what constitutes the public interest" as well as the ability to make, if necessary, "determinations that are diametrically opposed to the stated policies and desires of their nominal political masters." As Kettl (2009, 164) put it, "Governance has transformed itself from process and structure to an approach that puts a high premium on individual leadership and organizational leverage."

3. The assumption of the permanence and stability of public organizations. "The

growing recognition of the dysfunctions of permanence, as well as the recognition

that many of the most significant social and economic problems currently exist in

the interstices of existing organizations, has led to some discussion of alternative

forms of government organization… In particular, ideas about task forces, 'czars,'

interdepartmental committees, and similar structures have generated options for

thinking about a more flexible pattern of governance."

The assumption of permanence once applied to public service employment

as well, which used to be lifetime. Nowadays "the personnel commitments of

government also have come to be considered less permanent. Government

organizations increasingly expand and contract to meet the variable demand for work…" This raises the question about whether the loss of permanence may result in the lack of "commitment to service and other public values that in most instances have characterized the civil service in democratic countries."

4. The assumption that "the civil service should be acquiescent and respond almost entirely to the policy directives given to them by their nominal political masters… Many of the problems associated with government, and especially with public bureaucracy, are a function of the controls imposed by the political leaders seeking greater control and accountability. Government organizations are generally among the most stringently regulated organizations in society." This goes contrary to the notion of activist and entrepreneurial civil service that may be one of the ways of achieving government efficiency and effectiveness.

Peters (1996) argues that the shift in the fundamental assumptions with regard to the traditional bureaucratic model has resulted in the emergence of new models of governance. The discussion of these four models—the market approach, participatory state, "flexible government", and "deregulating" or "reinventing" government—is offered below.

The Market Model

Building on the assumption that there is no meaningful difference between the public and private sectors (Peters, 1996, 20), *the market approach to governance* seeks to correct the perceived inefficiencies of the former with the methods borrowed from the latter by contracting out to private and quasi-private entities the services historically provided by government. At its heart—relinquishing by governments of many of their

functions back to the market in the belief that the market is better able to respond to the turbulent environment in which we live today (Kettl, 2005; 2000, 496). The model underpins the global reform movement known as the New Public Management (NPM). Among its chief targets is the large size and complexity of the traditional structure of the public sector with its heavy reliance on formal rules and authority, to which the approach juxtaposes relatively flat organizations and "the entrepreneurial spirit of individuals to guide decisions" (Peters, 1996, 20). According to this approach, "Breaking the bonds of bureaucracy is meant to liberate decision making and produce more risk taking and innovative activity" (Peters, 1996, 20). What concerns those activities that remain with governments, they, too, have become subject to market-style practices (or "marketization" to use the term suggested by Kettl) and benchmarked against their private counterparts (Horton, 2002, 3) as a way for rooting out the pathologies of government bureaucracy (Kettl, 2005).

Within this model, the public interest is served by the cheapest possible delivery of public services and "by allowing citizens to exercise their free choices for services in a market" (Peters, 1996, 24). Ellwood (1996, 55) observes that market-style reforms "have a Wilsonian flavor," as they, too, try "to discover, first, what government can properly and successfully do, and secondly, how it can do these proper things with the utmost possible efficiency and the least possible cost either of money or energy" (Wilson, 1997, 14).

At the same time, many voices in academia caution about the dangers of employing private-sector methods in government. Bozeman and Straussman (1991, 5) argue in this regard,

> While public and private management have much in common, the two are sharply separated by political authority. While political authority clearly influences private strategic management, it is more than simply an influence on public strategic management; it is a defining characteristic. The fact that public management is imbued with political authority means that it is essentially a different enterprise.

Ink (2007, 55) underscores the Constitutional framework of the law within which government employees operate and the due process they must observe while serving the public with equity, transparency, and responsiveness, as compared to employees of private businesses who can operate in all areas not prohibited by the law and whose main concern is with the bottom line reflecting a profit. Ink (2007, 57-58) states, in particular, "To the extent to which we strive to remake government like a business, we run the risk of weakening the awareness of public-service leaders to basic public-service concepts, and the understanding of how to function in our constitutional framework of checks and balances." Thompson and Ingraham (1996, 304-305) add to that two more issues that "have a particular public dimension" that most private organizations are unaware of: discontinuity of leadership and the longer timeframe for change due to the cumulative effect of multiple constrains. Ink (2007, 55) also cautions that the "concept of running government as a business dilutes attention to those values of public service most important to effective functioning of democratic institutions." It may also reduce the appeal of public service to young people with a "strong motivation to serve the nation and its citizens" (Ink, 2007, 55).

Alternative to NPM perspectives, emphasizing democratic and citizenship values, have been summarized in *The New Public Service* by Denhardt and Denhardt (2002). Morse and Buss (2007, 10) point out that the new public service approach is not as much an antithesis to the NPM as it is a "needed corrective" to remind us that government is

not a results-driven business and that "democratic values must be at the core of the public service." Morse and Buss (2007, 8) also indicate that, while the criticisms of the model are well-substantiated, "the reality is that NPM has reshaped the public sector in a variety of ways, including, perhaps paradoxically, a stronger emphasis on collaboration and citizen engagement."

Recently, six trends "transforming government" have been linked to NPM and, more generally, to globalization:

1. "'Changing the rules' of government"—administrative procedures, financial management, structural reform, etc.—to give managers more flexibility to manage effectively.

2. "Using performance measurement." "The use and sophistication of performance measures by governments at all levels has greatly increased."

3. Using "a wide range of market-based tools such as public-private partnerships, incentives, outsourcing, and vouchers" with a view to increase competition and choice.

4. "Performing on demand," (this includes the expectation of providing service 24/7and effectively responding to non-routine situations) made possible by advances in information technology.

5. "Engaging citizens." This trend is "a result of increased demand for openness and transparency" and of "a realization that such involvement enhances the legitimacy of the enterprise."

6. "Using networks and partnerships"— "perhaps the most dramatic trend as it relates to public leadership. The idea of network governance is superseding the

traditional image of government as the top-down bureaucracy. Public

management today occurs in a network setting, across organizations within

government as well as across sectors" (a summary of the findings by the IBM

Center for the Business in Government, 2006, in Morse et al., 2007, 8-9).

The Participatory State Model

Focusing on the lower echelons of the organization, its clients, and even on the

citizenry as a whole, *the participatory state model of governance* is "the antithesis" of the

market model (Peters, 1996, 25). Part of literature on "discursive democracy" (Peters,

1996, 26), the model calls for greater participation and involvement of those groups in

government decision making claiming that they "have the greatest amount of information

about programs" as they are the "closest to the actual production of [public] goods and

services" and that their energy and talent can be better utilized (Peters, 1996, 25). "The

basic premise is that government organizations will function better if the lower levels of

the organizations, and perhaps the clients of the organization, are included more directly

in managerial decisions" (Peters, 1996, 27). On the one hand, the model calls attention to

the role of "street-level bureaucrats" in the implementation of public policies and a

concurrent "need for greater control from above to ensure that public laws and financial

restraints are adhered to faithfully." On the other hand, hierarchical levels of control are

viewed by the model's proponents as "impediments to good performance" (Peters, 1996,

26). Therefore, they call for "flatter" public organizations and offer a number of

innovative organizational structures, such as advisory groups and councils (Peters, 1996,

26-27). Underlying this model is a line of inquiry that, in many ways, is antithetical to,

and emerged in response to, NPM. Called New Democratic Governance (NDG), it

highlights those areas of concern that are omitted by NPM, with its microeconomic

orientation (Newbold et al., 2008). In particular: "defining public intervention by the

search for public value; affording greater legitimacy to a wider range of stakeholders;

building and maintaining a strong commitment to a public service ethos; and requiring an

adaptable, learning-based approach to the challenges of public service delivery"

(Newbold et al., 2008). Peters argues that the most important feature of this approach is

"its attempt to involve societal interests in governance more explicitly" (1996, 27).

"…this model appears to enhance the role of the citizen and to attempt to induce

democratic participation in means other than voting" (Peters, 1996, 27).

The main idea the participatory state model embodies is that participation rather

than technocracy leads to better decisions (Peters, 1996, 29). Its underlying assumption is

> that the lower echelons of the bureaucracy do have a major impact on policy in
> almost any political system. Most decisions that governments make are not made
> by their political leadership, or even by the upper echelons of the civil service.
> Rather, they are made by the lower echelons—the street-level bureaucrats—who
> must make numerous decisions about particular cases every day. Not only are
> those decisions crucial for the actual determinations of a citizen's claim against
> the state for services, they are also crucial for popular perceptions of government.
> For most people, government is the policeman, or the tax collector, or the safety
> inspector, and the interactions between citizen and the representative of the state
> may shape the public's ideas about what government does and what it thinks
> about its citizens. Thus, a participatory emphasis in governance may make
> government more popular with clients, if not necessarily more efficient in
> delivering services (Peters, 1996, 28).

The "Flexible Government" Model

The "flexible government" model addresses the so-called "dysfunctions of

permanence" (Peters, 1996, 30). In this model, "organizations embody political

interests," as "commitment to permanence tends to institutionalize prevailing conceptions

of policy" as well as policy problems (Peters, 1996, 30). As many present-day problems

fall between organizational jurisdictions, the model offers alternative—temporary and flexible—structural arrangements that would "allow government to respond more rapidly to changing social and economic conditions" (Peters, 1996, 31) by removing barriers to innovation. As Peters (1996, 34) put it, "If change could be made as much a part of life in government as is permanence, then there will be some chance of greater creativity and perhaps again, some opportunities for saving the public money."

Peters (1996, 33) argues,

By removing the anchor of large, stable organizations beneath them, the civil service elite may be able to develop their own policy ideas more autonomously. To some extent, the conception of the Senior Executive Service in the United States was that of a free-floating resource that could be used in a variety of managerial and policy advice situations. Without large, permanent organizations to encumber them in the exercise of their own conceptions of good policy, these senior officials may be able to be creative forces in policy development.

"The fundamental transformation of the labor market" is also creating the pressure for impermanence of public organizations, especially in public employment, evident in the growth of part-time and temporary employment as well as more flexible employment arrangements, such as telework, and in the diminishing share of full-time employment and life-long careers (Peters, 1996, 31).

This shift has important managerial and policy implications (Peters, 1996, 31). "At the manifest level, this approach stresses the ability of managers to adjust their workforce requirements to match demands" in order to save public financial resources or mitigate public perceptions of waste in government or to quickly and effectively respond to a crisis or a rapidly increasing demand for service (Peters, 1996, 32). The implications at the "latent" level raise questions about public service motivation, which may result in decreased job performance (Peters, 1996, 32). Peters (1996, 32-33) argues that this

approach, to some extent, "is the antithesis of the participatory state in that temporary

employees would be unlikely to be interested in any real involvement with the

organization. Further, their temporary status may make all of the civil service values of

probity, accountability, and responsibility all the more difficult to enforce." He (1996, 32)

states in his critique of the model:

> This trend may be applauded by fiscal conservatives who want to save money in
> the public sector, but it may damage other conservative values about the
> accountability of the civil service and its stability as a source of advice and values
> in an otherwise rapidly changing government.

The "Deregulating" or "Reinventing Government" Model

The "deregulating," or "reinventing government" model, popularized in the U.S.,

to a significant extent, in Osborne and Gaebler's (1992) groundbreaking book

Reinventing Government and Al Gore's National Performance Review, also emphasizes

"entrepreneurial spirit" in making government work better. A response to politicians'

"distrust of the public bureaucracy" that permeated the 1980s and their desire "to curtail

its powers over policy," the model is built on the assumption that eliminating unnecessary

constraints on government action will result in more efficient government performance

and will produce creative and innovative approaches to improving "the collective welfare

of the society" (Peters, 1996, 34). The model juxtaposes large bureaucracy "encumbered

by rules and arcane procedures" "used to control public organizations and the people

within them" (Peters, 1996, 34) and organizational culture imbued with the right values

and an entrepreneurial spirit capable to unleash creative powers of employees at all levels

of the organizations and win their commitment to achieve goals (Peters, 1996, 35). In this

model, a policy entrepreneur, positioned at the top of organizational hierarchy, generates

action throughout the entire organization (Peters, 1996, 35). Placing emphasis on

collective action is "a recognition that many of the most important problems facing society can only be solved collectively," which, "in turn implies a major role for the public bureaucracy" (Peters, 1996, 37). The accountability problem in this model is addressed by assuming that "the civil service is composed largely of dedicated and talented individuals who want to do as good as possible a job in serving the public" (Peters, 1996, 36).

Peters (1996) cautions that, along with merits, each of the presented alternative models of governance may also "impose some costs on society and on the actors in government" (Peters, 1996, 40). He argues that it is possible to make systematic choices among them:

- The market model should be used in policy areas involving the provision of inherently marketable goods with relatively few positive or negative externalities. Privatization of public services such as airlines, energy, and telecommunications appears "to correspond to that market logic" (Peters, 1996, 37), while education does not.

- The participatory model is best suited for two types of organizations: 1) those whose employees extensively interact with clients and can provide "intelligence concerning the success of programs in reaching their presumed targets" as well as the programs' impact on the targets and 2) those that have "a large number of professional employees who would be expected to bring substantial expertise to their jobs" (Peters, 1996, 37-38). Thus, this model is highly appropriate for urban planning and environmental issues and highly inappropriate for criminal justice programs (Peters, 1996, 40).

- The "flexible government" model is best suited for "situations in which the policy questions and the means of ameliorating any perceived problem are poorly defined" and managing is about networks and not traditional hierarchies. This model can also be suitable for situations requiring a high degree of coordination among organizations (Peters, 1996, 38), such as in war on drugs or during disaster relief (Peters, 1996, 40).

- Although many government programs can benefit from deregulation, especially purchasing and personnel services and those that "involve large-scale interactions with the private sector," "public programs that deal with the basic rights of citizens… should not be deregulated…" (Peters, 1996, 38).

"The Case for Bureaucracy"

While the "need to improve the capacity of governments at all levels to govern effectively" is pressing and paramount, the Winter Commission (1993, 65) urges that "we must never lose sight of the fundamentals. Our governmental system—though undoubtedly imperfect and often fractious—is a rich heritage. We can improve it. We must never weaken it."

"The traditional model of the public service and its role in government is… more than merely a rationalization for civil servants to make policy. It is also a statement of basic values about matters such as accountability and responsibility, on which the alternatives, and the market model in particular, have little to say" (Peters, 1996, 40). "While to critics the permanence of the bureaucracy is a severe problem, to its advocates it is the source of stability and reliability. It is also seen as the best means of ensuring that government can be held accountable for its actions" (Peters, 1996, 40)

The traditional, bureaucratic, model of government "builds on the best of classical bureaucratic theory, which dates from the Progressive Era and explains how we can make government bureaucrats powerful enough to do their jobs while not making them so powerful that they are unaccountable" (Kettl, 2009, 107). Because hierarchy, according to Kettl (2009, 108) at once creates and controls bureaucratic power, "Government's job was to be powerful enough to trump private power, when necessary—to prevent monopolists from imposing punishing costs on citizens, and to ensure that citizens received services that the private sector could not or would not provide."

Peters (1996, 39) sums up, "To some degree, the emphasis on management, political reliability of the civil service, the empowerment of staff and clients, and the flexibility all press toward an alteration of the tacit bargain that has existed among the participants in governance." The proliferation of new models of governance indicates that the notion of governance has outgrown the traditional view of being equated with government and is expanding to incorporate a new way of accomplishing public business—the so-called steering of society by many actors, public, private, and nonprofit (Morse, 2008, 80). Frederickson and Smith (2002, 222) define *governance* as "The lateral and interinstitutional relations in administration in the context of the decline of sovereignty, the decreasing importance of jurisdictional borders, and a general institutional fragmentation." Of a special importance for the theory and practice of public administration is "the declining relationship between political jurisdictions and public management" that "'disarticulates' the traditionally centralized link between government and the agents for public service provision" (Frederickson et al., 2002, 222).

Today, the two major problems of governance are, according to Kettl (2009, 179), "how to manage traditional services in a reliable and efficient way" and how to manage nonroutine policies and situations—"how to put the vending-machine and leveraged governance approaches side by side—to assign the right program to the right approach, to ensure that each works well, and to prevent one from interfering with the other." Government that we require today "is not one that sweeps away the old and replaces it with the new but one that governs through two interconnected systems: one for routine policies managed through hierarchies, the other for nonroutine problems governed through networks" (Kettl, 2009, 179). Agranoff (2006, 57) captured the essence of the situation well when he said, "…there is a premium on the ability to understand and function across boundaries, but this skill has not necessarily replaced the need for internal skills."

As Morse (2008, 81) indicates, stemming from the expanded conceptualization of governance is "a recognition that effective governance is a product of collaboration" followed by a "call for collaborative governance."

The transformation of the public sector is so profound that many observers identify it with a new phase in the development of public administration. Kettl (2005, 2000, 496) calls it "the global public management revolution" and argues that it "poses substantial challenges for public institutions and how we manage them." Moynihan and Pandey (2005), reviewing Frederick Mosher's account of the twentieth-century history of the U.S. public administration (*Democracy and the Public Service*, 1982), add to Mosher's two phases—government by the efficient (1906-1937) and government by

managers (1938 and up)—a third phase that has emerged in the 1980s. They call it

government by performance management. As Moynihan and Pandey (2005, 422) argue,

> This era reflects a fusion between the key values of the previous two, efficiency—now redefined more broadly as performance—*and* management. The expectation of this era is that the public sector demonstrate that it can perform well and consistently seek to change management systems in ways that foster performance. The concept of performance has become increasingly the central goal of public management…

This is evident in President Obama's Accountable Government Initiative directed

at making "government work better, faster, and more efficiently" (Zients, 2010, 1). Also,

many developed countries, including Great Britain, New Zealand and Canada, have

adopted similar initiatives, while developing countries are under considerable pressure

from multilateral and bilateral donors, such as the World Bank, Inter-American

Development Bank, Asian Development Bank, and African Development Bank, to

implement performance monitoring and evaluation systems (Hatry, 2006). As observed

by Moynihan and Pandey (2005, 422),

> The most frequent and widely adopted reforms of the last quarter century… that have incorporated pay-for-performance, total quality management, strategic planning, performance measurement, benchmarking, contracting out, increased managerial flexibility, and decentralization have consistently claimed the improved performance of the public sector as their ultimate goal. The clear assumption of these reform movements, whether classified as New Public Management (NPM) or reinvention, was that changes in management systems could and should be made in ways that enhanced performance.

The unprecedented sweep of the reforms notwithstanding, they have mostly been

unsystematic and devoid of clear vision, which may explain, to some degree, why so

many are dissatisfied with their results (Peters, 1996, 18). Kettl (2009, 164-165)

summarizes those results in the following commentary:

> We had tried to shrink the number of government employees and agencies, but September 11 prompted the creation of a mammoth new department supported by

170,000 new employees. We have vastly increased the amount of government contracting to restrain the growth of government, but government does not feel much smaller. Rather than limiting government's reach, these strategies extended it… Instead of privatizing the public sector, we have governmentalized the private sector…

The pace of public action has changed fundamentally as well… Many of the twenty-first century's problems have emerged quickly with little warning, have swamped government's capacity to respond, and have produced irresistible demands from citizens for solutions. The combination of the twenty-four-hour news cycle, the existence of multiple news networks…, and the rise of blogs and other forms of viral electronic communication have made it possible for problems to explode out of nowhere…

We rely on government agencies to solve problems, but no single government agency can possibly hope to manage or solve any big problem that matters. The pace with which big problems emerge now demands quicker solutions, and citizens have new ways of creating and feeding a community of outrage when government's response is slow or ineffective. The result is a growing imperative for effective responses for inescapable problems. Too often, government is unprepared for the speed with which new problems emerge, the need to launch quick solutions, the capacity required to make those solutions work, and the ability to create transparent and accountable governance.

The Manager's New Role

Since Taylor's time and motion studies at the turn of the twentieth century, the

manager's role has, too, undergone significant transformations, largely driven by "the

emergence and maturation of the knowledge worker role" (Davenport, 2001, 43). With

the rise of the knowledge worker, many familiar assumptions about management (e.g.,

management is a separate activity from the rest of work; managers can observe and easily

measure workers' performance; workers are selfish and looking to maximize their own

success, while managers have interests of the broader organization in mind; as a process

requiring a higher level of conceptual capabilities, management is superior to and more

valuable than nonmanagerial work; managers think, workers do) make little or no sense

(Davenport, 2001, 42-43). Davenport (2001, 43-44) argues:

Because knowledge is an invisible asset that resides largely in the minds of human beings, management can no longer be about close observation and

monitoring. Because knowledge work can and is done by managers as well as workers, strict separations between worker and manager no longer make sense. Because knowledge work has become the key to growth and differentiation in today's economy, the differential in cost and value between knowledge work and management has decreased. Management in the "knowledge economy" is a different game with different rules.

According to Peter Drucker (1969), a key aspect of "management's new role" is to "make knowledge more productive" (in Davenport, 2001, 43). In the context of deemphasized hierarchies and the subsequent diminishing role of the formal authority derived from hierarchy, it places a new emphasis on professional expertise in influencing and leading workers through gaining their respect (Davenport, 2001, 48).

Building followers' trust is another aspect associated with managers' new role. In order to address arising challenges, public managers "must forego the supervising, disciplining, second-guessing and double-checking that have for so long passed for leadership and begin the coaching, benchmarking, listening, mentoring, and championing that new times and a new type of job-motivated employee demand" (The Winter Commission, 1993).

Propositions Based on Chapter Two

P2:   The appeal of competency-based leadership/management models, stemming from their philosophical straightforwardness and simplicity and from their practitioner- and action-orientation, positions them as a strong contender to fill the void in the current reform movement in terms of leader selection, promotion, and development.

P3:   Existing public-sector competency models will have competencies representing all five models of governance, with fewer competencies pertaining to the traditional bureaucratic model.

P4:   Existing public-sector competency models will have competencies emphasizing professional expertise and other competencies associated with the manager's new role.

Chapter Three – Leadership Literature Overview

Setting the Stage

Fairholm observes, "Leadership is a seminal idea in organizational life. It shapes our present, determines our future, delimits our actions, and marks out our place among peers" (2011, 25).

In this chapter I review theoretical approaches to leadership to establish their relevance to the ongoing debate on leadership effectiveness, in particular, the effectiveness of competency-based approaches to leader training, development, and promotion.

Leadership as a philosophical and theoretical field has generated an abundance of theories, and yet the very scholars who study the phenomenon acknowledge that its illusive nature escapes them (Rost, 1991; Yukl, 2010). Thus, Burns (1978, 1) argues, "…we know far too little about *leadership*. We fail to grasp the essence of leadership that is relevant to the modern age." Bennis' (1959, in Rost, 1991, 19) critique is even more passionate:

> Always, it seems, the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity. So we have invented an endless proliferation of terms to deal with it… and still the concept is not sufficiently defined.

This helps explain practitioners' dissatisfaction with the concept they think is irrelevant as it "does not deliver a consistent message that is meaningful to them" (Rost, 1991, 91).

In Jacobs' (1970, in Rost, 1991, 19) opinion, "Perhaps the greatest weakness in the leadership literature has been the striking lack of precision in the use of the term 'leadership'," and this bring us to the problem of leadership definition.

Problem of Defining Leadership: "I Know Leadership When I See It"

As a broad and complex phenomenon, leadership has been defined numerous times and in varying ways. It "has been defined in terms of individual traits, behavior, influence over people, interaction patterns, role relationships, occupation of an administrative position, and perception by others regarding legitimacy of influence" (Yukl, 1994, 2).

Leadership has also been defined as a process that can be carried out anywhere, and not just by those in top positions. As Kouzes and Posner (2001, 82) argue, "Leadership involves skills and abilities that are useful whether one is in the executive suite or on the front line, on Wall Street or Main Street, on college campuses, community corners, or corporations."

Rost (1991, 5) insists that it is not enough to conceive of leadership as a process: there must be an understanding that this process is a dynamic relationship between leaders and their followers. He (1991, 98) argues that the reality leaders and followers face in their organizations or society is so complex that in an effort to capture some of its complexity, leadership scholars and practitioners alike have been trying to develop a reality-based understanding of leadership in groups, organizations, and societies at least since 1910 (99). Thus, while not denying that there might be some distinguishing personality traits that make some individuals more likely to be leaders than others, Selznick (1957, 22) defines leadership as a function—a *kind of work done to meet the needs*—of a social situation, thus relating leadership patterns (that are relatively few) to specific *types* of social situations (23).

Jacobs (1970), the author of the exchange theory of leadership, provided a definition of leadership that is relevant to the topic of my research and appeals to me personally. In my view, it provides concrete theoretical links between leadership and the concept of competencies. Jacobs writes, in particular (in Rost, 1991, 60):

> Leadership is taken as an interaction between persons in which one presents information of a sort and in such a manner that the other becomes convinced that his outcomes (benefits/costs ratio) will be improved if he behaves in the manner suggested or desired.
>
> Communication skills are more important in leadership as here defined, than in influence attempts based on either power or authority, because its essence is the development of a new state of knowledge, belief, or attitude in the target of the influence attempt… In the present system, the key distinction in the exercise of influence through leadership is the recognition that the influence recipient has the option of deciding for or against compliance with the leader's wishes, without incurring coercive penalties.
>
> …leadership depends on the competence of the leader at the task at hand, on his ability to understand the motives of his followers in order to provide convincing evidence of the desirability of an act that he desires, and on his tolerance for counter-influence attempts. He will probably be more influential as a leader if his personal characteristics, whatever they may be… increase his capacity to be admired by his followers…
>
> It is probable that the ability to lead must be based on the competence to make some kind of unique contribution to the success of the group being led. It appears, then, that leadership is a transaction between the leader and the group.

As seen from these passages, Jacobs distinguishes leadership from power[2] and authority.[3] He also emphasizes that it is important to distinguish behaviors associated with each of these concepts (Rost, 1991, 61).[4]

Jacobs' definition of leadership would be incomplete, though, without adding to it the transforming aspect of the leader-follower relationship. In Burns' (1978, 20) reconceptualization of leadership as a transformational process,

> one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality. Their purposes, which might have started out as separate but related… become fused. Power bases are linked not as counterweights but as mutual support for common purpose…
> …transforming leadership ultimately becomes moral in that it raises the level of

human conduct and ethical aspiration of both leader and led, and thus it has transforming effect on both.

Although Burns did not spell out the concept of intended change, this concept is a cornerstone of his definition of leadership (Rost, 1991, 113). Thus, Burns argued:

> The leadership process must be defined… as carrying through from decision-making stages to the point of concrete changes in people's lives, attitudes, behaviors, institutions… Leadership brings about real change that leaders intend… (1978, 414).

And later on: *"The ultimate test of practical leadership is the realization of intended, real change that meets people's enduring needs"* (1978, 461).[5]

Also worth mentioning is Fairholm's (2011) definition of leadership. He conceives of leadership in a broad, philosophical way. For him, leadership is a mechanistic system, philosophy of group life, an aspect of the relationship between people (2011, 36). He (2011, 37) writes,

> This philosophical perspective frees us of the notion that leadership is positional or the result of kinship. It allows us to view leadership as a more pervasive factor in organizations and in life because it is not inextricably tied to position. This viewpoint takes into account that leadership is more widespread in organizations—seen in operation at all levels of the hierarchy even at the lowest levels. It is a function of attitudes, values, and aspirations of all work community members, not just one—the leader. A philosophical perspective moves the discussion from routine task-oriented approaches to give attention to interactivity. It allows us to consider creativity and flexibility as well as the need for inherent order. The approach is inspirational rather than merely mechanistic. The elements of the leadership interrelationship deal with values, morals, spirituality, culture, inspiration, motivation, needs, wants, aspirations, character, hopes, desires, influence, power and the like. The search for this more holistic approach is the study of what leadership really is.

The focus of this approach is on what a leader is, what a leader does, how a person can become one, and who a leader may be (Fairholm, 2011, 36). Incidentally, this is also a focus of this theoretical exploration.

Theoretical Approaches to Leadership

In his critique of leadership research, Yukl (1994) points out at the narrow focus and methodological one-sidedness of leadership studies that have led to a situation in which almost all of this research can be classified as belonging to one of the four approaches: (1) trait approach; (2) behavior approach; (3) power-influence approach; and (4) situational approach. Exceptions can only be made for research in participative leadership, charismatic leadership, and leadership in decision groups, as these lines of research cut across two or more approaches (11). This may well be explained by Fairholm (2011, 27), who argues, "Leadership theories, operational models and examples, and the language of leadership have been borrowed from management theory and have strained that theory until neither management nor leadership is well served."

These and other approaches will be discussed briefly below.

Trait Theory of Leadership

Fairholm (2011, 94) indicates that theories focusing on who the leader is belong to the first-generation leadership research. According to Kirkpatrick and Locke (1991, 48), "Few issues have a more controversial history than leadership traits and characteristics." Having originated in the 19th and early 20th centuries (Kirkpatrick et al., 1991, 48) out of biographical studies of prominent public figures (Denhardt et al., 2008, 173), trait theory sought to identify those innate characteristics that made them natural leaders (Yukl, 1994, 12) and distinguished them from "mere mortals." "Great men are born, not made" succinctly expressed the school's early philosophy. Callahan, Whitener, and Sandlin (2007) indicate that earliest attempts to understand why some people emerged as leaders and others did not can be found throughout ancient and medieval

history, from early Chinese texts (e.g., the works of Lao-Tzu) to Greek epics (such as Homer's *Iliad*), to Machiavelli's *The Prince* (149).

Early in the 20th century the "great man" aspect was abandoned and the approach focused on studying *traits—*or *broadly defined personal characteristics such as capacities, motives, or patterns of behavior*, without making assumptions as to whether they were inherited or acquired; the assertion simply was that leaders possessed different characteristics than non-leaders (Kirkpatrick et al., 1991, 48).

In 1948, Ralph Stogdill—one of the first and most consistent critics of the approach—analyzed 124 studies of leadership traits conducted between 1904 and 1947 (Denhardt et al., 2008, 173). Because his synthesis did not reveal any traits universally associated with effective leadership, and especially did not support a popular assumption of that time that physical characteristics such as height, weight, age, and appearance were important attributes of success but, at the same time, highlighted the influence of situational factors, he concluded, "A person does not become a leader by virtue of the possession of some combination of traits" (Kirkpatrick et al., 1991, 48-49; Denhardt et al., 2008, 173).

Still the research findings suggested that successful leaders did differ from the rest in several ways, in particular, they tended to be more reliable, more active in social situations, and more capable of organizing and generating cooperative behavior in others (Denhardt et al., 2008, 173). They also possessed intelligence, alertness to the needs of others, and insight into situations "further reinforced by such habits as responsibility, initiative, persistence, and self-confidence" (Stogdill, 1948, in Denhardt et al., 2008, 173). At the same time, Stogdill emphasized that these characteristics were only relevant

in relationship to a group, organization, or "followers," and that "the nature of that relationship is more determining of the pattern of leadership than is the possession of certain traits" (Denhardt et al., 2008, 174). Therefore, "leadership is determined not by possession of certain traits but rather through a relationship between the leader and members of a group 'in which the leader acquires status through the active participation and demonstration of his capacity for carrying tasks through to completion'" (Denhardt et al., 2008, 174).

In 1974, Stogdill did another meta-analysis, this time of 163 studies that appeared after 1947. His analysis yielded a number of characteristics that distinguished leaders from others, successful leaders from failed leaders, and higher-level leaders from lower-level leaders (Denhardt et al., 2008, 174). These characteristics are as follows:

- A strong drive for responsibility and task completion;
- Considerable vigor and persistence in the pursuit of goals;
- Creativity and originality in problem solving;
- The exercise of initiative in social situations;
- Self-confidence and a strong sense of personal identity;
- Willingness to accept the consequences of their decisions and actions;
- A capacity for absorbing stress;
- A willingness to tolerate frustration and delay;
- The ability to influence the behavior of others; and
- A capacity to organize groups to achieve the purpose at hand (Denhardt et al., 2008, 174).

Contemplating the reasons why early trait research had failed, Yukl (1994) indicates its "lack of attention to intervening variables in the causal chain that could explain how traits could affect a delayed outcome such as group performance or leader advancement." He argues, "The predominant research method was to look for a significant correlation between individual leader attributes and a criterion of leader success, without examining any explanatory processes" (12).

Denoting the resurgence of interest toward trait theory in recent years, Callahan et al. (2007, 149) consider it a "recognition of the fundamental importance of traits in understanding effective leadership" and traits' "important role in the development of full-range leadership theories." They indicate that among the traits repeatedly cited as being associated with leader emergence are intelligence, sociability, determination, self-confidence, and integrity (Callahan et al., 2007, 149). On the other hand, Mello (1999) believes that the recent interest in trait theories is due to a new focus—on subordinate perceptions about leadership characteristics.

One of the most noticeable among the latest trait research is the work done by Kirkpatrick and Locke (1991), who have identified six "core" traits on which leaders differ from non-leaders. They are:

- *Drive*, including:

    - *Achievement motivation*. Need for achievement drives effective leaders to successfully completing challenging tasks, attaining standards of excellence, and developing better ways of doing things, usually at an unrelenting pace. This propels the leader to work their way up to the top of the organization; allows to gain technical expertise, both through education and work experience; and to initiate and follow through with organizational change.
    - *Ambition*. Effective leaders are more ambitious than nonleaders. A desire to get ahead and succeed, so strong that it is called "dogged determination" or "inexhaustible ambition," impels leaders to set challenging goals for themselves and their organizations.
    - *Energy*. Having energy is important for getting ahead at an unabating speed and for sustaining high achievement. To endure working long hours for years, an individual must have "physical, mental, and emotional vitality." Therefore, leaders differ from nonleaders in that they have higher energy levels, more stamina, are generally more active and even restless. People use attributes "electric, vigorous, full of life," as well as "possessing physical vitality" in describing such leaders. As the pace of our life is ever increasing the need for this quality in our leaders is also increasing.
    - *Tenacity* helps leaders to overcome obstacles. It also implies the "capacity to work with distant objects in view" and possessing a "degree of strength

of will or perseverance," which is important as sometimes years pass before the benefits from organizational change are seen. Therefore, they must be persistent to ensure that changes are institutionalized. At the same time, this quality must be used intelligently, as a "dogged pursuit of an inappropriate strategy can ruin an organization."

- *Initiative*. Instead of reacting to things already happening, effective leaders are proactive in making choices and taking action leading to change (1991, 49-56).

Pure drive, however, can result in managers who will try to accomplish everything alone at the expense of developing subordinate commitment and responsibility. Therefore, it must be mitigated by leaders wanting to also lead others.

o *Leadership Motivation* involves strong desire to influence and lead others and is often equated with the need for power. Bennis and Nanus (2003, 17) call power "a leader's currency," or the primary vehicle through which the leader gets things done in the organization. At the same time, the leader views power as an "expendable pie," not a fixed sum, "something that can be created and distributed to followers without detracting from their own power." This trait is often accompanied by the willingness to assume responsibility. Need for power can also be understood as dominance. McClelland (1965; in Kirkpatrick et al., 1991, 53) distinguishes between two different types of dominance: personalized power motive, or power lust, power as an end in itself, and socialized power motive, or the desire to lead. Here power is the means to achieving desired goals and a vision for the benefit of the entire organization. It is "expressed as the ability to develop networks and coalitions, gain cooperation from others, resolve conflicts in a constructive manner, and use role modeling to influence others." Leaders possessing socialized power motive take into account follower needs and help

develop empowered, independent followers (McClelland, 1965; in Kirkpatrick et al., 1991, 53).

o *Honesty and Integrity* means being truthful and acting according to one's word "form the foundation of a trusting relationship between leader and followers." Effective leaders combine openness with followers and discreteness at the same time. They are credible and with blameless reputations. As Kouzes and Posner (in Kirkpatrick et al., 1991, 54) put it,

> Honesty is absolutely essential to leadership. After all, if we are willing to follow someone, whether it be into battle or into the boardroom, we first want to assure ourselves that the person is worthy of our trust. We want to know that he or she is being truthful, ethical, and principled. We want to be fully confident in the integrity of our leaders.

o *Self-Confidence*. A leader "riddled with self-doubt" will never be able to fulfill his/her responsibilities "nor command the respect of others." This trait plays an important role in decision making and in gaining followers' trust. Equally important are perceptions of others regarding the leader's self-confidence. When a self-confident leader makes a mistake, he/she admits it and thinks of it as of a learning opportunity.

o *Emotional Stability*. The leader's ability to stay even-tempered is especially important when resolving an interpersonal conflict or representing the organization. As Labich (1988) underscores, "By demonstrating grace under pressure, the best leaders inspire those around them to stay calm and act intelligently" (in Kirkpatrick et al., 1991, 55).

o *Cognitive Ability*. According to Kotter (in Kirkpatrick et al., 1991, 55), "a keen mind" (analytical and strategic thinking and a sound judgment) is necessary for

effective leadership, as is "above average intelligence" (but not a genius). Followers may look for this trait in leaders. As Kirkpatrick and Locke (1991, 55) explain, "If someone is going to lead, followers want that person to be more capable in some respects than they are. Therefore, the follower's perception of cognitive ability in a leader is a source of authority in the leadership relationship."

o *Knowledge of the Business*. Effective leaders possess extensive knowledge about the organization, industry, and technical matters, which allows them to make well-informed decisions and to understand their implications. Likewise, their technical expertise helps them address subordinates' concerns regarding technical issues. Kotter (in Kirkpatrick et al., 1991, 55) argues that it is even more important than former education.

Kirkpatrick and Locke (1991, 56) also discuss three more traits "with less clear-cut evidence of their importance to leadership:"

o *Charisma*, which may be important only for political leaders;

o *Creativity/originality*, which, as they argue, lacks consistent research demonstrating its relevance; and

o *Flexibility* or *adaptiveness*, which, they feel, should be important in today's turbulent environment but, again, lack research to prove it.

Van Wart (2005) considers such master lists of traits as a "useful starting point for thinking about the types and qualities of behaviors that are typically significant" (311). On the other hand, he indicates that the theory is silent as to when these traits are critical and when they can be omitted (2005, 311).

Accordingly, Stogdill's overall conclusion has been that personality traits are indeed important in identifying leaders among the rest of us, but only within social situations in which personality interactions take place (Denhardt et al., 2008, 174). In a similar vein, Kirkpatrick and Locke (1991, 56-57) state that "traits only endow people with the potential of leadership." "To actualize this potential," traits should be complemented by skills,[6] vision,[7] channels to communicate it to followers, e.g., inspirational speeches, appeals to shared values, acting as a role model, etc., and, finally, ways to implement it through follower motivation, selection and training.

In recent years, the debate on the innate vs. acquired quality of traits has been replaced by the discussion of their trainability in the context of expediency of "growing" vs. "buying" leaders. Thus, Kirkpatrick and Locke (1991, 58) argue that cognitive ability is the least trainable of (the six) traits; drive stays fairly constant over time but is more pronounced in employees who have been given autonomy and responsibility. As to the desire to lead, it is less pronounced in new hires and more observable in lower levels of management. Knowledge of the industry and technical knowledge can be developed through experience and training and facilitated through job rotation, while an individual's growth in task-specific self-confidence parallels his/her growth in knowledge. Lastly, Kirkpatrick and Locke (1991, 58) believe that honesty "is a virtue one achieves or rejects by choice." That is why having role models is important. In any organization, "the key role models for honest behavior are those at the top. On this issue, organizations get what they model, not what they preach" (Kirkpatrick et al., 1991, 58).

Trait theory's assumption that traits can be developed (to a degree), even if they are not initially present in the individual (Denhardt et al., 2008, 173, 180) (as well as

eradicated or suppressed) has important implications for my research on competency-based models of leadership development.

Theory of Human Motivation

Theory of human motivation shifts the focus from traits to other determinants of human action, namely, motives. McClelland (1987) extensively studied and described three major motive systems: the *achievement motive*, the *power motive*, and the *affiliation motive*,[8] their interplay and their relationship to leadership effectiveness, among other things. Thus, with regard to power, McClelland argued that using it brings people emotional satisfaction. He distinguished two types of people with a high need for power: those who try to satisfy it in socially acceptable ways, such as influencing others to pursue a worthy cause or by channeling their energies into developing subordinates; and those who satisfy their need for power by dominating and suppressing those around them (Yukl, 2010, 194). These two types of power represent, respectively, *socialized* and *personalized power orientations*. With regard to the achievement motive, McClelland discovered that it has a curvilinear relationship with leadership: high achievers may undermine their leadership potential by being too competitive or not being able to delegate (Van Wart, 2005, 103). What concerns the need for affiliation, a person in whom this need is strong, will try to seek approval and acceptance by others and would prefer working with others in friendly teams (Yukl, 2010, 194). A projective technique developed to measure the strength of the motives is called Thematic Apperception Test (TAT) (Yukl, 2010, 193).

Stogdill's "suggestion that leadership is determined through the interaction of leaders and situations led researchers to consider the *behavior* of leaders" (Denhardt et

al., 2008, 174) or, as Fairholm (2011) put it, what leaders do, hoping that the new focus will help them "discover clearly identifiable behavioral patterns associated with successful leadership action" (Fairholm, 2011, p 96-97).

Behavior Approach

All research on leadership behavior is divided into two categories: one is devoted to describing typical activity patterns in managerial work while another focuses on discovering effective leadership behavior. Within each of these categories are two subcategories based on two different assumptions. One assumption purports that there are universal theories of leadership styles, and the other views leadership as the result of the interactions between the leader and the situation in which they lead.

<u>Descriptive Research on the Nature of Managerial Work</u>

First behavioral research—largely a result of dissatisfaction with trait theory—started as descriptive research on the nature of managerial work (Yukl, 1994, 20). On the one hand, it pursued the discovery of "the one best way"—"typical patterns of managerial activities and roles common to all types of managers" (Yukl, 1994, 20)—forever epitomized in Gulick and Urwick's (1937) famous anagram POSDCORB;[9] on the other hand, it attempted to identify "variations in the patterns of managerial activities and behavior for different types of managers," relating these variations "to the unique role requirements of the situation" (20).

According to Van Wart (2005), descriptive research was heavily influenced by classical management theory with its search for universal prescriptions of ideal management practices and heavy reliance on analytic skills (308-309). Scientific management's "focus on work analysis and efficiency at the worker and unit level" and

the management principles approach's emphasis "on the role of mid- and senior-level managers in organizing rationally at a higher level" (Van Wart, 2005, 309) is reflected in the criteria that underlie descriptive research.

A well-known classification in the managerial content category is Mintzberg's (1973) taxonomy of managerial roles. Mintzberg grouped all activities he observed while studying executives into ten managerial roles, and did it in such a way that each activity could be defined in terms of at least one role (Yukl, 1994, 29). Table 1 provides an overview of Mintzberg's taxonomy.

Having demonstrated that managers need expertise beyond technical and a wide range of skills, Mintzberg provided a more sophisticated picture of managerial work. At the same time, his behavioral orientation notwithstanding, as Fairholm (2011, 50) argues, "intellectually and operationally it is still fully in the orbit of scientific management and see the manager in terms of managerial control of people, things, and processes and focused fully on productivity."

Narrowing focus from general to specific, Rosemary Stewart's (1982) Theory of Demands (what managers must do), Constraints (organizational and external-environmental factors that limit what managers can do), and Choices (what managers may, but are not required to, do) identifies "unique role requirements that are specific to a particular type of managerial position in a particular type of organization" (Yukl, 1994, 32). According to Stewart, these three components produce different patterns of relationship, work, and exposure for different types of jobs—depending on the type of organization and the nature of the work—and thus shape the nature of the managerial job

and strongly influence a manager's behavior (Yukl, 1994, 32-35). Stewart's model is part

of research on situational determinants of leader behavior.

Table 1: Mintzberg's Managerial Roles

		Managerial Role
Type of Behavior	**Interpersonal Behavior**	**Figurehead Role.** As a consequence of their formal authority, managers must perform certain symbolic duties that are usually of marginal relevance to the job of managing: signing documents, presiding at meetings and ceremonial events, participating in rituals, and receiving official visitors.
		Leader Role. This role pervades all managerial activities as managers must ensure that their unit functions as an integrated whole in the pursuit of the unit's/agency's basic purpose; however, hiring, training, directing, praising, criticizing, promoting, and dismissing are expressly concerned with the leader role.
		Liaison Role. It encompasses behaviors resulting in establishing and maintaining a web of outside relationships with individuals and groups that are considered to be vital sources of favors and information.
	Information Processing Behavior	**Monitor Role.** One way (out of three) of handling/processing information that managers receive from different sources – reports, memos, briefings, meetings, observational tours, etc. The information is analyzed to discover problems and opportunities, and to develop an understanding of outside events and internal processes within the manager's unit.
		Disseminator Role. While receiving information from sources unavailable to subordinates, managers pass on to them some of this information either in its original form or after editing.
		Spokesman Role. Managers are expected to transmit information and express value statements to people outside their organizational subunits and to act as lobbyists and public relations representatives of their subunits before their superiors and outsiders.
	Decision-Making Behavior	**Entrepreneur Role.** Seeking opportunities for improvement, a manager acts as an initiator and designer of controlled/planned change in the form of improvement projects (new product development, purchase of equipment, or reorganization).
		Disturbance Handler Role. Managers play this role when they deal with sudden crises caused by unforeseen events (unplanned change). They typically give this role priority over all of the others.
		Resource Allocator Role. In this role managers exercise their authority to allocate resources (money, personnel, material, equipment, facilities and services) through managerial decision making, budget preparation, etc. Retaining the power over resource allocations, the manager maintains control over strategy formation and acts to coordinate subordinate actions in support of strategic objectives.
		Negotiator Role. In negotiations requiring a substantial commitment of resources (e.g., with unions regarding labor-management contracts or grievances; employment negotiations; supplier contracts, etc.) managers use their authority to make such commitments.

Source: Yukl, 1994, 29-31.

As Yukl (1994) pointed out, the descriptive research reveals "the typical pattern

and content of managerial activities" but tells us nothing whether these activities are

essential for managerial effectiveness. It also does not shed light on those characteristics and behaviors that distinguish between successful and unsuccessful managers (Behn, 1993, 43). By Mintzberg's (1973, 3) own admission, his "is not a book about what effective managers do" (in Behn, 1993, 43). Therefore, the main purpose of this research is "to facilitate development of compensation systems, selection procedures, and performance appraisal procedures, not to determine how managerial behavior is related to criteria of managerial effectiveness" (42).

The Ohio State Leadership Studies

The earliest studies of effective leadership behavior were conducted in late 1940s by a group of Ohio State University researchers who surveyed people in subordinate positions in the military, educational and industrial settings to describe the behavior of their leaders (Denhardt et al., 2008, 174). The results of the questionnaire revealed that subordinates perceived their leader's behavior primarily in terms of two dimensions (or behavior content categories): *consideration* (the degree of a leader's friendliness toward, and support of, his/her subordinates, as well as the degree of his/her concern for their welfare) and *initiating structure* (the degree to which a leader defines his/her own role and the roles of subordinates in the attainment of the group's formal goals, as well as the extent to which he/she organizes the group's work toward that end) (Yukl, 1994, 54). The combination of these two relatively independent behavior categories (that are very similar to what we nowadays call relationship- and task-oriented behaviors, respectively) produced four leader behavior types: leaders high on consideration and low on initiating structure; leaders high on initiating structure and low on consideration, leaders high on

both, and, finally, leaders low on both. Most real-life leaders fall along a continuum between the extreme high and low scores (Yukl, 1994, 54).

Consideration and initiating structure also represent two leadership values systems, *democratic* and *autocratic*, respectively. While the democratic leader is minimally engaged in supervision, the autocratic leader relies on authority to demand follower compliance. These two styles present two opposite ends of a continuum, along which most leaders can be found (Fairholm, 2011, 97).

In terms of limitations, the Ohio State studies are based on retrospective behavior description questionnaires with fixed-response formats. As instruments of measuring behavior that occurred some time ago, they are susceptible to bias and error. Respondents may not remember, or may not have noticed, the behavior at the time of its occurrence, causing an error in accuracy. Similarly, personal likings or dislikings of the leader can skew the responses (Yukl, 1994, 55-57).

The Michigan Leadership Studies

Conducted approximately at the same time as the Ohio State studies, research on leadership behavior at the University of Michigan focused on studying the relationships among leader behavior, group processes, and measures of group performance. Based on a series of field studies that compared relatively effective and relatively ineffective managers as determined by some objective measures of group productivity, the research revealed some interesting differences in managerial behavior (Yukl, 1994, 59):

- o Task-oriented Behavior (appears to be similar to initiating structure). The functions performed by more effective managers in this category included planning and scheduling the work; coordinating subordinate activities; providing

supplies, equipment, and technical assistance; and guiding subordinates in setting

performance goals that were high but realistic (Yukl, 1994, 59).

o   Relationship-oriented Behavior (appears to be similar to consideration). Such

functions as showing trust and confidence, acting friendly and considerately,

demonstrating concern for subordinates and their problems, helping to develop

subordinates and further their careers, keeping them informed, encouraging them

to express their ideas, and providing recognition for subordinate contributions

and accomplishments were found to be correlated with effective leadership.

Overall, effective managers in this category tend to provide general supervision

(establishing goals and guidelines for subordinates but giving them some

autonomy as to how to do the work and pace themselves) rather than close

supervision (Yukl, 1994, 59-60).

o   Participative Leadership. The essence of this type of leadership behavior is in

that rather than supervising each subordinate separately, managers supervise

groups. They do it primarily by facilitating subordinate participation in group

meetings by guiding the discussion toward problem solving, conflict resolution,

improving communication, promoting cooperation and supporting subordinate

decision making. Participative leadership does not mean, however, that the leader

should abdicate his/ her responsibilities—he/she still remains responsible for all

decisions and their consequences (Yukl, 1994, 60).

   The research also revealed that organizational structure might be related to leader

effectiveness (Fairholm, 2011, 97).

Critical Incident Research

The critical incident approach bridges descriptive research on what managers do and research on what constitutes effective leadership behavior (Yukl, 1994, 61). The underlying assumption behind this type of research is that it is possible to collect descriptions of effective and ineffective behavior for a particular type of manager (a military officer, a production supervisor, or a retail store manager) from different types of respondents: the manager's subordinates, peers, and superiors. These descriptions are called behavior incidents, and the methods used to collect them are interviews or open-ended questionnaires from a large sample of respondents (Yukl, 1994, 61). As Yukl (1994, 61) points out, "Critical incidents are especially useful in exploratory research designed to examine specific, situationally relevant aspects of managerial behavior."

Critical incident research has produced the following synthesis of leader behavior types:

- o Planning, coordinating, and organizing operations;
- o Supervising subordinates (directing, instructing, and monitoring performance);
- o Establishing and maintaining good relations with subordinates;
- o Establishing and maintaining good relations with superiors, peers, and outsiders;
- o Assuming responsibility for observing organizational policies, carrying out duties, and making necessary decisions (Yukl, 1994, 61).

A modification of this approach is used in competency-based research.

From the early1960s, the development of leadership theories proceeded in what became known as the transactional approach (Van Wart, 2005, 312). And although this approach inherited the closed-system perspective of the early management theories, it also incorporated the human relations school's focus on worker needs and motivation and

their impact on productivity, retention, and decision making (Van Wart, 2005, 312). It also ended "the extreme reliance on a top-down managerial philosophy" and expanded the "repertoire" of leadership styles to include, besides directive, supportive styles as well (313).

Having sprung from descriptive research on the nature of managerial work, leadership theory finds itself in an identity crisis of sorts which takes the form of the ongoing debate on whether management and leadership are the same. Rost (1991, 76-77) argues that the perception of leadership as management and vice versa reflects the reality of the industrial age in which leadership theorists lived and worked from the first decade of the twentieth century through the 1980s (93). He further indicates that with the addition of the human relations school, the central theme of leadership literature became leader as good manager, therefore, the basic distinction between leadership and management became that leadership was not any management, it was *good management*. He (1991, 94-95) sums up:

> Leadership as good management is the industrial paradigm of leadership…
> Analyzed individually and in toto, the leadership definitions … [of that period]
> reveal a fundamental understanding of leadership that is rational, management
> oriented, male, technocratic, quantitative, goal dominated, cost-benefit driven,
> personalistic, hierarchical, short term, pragmatic, and materialistic.

Universal Theories of Effective Leader Behavior

Universal theories of effective leader behavior try to identify leadership styles that would be optimal in all situations.

The most prominent among them is the so-called "high-high" leader theory that postulates that effective leaders are both task- and people-oriented (Yukl, 1994, 62). Its most popular version—the managerial (or leadership) grid—first appeared in the 1960s

and underwent a number of revisions ever since (Denhardt et al., 2008, 175). It is based

on two factors—concern for people (as seen in a focus on job satisfaction, working

conditions, or remuneration) and concern for production (often demonstrated with a focus

on results, performance, or "bottom line") —and, according to its authors, Blake and

Mouton, highly effective managers show a high concern for both (Yukl, 1994, 62;

Denhardt et al., 2008, 175). The theory is called managerial grid because schematically it

depicts concern for production/results as a horizontal axis and concern for people as a

vertical one with five leadership styles located between them (Van Wart, 2005, 314).

Figure 1: The Leadership Grid
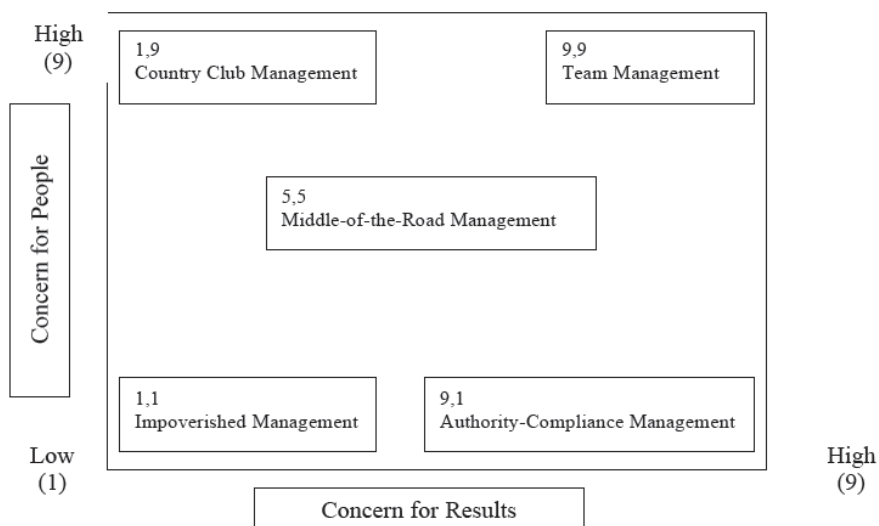
Source: Callahan et al., 2007, 150.

The Grid Styles of Leadership (Callahan et al., a, 150):

o *Country Club Management*—almost exclusive focus on the human relationship

needs of workers, resulting in a comfortable and friendly work environment that

may or may not result in operational productivity;

o *Team Management*—a high focus on both human relationships and task

productivity;

- *Middle-of-the-Road Management*—a moderate focus on both concern for people and concern for results;

- *Authority-Compliance Management*—a focus on operational efficiency while ensuring that human relationship issues are minimized;

- *Impoverished Management*—a lack of focus on either human relationships or task productivity.

In his critique of the "high-high" approach, Yukl (1994, 64) writes that a leadership theory can have both universal and situational aspects. The apparent universal aspect of the "high-high" theory is "the value orientation used by a high-high manager to select appropriate behavior" – not a particular behavioral pattern automatically applicable in all situations. The situational aspect of this theory is the idea that only behavior relevant to a particular situation is effective. Its authors, however, never developed any specific propositions about the appropriate leadership behavior for different situations (Yukl, 1994, 64). In this lies the theory's biggest weakness. Nevertheless, the theory has value as a heuristic framework and as an "overarching ideal of management behavior" (Van Wart, 2005, 315).

In summary, all perspectives on effective leadership behavior view it as a combination of two types of behavior: task-oriented and relationship oriented, which, according to Yukl (1994, 65) "may be distinct conceptually, but in practice any behavior incident has implications both for the task and for relationships." He explains:

> Managers are overloaded with demands and must ration their time and select relevant behaviors. Effective managers act in ways that accomplish multiple objectives and solve related problems. Thus, we would expect an effective manager to select behaviors that accomplish task and relationship concerns simultaneously whenever possible (1994, 65).

At the same time, Yukl (1994, 65) contends that though concern for task and concern for relationships are important qualitative aspects of managerial behavior, it is not sufficient to simply classify behavior in terms of these two dimensions, without giving any consideration to the behavior's specific functional content.

By comparing major behavior taxonomies, Yukl (1994, 67) discovered that, differences in scope and level of abstraction notwithstanding, there is enough convergence among them to create an integrating taxonomy. Thus, his taxonomy, the first version of which appeared in 1989, has fourteen middle-range (as a comparison, task- and relationship-oriented behaviors are broad, abstract categories) behavior categories called "managerial practices"[10] comprised of even a bigger number of specific component behaviors (69) (Their definition/descriptions are provided in Appendix A). Similarly, although some managerial practices are more concerned with the task (as, for example, planning and organizing) and some, with relationships (team building), there is at least one component behavior in each of them that is concerned both with task and people (70).

The fourteen managerial practices can be related to what Yukl (1994, 70) calls the four primary processes in management: *making decisions*, *influencing people*, *building relationships*, and *exchanging information* (See Figure 2).

According to Yukl (1994, 70), the integrating taxonomy can be especially useful in organizing research on the relationship of specific leadership behaviors to various criteria of leader effectiveness.

Figure 2: Integrating Taxonomy of Managerial Behavior

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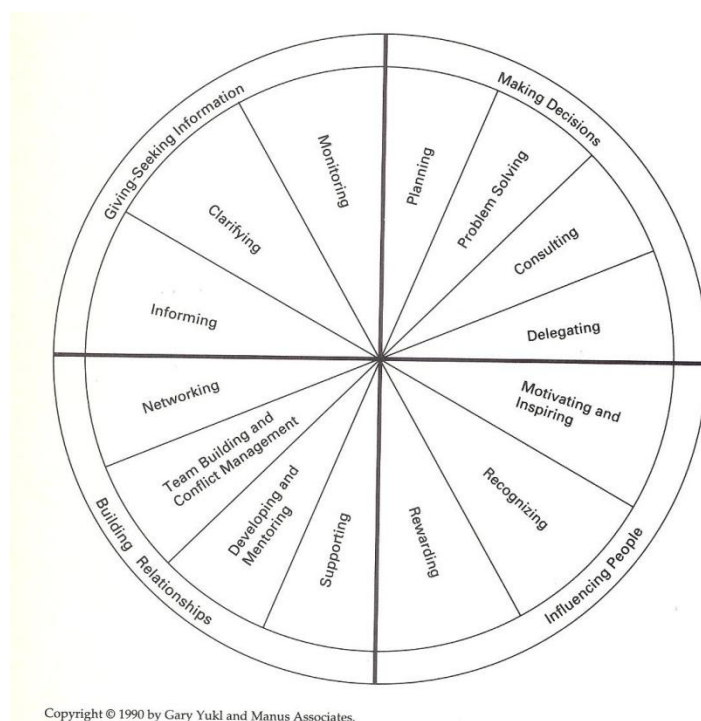
Source: Yukl, 1994, 72.

Research on Specific Behaviors for Managing the Work

This research is also known as the *skills approach*, as, in contrast to trying to identify more stable traits, it focuses on more easily "developable behaviors and skills that serve as hallmarks of effective leaders" (Callahan et al., 2007, 149). Compared to hundreds and hundreds of studies on task-oriented/consideration and relationship-oriented/initiating structure behavior, theory-based research on specific leadership behaviors relevant to particular situations is rather small (Yukl, 1994, 71).

Nevertheless, there are some studies worth mentioning.

The skills approach "articulated by Robert Katz, who suggested that leaders at various levels of organizational structures have differential needs for technical, human, and conceptual skills" is "perhaps the most well-known" (Callahan et al., 2007, 149).

Yukl (1994) provided a detailed overview of research linking specific skills to managerial effectiveness. Thus:

o Research by Fayol (1949), Urwick (1952), Drucker (1974), and Carroll & Gillen (1987) focused on the importance of planning. Boyatzis (1982) studied planning in the context of managerial competencies, while Quinn (1980) researched its importance in the context of strategic management (81).

o Some questionnaire studies have found problem solving by the manager to be related to managerial effectiveness (Carroll & Gillen, 1987; Yukl et al., 1990). A study by Yukl and Van Fleet (1982) linked decisive problem solving to effective leadership by military officers in combat situations, while Stewart's (1976) research on crisis management showed that quick identification of the problem by management and decisive action in organizing the work unit's response to it indicate effective leadership in a crisis (88).

o With regard to clarifying roles and objectives, questionnaire research by Yukl et al. (1990) has been able to link this behavior to managerial effectiveness in four out of six studies of different types of leaders. Similarly, Locke and Latham (1990) have found evidence that setting specific, challenging but realistic goals is positively related to subordinate performance (92).

o Research on informing by Katz & Tushman (1979) suggests that managers who keep subordinates informed tend to be more effective than those managers who don't. Similarly, research on crisis situations has shown that keeping subordinates informed about the nature of the crisis reduces anxiety and prevents spread of rumors (99).

o The overall findings of research on monitoring operations and environment have been that internal monitoring affects performance directly (in a positive way), while external monitoring positively influence many aspects of organizational performance (103-104).

o With regard to specific behaviors for managing relationships, research on supporting behavior includes qualitative studies by Bass (1990), a meta-analysis done by Fisher and Edwards (1988), as well as some other studies of the effect of supporting behavior on subordinate performance that produced inconsistent results (119).

o Research on developing others, another of behaviors from the managing relationships category, is quite extensive. Studies of the effects of training in organizations have been summarized in the works by Goldstein (1992), Tannenbaum and Yukl (1992), and Wexley and Latham (1991). Overall, they indicate that skill development in subordinates increases job satisfaction and organizational performance. Empirical research on the effects of coaching and mentoring shows that developing subordinate skills is positively related to managerial effectiveness, while descriptive research presents evidence that effective managers take a more active role in developing subordinates (125).

o With respect to recognizing, in a number of descriptive studies of effective organizations (Kouzes & Posner, 1987; Peters & Austin, 1985) effective leaders have been found to acknowledge subordinates' achievements and contributions, while a field study by Wikoff et al. (1983) suggested that the supervisor's praise increased subordinate performance (131).

o In a similar vein, a number of questionnaire-based studies (Podsakoff et al., 1984; Yukl et al., 1990; etc.) revealed that contingent reward behavior by leader typically increased subordinate satisfaction and performance (135).

o Research on teamwork (Hackman, 1990) and team building (Dyer, 1977; Bennis & Nanus, 1985) suggests that they are important for subordinate feelings of identification with the organization and its mission. Likewise, research on conflict management (Brown, 1983) highlights the importance of negotiating and conflict management skills for managerial effectiveness (138).

o Finally, research on networking has gathered evidence that this type of behavior is related to a manager's rate of career advancement (Luthans et al., 1985) as well as managerial effectiveness (Kanter, 1983; Kotter, 1982) (146).

Much of skills research purposefully focuses on observing, and sometimes rating the effectiveness of, those managers who have a reputation for success or whose organizations have a record of success (Behn, 1993, 43).

Referring to specific behaviors, Yukl (1994) indicates that each of them "has the potential to improve managerial effectiveness if used skillfully in appropriate situations" (p 149). Callahan et al. (2007, 149) seem to agree: "leader skills are an important and growing approach to understanding part of what makes leaders successful."

In his overall critique of behavior research Yukl (1994) writes:

> Like the trait research, the behavior research suffers from a tendency to look for simple answers to complex questions. Most research on leadership effectiveness has examined behaviors individually rather than examining how effective leaders use patterns of specific behaviors to accomplish their agendas. It is likely that specific behaviors interact in complex ways, and that leadership effectiveness cannot be understood unless these interactions are studied (1994, 72).

Yukl cites lack of attention to situational variables as an important conceptual and methodological limitation of this type of research (1994, 76).

Power-Influence Approach

In this approach, attention shifts from what leaders does to how he/she does it. As the name suggests, two concepts underpin this approach: *influence*, understood as a process of affecting someone or something, and *power*, or capacity to influence. Although power does not equate leadership, it forms a foundation from which leadership springs: if a leader does not have some type of power, he cannot act (Callahan et al, 2007, 151).

Yukl (1994) argues, "The essence of leadership is influence over followers" (193). But not every act of influence represents leadership. Rost (1991, 105) defines *influence* as *"the process of using persuasion[11] to have an impact on other people in a relationship."* It involves noncoercive behaviors (105). Thus, only noncoercive influence can be considered leadership. At the same time, coercive behaviors underlie authority, power, or dictatorial relationships (Rost, 1991, 105).

One of the earliest and still most relevant conceptualizations of social influence processes was proposed by Kelman (1958). It was comprised of three distinct, but not necessarily incompatible, processes:

- *Instrumental Compliance*. A requested action is carried out to obtain a tangible reward or avoid punishment. The behavioral motivation is purely instrumental. "The power of the agent derives from control over rewards desired by the target or punishment the target wants to avoid" (Yukl, 1994, 195-196).

- *Internalization.* The target's commitment to the agent's proposal is secured because it is perceived as being consonant with the target's values and beliefs, and not because of the expectation of benefits. "The power of the agent is derived from insight about the target's values and beliefs and the ability to communicate a request or proposal in a way that is consistent with them" (Yukl, 1994, 196).

- *Identification.* The target's imitation of the agent's behavior or adoption of the same attitudes is motivated by the desire to please the agent and by the target's need for acceptance and esteem. "The power of the agent is derived from his or her attractiveness to the target" and lasts as long as he/she stays attractive to the target (Yukl, 1994, 196).

A separate group of criteria is used to evaluate the outcomes of influence attempts. Yukl (2010, 153) indicates that differentiations among outcomes should be made "for a proactive influence attempt that involves a specific request by a single agent to a single target person." There may be three such outcomes: *commitment*, or "an outcome in which the target person internally agrees with a decision or request from the agent and makes a great effort to carry out the request or implement the decision effectively;" *compliance*, or "an outcome in which the target is willing to do what the agent asks but is apathetic rather than enthusiastic about it and will make only minimal effort;" and *resistance*, or "an outcome in which the target person is opposed to the proposal or request, rather than merely indifferent about it, and actively tries to avoid carrying it out" (Yukl, 2010, 153).

There are two research lines in the power-influence approach.

<u>Research on Power Based on Leader-Centered Perspective</u>

The underlying assumption of the first research line, like most of trait and behavior research, is that causality is unidirectional and flows from the leader to followers ("leaders act and followers react") (Yukl, 1994, 13). Leadership effectiveness is explained as the product of the amount and type of power the leader possesses and the way this power is used (Yukl, 1994, 13). In this view, power is a key factor in influencing not just subordinates, but peers, superiors, clients, suppliers, constituencies, and so on.

The early power research proceeded along this line. Such was the power taxonomy developed in the late 1950s by French and Raven. It classified different types of power in organizations according to five sources, or bases, of power:

- *Reward* – The target person complies in order to obtain rewards the agent controls (or is believed to control).

- *Coercive Power* – The target person complies to avoid punishment believed to be controlled by the agent.

- *Legitimate Power* – The target person complies because he/she believes the agent has the right to make the request and the target person has the obligation to comply.

- *Expert Power* – The target person's compliance is rooted in the belief that the agent has special knowledge about the best way of doing something.

- *Referent Power* – The target person complies because he/she admires or identifies with the agent and seeks to gain the agent's approval (Yukl, 1994, 197).

Callahan et al. (2007, 151) argue that French and Raven's work on bases of social power serves as the foundation for much leadership research in the 20th century. In my

opinion, this model is much more management-, than leadership-, oriented. Nevertheless, the research findings suggest that effective leaders rely more on expert and referent power in influencing subordinates (Yukl, 1994, 208). These findings, however, are undermined by "the lack of demonstrated validity for the measures of leader power," (Yukl, 1994, 208).

Reflecting on the complexity and multiplicity of power relationships, Yukl (1994, 197) argues,

> The effectiveness of a manager depends on several types of power relationships, including the downward power of the leader over subordinates, the upward power of subordinates over the leader, the upward power of the leader over superiors, and the lateral power of the leader over people in the organization.

This brings the discussion to the second line of research.

Research on Power Flowing in Both Ways

According to Rost (1991, 27),both Marxist scholars on the left and elite power theorists on the right admit the majority of leadership theories have been focusing almost exclusively on the leader and ignoring the followers. This stream of research seeks to address this imbalance.

The second line of power-influence research interprets influence as a reciprocal process, a two-way street, between the leader and his/her followers (Yukl, 1994, 13). Viewed for this perspective, power is not limited to the realm of leadership but resides in followers as well. Leadership effectiveness can only be understood by examining the ways in which leaders and followers influence each other over time (Yukl, 1994, 13).

This perspective is represented by two levels of research. On a microlevel, this research seeks to understand how power is acquired and lost by individuals in a group;

while on a macrolevel, the focus is on explaining power acquisition by organizational

subunits and coalitions (Yukl, 1994, 13).

Within this approach, power sources can be perceived in terms of "position

power," or power derived "from the opportunities inherent in a person's position in the

organization," and "personal power," or power derived "from attributes of the agent and

agent-target relationship" (Yukl, 1994, 197). These two power types are relatively

independent; at the same time, they partially overlap and interact with each other in

complex ways, making it difficult to distinguish one type from the other (Yukl, 1994,

197).

Position power can be understood as *potential* influence derived from the

following:

- o *Legitimate Authority* (other names: formal authority, legitimate power).

  "Authority includes the perceived right of one position occupant to influence

  specified aspects of the behavior of other position occupants. The agent has the

  right to make particular types of requests, and the target person has the duty to

  obey. For example, a manager usually has the legitimate right to establish work

  rules, give work assignments, and direct the task behavior of subordinates. The

  subordinates, in turn, usually have the legitimate right to request necessary

  information and assistance from the manager. Authority also involves the right of

  a person to exercise control over things, such as money, resources, equipment,

  and materials, and this control is another source of power" (Yukl, 1994, 198).

  "Authority is necessary for large organizations to function smoothly and

  effectively" (Yukl, 1994, 198).

- o *Control over Resources and Rewards*. "This control stems in part from formal authority. The higher a person's position in the authority hierarchy of the organization, the more control over scarce resources the person is likely to have" (Yukl, 1994, 200). Reward power is a source of influence over compensation and career progress as well as a source of influence over peers (Yukl, 1994, 200).

- o *Control over Punishment* (coercive power). "A leader's authority over punishments varies greatly across different types of organizations. The coercive power of military and political leaders is usually greater than that of corporate managers. Over the last two centuries, there has been a general decline in use of legitimate coercion by all types of leaders" (Yukl, 1994, 201). The coercive power of subordinates is usually indirect and involves performance evaluations of supervisors, restriction of production, sabotage of operations, grievances, demonstrations, and complaints to higher management. In organizations with elected leaders, subordinates can generate sufficient counterpower to remove a leader from office (Yukl, 1994, 202).

- o *Control over Information*. This is the power derived from both the access to vital information and control over its distribution to others. Access comes from a position a person occupies, such as a managerial position or a boundary role position, such as public relations, that provides information about what is happening in the external environment of an organization. Cultivating a network of information sources is a part of it (Yukl, 1994, 202).

- o *Control over the Organization of the Work and the Physical Work Environment* (also known as situational engineering or ecological control). "Manipulation of

these physical and social conditions allows indirect influence over the behavior of others" (Yukl, 1994, 203). Job design is a form of situational engineering that potentially can influence motivation. Control over the physical work environment (e.g., lights) is another example (Yukl, 1994, 204). "For the top executives of an organization, another form of situational engineering is the design of the formal organization structure, including the authority system, formal appraisal and reward systems, and the information systems… Behavior of lower-level employees is also influenced by delegating authority, setting limits of discretion, and establishing formal work rules and procedures," including a formal (impersonal) reward system (Yukl, 1994, 204). (Yukl, 1994, 197-204).

Personal power is defined as *potential* influence derived from:

- o *Task Expertise* (expert power). Expertise becomes a source of power for a person only if other people are dependent on it for advice (Yukl, 1994, 204). "Specialized knowledge and technical skill will remain a source of power only as long as there is continued dependence on the person who possesses them" (Yukl, 1994, 205).

- o *Friendship and Loyalty* (referent power). This source of power is based on the "desire of others to please a person toward whom they feel strong affection" (Yukl, 1994, 206). It takes time to develop. Personal identification is the strongest form of referent power (Yukl, 1994, 206). "Referent power is a major source of lateral influence over peers" (Yukl, 1994, 207). On a macrolevel, referent power is an important source of upward, downward, and lateral power (Yukl, 1994, 207).

o *Charisma*. What are personal attributes of charismatic leaders is not well understood, but they appear to have such qualities as "strong convictions, enthusiasm, and a dramatic, persuasive manner of speaking. Charismatic leaders have insight into the needs, hopes, and values of follower and are able to motivate commitment to proposals and strategies for change" (Yukl, 1994, 207).

Research findings on the use of position and personal power indicate that the latter type is preferred by effective leaders in influence attempts with subordinates, as well as peers and superiors. At the same time, although the potential for the use of position power as the source of influence is more limited, especially in lateral and upward relationships, it is still important, particularly since it interacts in complex ways with personal power in the leader's attempts to influence other people (Yukl, 1994, 217).

Power is not static: it changes over time when conditions change or in response to individual or group actions (Yukl, 1994, 206). Two theories attempt to explain how power can be acquired and lost. Social exchange theory does it at the individual level of analysis, while strategic contingencies theory attempts to do it at the organizational subunit level.

Social Exchange Theory

As the name suggests, social exchange theory views all interaction as an exchange—an ongoing transaction—of tangible (work or money) or psychological (recognition, loyalty, security, friendship, and esteem) benefits and favors between the leader and followers (Van Wart, 2005, 313). Reflecting the human relations approach's emphasis on worker inclusion in work processes, the theory argues that leaders need to take into account the rational self-interest of followers (Van Wart, 2005, 313).

For Yukl (1994, 217), social exchange theory's most important contribution to leadership theory is the description of the process by which individual leaders gain and lose power over time. According to Hollander (1958), the theory's main proponent, in the social exchange between leaders and workers, the former contribute competence while the latter contribute loyalty (in Van Wart, 2005, 313). The more competence (in the form of successful innovations and change) leaders contribute to the organization, the greater status and expert power they are accorded and the more affirmations of loyalty they receive from the followers and, as the expression of that loyalty, the more latitude they have in proposing bold solutions and acting unconventionally (Yukl, 1994, 217; Van Wart, 2005, 313). However, the opposite is also true: failed innovations, especially those "attributed to poor judgment, irresponsibility, or pursuit of self interest," (Yukl, 1994, 217) result in lower status and resistance from followers (Van Wart, 2005, 313).

Strategic Contingencies Theory

Strategic contingencies theory describes how different subunits of an organization acquire or lose power to influence strategic decisions. The process is not without resemblance to the one described for individuals. Power of a subunit depends on the expertise in solving important problems for the organization, the subunit's place in the work flow, and the extent of the uniqueness of the subunit's expertise (Yukl, 1994, 211). A subunit dealing with critical problems is placed more advantageously than other subunits to demonstrate its unique expertise and gain power. Typically, such a subunit has a greater influence over the organization's strategic decisions. However, if environmental changes highlight the need in a different type of expertise for

organizational survival, the previously dominant subunit will lose power to the subunit with newly critical expertise (Yukl, 1994, 212).

Leader-Member Exchange Theory (LMX)

LMX theory (original name—vertical-dyad linkage theory) describes how leaders develop different vertical dyadic (downward-upward, one-on-one) exchange relationships with their subordinates over time (specifically focusing on long-term interaction trends). The theory is based on a premise that leaders tend to establish special exchange relationship with a small number of trusted subordinates that function as their lieutenants, assistants, confidants, or advisors, and are called the "ingroup" (Yukl, 1994, 237). Typically, these are the followers who engage in work behaviors that far exceed their formal roles and job descriptions, as opposed to the followers comprising the "outgroup," who do not exert themselves beyond their formally defined job roles and responsibilities (Callahan et al., 2007, 154-155).

While the initial version of the theory focused on the nature of ingroups and outgroups in the workplace, describing leader perceptions of both high-exchange relationship members (competency, hard work, likability) and low-exchange relationship members (the opposite), the later version analyzed the effects of the presence of "ingroups" and outgroups in the organization (Van Wart, 2005, 323)

Situational Approach

Situational approach shifts the focus to where leadership takes place. According to Yukl (1994, 41), "The situational research provides strong evidence that aspects of the situation influence the activity pattern and behavior content of managers." Focusing on where leadership takes place (Fairholm, 2011, 93), this approach emphasizes the role of

contextual factors such as the nature of the work, the nature of the external environment, or characteristics of followers in the success of a particular leader behavior, or style (Yukl, 1994, 13). Research on situational variables goes in two directions.

The first line uses comparative studies "to discover the extent to which managerial job is the same or unique across different types of organizations and levels of management" (Yukl, 1994, 14). The focus here is on "macrolevel situational variables found to have substantial influence on managerial activity patterns and behavior content." They include: managerial level, the function of the organizational unit, the size of the organizational unit, lateral interdependence, crisis situations, and stage in the organizational life cycle" (Yukl, 1994, 35; based on Osborn & Hunt, 1975). At the same time, this type of research seeks to explain variability of behavior in managers occupying similar positions. As Yukl (1994) explains, variability of behavior within the same job in part occurs because of the multitude of performance dimensions. He argues,

> The tradeoff inherent among performance dimensions and lack of time to do everything well make it inevitable that different people will define the same job in different ways. How this is done will reflect a manager's interests, skills, and values, as well as the changing role expectations of the individuals whose destinies are intertwined with the manager's (41-42).

Another reason for variability in the same job is the way in which a manager deals with role conflicts (Yukl, 1994, 42). Having considerable discretion to shape his or her own role over time, "a skillful leader may be able to reconcile role requirements that were initially incompatible" (Yukl, 1994, 42).

The second line of research, often called a contingency approach, focuses on the intervening aspects of the situation that moderate the relationship of leader behavior or traits and leadership effectiveness (Yukl, 1994, 14).

An example of this type of research can be found in Fiedler (1996). His inquiry into the relationship between leader intelligence and experience, on the one hand, and group performance, on the other, revealed that the leader's intelligence positively affected his team's performance when he was directive and enjoyed the support of his team; the correlation between these two variables was negative in cases involving nondirective leadership and the absence of the group support. Interestingly, participatory leadership worked best in cases when the team members were more intelligent or competent than their leader and the leader listened to them. Fiedler's research also showed that the high level of interpersonal stress and uncertainty was the intervening variable that negatively affected the relationship between leader intelligence and performance. Stressful conditions were also found to be a factor in influencing the correlation between the leader's experience and performance (246). Fiedler's model has been widely criticized for his view of leadership style as an innate characteristic (leaders were either task- or relations-oriented by nature and the three situational factors—leader/member relations, task structure, and leader position power—determined what type of leadership—task- or relations-oriented—was more appropriate) as well as its implication that the need to change leadership style meant the need to replace the leader (Mello, 1999).

Situational Leadership

Hersey and Blanchard's (1969) situational leadership is an example of the second research line. Basically, situational leadership argues that leader's effectiveness and choice of one of four styles—*directing, coaching, supporting, and delegating*—is contingent upon followers' capacity and motivation to accomplish a particular task.

Performance in this model is measured by variables related to production, as well as

follower satisfaction and development (Van Wart, 2005, 315-316) (See Figure 3).

Figure 3: Key Elements of Hersey and Blanchard's Situational Leadership Theory
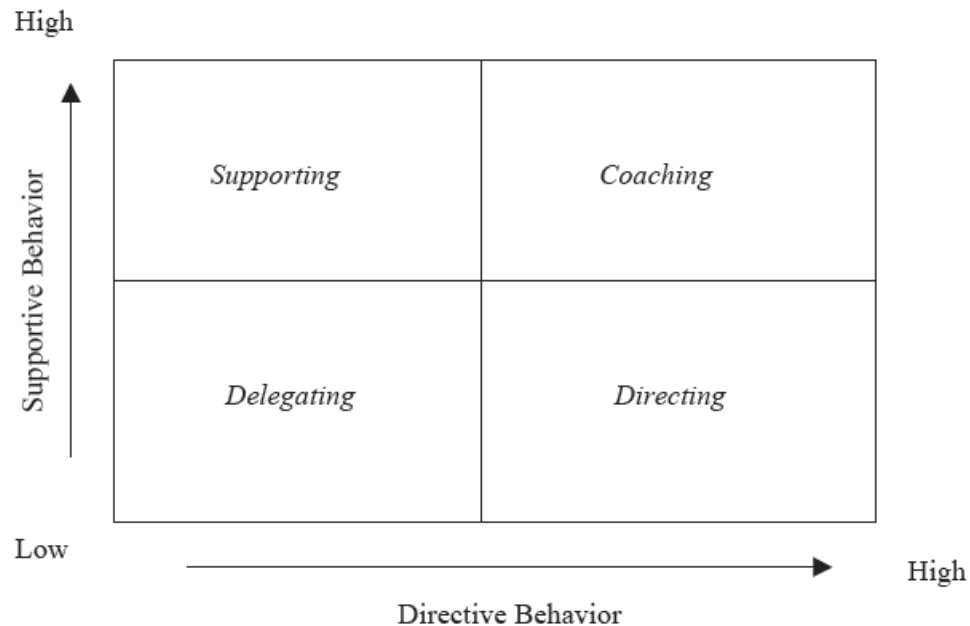
Source: Callahan et al., 2007, 152.

There are two contingency variables in the model. One is called *follower maturity*

(competence); it consists of *job maturity* (which is a combination of experience,

education, and capacity) and *psychological maturity*. Over time, assuming that followers

receive adequate instruction and feedback, their competence increases in a linear fashion.

Another variable is attitudinal and is called either *willingness* or *commitment*. It is a

curvilinear variable: it starts on a high level, as a new employee is eager to learn, then it

sags, with the realities of the job sinking in, and then it rises again with increasing

competence (Van Wart, 2005, 316-317).

Because of its intuitive appeal, the model has a significant heuristic value. It is

highly prescriptive, and its principles are easy to follow (Van Wart, 2005, 317). At the

same time, the use of leadership style in the model is determined only based on two

variables—follower competence and commitment—without considering other contingencies, such as task, organizational and other factors (Van Wart, 2005, 318). While situational leadership has vast practical applications, its theoretical base is largely underdeveloped, as there has been little research focusing on this approach (Ardichvili et al., 2008, 622).

Fiedler (1996) saw the potential in practical applications of the contingency approach. He argued that through the development and testing of "various methods that teach leaders how to 'engineer' the leadership situations" it would be possible "to capitalize on the particular strengths the leader brings to the job" (249). As he put it,

> "We cannot make leaders more intelligent or more creative, but we can design situations that allow leaders to utilize their intellectual abilities, expertise, and experience more effectively. In this highly competitive age, this is likely to be of considerable practical importance" (249).

Path-Goal Theory

First proposed by House in 1971,[12] the path-goal theory of leadership attempts to explain how the behavior of a leader influences the satisfaction and performance of subordinates (Yukl, 1994, 285). As Van Wart (2005) put it, "It is the leader's responsibility to align worker and organizational goals and then to ensure that the employee's path to goal attainment is clear (318).Two earlier theories—social exchange and a motivation theory called expectancy theory (Vroom, 1964)—provided it with philosophical underpinnings. In particular, social exchange theory supplied it with the assumption of the existence of mutually beneficial exchange relationship between workers and leaders (Van Wart, 2005, 318), while expectancy theory explained work motivation as a "rational choice process in which a person decides how much effort to devote to the job at a given point of time" (Yukl, 1994, 286).

Van Wart (2005) compares path-goal theory with two other transactional leadership models, managerial grid and situational leadership. Common among them is their historical proximity as well as the emphasis on task-related contingencies and characteristics of subordinates, or people-oriented contingencies, with the omission of organizational and leader factors. The major difference between grid and path-goal theories is the universality and prescriptive comprehensiveness of the first one and a situational character of the second one. At first glance, situational leadership and path-goal theory are very much alike: both are based on contingency approaches, employ four styles, and emphasize subordinate needs. A closer look, however, reveals their differences: situational leadership employs only two subordinate factors (job and psychological maturity), while path-goal theory seeks to incorporate all substantial task-related variables, such as ambiguity, task difficulty, job quality, degree of job interdependency, and worker control over the job, and all subordinate variables, such as level of education, training, and experience, work preferences, locus of control, and "degree to which subordinates prefer different types of fulfillment at any given time," such as desire for security, need for affiliation, desire of individual recognition or group success (2005, 319, 320). Finally, "situational leadership envisions a single developmental path using a linear progression of leader styles, whereas path-goal assumes that numerous factors can provide countervailing influences and a blend of different styles. If situational leadership is rather narrow and rigid, then path-goal is rather complex and loose" (Van Wart, 2005, 319).

Path-goal theory conceptualizes the need for leadership (Van Wart, 2005, 319). As Van Wart (2005) argues, in an ideal world, well-trained, highly-motivated employees

with enough supplies and incentives do not need much leadership; however, since in the

real world ideal conditions do not exist, leadership supplies what subordinates need to

complete their tasks (319).

The following four leadership behaviors/styles associated with path-goal theory

are:

- o *Directive* (originally proposed). This type of behavior provides psychological

  structure for subordinates by spelling out expectations toward them, scheduling

  and coordinating work, giving guidance and clarifying rules and procedures. It

  provides a source of extrinsic motivation.

- o *Supportive* (originally proposed). This type of behavior is directed toward the

  satisfaction of subordinate needs and preferences, including showing concern for

  their welfare and creating a friendly work environment. It serves as a source of

  self-confidence and satisfaction.

- o *Participative* (added later). This behavior encourages subordinate participation in

  decision-making and work unit operations. It consists of consulting with

  subordinates and taking their opinions into account.

- o *Achievement-oriented* (added later). It encourages performance excellence and

  incorporates setting challenging goals, seeking performance improvements, and

  showing confidence in subordinates' ability to attain high standards (Van Wart,

  2005, 321-322).

While the theory has a number of limitations—complexity, focus on the leader's

motivational functions at the expense of other leadership functions, etc., its major

strength is "its focus on the connection between leadership and subordinate motivation in

the context of the work environment." As subordinates get the job done, it is a "primary

responsibility of leaders to ensure that they have the resources, direction, support, and opportunities for inclusion and success that will benefit both them and the organization" (Van Wart, 2005, 322).

Participative Leadership

Participative leadership combines aspects of the power-influence approach, such as power sharing, empowerment, and reciprocal influence processes, with the behavioral approach characteristics, such as delegation of authority, consultation with followers with the view of getting their suggestions (Yukl, 1994, 156). The use of the type of decision-making that would allow other people's influence over the leader's decision represents the nature of participative leadership.[13]

One of the widely used taxonomies orders decisions along a continuum ranging from no influence by other people to high influence in the following progression:

1. *Autocratic Decision*: The manager alone makes a decision.

2. *Consultation*: The manager makes a decision after considering the opinion of other people.

3. *Joint Decision*: The decision is made jointly with other people (at a meeting); and the manager has the same influence over it as any other participant.

4. *Delegation*: The manager gives the authority to make a decision to another person or to a group (Yukl, 1994, 157).

Vroom's Normative-Decision Theory

Vroom'(with Yetton, 1973; with Jago, 1988) decision theory builds on the four elements above but adds to them a number of conditions under which a good decision will be attained in terms of quality, acceptance, timeliness and cost, as well as in terms of

providing opportunities for employee development. Overall, the model combines four types of management decision methods (from autocratic to delegation), two fundamental situational variables (decision acceptance and quality), two value judgments about timeliness and cost, and employee-development concerns. The model is normative because it prescribes what styles to use under what conditions for both individuals and groups. For example, a quality requirement presupposes a more inclusive style, such as delegation, while time pressures and cost factors tend to move decisions to more authoritarian styles (Van Wart, 2005, 327).

The theory's many strengths notwithstanding, it has a number of weaknesses: it is very complex, requires considering many factors at once; it is not parsimonious; it does not recognize that a decision may, in fact be a sequence of decisions; and it is very hard to teach (Van Wart, 2005, 330; Yukl, 1994, 168).

Summing up the development of leadership theory thus far, Bennis (1959, in Rost, 1991, 19): contends:

> As we survey the path leadership theory has taken we spot the wreckage of "trait theory," the "great man" theory, and the "situationists critique," leadership styles, functional leadership, and finally leaderless leadership; to say nothing of bureaucratic leadership, charismatic leadership, democratic-autocratic-laissez-faire leadership, group-centered leadership, reality-centered leadership, leadership by objective, and so on. The dialectic and reversals of emphases in this area very nearly rival the tortuous twists and turns of child rearing practices.

Therefore, how leadership can be improved became the focus of the next generation of leadership studies.

Social Dynamic Approaches

According to Mello (1999), "The disenchantment with the situational theories has given rise since the late 1970s to more macro-focused studies of leadership. These

approaches have drifted away from individual and small group aspects of leadership toward an examination of how leaders impact structure, culture and performance within entire organizations." At the same time, until the 1980s, it was common to think of leadership as an influence process based on reason. Views of leadership that have appeared since that time, however, emphasize the importance of emotions as a basis for influence. Emotional, value-based approaches better explain inspirational aspects of leadership that influence individuals, groups, and organizations to attain exceptional achievements (Yukl, 2010). Charismatic, transformational, visionary and spiritual leadership theories belong to this group.

<u>Transformational Leadership</u>

In 1978, political sociologist James Macgregor Burns published *Leadership*—a book with which he introduced a new theme into leadership literature, that of transformational leadership, and, in doing so, focused attention of leadership theory on executive leadership. According to Van Wart (2005, 8), until that time, the mainstream literature was preoccupied with leadership at lower levels, which was more amenable to simplified research models, while ignoring the study of executive leadership, which, with its external orientation and focus on large-scale change, required more complicated research designs.

More importantly, though, Burns' book determined the course of leadership theory for the years to come. As Fairholm (2007, 107) indicates, Burns was among the "first authors to embark on a more philosophical approach to understanding and describing leadership."

Burns proposes that there are two types of leadership—*transactional*, whereby "leaders approach followers with an eye to exchanging one thing for another: jobs for votes, or subsidies for campaign contributions" (this leadership comprises the bulk of the leader-follower relationship) (1978, 4); and *transforming*, whereby leaders and followers engage with each other in such a way that they "raise one another to higher levels of motivation and morality" (1978, 20). According to Burns (1978, 4):

> The transforming leader recognizes and exploits an existing need or demand of a potential follower. But, beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents.

Transformational leadership, therefore, is moral leadership in Burns' view: it "emerges from, and always returns to, the fundamental wants and needs, aspirations and values of the followers" (Burns, 1978, 4).

Another important issue which Burns raises in his seminal book is how leadership relates to *power*. He argues, "Leadership is an aspect of power" and, "like power, leadership is relational, collective, and purposeful" (1978, 18). At the same time, leadership "is also a separate and vital process in itself" (1978, 18). Leaders differ from *power wielders* by the type of purpose being sought: where power wielders exercise influence over the followers in pursuit of their own goals, leaders induce "followers to act for certain goals that represent the values and the motivations … *of both leaders and followers*" (1978, 18, 19). As Fairholm put it,

> Burns begins to differentiate the practice of using external uses of power and incentives and internal fountains of commitment and development. …Burns presents a reasonable foundation to suggest that leadership is a phenomenon of change and fulfillment, either at a transactional, collective level or at a higher transforming, moral, individual level (2007, 108).

Finally, Burns also touches upon the difference between values underlying purposes of transactional and transformational leadership. Thus, transactional leadership is based on *modal values*, or values of means, such as honesty, responsibility, fairness, and the honoring of commitments, while transformational leadership is concerned with end-values, such as liberty, justice, and equality (Burns, 1978, 426). Fairholm (2007, 107) comments in this regard, "With that foundation of values and relationship within the umbrella of power, Burn's distinction between transforming and transactional leadership emerged."

Burns' model of transformational leadership signifies a new development in leadership theory, as it has infused it with a new ethical/moral dimension, never mentioned prior to 1978 (Rost, 1991, 30). In 1957, Selznick linked leadership with building values into the organization (27), but, as Rost (1991, 31) denotes, "values are not necessarily ethical or moral." In Denhardt et al.' assessment (2008, 201), "Burns (1978) provided the most compelling moral interpretation of leadership that we have encountered so far." Ever since the publication of the book, "Transforming leadership, as opposed to transactional leadership, forms the foundation of recent study on leadership" (Fairholm, 2007, 107).

Rost (1991, 132) argues that Burns' model of leadership is, in essence, a model of management (transactional leadership) and leadership (transformational leadership)—the distinction to which Burns strongly opposed. He also views it as a transitional model from the industrial to the postindustrial paradigms of leadership (1991, 127). He believes that Burns has found a cornerstone on which to build a postindustrial school of leadership (1991, 126-127). In his view, in a postindustrial leadership paradigm a new

understanding of what leadership is is rooted in such values as "collaboration, common good, global concern, diversity and pluralism in structures and participation, client orientation, civic virtues, freedom of expression in all organizations, critical dialogue, qualitative language and methodologies, substantive justice, and consensus-oriented policy-making process" (181).

Rost believes that the postindustrial paradigm should have a single definition of leadership and, therefore, that only transformational leadership should be included" in it (1991, 126). However, the definition itself should apply to all possible and conceivable transformations—"physical, intellectual, aesthetic, psychological, social, civic, ecological, transcendental, moral, spiritual, and holistic"—that "take place in many aspects of our personal, professional, and moral lives as well as in many aspects of the groups, organizations, communities, and societies in which we live and work" (1991, 126). He (1991, 126) states,

> Leadership and transformation properly conceived, must deal with the reality of human existence as it is lived, wherein changes are variously evaluated and desired. Leadership, properly defined, is about transformation, all kinds of transformations.

Therefore, the four essential elements of his model are: "(1) a relationship based on influence, (2) leaders and followers develop that relationship, (3) they intend real changes, and (4) they have mutual purposes. Another important component is the "ethics of leadership" that in his model has replaced Burns' moral component (127). In Rost's opinion, *ethics of leadership* is superior to the moral requirement, as it concerns "the relationship that is leadership" and does not dwell on whether the changes leaders and followers intend are morally uplifting (127).

Among the scholars who have adopted and further developed transformational approach are Bernard Bass, Warren Bennis, Marshall Sashkin, Robert House, James Kouzes and Barry Posner, Jay Conger and Rabindra Kanungo (Callahan et al., 2007, 154). Van Wart indicates that Burns' theory has spawned three subschools: the transformational school per se, that "emphasized vision and overarching organizational change;" the charismatic school that "focused on the influence processes of individuals and the specific behaviors used to arouse inspiration and higher levels of action in followers;" and an entrepreneurial school that "urged leaders to make practical process and cultural changes that would dramatically improve quality or productivity; [and] …shared a change emphasis with the transformational school and an internal focus with the charismatic school" (2005, 8).

Performance beyond Expectations

Having adopted Burns' transactional-transformational differentiation of leadership, Bernard Bass (1985) developed the full range leadership theory in which leadership is presented as a single continuum progressing from nonleadership to transactional to transformational leadership (Van Wart, 2005, 347). Nonleadership is a passive form of managing people, with the leader intervening only when something goes wrong or subordinates stop meeting performance standards; it is considered to be "impoverished" leadership (Bass, 1985, 135). In Bass's variant of transactional leadership, both the leader and follower do their parts to ensure the attainment of performance outcomes, the follower by supplying effort and the leader by attending to his/her needs (Bass, 1985, 13). Finally, in transformational leadership the leader creates such a powerful connection with subordinates that it "raises the level of motivation,

commitment, and morality" in both of them and results in "performance beyond expectations"[14] (Bass, 1985, 66; Bass et al., 1994).

It is a universal theory, as it assumes that transformational leadership can happen anywhere anytime, with a "substantial additive effect" of the styles, of which it embraces the following: laissez-faire, management-by-exception, contingent reward, management-by-objectives, individualized consideration, idealized influence, intellectual stimulation, and inspirational motivation (Van Wart, 2005, 349-350) (See Figure 4).

Figure 4: Bass's Continuum of Leadership Styles

Transactional Leadership
Management by Exception + Contingent Reward

↓

Conventional Performance Expectations

+

Transformational Leadership Factors
Consideration + Charisma + Vision & Creativity + Transcending Self-interests

↓

Performance Beyond Expectations
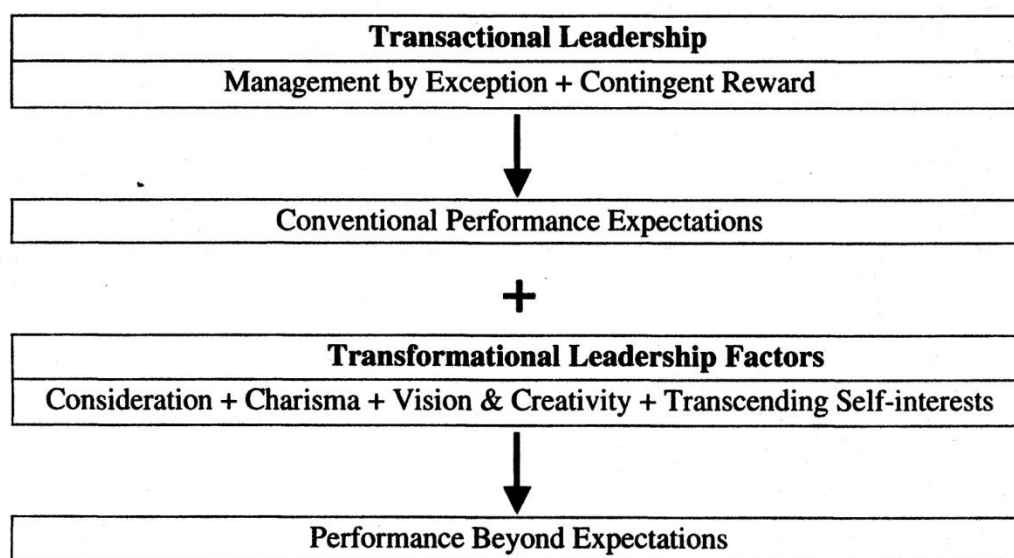
Source: Van Wart, 2005, 348.

Fairholm (2007, 108) remarks that in popularizing Burns' transformational theory Bass and others almost overshadowed his work. Bass (1985) also made two changes in the concept of transformational leadership. A hallmark of Burns' theory is the extent to which the leader transforms followers (Callahan et al., 2007, 154) and is himself transformed as a result. Buss (1985) substitutes this two-way process envisioned by

Burns with a one-way process whereby the leader changes the follower, who, besides, only exists in organizational context (Fairholm, 2007, 108). In his (1985, 22) own words,

> …transformational leadership does not detract from transactional, rather, it builds on it, broadening the effects of the leader on effort and performance… Instead of responding to the immediate self-interest of followers with either a carrot or a stick, transformational leaders arouse in the individual a heightened awareness to key issues, to the group and organization, while increasing the confidence of followers, and gradually moving them from concerns for existence to concerns for achievement, growth, and development.

Another way in which Bass (1985) changed the concept is by removing from it the element of morality. In Rost's (1991, 84) opinion, Bass (1985) substituted "performance beyond expectations" for the moral dimension of Burns' theory and, in doing so, he "sanitized" Burns' concept of transformation "to include any kind of significant change, not just changes that had a morally uplifting effect on people."

Nevertheless, with or without moral element, the transformational paradigm sees leadership as having special responsibility for understanding a changing environment, facilitating more dramatic changes, and energizing followers far beyond any propositions of traditional exchange theory (Van Wart, 2005, 8).

According to Van Wart (2005), "of all the transformational theories, Bass's is the most highly researched and has a good deal of positive support" (Van Wart, 2005, 350). It is praised for its additive approach (transactional + transformational elements). Its major weakness however, is its universality: its implied claim that transformational leadership is always better, style or situation notwithstanding (Van Wart, 2005, 350).

Charismatic Leadership

Research on charismatic leadership attempts to explain why the followers of some leaders willingly make exceptional efforts and personal sacrifices in order to accomplish

group objectives (Yukl, 1994, 14). "An off-shoot of trait theory" (Fairholm, 2011, 96), charismatic approaches tend to focus on leader traits, particularly mystique and goodness and evil, as well as cultural expectations (Van Wart, 2005, 338).

In 1997, House proposed a comprehensive theory to explain charismatic leadership in terms of testable propositions, rather than mystique. House's theory identifies charismatic leaders' traits and behaviors, the conditions in which they will flourish, and in what ways they differ from other people (Yukl, 1994, 318).

An Attribution Theory by Conger and Kanungo (1987)

The underlying assumption here is that charisma is an attributional phenomenon (Yukl, 1994, 321). The theory's authors argue that the combination of the leader's context, traits, and behavior produces the perception of charisma (Van Wart, 2005, 339). Thus, contextual factors that contribute to, but do not guarantee, the emergence of charismatic leadership are a crisis or emergency, or dissatisfaction with the status quo. By Conger and Kanungo's admission, "because of their emphasis on deficiencies in the system and their high levels of intolerance for them, charismatic leaders are always seen as organizational reformers or entrepreneurs" (Van Wart, 2005, 339). Passion, confidence, persuasive ability are among charismatic leaders' traits.

The strengths of the theory include its descriptive character (its acknowledgement that there are charismatic leaders around us) and its attention to, and acknowledgement of negative charismatics. Among its weaknesses—its noncomprehensiveness, its dismissal of noncharismatic leadership, and its narrow personality-based view of leadership (Van Wart, 2005, 342).

Entrepreneurial Leadership

Proposed by Tichy and Devanna (1986), the essence of this type of charismatic leadership is in de-emphasizing the role of charisma in organizational transformation and focusing attention on a transformational leader's actions in influencing the needed changes in organizational culture (Bass, 1990, 591) through "a behavioral process capable of being learned and managed," in particular, "a leadership process that is systematic, consisting of purposeful and organized search for changes, systematic analysis, and the capacity to move resources to areas of lesser to greater productivity… [to bring about] a strategic transformation (1986, in Bass, 1990, 53-54). Arguing that "transformational leadership is about change, innovation and entrepreneurship," and that "increasingly excellence is the condition not just for dominance but survival" (1990, in Van Wart, 2005, 345) they claim that "more than ever the key to global competitiveness will be widespread capability of institutions around the world to continuously transform" (1990, in Van Wart, 2005, 344). According to Tichy and Devanna (1986), organizational change is a three-act drama that portrays the tensions between the forces of stability, represented by managers, and of change, represented by leaders, and affecting both the organizational and individual needs (Denhardt et al., 2008, 202-203). These acts are: "recognizing the need for revitalization," "creating a new vision," and "institutionalizing change" (Denhardt et al., 2008, 203).

What makes Tichy and Devanna's model stand out, according to Denhardt et al. (2008, 204), is its "identification of the emotional and psychological forces at play during the prorcess leading to change," which shows the link between transformational

leadership and the concept of emotional intelligence (EI) that was being formulated at the same time and was popularized in the 1990s by Goleman (2006).

Across these and other transformational leadership approaches, three common features can be detected:

1. The majority of transformational leadership theories share three behavioral characteristics: communicating a vision, creating empowering opportunities, and showing caring and respect for followers.

2. They also share three personal traits: vision, power and its need for expression, and self-confidence.

3. Finally, they emphasize the part organizational culture or context plays in effective transformational leadership (Callahan et al., 2007, 154).

Distributed Leadership Approach

At this juncture the question becomes: how leadership can be improved with less formal leadership? And, more specifically, what are the ways, other than involving formal leaders, of accomplishing traditional leadership functions (Van Wart, 2005, 358)? Distributed leadership approach answers these questions by emphasizing "the sharing leadership function through delegation, participation and other empowerment mechanisms (Van Wart, 2005, 359).[15] The approach is comprised of seven theoretical models: informal leadership, followership, superleadership, substitutes for leadership, self-leadership, team leadership, and network leadership (Van Wart, 2012, 123).[16]

<u>Informal Leadership</u>

Part of informal organization, informal leaders are those who influence others without the support of formal position. As with formal leaders, technical expertise and

specialized knowledge as well as personal charisma, demonstrated in good communication and listening skills, credibility, and the ability to win respect and trust of their colleagues, can be the sources of their influence (Van Wart, 2012, 125). According to Van Wart, "Informal leaders can curb the corrosive effects of the power of formal leaders, provide fresh ideas, aid communication, and ensure that employee and alternative perspectives are properly considered" (Van Wart, 2012, 125). They often choose cases involving protection of lower-level employees or client rights (Van Wart, 2012, 125).

Informal leaders can act to either support or undermine formal leaders. When informal leaders support formal leaders, "there exists a type of coproduction in which informal leaders help humanize the organization, provide useful and early feedback, and enhance worker motivation by facilitating sense-making and engagement" (Van Wart, 2012, 126). Lack of support, on the other hand, ranging from absence of support to active opposition, can result in resisting new ideas, manipulating information, and creating an adversarial atmosphere (Van Wart, 2012, 125).

Their presence in organizations "is particularly important at the beginning of new initiatives, in leadership transitions, and in times of crisis when formal leadership is weak or challenged by external conditions" (Van Wart, 2012, 125). In power-sharing arrangements, informal leaders play especially important roles in "teams with a lot of self-determination" (Van Wart, 2012, 126). Finally, the organizational environment can increase or diminish the likelihood of informal leaders' presence in the organization (Van Wart, 2012, 125).

<u>Followership</u>

This perspective emphasizes the importance of followers in "critically and fairly evaluating formal leadership performance" through their engagement in the process of change (Van Wart, 2012, 126). Depending on their level of engagement, followers can be conceived as ranging from isolates to bystanders to participants to activists and, finally, to diehards (Van Wart, 2012, 126). Being disengaged or only marginally engaged in the process of change, the first two types add nothing of value to the leadership process; while the contribution of the remaining three types, those who are moderately or extensively engaged, "is tempered by their willingness to make informed assessments rather than assessments based on snap judgments or selfish interests" (Van Wart, 2012, 126). Therefore, this perspective teaches, "good followers are both engaged and self-informed" (Van Wart, 2012, 126).

<u>Superleadership</u>

The motto of this approach is "leading others to lead themselves" (Van Wart, 2005, 361). It focuses on follower development and empowerment by examining what leaders should do to prepare followers to be successful when they are empowered (Van Wart, 2005, 361-362). Combining three of Hersey and Blanchard's styles (excluding directive), it creates a universal "superleadership" style that consists of supporting others, allowing participation in decision-making, and delegating responsibilities (Van Wart, 2005, 362). According to Van Wart (2012, 129), "superleadership reminds us that shared leadership begins with the active role of the formal leader in preparing, recognizing, and letting go of followers."

<u>Substitutes for Leadership</u>

Two styles of leadership are associated with this approach: *delegated style*, used when less leadership is preferred, and a *combined style*, when the need for more leadership arises (Van Wart, 2005, 359-360).

The approach received its name from the "*intervening variables* that make nondelegated forms of leadership redundant or even unwarranted" (Van Wart, 2012, 130). These variables include *task* ("innately satisfying work, predictable work flow, and feedback mechanisms built into the task"), *subordinate* ("a professional orientation and the ability of subordinates to function autonomously because of past experience and education"), and *organizational* ("formalized rules, procedures, and protocols…, work group cohesiveness and self-management, and a strong organizational culture") *characteristics* (Van Wart, 2012, 130-131).

There is also a group of *moderating variables* for nondelegated forms of leadership comprising the approach. It consists of *neutralizers* (these "constrain a formal leader's ability to influence subordinates' performance" and include organizational inflexibility, an antimanagement culture, high need for autonomy by workers, an inability of leaders to influence work incentives such as raises or sanctions, lack of consensus about the best goals to achieve, situations when workers have alternate resources, and when subordinates are distant from the leader"), *enhancers* (these "augment the leader's ability to influence subordinate performance" and "include the leader's upward and lateral influence, the ability to sanction, the cohesiveness of the work group when there is value alignment with the leader, a strong resource base that the leader controls, a promanagement culture, and a positive image of leadership by subordinates"), and

supplements (these, too, "augment the leader's ability by directly strengthening either the tools of leadership, such as analytic aids, or the capacity of leadership, such as training and education") (Van Wart, 2012, 131).

Van Wart calls the contribution the theory of substitutes has made into the leadership literature "enormous" and "highly respected" (2012, 131). Its main insight is that "more leadership is not always better" as "leadership time and resources are commodities to be conserved and used strategically" (Van Wart, 2012, 131). It also "established an intellectual basis for the empowerment, self-management, and team literatures," "provided a clear direction for those redesigning work systems" and "brought together a widely dispersed literature of studies and microlevel insights about when and how leadership functions" (Van Wart, 2012, 131).

<u>Self-Leadership</u>

Someone famous once said, "Leadership starts with oneself." Self-leadership is defined as a "process of influencing oneself" (Van Wart, 2012, 132). According to Van Wart, "the central insight of self-leadership theory is that the attitudes, beliefs, self-designed behavioral patterns, and motivational preferences of individuals make a critical difference in both accomplishment and personal satisfaction in work, whether it involves an executive or a frontline worker" (2012, 133). A number of traits and skills are believed to affect or be affected by self-leadership, among them self-confidence, decisiveness, resilience, energy, need for achievement, willingness to assume responsibility, flexibility, emotional maturity and continual learning (Van Wart, 2012, 133).

Self-leadership is both a theory and a universal style. As a style, it employs three specific types of strategies: behavior-focused strategies, natural reward strategies, and

constructive thought-pattern strategies (Van Wart, 2012, 133). *Behavior-focused strategies* help us improve our interactions with the world by, among other things, removing negative cues, such as time wasters, and increasing positive cues, such as utilization of things or people that enhance productivity; using reminders and attention focusers, such as "to do" lists and organizers; as well as more specific strategies involving self-observation, honest self-evaluation, self-goal-setting, etc. (Van Wart, 2012, 133). Underlying *natural reward strategies* is a distinctive quality of work to be intrinsically satisfying (Van Wart, 2012, 134). It allows to overcome the negative and focus on the positive aspects of work, thus enhancing natural rewards (Van Wart, 2012, 134). Finally, constructive thought-pattern strategies involve the creation or alteration of cognitive thought processes through "self-analysis and improvement of belief systems, mental imagery of successful performance outcomes, and positive self-talk" (Van Wart, 2012, 134).

According to Van Wart, "the self-leadership literature is a useful companion to the trait approach to leadership. It points out not only the virtues of a trait such as self-confidence but also the strategies to achieve it" (2012, 135).

Team Leadership

An approach that focuses on dynamics of leadership within the context of groups has become known as team leadership or self-managed team theory. Being closely connected to task- or relationship-oriented styles of leader behaviors, combined in a single style of team leadership, this approach argues that any member of a well-adjusted group may assume leadership functions (such as monitoring and taking action and scanning internal or external environments) as well as leader role, consisting mainly in

determining when, and how, the leader should intervene in the team's dynamics to improve team effectiveness (Callahan et al., 2007, 154). Van Wart (2012, 136) calls this practice "an appealing form of work democracy" because it allows the team to mutually determine and execute "direction, support, participation, achievement, inspiration, and external connectedness."

Van Wart (2012, 136) indicates that "should be considered a type of team leadership, not the type of team leadership" as they "can thrive only under special conditions." When these conditions are met and the team is functioning ideally, identification with the work, task selection based on talent and interest, flexibility, and innovation are enhanced (Van Wart, 2012, 136). However, as Van Wart (2012, 136) stresses, "when self-managed teams are functioning poorly, they induce frustration, unresolved disputes, 'free riders' (members who do not pull their weight), goal confusion, fuzzy accountability, excessive meetings, and other management pathologies." For self-managed teams socio-technical design is even more important than it is to normal vertical leadership teams, therefore, high-quality self-managed teams are "neither accidental nor easy to attain" (Van Wart, 2012, 138).

Self-managed teams, undoubtedly, "have had a substantial and growing impact in contemporary organizations" (Van Wart, 2012, 138). Nevertheless, team theory is still highly fragmented and little consistent compared to other topics of the leadership literature (Van Wart, 2012, 139).

Network Leadership

Power sharing among organizations is the main focus of network leadership, an approach that "deemphasizes the roles of both leaders and followers in order to

emphasize the needs of the network, system, environment, or community" (Van Wart, 2012, 139). Part of the discussion on governance and interorganizational and cross-sectoral forms of cooperation and collaboration, network leadership emphasizes the "need to support the health of communities and the environment for the good of all. It requires a longer-term perspective in achieving many of the desired results. It emphasizes a cooperative, win–win perspective that can be gained only by working painstakingly through problems to frame them as opportunities if they are examined broadly enough" (Van Wart, 2012, 140).

Calling for a systemic approach to resource utilization, "collaborative leadership is more likely to occur in communities and professional environments sensitized to communal needs and accountability, and where individual leaders share a collaborative disposition" (Van Wart, 2012, 140).

Ethics-Based Leadership Theories

The question that comes in the focus in this part of the discussion is: "for whom is leadership exercised (Van Wart, 2012, 159)? Ethics-based approaches recognize that contributions made by followers in the leadership process are at least as important as the ones made by leaders. After all, it is followers who do the all the work (Van Wart, 2012, 143).

Overall, these approaches are concerned with three issues. The first has to do with character that "defines us as individuals and forms and informs our actions" (Fairholm, 2011, p xi-xii) independent of who we are, leaders or followers. The *intent* to do good is emphasized here (Van Wart, 2012, 143). The second is the judgment for "selecting the *proper means* for doing good," or what in philosophy is called the deontological or duty

approach (Van Wart, 2012, 143). Deontological ethics holds that our moral duties are determined not out of concern for the others' interests but out of respect for the law or reason. Therefore, actions have moral worth only when they are motivated by this logic. According to this school, it does not matter whether leaders engage in deception motivated by self-interest or an altruistic desire to advance the interests of followers—in both cases these behaviors are considered to be immoral (Price, 2004, 463-471). The third is concerned with selecting the *proper ends*, or with the teleological or utilitarian approach (Van Wart, 2012, 144). This approach maintains that the best decision is that which results in "the greatest good for the greatest number" and creates the largest amount of human happiness (Bowman et al., 2010, 77). Van Wart (2012, 144) argues that all three concerns "must be functioning for good leadership (as a process) to be robust. Systems with ethical leadership provide a higher quality of life for all individuals involved, higher organizational performance on average, and greater sustainability over time."

<u>Personal Integrity Model of the Virtuous Leader</u>

This model builds on the three core elements of *integrity*: honesty, trustworthiness and fairness (Van Wart, 2012, 144). *Honesty,* or "restraint from lying, cheating, and stealing" (Van Wart, 208, 138), refers to telling the truth; it also means consistency between a person's espoused values and behavior (Van Wart, 2012, 144; Yukl, 2010, 410). *Trustworthiness* is the other side of trust: there is no one without the other. However, they "belong" to different actors: trust is an attribute of a trustor, while trustworthiness is a characteristic of a trustee. The trustee's trustworthiness is ultimately determined by the trustor's perception of it (Six et al., 2008). A judgment of

trustworthiness is based on information (complete or incomplete) related to the actions and motives of the trustee that can be obtained through direct interaction or indirectly, through third parties or from the context within which the trustee operates (Six et al., 2008). Establishing a reputation of trustworthiness takes time: "the perception of being trustworthy is hard to acquire and easy to lose. Trustworthiness emerges slowly from involvements and interactions with one another—involvements that reveal a history of consistency, honesty and goodwill" (Luke, 1998, 236).

Lastly, *fairness*, or "impartiality and a lack of prejudice or discrimination" (Van Wart, 208, 138), refers to knowing the rules and applying them equally to all, without distinction (Van Wart, 2012, 145). Fairness is especially important in "the equality of treatment" and "making rational and appropriate exceptions" (Van Wart, 2012, 145). In settling disputes fair people tend to listen to all sides before they reach any decision (Van Wart, 2012, 145).

As applied to leadership, integrity is manifested by holding together a well-ordered and integrated, in other words, coherent, set of internal core commitments or beliefs that guides one's actions and shows consistency over a lifetime (Luke, 1998, 231).

Servant Leadership

Robert Greenleaf (1977), the author of servant leadership, based his theory on a premise found in New Testament (Yukl, 2010, 419)—it is not the people who serve the king; it is the king who serves the people. Underlying the theory is the idea that the leader's first priority and responsibility is the service to others (Denhardt et al., 2008, 205), expressed in "helping others to accomplish shared objectives by facilitating individual development, empowerment, and collaborative work that is consistent with the

health and long-term welfare of followers" (Yukl, 2010, 419). The values this approach

attributes to servant leader include integrity, altruism, humility, empathy and healing,

personal growth, fairness and justice, and empowerment (Yukl, 2010, 420).

According to Fairholm, "Greenleaf (1998) drew attention to the central leadership

task of service. His focus included service and transformation and integrated these into

essential features of the leader-follower relationship. Both Greenleaf and Burns (1978)

focused on a pervasive, holistic approach to leadership. Their conceptual work opened

the door to perceiving leadership as a discrete field of study and as a unique set of

techniques, actions, attitudes, and values applied in the context of leader-follower

relationship" (2011, 117).

In terms of the theory's limitations, competing values of performance and worker

welfare may result in conflict in business corporations; therefore, some think that servant

leadership is more appropriate for the public and nonprofit sectors (Yukl, 2010, 421),

however, more research is needed to confirm or deny this point of view.

Authentic Leadership

New in leadership theory development—theory of authentic leadership—has

emerged via converging three perspectives—leadership, ethics, and positive psychology

and organizational studies (Ardichvili et al., 2008, 623). It calls for leaders that stay true

to themselves and their values (Ilies et al., 2005, in Ardichvili et al., 2008, 624): leaders

that possess greater self-knowledge, higher moral and ethical standards of decision

making and personal behavior, as well as greater capacity for personal growth and

transformation (Ardichvili et al., 2008, 624). Therefore, authentic leadership is defined

"as a process that draws from both positive psychological capacities and a highly

developed organizational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive self-development" (Luthans et al., 2003, in Ardichvili et al., 2008, 624).

<u>Spiritual Leadership</u>

Proponents of this theory describe the evolution of work life as "spirit unfolding itself throughout the workplace and over time. …the work of the executives is to join in this creative emergence of a new dimension" (Fairholm, 2011, 82). Therefore, "the development of spirit at an individual, team, and organizational level" constitutes spiritual leadership (Fairholm, 2011, 82). The theory focuses on the role of leaders in enhancing "the intrinsic motivation of followers by creating conditions that increase their sense of spiritual meaning in the work" (Yukl, 2010, 421).

According to Van Wart, "The overall thrust of spiritual leaders is that the authority of action comes from those being assisted, especially those affected outside the organization. It takes a broader view of the stakeholder universe, not limited to direct clients and customers, or even to humans" (2012, 149).

The strengths of spiritual leadership include making one's work more meaningful (Yukl, 2010, 422) and tapping into the need to assist and make a difference (Van Wart, 2012, 150). It has linkages to emotional labor and emotional healing and to public service motivation (Van Wart, 2012, 149). In terms of limitations, the theory does not specify how leader values and skills influence leader behavior and does not explain the processes whereby leaders influence followers (Yukl, 2010, 421).

Contemplating on the direction in which leadership research should proceed, Rost (1991, 176) argues that the task of the ethics-based leadership theory is to transform the current ethical framework of personal responsibility into one of civic virtue.

Gender, Diversity and Cross-Cultural Leadership

The sweeping changes in the workforce composition have necessitated leadership theory to adopt new perspectives that focus on cross-cultural, diversity, and gender leadership.

The World Culture Approach

It is well-known that culture influences our values, belief systems, perceptions of the world, and ultimately, our behavior. With increasing globalization, multicultural workforce has become a reality with which leaders and managers are confronted every day and, no less importantly, are often drawn from themselves. Therefore, understanding of different cultures has become vitally important for effective leadership.

Differences in lived experiences, caused by social, political, economic, and historic factors, account for the existing variations among cultures in terms of their customs, beliefs and values (Van Wart, 2012, 164).

According to Yukl (2010, 437), there are a number of ways in which cultural values and traditions influence the attitudes and behaviors of leaders. Cultural values are likely to be internalized and exert influences on one's attitudes and behavior that may not be conscious; also, "cultural values are reflected in societal norms about the way people relate to each other," which delimit and specify acceptable forms of leadership behavior through such mechanisms as social pressure from other members of the organization or conformity induced by fear of diminished respect (Yukl, 2010, 437-438).

Focusing on conformance to social context, the world culture approach to leadership research examines how world cultures influence perceptions about ideal leader behaviors as well as the dialectics that exists among these "distinctly different perceptions about… how leaders and followers should interact" (Van Wart, 2012, 160). One of the most widely used approaches is to study differences among countries with regard to leaders' behavioral patterns and managerial practices, as well as their skills and traits (Yukl, 2010, p 438, 439). The biggest cross-cultural study of leadership to date, termed the GLOBE project and spanning 62 countries, is an attempt to "develop an empirically based theory that describes the relationship between societal culture, organizational processes, and leadership" (Yukl, 2010, 440). Nine cultural dimensions (assertiveness, future orientation, gender egalitarianism, humane orientation, in-group collectivism, institutional collectivism, performance orientation, power distance and uncertainty avoidance) were used to identify and describe the differences, similarities, and the reasons for both, among ten world culture groups representing all major regions of the world (Van Wart, 2012, 167; & Yukl, 2010, 440). An important finding of the study was the identification of six types of leadership behaviors relative to the ten cultural groupings: charismatic/ value-based leadership, team-oriented leadership, participative leadership, humane-oriented leadership, and autonomous leadership (Van Wart, 2012, 168).

A list of leadership cultural competencies by Adler and Bartholomew (1992) includes having a general understanding of the history of other cultures; being sensitive to the differences in tastes and preferences; showing respect for the different histories, customs, and beliefs when working with people of different cultural backgrounds; being

bi- or multilingual as well as using appropriate vernacular within a common language to enhance communication adaptation; and being "scrupulous in demonstrating cultural equality rather than in allowing cultural superiority" (Van Wart, 2012, 168). Van Wart adds to that "the ability to inspire visions that transcend cultural differences and unify groups in common ways that promote cooperation, effectiveness, and ultimately success" (2012, 169).

In discussing world cultures one should also mention a concurrent process of emergence of a global culture that signifies a trend toward a global community (Van Wart, 2012, 169). Having identified similar expectations toward leader behavior in terms of performance, integrity, communication, facilitation, etc., as well as demonstrated intolerance toward dictatorial, ruthless, and noncooperative leader behavior, research findings of the Globe project confirm this trend (Van Wart, 2012, 169).

The Subculture and Diversity Approach

No culture is homogeneous. Organizations, being microcosms of societies in which they exist, also have subcultures, "especially in terms of professional groups with slightly different functions to fulfill and perceptions about what goals to achieve" (Van Wart, 2012, 172). Diversity is understood as "differences in race, ethnic identity, age, gender, education, socioeconomic level, and sexual orientation" (Yukl, 2010, 453). As diversity in workforce increases so does the need to study its effects on leadership.

This approach to leadership theory examines the impact of subculture and diversity on effective organizational leadership, as well as challenges and opportunities that "harnessing diversity" and "broad inclusion of individuals with different life experiences" present for leaders and organization (Van Wart, 2012, 160).

<u>The Gender Approach</u>

The gender approach examines the differences in behavior, style, and effectiveness between men and women as leaders. This approach also seeks to address the issue of how to better represent women in senior leadership positions (Van Wart, 2012, 160).

On the one hand, this approach focuses on factors contributing to issues of sex-based discrimination and "glass-ceiling" in the advancement of women to leadership positions, on the other hand it deals with theories of feminine advantage that make a claim that "the changing nature of leadership in organizations has increased the relevance of skills and values that are stronger in women than in men" (Yukl, 2010, 450, 448-449).

Emotional Intelligence (EI)-Based Approach to Leadership

The term *emotional intelligence* (EI) was coined by two psychologists Peter Salovey and John Mayer in an article they published in 1990, and since then this admittedly "ground-breaking and paradigm-shattering" idea has been enjoying unparalleled success (Goleman, 2006, xii; Stys et al., 2004) as well as harsh criticism (Fambrough et al., 2008, Stys et al., 2004).

Since 1990, the interest to emotional intelligence has grown considerably, reflecting, in part, a bigger trend fuelling increased demand for the development of personal and interpersonal competencies. As indicated by Curtis and McKenzie (2001, in Carblis, 2004, 1),

> Changing patterns of economic competition and forms of work organization have led to a greater emphasis on what are sometimes called 'soft' skills—the personal attributes of teamwork, a work ethic, and a preparedness to be flexible and to embrace change.

Two developments from the 1980s precipitated the interest in and success of EI. The first development is the organizational culture movement. The 1980s are the beginning of what some call the "organizational culture and quality era" (Barley et al., 1992; in Fambrough et al., 2008, 741), which purportedly still continues today, that "brought with it participative management, 'management by walking around,' and a strong focus on quality and customer service" (Fambrough et al., 2008, 741). To build relationships with their followers and to foster commitment to shared values, leaders required cultivating strong organizational cultures (Fambrough et al., 2008, 742). Thus, according to Fambrough and Hart (2008, 742), "culture was recognized as a conduit for emotion-laden messages.

The second development of the 1980s was the emergence of new leadership approaches, and first of all, transformational, charismatic, and visionary leadership (Fambrough et al., 2008, 748-749). These approaches conceive of a leader as "someone who defines organizational reality through the articulation of a vision, which is a reflection of how he or she defines an organization's mission, and the values that will support it" (Parry et al., 2006; in Fambrough et al., 2008, 748-749). EI is believed to positively influence followers' perceptions of the leader and increase the effectiveness of transformational leaders (Fambrough et al., 2008, 749). Writing about the connection between EI and transformational leadership, Fambrough and Hart (2008, 749) argue:

> Transformational leadership has been of particular interest to EI enthusiasts, probably because transformational leaders have historically been personified as embodying qualities now appropriated by various models of EI… They conceived transformational leadership to be a process of social interaction in which leaders and followers were highly connected, with inspirational, motivational, and emotional elements.

Having sprung into the lexicon of managerial and leadership literatures relatively recently, this approach has not yet generated many leadership theories. The one that has come to my attention is presented below.

<u>Primal, or Resonant, Leadership</u>

This is a theory of leadership based on the concept of emotional intelligence (EI). Emotional intelligence views leadership as emotionally charged and considers the emotional dimension of leadership to be primal both

- o in a general sense ("Throughout history, and in cultures everywhere, the leader in any human group has been the one to whom others look for assurance and clarity when facing uncertainty or threat, or when there's a job to be done. The leader acts as the group's emotional guide") and

- o in the context of the modern organization (where "this primordial emotional task—though by now largely invisible—remains foremost among the many jobs of leadership: driving the collective emotions in a positive direction and clearing the smog created by toxic emotions," thus *bringing out everyone's best*, or creating an effect called *resonance*) (Goleman et al., 2002, 5).

Integrative Approaches

Extreme complexity and vastness of the field make it tempting to theorists to build an overarching framework incorporating as many approaches as possible (Van Wart, 2012, 178). As Van Wart (2012, 178) put it, "Integrated frameworks are very useful for the 'big picture' perspective that they provide, but they involve overcoming many challenges." As those challenges are not so easy to overcome, the search for an ideal integrative model still goes on. Among those that already exist and gained some

popularity are models based on closed systems, such as shared leadership, open systems, such as comprehensive leadership competencies theory, and dynamic systems, represented by complexity theory.

Yukl's (2010) Integrating Conceptual Framework

Figure 5: Yukl's (2010) Integrated Conceptual Framework
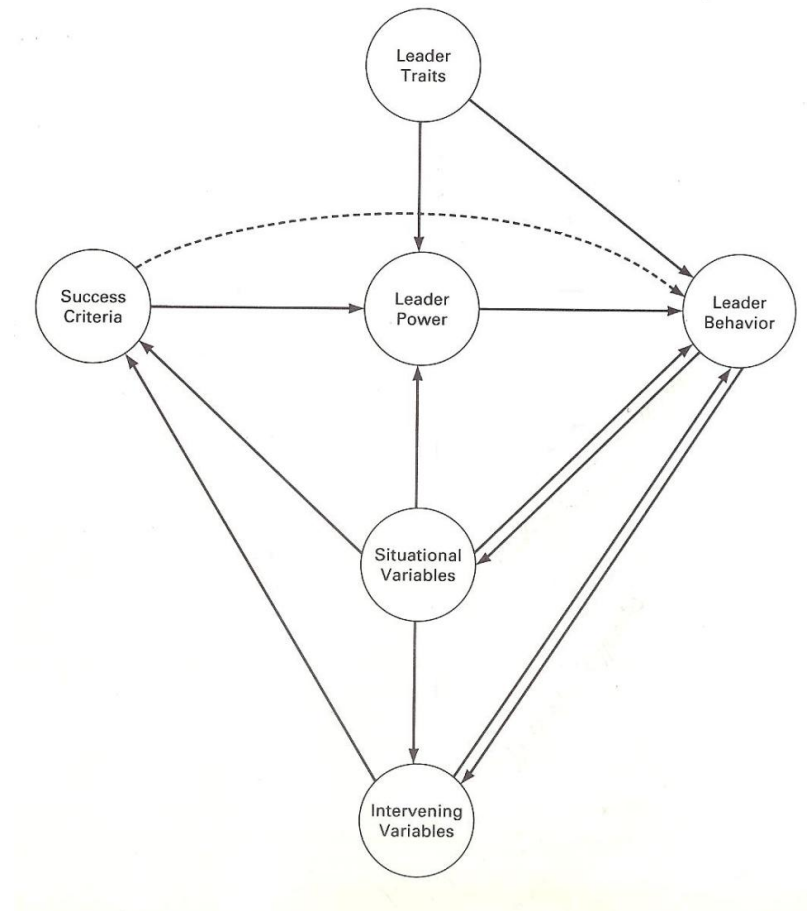
 Source: Yukl, 2010, 509.

Lamenting little integration of findings from different approaches, Yukl (2010) indicates that in those still relatively few cases where different lines of leadership research are converging, "they appear to be interrelated in a meaningful way" (507). Therefore, building upon earlier research, Yukl (2010) has proposes an integrating

conceptual framework that shows how traits, behavior, situation, power, and follower characteristics "interact to jointly determine leadership effectiveness" (507).

Yukl's basic model (presented in Figure 5) works on three levels: individual, teams, and organizations. Its assumption is that the level of performance will be determined by a corresponding set of intervening variables. Therefore, "intervening variables such as follower motivation, skills, role clarity, and self-efficacy mediate the effects of leadership behavior on the performance of individual followers. Intervening variable such as cooperation and mutual trust, coordination, collective efficacy, and collective identification mediate the effects of leader behavior on team performance. Intervening variables such as process efficiency, human and social capital, collective learning, product and process innovation, and relevant competitive strategies mediate the effects of leaders on organizational performance" (507-508). As seen from Figure 5, leaders can influence the intervening variables directly and indirectly, through situational variables. Moreover, "the arrow from situational variables to the intervening variables is similar to "substitutes" for leadership that reduce the importance of leaders when the situational effects are favorable" (508-509). The arrow going in the opposite direction, from leader behavior to situational variables, signifies that the leader may be able to influence some of the situational variable given a longer period of time and, indirectly, the intervening variables and the overall performance of the organization (509). The latter is especially important for executive leadership and concerns its influence on the organization's core ideology and cultural values, the formal structure and management systems, employee skills, network relationships, etc. (510). In its turn, "the arrow from

situational variables to the success criteria reflects the direct effect of external conditions that are usually beyond the influence of the leader" (509).

Leader behavior in the model can be regarded as both an independent and dependent variable. In the latter case, the model shows how it is influenced by a number of factors—leader traits, behavior, and power, as well as "situational demands and constraints, feedback about the success criteria, and feedback about the results of prior attempts to change the intervening variables" (510). Finally, leader power in the model "is determined jointly by leader traits such as technical expertise and persuasiveness, aspects of the situation such as formal authority and control over rewards, and by the feedback effects of success or failure" (510).

<u>Shared Leadership Theory</u>

Still in a nascent stage, this loose model rather than a well-articulated theory highlights the role of vertical leadership in enhancing the "capability and motivation to engage" in various types of distributed leadership that exists in the organization (Van Wart, 2012, 181). The model employs a combined style, where vertical and distributed types of leadership are happening concurrently at multiple organizational levels (Van Wart, 2012, 181-182). Thus, comprising the combined style are:

- o *Superleadership*, believed to be "necessary on the part of the formal leadership to develop followers to accept the responsibilities and challenges of distributed leadership, to provide the participative opportunities to learn and interact, and to prepare to self-lead or self-manage in a group environment."

- o *Self-leadership*, believed to be insufficient if only "practiced, modeled, and encouraged by formal leaders:" "it is only when subordinates also practice self-leadership that a robust form of shared leadership exists."

- o *Empowered team*, "which not only carries out important management functions with relative autonomy but also self-organizes and distributes leadership functions such as accountability and role assignments" (Van Wart, 2012, 182).

As an ideal concept, "shared leadership recognizes the need for some elements of "top-down" leadership, but it emphasizes that the best-run contemporary organizations need to maximize 'bottom-up' or distributed leadership as much as possible (Van Wart, 2012, 182). Taken in the broadest sense, the model asserts "empowering individuals at all levels and giving them the opportunity to take the lead" (Greenberg-Walt et al., 2001, 140).

There are also three moderating factors relevant to shared leadership's success:

1. The capacity of organizational members themselves;

2. The capability of leaders to develop and delegate; and

3. The general willingness of the organization, from the chief executive to organizational culture, to "allow and encourage the use of distributed leadership models"[17] (Van Wart, 2012, 182).

Some believe shared leadership will become the leadership model of the future Greenberg-Walt et al., 2001, 140):

> Shared leadership fosters an environment that responds in agile ways to newness. It promotes a greater degree of creative and rational thought at the levels where it is needed. It enables all individuals in the organization to test their own assumptions and those of others rather than waiting for the ideas and decisions to be handed down through the hierarchy. True shared leadership can happen

anywhere in an organization" (Deiss and Soete, 1997, in Greenberg-Walt et al., 2001, 140).

As a consequence, employees are increasingly expected to be their own leaders and, at some point, to be prepared to lead formal or informal teams (Greenberg-Walt et al., 2001, 140). As Rost (1991, 111-112) has once noticed, leadership is losing "its Lone Ranger or Piped Piper of Hamlin image… …leadership relationships… involving one leader and numerous followers… become less and less possible and more and more improbable."

Strategic Leadership Theory

Traditionally, strategic leadership was associated with executive management. However, there have been recent calls to broaden this approach to other echelons of management (to include all those who have "overall responsibility for the organization") and to expand its focus to incorporate environmental conditions as well to address increasing turbulence of the organizational universe (Van Wart, 2012, 186).

The framework conceives of strategic leaders as those who "make strategic decisions, create and communicate a vision of the future, develop key competencies and capabilities, develop organization structures, processes, and controls, manage multiple constituencies, select and develop the next generation of leaders, sustain an effective organizational culture, and infuse an ethical value system into the organization's culture" (Van Wart, 2012, 186).

The proposed style here is *strategic leadership.* It entails the creation and maintenance of:

- o *Absorptive capacity*, or the ability to learn. "'It involves the capacity to recognize new information, assimilate it, and apply it toward new ends'" and

"'processes used offensively and defensively to improve its fits between the

organization and its environments'." At the same time, "'it is a continuous

genesis of creation and recreation where gestalts and logical structures are added

or deleted from memory'."

- o *Adaptive capacity,* defined as "'the ability to learn by exercising the ability to

  change'." "'The organization's ability to change requires that the leaders have

  cognitive and behavioral complexity and flexibility . . . , coupled with an

  openness to and acceptance of change'."

- o *Managerial wisdom,* defined as a "combination of discernment and timing.

  Discernment 'involves the ability to perceive variations in the environment' and

  'an understanding of the social actors and their relationships'. Timing involves

  the ability to take the right action at the right time" (Van Wart, 2012, 186).

Several factors that need to be considered when practicing strategic leadership

are: the strategic leadership style is more critical in environments with increasing

dynamic; it can only be exercised to the degree to which leaders have discretion as well

to the degree to which they possess the following skills and traits:

- o Cognitive complexity—"the ability to assimilate large amounts of information,

  sift through it, and interpret it as circumstances and purposes change;"

- o Social intelligence—"the ability to make constructive distinctions among

  individuals and their moods, temperaments, motivations, and so forth and to

  simultaneously align and maximize individual and organizational needs;" and

o Behavioral complexity—"the ability of leaders to perform multiple leadership roles and to have a large behavioral repertoire to select from as circumstances change" (Van Wart, 2012, 187).

There are also three moderating factors:

o The ability of strategic leaders "to formulate and project a clear vision of the past and present of the organization, and the concrete needs for future change. The cognitive aspect of a vision involves the outcomes and means of achieving them. The affective aspect is the motivation and commitment necessary to execute the vision."

o Charisma, or "the attractiveness of an individual's personality and a trust in their expertise and insight help immensely in the selling and implementation of change."

o Possession of "change-management experience and skills, as captured in transformational leadership" (Van Wart, 2012, 187).

In the strategic leadership model, the traditional performance goals of efficiency and effectiveness receive a new emphasis on "identifying change needs and opportunities and executing them effectively" (Van Wart, 2012, 187).

<u>Social Change Leadership Theory</u>

As the name suggests, the social change leadership literature focuses on accomplishing social change by means of collective action, with the ultimate goal being contribution to the common good and resolution of public problems (Van Wart, 2012, 187). Emphasis here is on strategies and competencies that contribute to shared policy decision making and implementation (Van Wart, 2012, 187). The theory has multiple

foci, from Burns's (1978) idea of transforming leadership to Agranoff's (2007) community network perspective, depending on the level at which social change occurs: national/international, regional or local (Van Wart, 2012, 187-188). Van Wart (2012) indicates that the policy orientation of the social change leadership theory causes it to "deemphasize general management and administrative competence, which tend to be assumed" (189).

Emphasizing shared leadership, the approach is anti-heroic in tone and shares many values with the ethics-based approaches—values such as public service "calling," integrity, giving back to community, authenticity of action, or sense of morality (Van Wart, 2012, 187, 189). At the same time, the approach is antistrategic, equating a strategic mindset to market-based values (Van Wart, 2012, 187, 189).

In terms of leadership skills and competencies, it stresses the importance of agreement building, networking, exercising nonjurisdictional power, institution building, and flexibility (Van Wart, 2012, 187-188). The need for collaboration in a shared power world, "bringing diverse groups and organizations together in semipermanent ways" and across the boundaries, and "the slow and patient process of bringing about adaptation" are the main themes, to name a few (Van Wart, 2012, 188).

Social change leadership theory describes collaborative leadership in terms of five attributes:

- o Egalitarianism: the size of the contribution is not as important as participation in problem solving.
- o Cultural sensitivity: public problem solving must incorporate cross-cultural differences and multiple perspectives of diverse stakeholders.

- o Openness to the ideas of others: public problem solving should promote bottom-up communication.

- o Consensus building: Producing social change requires commitment to incorporating all voices through patience and perseverance in the face of different opinions.

- o Comfort with ambiguity and complexity (Van Wart, 2012, 189-190).

As stated by Van Wart (2012), "The success of social change leadership is largely determined by the degree to which adherents not only have integrity, but exhibit strong collaborative leadership qualities" (190).

Complexity Theory

Another new theory shifts the focus from hierarchical leader–follower relationships to nonlinear dynamics of behavioral patterns and "complex interactions among various organizational players" that "shape organizational strategies, power structures, and networks of relationships" (Ardichvili et al., 2008, 624). The complexity theory calls for reconceptualizing the role of leadership in contexts where organizations are viewed as complex, self-organizing systems. In such systems, the role of leaders is not given but emerges in social interactions, they "are not controlling the future, but are enabling the development of conditions, which lead to desirable future states" (Ardichvili et al., 2008, 624), including disrupting "existing patterns of behavior, to promote innovation through encouraging nonlinear interactions and novel ideas, and to interpret change for others, instead of trying to create change" (Ardichvili et al., 2008, 625).

With the underlying assumption of highly turbulent and complex environment, this perspective enlists three "primary leadership styles that are executed on a rotating, as needed basis" (Van Wart, 2012, 191). These styles are:

- o *Administrative leadership*, that caters to the traditional organizational functions, such as human resource management or budgeting and is "'grounded in traditional bureaucratic notions of hierarchy, alignment and control.' Administrative leaders structure goals, engage in planning, build vision, acquire resources, manage crises, and manage organizational strategy."

- o *Adaptive leadership*, defined as an "'emergent interactive dynamic that produces outcomes in a social system. It is a collaborative change movement that emerges nonlinearly from interactive exchanges, or, more specifically, from the 'space between' agents'." It fosters creativity, flexibility and change that stem "from a complex dynamic process rather than an individual's unique actions."

- o *Enabling leadership*, that enhances right conditions for channeling adaptive leadership and facilitating creativity and change, and that occurs anywhere in the organization, but particularly at the middle management level. It differs from administrative leadership, with which it sometimes overlaps, in focus of interactions: where administrative leadership is about control and order enabling leadership cultivates responsiveness, flexibility, and creativity. "Enabling leadership encompasses the tension created between administrative and adaptive leadership, and between hierarchies and networks, in ways that ensure that

adaptive processes are not stifled by the demands for immediate accountability

and linearity" (Van Wart, 2012, 192).

According to Ardichvili et al. (2008), the complexity theory has major

implications for leadership development. He argues, in particular:

> This novel view of leader's role in organizations suggests that leadership development should also be reconceptualized. Thus, instead of trying to develop leaders' strategy-making abilities, we need to focus more on developing their ability to recognize complex dynamics and emergent patterns within their organizations and to articulate emerging themes. Furthermore, leadership development should be concerned with developing leader's capacity for greater imaginativeness, for acting within a wider range of possibilities, for taking risks, and for being able to "live with the anxiety of not knowing and not being in control" (625).

Multiple-Organizational-Level Leadership Theory (Hunt's Synthesis)

The theory "emphasizes a vertical perspective of leaders at different levels in the

organization and the length of time necessary to achieve a broader organizational

perspective" (Van Wart, 2012, 197). Similar to skills and competency approaches, this

perspective also builds on Katz's (1955) assertion that different levels of management

require different competencies (Van Wart, 2012, 197). It offers three leadership styles:

- o Direct leadership—the style that functions at the production level. "It involves administration or operating procedures and maintenance of individual and collective skills and equipment."

- o Organizational leadership—the style that is concerned with "the upward integration of subordinate organizational elements with the goals and mission of the organization. It also involves the downward operation, interpretation, and translation of subsystems or programs."

o   Systems leadership—the style that "requires the development of strategies, operating principles, and/ or policy." "Executives are responsible for the overall design of the system and subunits as well as the broader operation and control of centralized systems planning over functions such as budget, information, personnel, and so forth" (Van Wart, 2012, 197).

The appropriate style is determined by one's place in the hierarchy (Van Wart, 2012, 197).

The State of the Public-Sector Literature on Leadership Theory

In comparison to the mainstream leadership literature, the body of public administration literature on the subject is rather small (Morse et al., 2007, 3). And although some scholars, such as Rost (1991), argue for a multidiscipline approach to the study of leadership, many in public administration who believe "that public leadership is distinctive and that generic treatments of leadership are not sufficient" (Morse et al., 2007, 3) voice their concern with regard to the "limited extent of systematic analysis of *public* leadership issues" (Ingraham, 2006, 361) within our discipline. Van Wart (2005; 2003, 220) indicates that the debate on the centrality of public leadership is "unfocused," "muted and underdeveloped" and lacking "integrative models tailored to public-sector settings." Fairholm (2004) suggests that it has been "a significant struggle to discuss the philosophy of leadership in public administration" (577), while Terry (2003) writes about the "neglect of bureaucratic leadership" by scholarly attention (4).

Unlike the mainstream leadership theory, public administration, according to Fairholm (2004, 578), has treated leadership as one of many supporting components of the public administrator's effectiveness at best, and not as a major factor in public

administration theory and practice. This is because of the way the discipline has developed historically, as the study of management in public organizations. The influence of political science literature has also played a role. Ellwood (1996, 63) indicates that in political science, discussions of leadership have been highly contextual and "most often found in the subfield of presidential scholarship and in case studies of department heads and bureau chiefs," where the assumption has been that "inspired leaders will outperform going-by-the-book bureaucrats." Such case studies typically describe "managers who have been successful in bringing about organizational change and innovation or who have been successful in managing in impossible situations" (Ellwood, 1996, 63). Frederickson and Matkin (2007) contest these depictions by referring to recent scandals involving such "inspired" business executives who believed "the nonsense about the efficacy of breaking the rules" (40) to underscore the importance of "going by the book" for a public-sector leader, who exists "in a world of constitutions, laws, appropriations, regulations, and rules" (40). They state, "Taking rules seriously is the safe, smart, and responsible thing to do in most public administration cases" (2007, 40). In his critique of the case study literature Ellwood (1996, 64) states: "…leadership scholarship, particularly if it relies on case studies, suffers from the generic limitations of case studies."

It is not surprising, therefore, that of the four perennial debates of mainstream leadership theory—what should leaders focus on; does leadership make a difference; are leaders born or made, what is the best leadership style—only the debate on focus is discussed in public administration with the same vigor (Van Wart, 2005).

Fairholm (2004) maintains that public administration's preoccupation with traditional arguments about the potential evils of authority is the reason why public

leadership "philosophy" lags behind mainstream theory. He denotes that these arguments can be summarized by what he terms the "three Ds:" "(1) dichotomy arguments that say leadership looks too much like politics and therefore should be eschewed; (2) discretion arguments that simply define leadership as a maverick and undesirable version of administrative discretion; and (3) domination/authority arguments that suggest leadership is merely another form of domination and authority and, therefore, is inherently dangerous because it tends to create societal units that are dominated by the whims of unchecked (that is, unelected), morally hegemonic 'men of reason'" (Fairholm, 2004, 578).

The domination/authority argument goes back to Max Weber's (1921) work on legitimate authority in organizations and institutions which he described in terms of corresponding to three types of leaders (in Bass, 1990, p, 26):

1. Bureaucratic leaders, who "operate with the staff of deputized officials and are supported by legal authority based on rational grounds. Their authority rests on beliefs in the legality of normative rules and in the right of those who are elevated to authority under such rules to issue commands" (Bass, 1990, 26). Riccucci's book *Unsung Heroes: Federal Execucrats Making a Difference* (1995) belongs to this category. Using examples of outstanding federal-level career executives, she exposes the "myth" depicting them as the mere "cogs" in the political decision-making machinery of government by presenting concrete evidence of their "power to influence public policy" (1995, 3).

2. Patrimonial leaders, who "operate with a staff of relatives rather than officials. They are supported by traditional authority that rests on the sanctity of

immemorial traditions and the legitimacy of status of those who exercise authority under them" (Bass, 1990, 26).

3. Charismatic leaders, who "operate with a staff of disciples, enthusiasts, and perhaps bodyguards. Such leaders tend to sponsor causes and revolutions and are supported by charismatic authority that rests on devotion to the sanctity, heroism, or inspirational character of the leaders and on the normative patterns revealed or ordained by them" (Bass, 1990, 26).

Recently the list has been expanded to include servant, transformational, catalytic and some other leader types that appeared since the 1980s, mostly under the influence of Greenleaf's (1977) and especially Burns' (1978) books.[18]

In his analysis of the administrative discretion debate, Van Wart (2005) traces it to the works of Finer (1940), Leys (1943), and Stone (1945) in which arguments about the proper role of public administrators in society has been raised. Not only the discretion debate continued throughout the rest of the twentieth century, but under the influence of the NPM reform movement, it received a new twist, and a new boost, in the 1990s, when it became interjected with arguments about entrepreneurial uses of discretion (Van Wart, 2005, 20-21). The question was not anymore *whether* public administrators should practice leadership; the question was *what kind* (Fairholm 2004, 578).

The idea of the administrative leader as entrepreneur was introduced by Lewis (1980) in the 1980s, was further developed by Doig and Hargrove (1987) and, finally, exploded in the 1990s, when the literature on leadership became linked with the government reinvention efforts (or what Peters (1996) calls the deregulating model) and the New Public Management and the market model of administration underlying them.

Among its major proponents are Sanders (1998), who viewed leadership as essential in the transformation of government; Borins (2000), who wrote on innovation in government, and Roberts and King (1996), to name a few.

The growing body of literature on entrepreneurial leadership models features a number of themes. One of them is that innovative or entrepreneurial leadership behaviors happen at all levels of organization, not just at the top, and that this phenomenon has been linked to increased organizational effectiveness (Ingraham et al., 2004, 98). Another theme identifies activity patterns entrepreneurial leaders are engaged in. These include statements such as: entrepreneurial leaders identify new missions and programs for their organizations; they develop new constituencies; determine areas of vulnerability; provide motivation and training for their employees; and tend to follow some mixture of rhetorical strategy, involving evocative symbols and language, and coalition-building strategy, based on the development of political support from many groups (Rainey, 1997, 291). Studies focusing on external environments depict entrepreneurial leaders as those who use to their own advantage fragmented government structures and difficulties of strong central control in pursuing opportunities to forge their own direction (Rainey, 1997, 291). Finally, the theme focusing on personalities and skills of entrepreneurial leaders emphasizes their strong motivation "to make a difference," their optimism and sustained determination. It describes a number of their abilities: ability to perceive effective means to ends called "uncommon rationality;" ability to see political logic in emerging historical situations; and ability to link their innovative actions to broader political and social trends (Rainey, 1997, 291).

Being one of the most popular models, entrepreneurial leadership is one of the most heavily criticized (deLeon & Denhardt, 2000; Goodsell, 1993). Terry (1995/2003, xxii) is one of the model's strongest opponents. In his own words,

> While effectiveness, efficiency, and economy are certainly given their due [in the entrepreneurial leadership model], the protection of values such as accountability, fairness, justice, and representation is at the heart of the controversy. What the debate noticeably lacks, however, is discussion of long-term effects of entrepreneurial actions and behaviors on the integrity of public bureaucracies.

He juxtaposes the model's "neo-managerialist ideology," which he considers to be alien to the tenets of democratic theory, with a normative, value-laden model of leadership in which public-sector leader plays a role of the conservator of organizational values and goals. Terry calls administrative executives "*conservators* because they are entrusted with the responsibility of preserving the integrity of public bureaucracies (2003, xv). This means, as Terry (2003, 43) explains, "protecting the institution's regulatory, normative, and cognitive systems from injury, destruction, or decay." G. Fairholm's (1991) model of leadership, which will be discussed below, echoes the same idea, as it incorporates the fundamental constitutional values that guide the work of public administrators.

Agreeing with Terry in what concerns the importance of preserving public agencies' institutional integrity, Behn (1998, 220) criticizes his approach as being too reactive. In his (1998, 220) mind,

> [T]o truly preserve the agency's institutional integrity, its managers must do more than react defensively. To preserve any organizational characteristic, public managers have to exercise initiative.
> To ensure that key organizational processes are preserved and, thus, available for future use, public managers have to employ them frequently—testing and verifying that the people who are responsible for making these processes work have the knowledge and capabilities to do so. Values and principles lose all meaning unless they are frequently applied to help resolve real

problems. To preserve its "special competence and character," a public agency has to exercise its functions and processes, values and principles. Locking them up in a vault ensures that the agency's institutional integrity will wither.

Behn (1998, 220) argues that the best way to preserve the agency's institutional integrity is to use it to accomplish the agency's mission, and the best way to enhance it is to ensure that the agency's employees use the agency's processes, values, and principles frequently and, while doing so, at the same time "learn to use them more effectively."

Behn (1998, 220) concludes his critique by pledging allegiance to active, intelligent, and enterprising leadership—leadership that supports initiatives designed to facilitate goal achievement in the present and to build organizational capacity for achieving objectives in the future and that "builds both an agency's and its government's reputation for accomplishment and thus competence." He (1998, 220) underscores, "Such leadership requires public managers to exercise initiative within the framework provided by their legal mandate."

In critiquing the leader as change-agent perspective, a variant of entrepreneurial leadership that, according to Frederickson and Matkin (2007, 34), "glorifies risk-taking and assumes that the primary responsibility of leaders is to change things," they argue that this "style of leadership is often incompatible with organizational effectiveness in the public sector" and contrast it with the leader as gardener perspective. They state:

> The study of public leadership from the change-agent perspective fails to recognize crucial elements of effective-public sector organizations, including the preservation of public order, the reliable and predictable provision of public services, and the practices of democratic self-government…
> …The change-agent leader understands institutional values and traditions as important but views them as problems that need to be changed. However, institutional values in the public sector are often democratically derived by the will of the people. Leaders who seek to change institutional values and traditions are challenging the democratic foundations of the organization.

In an attempt to dispel some of the misconceptions surrounding the entrepreneurial model of leadership, Bozeman and Kingsley (1998, 109) confront those "government reformers [who] take the risk aversion of public managers as both axiomatic and as a malady" by presenting two arguments. First, they cite "the gurus of 'reinvention'" Osborne and Gaebler as saying that the need to be more entrepreneurial should not be equated with risk-taking and that the link between risk-taking and effective public management is not proven. In particular:

> Many people also assume that entrepreneurs are risk-takers. They shy away from the notion of entrepreneurial government because, after all, who wants bureaucrats taking risks with their hard earned tax dollars. But, as careful studies demonstrate, entrepreneurs do not seek risks, they seek opportunities (Osborne and Gaebler, 1993; in Bozeman et al., 1998, 109).

And second, even if one assumes that "risk-taking is a part of public entrepreneurship," this behavior is tempered through a "'civic-regarding' ethic that encourages citizen participation" (Bozeman et al., 1998, 109).[19]

Referring to "the debate about administrative discretion, which largely pitted an 'entrepreneurial' camp against a 'stewardship' [or conservatorship] camp" (219), Van Wart (2003) expresses an assumption that the development of "integrative models tailored to public-sector settings… may have been stymied by the enormous normative debates that typified the field in the 1990s" (220).

At the same time, starting in the 1990s, emotional undercurrents of leadership influences opened the door for a new direction in the leadership literature focusing on emotional intelligence, or the ability to understand people and act wisely in human relations (Fairholm, 2004, 578). The 2000s have invigorated interest in values and relationships. Effective leader-group relationships are seen as the means to renew trust in

government, increase performance and provide a missing link for successful government reform. Similarly, leadership based on values—personal, professional, constitutional and public service—leader's own and followers'—has been a focus of scholarly discussion, as have been issues of integrity, tolerance, and conflict resolution through the involvement of followers (Kim, 2009, 547). Within the leader-group discursive framework, several separate discussions are taking place in literature: self-awareness, effective coaching and mentoring skills, building relationships and trust, team and organizational development, establishing productive relations with legislative bodies, etc. (Kim, 2009, 547-548).

The discussion on the latest and future trends in public leadership—often referred to in the literature as leadership for the twenty-first century—incorporates such topics as the role of culture, increased importance of partnering and collaborative behaviors, and competencies of global leaders (Morse et al, 2008).

Public-sector leadership is conceptualized according to three distinct approaches discussed below.

Political Leadership

A lot of what has been written about leadership in public administration focuses on elected officials and political appointees to highlight how the behavior of "these powerful, very visible, leaders" creates and sustains change (Morse et al., 2007, 4). Writing in 1957, Selznick observed an overwhelming interest of his contemporaries in "*political* statesmen, leaders of whole communities who sit in the high places where great issues are joined and settled" (1). Apparently not much has changed in this regard, since this topic continues to fascinate, as evident from numerous monographs about U.S.

presidents. This perspective is called *political leadership* or policy elite. Burn's (1978)

famous book epitomizes it (Morse et al., 2007, 4) and provides a philosophical

foundation for its analysis.

<u>Organizational Leadership</u>

Selznick (1957, 25) talks about the "futility of attempting to understand leadership

apart from the broader organizational experience of which it is a phase:"

> A theory of leadership will necessarily reflect the level of sophistication we have
> reached in the study of organization. We are dealing with an activity, with a
> function, with work done; we can make no more sense of it than is allowed by our
> understanding of the field within which that activity takes place.

The second approach tries to make sense of leadership within that organizational

experience Selznick is talking about. It focuses on public *organizational leadership* as

defined and understood by formal leadership positions within public organizations, from

line supervisors all the way to the top (Morse et al., 2007, 4), as well as authority over

employees expressed in the ability to reward or punish (Van Wart, 2009, 6).

Golembiewski (1967, in Bass, 1990, 26) describes this type of leadership as belonging to

the *traditional model* of organization, where it is "retained within the positions

established by a hierarchy of authority relationships." He distinguishes this organizational

model from another one, called *collegial*, where leadership passes from individual to

individual at the same level of the organization (1967, in Bass, 1990, 26).

Van Wart (2009, 6) distinguishes three types of leaders in organizations:

1) *Managers*—those in charge of execution and implementation (frontline

supervisors and even front workers also comprise this category);

2) *Management executives* or *political executives*—those who "focus on the policies

that their employees execute and are either empowered to make exceptions or

recommend policy changes to legislative bodies" (in other words, these are elected executives, like mayors, or political appointees, such as agency secretaries, directors, etc.); and

3)   *Transformational leaders*—those who are focused on new ideas; these can be "found at any level in the organization where the planned change efforts are being attempted."

Table 2 provides a simplified version of Van Wart's Leadership Typology, which takes into account the nature of the work performed by leaders and the type of their followers.

Table 2: A Simplified View of Different Types of Leaders

		Types of Work		
		Execution	Policy	New ideas
Types of Followers	Employees	Managers	Executives with policy responsibilities	Transformational leaders
	Constituents	Community leaders of volunteer groups	Legislators and advisory board members	Lobbyists and policy entrepreneurs
	Adherents	Small group leaders	Leaders of social movements	Philosophical zealots and social trend setters

Source: Van Wart, 2009, 6.

Katz and Kahn (1966/1978, in Rost, 1991, 62) distinguish three basic types of leadership behavior occurring in organizational settings: "(1) the introduction of structural change, or policy formulation, (2) the interpolation of structure, or improvisation, and (3) the use of structure formally provided to keep the organization in

motion and in effective operation, or administration." In a reverse order this classification relates to Van Wart's leadership typology (See Table 2).

Van Wart (2005) defines public organizational leadership as "a composite of providing technical performance, internal direction and support to followers, and external organizational direction — all with a public service orientation" (434). At the same time, he underscores the internal orientation of organizational leaders-managers:

> Organizational leaders… have been delivered authoritative assessments of what problems to address. Their concern is how to deliver services or products through their organization. Thus, organizational leaders will spend the bulk of their time assessing internal capacities such as task skills, role clarity, and other [such] attributes… (2005, 15).

Van Wart (2005) also states that, "while the tone of the public/nonprofit sector with its common-good mentality is substantially different than that of the private sector with its profit-motive mentality, the underlying structures of the dynamics of leadership are remarkably similar" (2005, xvi), with legal constraints, limitations of positions of power, an emphasis on service and ethical focus as technical priorities, service motivation as a trait, and service mentality and ethical focus as evaluative criteria being the only differing elements.

Among the earliest public administration works on leadership, and, by Van Wart's admission, "probably the single best overall treatments of the subject in terms of timelessness" (2005, 13), is Selznick's 1957 tome *Leadership in Administration.* Selznick opens his work with the phrase: "The nature and quality of leadership, in the sense of statesmanship, is an elusive but persistent theme in the history of ideas" (1957, 1). By linking leadership to statesmanship, according to Newbold and Terry (2008, 42), he provided a frame of thinking about career civil servants and their relationship to the state

they serve. Selznick (1957) distinguishes leadership from "office-holding or high prestige or authority or decision-making," indicating that only some of the activities decision-makers engage in are leadership activities (24).

In the book, Selznick describes a process by which organizations become institutions. "Perhaps the most significant" aspect of this process, called institutionalization, according to Selznick (1996), is the centrality of values—"the infusion with value beyond the technical requirements of the task at hand" (271). He argues that "the creation of social entanglements or commitments" —the essence of institutionalization—limits the available options "when actions touch important issues and salient values or when they are embedded in networks of interdependence." Thus, "Institutionalization constrains conduct in two main ways: by bringing it within a normative order, and by making it hostage to its own history" (271). In this context, knowing which values matter, "how to build them into the organization's culture and social structure; and in what ways they are weakened or subverted" becomes of paramount importance (271). In this Selznick (1957, 28) saw the essence of leadership: "The institutional leader… *is primarily an expert in the promotion and protection of values*." According to Selznick, institutional leadership is rooted in a "concern for the evolution of the organization as a whole, including its changing aims and capabilities" (1957, 5).

In addition to the institutional leader Selznick also describes the "interpersonal" leader[20] (that is more akin to Van Wart's manager or a team leader). He argues:

> The latter's task is to smooth the path of human interaction, ease communication, evoke personal devotion, and allay anxiety. His expertness has relatively little to do with content; he is more concerned with persons than with policies. His main contribution is to the efficiency of the enterprise (1957, 27).

In *Leadership in Administration* (1957) Selznick also underscored the centrality of individual behavior in understanding and shaping processes of institutionalization, especially as they relate to organizational experience, in particular, how the rational and nonrational (not to be confused with irrational), such as "group morale or patterns of institutional adaptation and persistence" are bridged by such behavior. He wrote, in particular,

> [N]o social process can be understood save as it is located in the behavior of individuals, and especially in their perceptions of themselves and each other. The problem is to link the larger view to the more limited one, to see how institutional change is produced by, and in turn shapes, the interaction of individuals in day-to-day situations (4).

Selznick (1957) also mentions the importance of what he calls "nerve" and understanding in institutional leadership: "It takes nerve to hold a course; it takes understanding to recognize and deal with the basic sources of institutional vulnerability" (25).

Selznick (1957, 62-64) examines some of the key tasks leaders perform that relate to organizational character. In particular:

1. *The definition of institutional mission and role*. Due to the vagueness and broadness of the aims of large organizations, this is one of the leader's most difficult and indispensable tasks: "*He must specify and recast the general aims of his organization so as to adapt them, without serious corruption, to the requirements of institutional survival*" (66).

2. *The institutional embodiment of purpose* or "transforming a neutral body of men into a committed polity" (90). In performing this task, the leader fits the "aims of the organization to the spontaneous interests of the groups within it," and

conversely binds "parochial group egotism to larger loyalties and aspirations" (93-94).

3. *The defense of institutional integrity*—"the persistence of an organization's distinctive values, competence, and role" that goes beyond sheer survival (119, 63). This implies identifying the conditions necessary for sustaining the organization's distinctive identity, *distinctive competence* (132). Professionalism is the answer society has developed for this task (133).

4. *The ordering of internal conflict*. The struggle among competing internal interest groups is of high concern to the leader because changes in the internal balance of power can seriously influence the direction of the enterprise as a whole. "In exercising control, leadership has a dual task. It must win the consent of constituent units, in order to maximize voluntary co-operation, and therefore must permit emergent interest blocs a wide degree of representation. At the same time, in order to hold the helm, it must see that a balance of power appropriate to the fulfillment of key commitments will be maintained" (63-64).

According to Newbold and Terry (2008, 42-43), Selznick's conceptualization of institutionalism , and the idea of thick institutions that it embodies, helps enhance the argument that "the key elements associated with NPM undermine the integrity of administrative institutions by creating a hollow state with thin institutions."

Van Wart's (2011) *Leadership Action Cycle* is based on the organizational leadership approach (It is discussed with other competency models).

Public Leadership

Affecting organizational leadership is the fact that the status of career public servants has diminished and there is no reason to expect that this situation will change (Svara, 2007, 95). At the same time, the events of recent decades have highlighted the need for greater collaboration and cooperation among and between different organizations, stakeholders, and sectors, thus bringing into focus the need for interorganizational leadership (Morse et al., 2007, 10). The focus of the third perspective is on the process of creating public value at all levels of organization as well as inside and outside government (Morse et al., 2007, 4). This process is bigger than public organizations and formal leaders. It represents a world of shared power where governance is a product of many organizations, not just public. This perspective has been known as *public leadership* (Morse et al., 2007, 5), as well as "interorganizational leadership" (Morse, 2008), "collaborative leadership," "catalytic leadership" (Luke, 1998), "leadership for the common good" (Cleveland, 2002; Bryson et al., 1992) and "integrative leadership" (Van Wart, 2013). I concur with Morse and Buss (2007, 4), that Cleveland's definition of leadership as "*bringing people together to make something different happen*" (2002, xv) is well suited for dealing with complex public problems and working toward the "common good" (Van Wart, 2013) in the world where "nobody [is] in charge" (Cleveland, 2002).

This perspective, with its interorganizational and intersectoral—boundary crossing—context and semi-permanent arrangement (Van Wart, 2013), is especially important to our understanding of how the field of public administration has been changing for the last decade from the study of government to the study of governance,

which is more than the sum of what governments do, and can be defined as "collective action taken to solve public problems" (Morse et al., 2007, 6). This leadership requires systemic and strategic thinking about short- and long-term actions and their impacts as well as input of multiple stakeholder groups to "facilitate and mediate agreement around tough issues" that cross "jurisdictional, organizational, functional, and generational boundaries… and are intertwined with other public problems" (Luke, 1998, 4). Its emphasis on mutual learning, shared power, and leading from the middle as opposed from the top (Morse, 2008, 82) distinguishes it from the traditional leadership perspectives without breaking with them all together. Thus, some (Morse et al., 2007, 5) think it overlaps with, others (Crosby and Bryson, 2005, in Morse et al., 2007, 5) that it includes, political and organizational leadership. Van Wart (2013) argues that, on the one hand, it is broader than administrative leadership while, on the other, it is narrower, as it largely ignores internal organizational operations and management.

The emergence of collaborative leadership signifies that, according to Morse et al. (2007), "the transformation toward the new governance coincides with the transformation of leadership in the public sector" (6).

In Frederickson and Matkin's (2007) model of public leadership as gardening, the collective portrait of a leader-gardener depicts someone who understands the complexity of public problems as well as the divergent attitudes, behavior and values that underlie them and "develops the adaptive capacity of his or her organization" (41-42);[21] who understands the need for and engages in "cooperative relationships where the traditional command-and-control style of leadership is not possible" (42) and who manages "public responsibilities whether in 'public' or 'private' organizations" (43).

A variant of public, or collaborative, leadership is *global leadership.* It signifies a shift in the relations between U.S. public leaders and "the rest of the world" (Zaplin et al., 2008, 152). To be a global leader means to hold "oneself accountable for public outcomes on a global scale" (Zaplin et al, 2008, 152). For global leaders heading domestic government agencies this means tightened awareness that their programs and policies impact other nations and people and that their constituencies are interconnected with constituencies in other countries (Zaplin et al, 2008, 152). For global leaders at the helm of international government agencies and programs this means being accountable to both domestic and foreign constituencies (Zaplin et al, 2008, 152).

Leadership Perspectives Model

Fairholm's (2004) *Leadership Perspectives Model* (LPM) helps address, in part, Van Wart's (2003) observation about the lack of integrative leadership models in the public sector. It is also an organizational leadership model that transcends the confines of the organization to become suited for the collaborative leadership context. In it, leadership is something larger than "a summation of the qualities, behaviors, or situational responses of individuals in a position of authority" (579), something that seeks to answer the question "what is leadership?" as opposed to "who is a leader?" (580). The underlying assumption of the model is that we define and judge leadership according to our own personal notions about what it is. According to this perspectival approach, "defining leadership is an intensely personal activity limited by our personal paradigms or our mental state of being, our unique mind set" (Fairholm, 1998; in Fairholm, 2004, 580). Looking at the concept of leadership from this standpoint helps explain why there are so many definitions and interpretations of leadership.

Gathered in this model are five major perspectives on leadership from the past

100 years (See also Figure 6 below and Table 3). They include:

- o *Leadership as management*—holds scientific management views of leadership that emphasize one best way to achieve productivity and are expressed in Gulick's famous POSDCORB, which "had great influence on the work of public administrators by legitimizing and routinizing the administration of government."

- o *Leadership as excellence management*—associates leadership with the "excellence" movement and is concerned both with systemic quality improvements and the people involved in it.

- o *Values leadership*—here leadership is conceptualized as a "relationship between leader and follower that allows for typical management objectives to be achieved primarily through shared values, not merely direction and control. Leadership success depends more on values and shared vision than on organizational authority."

- o *Trust culture leadership*—shifts the focus from the leader toward an (organizational) culture in which interactions between the leader and the led are based on trust founded on shared values and the recognition of the follower's key role in the leadership relationship.

- o *Whole-sole (spiritual) leadership*— underscores the whole-soul nature of both the individual leader and each follower. Underlying this perspective is the notion of people having only one spirit, which manifests itself in the unity of our professional and personal lives, and that leadership "engages individuals at this core level." "'Spirit' is defined in terms of the basis of comfort, strength,

happiness; the essence of self; the source of personal meaning and values; a personal belief system or inner certainty; and an emotional level of being." Here spiritual leadership is akin to EI (Fairholm, 2004, p 580-581).

Figure 6: Leadership Perspectives Model (LPM)
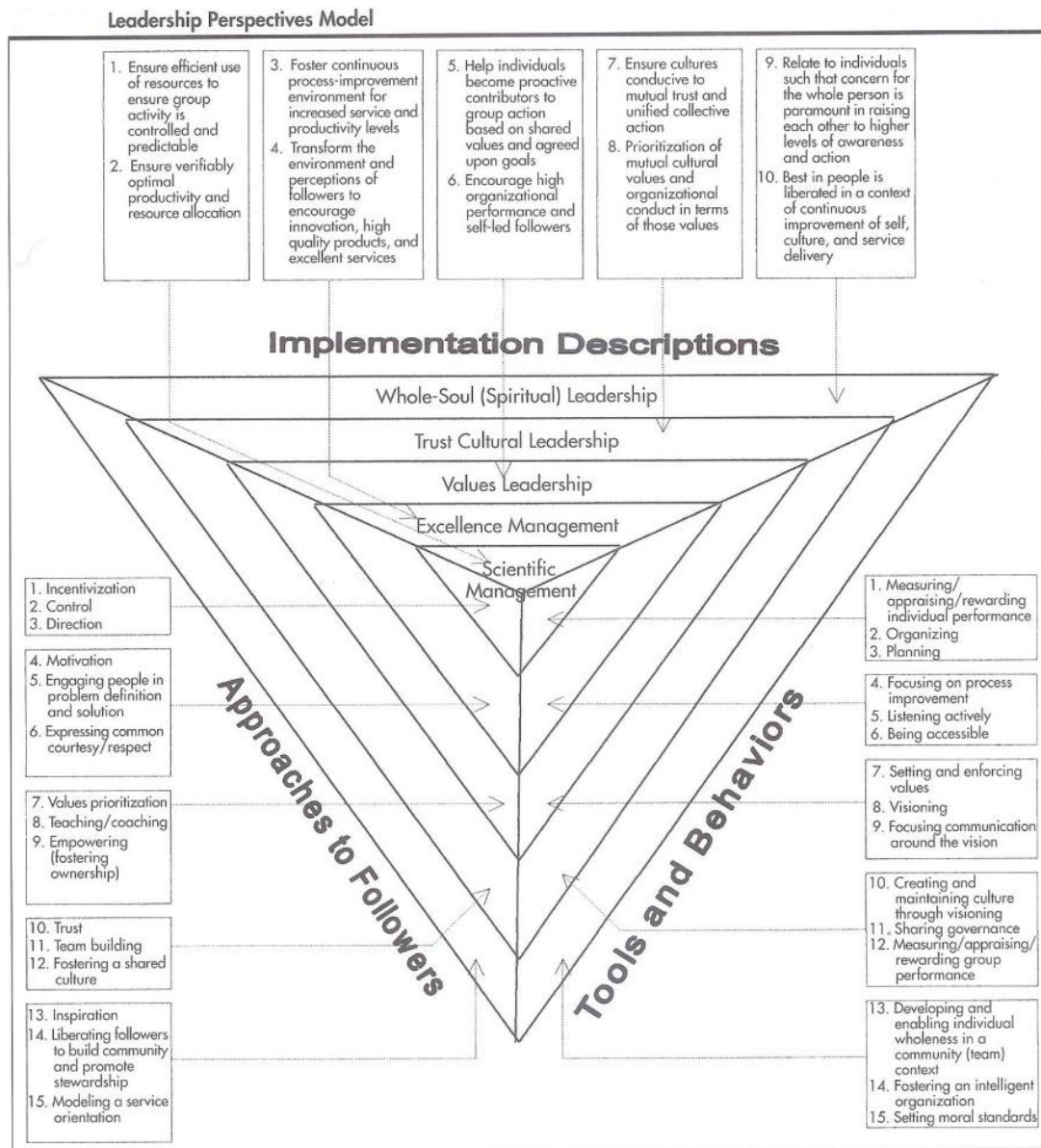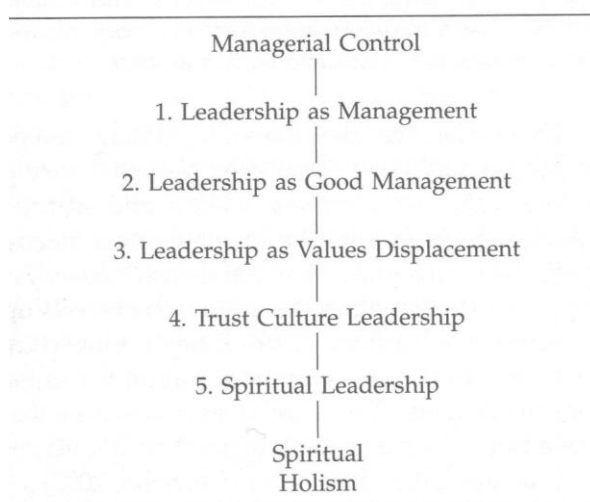

Source: Fairholm, 2004, PAR, 582.

Table 3: Leadership Perspectives Model

Leadership Perspective	Definition/ Description	Implementation	Tools	Approaches to Followers
Leadership as Management	Equates doing leadership with doing management. It focuses leadership on getting others to do work the leader wants done using values like efficiency and effectiveness. Key components include control, prediction, verification, and scientific measurement.	Efficient use of resources Ensure optimal resource allocation.	Measuring performance Organizing Planning	Incentivization Control Direction
Leadership as Excellence Management	Emphasizes quality along with control and predictability and requires the leader manage values, attitudes, and group aims within a quality framework. Key elements highlight improving group productivity, continuously upgrading work processes and quality.	Continuous process improvement Encourage innovation and excellence	Process improvement Naïve listening Being accessible	Motivation Joint problem solving Expressing courtesy/respect
Values Leadership	Affirms that leadership success is dependent on shared values that define and guide the leader-follower relationship. Key elements include the fact that we all have values and our values dictate our behavior. Other include the need to integrate disparate coworkers' values into a work values set and supply group members with both goals and standards of success. Follower change and development and group productivity all keyed to shared values are also central elements.	Foster self-led followers Help followers be proactive contributors	Setting/enforcing values Visioning Communicating around the vision	Prioritizing some values Teaching or coaching Fostering leadership
Trust Culture Leadership	Places an obligation on leaders: to create a common culture where all members can trust each other enough to work together to attain agreed-upon results.	Build the work culture Foster trust values	Creating a culture around a vision Sharing governance Measuring/ rewarding group performance	Trust Fostering a shared culture Team-building
Spiritual Leadership	Focuses on spiritual nature that defines both leader and led. Our spiritual selves define who we truly are. This perspective integrates the components of work and the rest of our lives into a comprehensive system fostering continuous growth and self-awareness. Spiritual leaders see each worker as a complete person with a multiple skills, knowledge, and abilities that transcend the narrow confines of job descriptions. Elements include: concern for the worker's whole self, relating to the meaning of work done to larger social and philosophical aspirations, focusing on core— spiritual—values, and realizing that honoring a clear sense of the spiritual dimension for all group members has a transformational effect on organizational forms, structures, processes, behaviors, and worker attitudes.	Focus on whole person of followers Focus on continuous follower improvement	Developing individual wholeness in the team Fostering an intelligent organization Setting moral standards	Inspiration Building commitment Promoting stewardship Modeling service

Source: Fairholm, 2011, p 135, 129-130.

These perspectives are distinct but related hierarchically (See Figure 7), with leadership as management being of the lowest order and whole-sole leadership, of the highest. This model is comprehensive in the sense that it shows how separate perspectives fit to create an overarching leadership framework. It is also descriptive, as it explores how public managers view leadership as they practice it, and it is also prescriptive "in the sense that it explains which activities, tools, approaches, and philosophies are required to be effective or successful within each perspective" (Fairholm, 2004, 585, 577). The model can be used as a framework for training and development (587).

Figure 7: The Leadership Perspectives Model's Continuum

Managerial Control
|
1. Leadership as Management
|
2. Leadership as Good Management
|
3. Leadership as Values Displacement
|
4. Trust Culture Leadership
|
5. Spiritual Leadership
|
Spiritual
Holism

Source: Fairholm, 2011, 129.

Matthew Fairholm's *Leadership Perspectives* (2004, 580) draw upon Gilbert Fairholm's (2011) framework of *real leadership* and its five archetypal perspectives (Table 3). Fairholm's (2011) framework posits that leadership is formed and informed by values and that the leader's values are the "most powerful trigger of leadership action

(2011, xiii). In particular, both leaders and followers have values, spiritual and professional, that define their character (Fairholm, 2011, xiii). Unless these values coincide, they "work at cross-purposes, and effective leader-follower relationships cannot be created" (Fairholm, 2011, ix). Fairholm (2011, 117) sees leadership as a "task of replacing followers' values with leader-set values that the leader believes are good for the grou" Therefore, "*real leadership is a function of marrying the leader's and followers' work-related values into a generally accepted pattern that guides the actions of both and seeks common outcomes*" (Fairholm, 2011, xxi). The work-related values, when shared, honored and used, "become both standards of behavior and measures of their success" (Fairholm, 2011, xxi). The foundation of <u>shared</u> values is what distinguishes leadership from management based on control mechanisms (2011, p xiv-xv). And understanding that people's personal values underlie their perspectives on leadership and accepting these perspectives in their totality constitutes real leadership (2011, 129). In the U.S. context, Fairholm (2011, 38) "grounds the idea of leadership in specific values embodied in the Constitution of the United States, the Declaration of Independence, and other founding documents: respect for life, liberty, freedom, happiness, and justice" For Fairholm (2011, 38), "leadership is values driven, change oriented, profoundly personal and integrative."

At the heart of real leadership lies *spiritual leadership* (or whole-sole leadership)—leadership that is based in and influenced by our spiritual core values. Fairholm (2011, 196) defines *spiritual values* as "the essential human values from around the world and across time that teach us how we humans belong within the greater pattern of events and how we can realize harmony in life and work. Secular and sacred are not

opposed, because we need not limit our spirituality to only a religious context." As people accept values as the "most powerful force in work interrelationships… connecting leader and led, they start realizing that "spiritual values are the most effective, powerful, and ethical" among the values in leaders' repertoire. "Inescapably, real leadership becomes a task of responding to them at the level of spirit, not merely skill" Fairholm (2011, xxi). The two overarching goals of spiritual leadership are productivity improvement and making leaders out of followers (Fairholm, 2011, 213).

Spiritual leadership builds upon all relevant ideas of past generations of leadership theory and integrates them, according to Fairholm (2011, xxi), "into the only comprehensive leadership theory extant." In this increasingly global environment, real leadership "adds a new dimension to the complexity of leadership" (Fairholm, 2011, 12): it is a type of leadership that favors collegial decisions "arrived at through negotiation, discussion and compromise in situations" where no one is in charge (Fairholm, 2011, 12).

Giving an overall assessment of the present-day state of leadership theory in the public sector and comparing it to the mainstream field, Van Wart (2005) observes,

> Unfortunately, there is a great tendency to treat all the situations in which leadership is important as a single monolith, rather than to explore the ramifications of different types of leadership in different contexts with varying missions, organizational structures, accountability mechanisms, environmental constraints, and so on. This means that the issues of technology of leadership are much less articulated in the public sector than they are in the private sector. Attempts at scholarly syntheses that reflect sophisticated multifunctional, multilevel, and multisituational models that were in evidence in the mainstream by the 1990s are largely lacking in either monographs or journal literature in the public sector (21).

On a more positive note, Fairholm (2004, 577) sums up the emerging perspectives on leadership:

These new ideas about how public managers view and practice leadership legitimize the notion that leadership is inherent in and a crucial part of public administration, and it offers public managers the chance to improve or enhance those legitimate leadership activities.

Where Does Management Fit In?

Earlier on these pages I provided some definitions of leadership. However, since I am looking at leadership as well as managerial competencies, I feel that providing a definition of management is in order as well.

A traditional private sector, or generic, view of management defines it as "an activity which performs certain functions in order to obtain the effective allocation and utilization of human efforts and physical resources in order to accomplish some goal" (Wren, 1987, in Ellwood, 1996, 52). While in earlier conceptualizations of management the goal of the manager was cost-minimization and profit-maximization, the new, and much broader, conception may refer to any goal in any process or organization. Applied to public management, such a goal can be efficiency or policy implementation (Ellwood, 1996, 52).

Lynn defines public management as "the executive function in government" and indicates that "public managerial roles encompass virtually every aspect of civic and social life" (in Kaboolian, 1996, 83).

The question of interest and a significant controversy in academe is about the relationship between leadership and management in the organizational context.

From the literature review we already know that the concepts have the same roots. Early theory of leadership was the study of management practices, and, as seen from Mintzberg's (1975) taxonomy, leadership was thought of as one of managerial roles. An early definition of leadership as "*management of men by persuasion and inspiration*

rather than the direct or implied threat of coercion" (Schenk, 1928, in Rost, 1991, 47)

also identifies leadership as a specific type (coercion-free) of management, but

management nevertheless. Therefore, some scholars do not think it necessary to

distinguish between leadership and management, like, for example, Fiedler and Garcia

(1987, in Rost, 1991, 33), who argue:

> There have been various proposals to reserve the term *leader* for those who lead
> by virtue of their personal charisma and the esteem in which their subordinates
> hold them. The term *head* supposedly designates the administrator or manager
> who holds the position by virtue of administrative appointment. Our research thus
> far does not demonstrate the need for this distinction.

Allison (1986) also believes that making such a distinction is meaningless due to

formidable obstacles caused by definitional problems. His solution—to circumvent such

obstacles "by taking a less abstract, more simplistically empirical path: focusing on

people playing lead roles in administrative settings… Those who lead in administrative

settings, I will call managers" (218).

Among those who do distinguish between these concepts, there exist further

divisions: on the one hand, there are those who view leadership and management as two

qualitatively different activities, so different in fact that they cannot occur in the same

person (Zaleznik, 1977; Kotter,1988 & 1990; Bennis, 2009), and, on the other hand,

those who argue that leading and managing are distinct processes or roles but both can be

performed or carried out by the same person (Hickman, 1990; Yukl, 1994, 2005;

Fairholm, 2011).

Representing the first view, Zaleznik (1977, 70) argues that managers and leaders

are two distinct personality types with incompatible values and fundamentally different

world views: "The dimensions for assessing these differences include managers' and

leaders' orientations toward their goals, their work, their human relations, and their selves."

Bennis (2009, 41), writes, "I tend to think of the differences between leaders and managers as the differences between those who master the context and those who surrender to it." Moreover, Bennis famously stated, "Managers are people who do things right and leaders are people who do the right thing" (Bennis et al., 2003, 20).

Kotter (1988 & 1990) believes that leading and managing are distinct but complementary systems of action that are equally important for organizational success but cannot be performed by the same individual. Thus, according to Kotter (1990, 104), management involves coping with complexity, while leadership is about coping with change. Kotter identifies the process of leadership with "the development of vision and strategies, the alignment of relevant people behind those strategies, and the empowerment of individuals to make the vision happen, despite obstacles" (1988, 10); while management for him is associated with "keeping the current system operating through planning, budgeting, organizing, staffing, controlling, and problem solving" (1988, 10). He states, "Leadership works through people and culture… Management works through hierarchy and systems" (1988, 10).

Finally, Barnard (1948, in Selznick, 1957, 36-37) considers management, with its emphasis on "established procedures and habitual routine" alien to leadership. However, he believed that leaders—"persons free of 'routine qualities'"—could perform managerial functions (but not vise versa) if they devoted their "main energy to greasing the wheels of organization."

Representing the second point of view, Rost (1991) conceptualizes management as an authority- based (typically contractual—written, spoken, or implied) relationship between the manager and subordinate(s) that includes the use of both coercive and noncoercive methods, as opposed to influence used in leadership, which is always noncoercive (146) and multidirectional. The latter means that anyone can be a leader and/or a follower and both can switch places (1991, 105). According to this view, organizational leadership is "the influential increment over and above mechanical compliance with routine directives of the organization [or management]" (Katz and Kahn, 1966/1978, in Rost, 1991, 131). This opinion is similar to the one expressed by Denhardt et al. that "leadership initially builds on the skills of management" (2008, 181).

Denhardt and Denhardt (2006) equate leadership with art. They argue that "the artistic dimension of leadership is exactly what distinguishes it from management" (2006, 10), that artistic dimension being, to cite poet Georges Braque—"one thing that counts: the thing you can't explain" (Denhardt et al., 2006, 10).

Rost (1991) further argues that in routine, day-to-day operations a manager can be effective in producing goods and services without actually leading. It is only at such times when major changes must be implemented and when authority becomes an insufficient "basis for gaining commitment from subordinates or for influencing other people whose cooperation is necessary, such as peers and outsiders" (Yukl, 2010, 7) that the manager must also be a leader.

Somewhat similar to Rost's, Selznick's (1957) distinction between management and leadership hinges on the type of decision-making. While routine decisions fall within the scope of management, critical decisions belong to the realm of leadership. Selznick

states that leadership is dispensable, that it is not always necessary "for the bare continuity of organizational existence" (1957, 60). Only when the time for critical decisions comes, leadership is called for to "*choose key values and to create a social structure that embodies them*" (60).

Selznick (1957) argues, moreover, that certain organizational practices typically associated with management, "can enter the critical experience of leadership" when "these practices and the attitudes associated with them help to shape the key values in the organization, and especially the distribution of the power to affect these values" (57). Belonging to such practices, according to Selznick (1957, 57-59), are the recruitment of personnel ("where the social composition of the staff significantly affects the interplay of policy and administration, personnel selection cannot be dealt with as routine management practice" (57)), training of personnel (when it is necessary to inculcate the personnel with an "organization doctrine"—certain attitudes and viewpoints based on a particular policy), the representation of internal group interest ("The function of a leader… is in part to promote and defend the interests of his unit. When freedom to do this is allowed, the top leadership, responsible for the organization as a whole can feel assured that the values entrusted to the unit will be effectively promoted and defended" (58)) in combination with effective coordination (which is "harmonious action" combined with "'constitutional' procedures for creating balanced representation and for adjudicating conflicts" (58)), and, finally, cooperation with other organizations (where the consequences for other parts of a program, organization as a whole, public opinion, access to clientele, and the establishment of precedents must be considered alongside the power implications of cooperation).

Colvard's (2008) views are consistent with those of Selznick and Rost. He (2008, 50) states that "the act of deciding is the heart of leadership; the execution of the decision is management." His explanation goes as follows:

> Organizations exist to achieve intended outcomes through purposeful activity. Such outcomes can be defined as work. In the complex processes of organizations, outcomes are determined by coordinated activities, which requires management. Desired outcomes change over time and require changes in the activities intended to achieve them. Anticipating and adapting to those changes requires leadership (2008, 51).

> Colvard (2008, 52) also contends, "…management roles include some leadership functions and …leadership roles include some management functions; the area between the two is a zone rather than a sharp line of demarcation."

> Van Wart (2005) adds a practical twist to a similar argument when he asserts:

> … all good managers must occasionally be leaders… , and all good leaders had better be good managers … at least some of the time if they are not to be brought down by technical snafus or organizational messiness. Indeed, one of the enormous challenges of great leadership is the seamless blending of the more operational-managerial dimensions with the visionary leadership functions (25).

> Behn (1998) is even more forceful in expressing a similar view. He states (thus pinpointing the source of contradiction) that, if organizations were smoothly run machines with interchangeable human cogs, then managing them would suffice. But since organizations are living systems composed of real humans—"diverse individuals with different competencies—then getting such people within these organizations to actually do their jobs requires motivation and inspiration. It requires leadership" (1998, 212). For Behn (1998, 212), leading by managers is not a matter of choice but of survival:

> …public managers have to lead. They need to articulate their organization's purpose and motivate people to achieve it. They have to keep their agency focused on pursuing its mission. They need to encourage people to develop new

systems for pursuing that mission. Markets don't work perfectly. Neither do organizations. Without some kind of conscious, active intervention—without leadership—public agencies (like private and nonprofit organizations) will fail to achieve their purposes. The people best situated, best equipped to exercise this leadership are the managers of the agency.

Behn stresses that by exercising leadership, public managers "help to correct organizational failure in our system of governance" (1998, 212). He (1998, 215) then asks the question: "What gives public managers the *right* to lead?

Arguing that under conditions of "permanent white water" "splitting the process of leading from the process of managing… is not helpful" (which brings us back to Allison (1986)), Kramer (2008) offers a concept of "managerial leader" that embodies essential for organizational effectiveness integration of leading and managing in one person (297).

Apparently following a similar chain of thought, Dukakis and Portz (2010) introduce a concept of public-sector *leader-manager* who possesses both leadership and management skills. While acknowledging differences between leadership and management, they argue that to focus on those differences would be counterproductive, as it would obscure "the important point that leader-managers must be effective in both domains" (5). They offer a leader-manager continuum represented by a horizontal line, where vertical lines at different points along the continuum represent different combinations of leadership and management tasks and challenges, from more management and less leadership to more leadership and minimal management.

The leader-manager continuum fits with the administrative leadership part of Van Wart's leadership typology that, if represented graphically, goes from management to transformational leadership (See Figure 8).

Figure 8: Combined Van Wart-Dukakis & Portz Continuum of Administrative Leadership

| A | (more management & less leadership) | B | (more leadership, less management) |

Management → Transformational Leadership

Types of Work		
Execution	Policy	New ideas
Managers	Executives with policy responsibilities	Transformational leaders

(row label: Employees as **Type of Followers**)
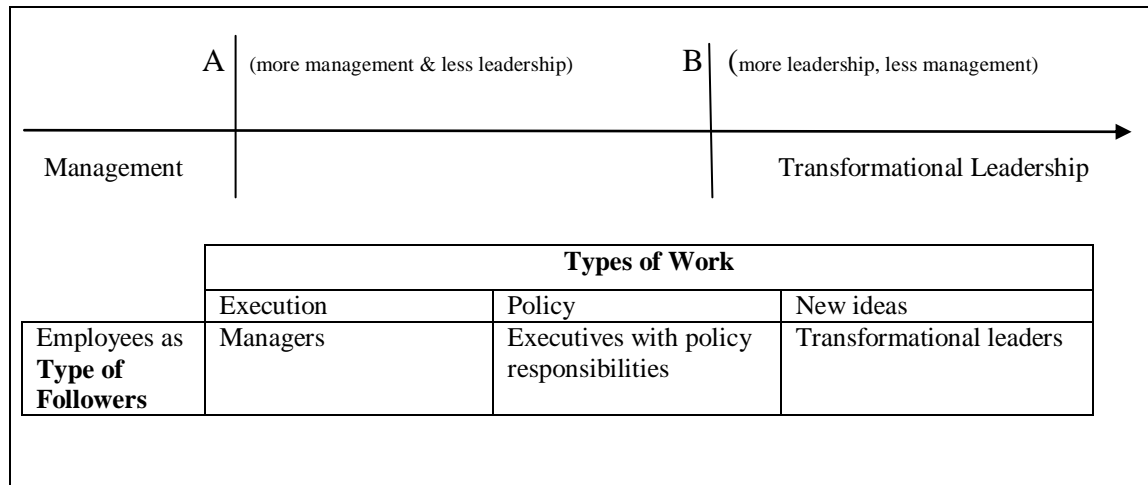
Sources: Dukakis et al., 2010; Van Wart, 2009.

Yukl and Lepsinger (2005, 361) argue that past theories do not explain how the concepts of leadership and management are interrelated and how together they impact organizational performance. They believe that the leading-versus-managing controversy stems, in part, from defining these concepts too narrowly and placing them at the opposing ends of a continuum from order and stability to innovation and change (365). Such a conceptualization leaves change management, human resources management, and strategic management, on one hand, and task- and relationship-oriented behaviors, on the other, misplaced. In this regard, they call for building better bridges between the leadership and management literatures as well as academics and practitioners (2005, 372). Instead of the continuum, they offer three ways of conceptualizing the leading and managing roles, indicating that "the best approach is not yet obvious" (2005, 373). Thus, if these roles are to be considered equal, then broader definitions consistent with their respective literature and contributing to our understanding of their impact on performance are required. Further, if leadership were to be defined narrowly, it could be

conceptualized as part of managing, like, for example in the classification proposed by Mintzberg, where leading is but one of ten managerial roles. As the third alternative, they offer identifying a set of relevant roles with corresponding behaviors without trying to put them into either the leadership or management category (2005, 372).

I believe that Fairholm's (2004, 2011) Leadership Perspectives Model already addresses that to which Yukl and Lepsinger (2005) are still trying to find solutions. Its underlying argument that leadership is however we practice it and however we believe it should be practiced settles the leadership vs. management dispute once and for all—as long as people practice leadership as management, or good management, the focus on management will remain relevant to the discussion of leadership theory. The same argument also erases the notion of "past" theories—as long as they underlie current practice, they cannot be dismissed as "past." Similarly, having incorporated all major perspectives into a single framework, the model describes how (by what combination of behavioral tools and approaches to followers) organizational effectiveness is achieved within each and across all perspectives.

As I see it, within the organizational leadership framework, there can be four possible leader-follower combinations: leaders that are in managerial positions, or, in other words, managers who lead, managers that are not leaders and sometimes are followers, subordinates that can be leaders on occasion, and subordinates that are followers at least some of the time. This dynamics presupposes that leader and follower roles can interchange.

By accepting the stance that leading and managing, though distinct (conceptually), are inherently interrelated processes that can be performed by the same

person (leader-manager) and, moreover, related conceptually in the same framework , I eliminate the need to do a separate overview of the literature on management theory and to distinguish between managerial and leadership competency frameworks, focusing instead on one combined framework of competencies. At the same time, I will try, to the best of my abilities, to distinguish between managerial processes and functions and leadership behaviors of persons in management positions. However, if I am found inconsistent in doing so, that probably will be because of the discrepancy that may exist between my espoused theory (Argiris et al., 1974), the theory I consciously try to adhere to, and my theory in use that may reflect the industrial paradigm (Rost, 1991) that blurs the distinction between leadership and management.

Proposition Based on Chapter Three

P5:   The linkages between competency-based models and leadership theory go well

beyond trait and skills approaches with which they are typically associated, to

include all major approaches.

Chapter Four – Competency-Based Approaches

Perry (1993, 17) once observed, "…theory contributes to effective performance, but not in completely predictable ways:" "translating knowledge about how to respond to a situation into effective behavior" is not easy. Well, competency modeling seeks to do just that.

Competency-based models of leader development can be a powerful vehicle of improving the state of public-sector leadership. But is this the framework that is capable of lifting public leadership from the state of crisis and create a sustainable basis for its effectiveness? To fully understand the potential and limitations of this method, I decided to construct an integrated model of leadership competencies by relying, to use Mau's (2009, 317) phrase, on the identification of a series of "'building block' competencies that can be used to create" a representative public-sector leader profile.

The concept of competencies as they apply to leadership and management is not entirely new; it has been around for some time, albeit under different names, such as proficiency, expertise, as well as competence. However, with the recent renewed interest in it and the spread of its usage to new spheres, there is a feeling that not enough is known about competencies and what is known comes from disparate sources. Thus, with regard to leadership competencies, there is no final verdict which of them contribute the most to leadership effectiveness.

A number of fields, in particular, behavioral psychology, management/business, strategic management, human resource management, public management/public administration, organizational leadership and leadership in public administration have shown interest in developing competency-based approaches. However, there is no

evidence of a dialogue among these fields. Therefore, there is no overarching model of leadership competencies.

Propositions Based on Chapter Four

P6:   Coming from disparate fields, competency understandings are too divergent for a common definition and /or overarching theory of competency to emerge.

P7:   Vagueness of the term *competency* complicates the emergence of an overarching theory of competency.

Introduction to Competencies

The concept of competence is so broad and loosely defined that some say (Carblis, 2008, 19) its usage has been "characterized by 'a lack of rigor and consistency'." Winterton (2009, 681) observes that, even after having become pervasive in policy discourses worldwide, the concept still remains elusive. And similarly, Boyatzis (1982, 22) complains of confusion resulting from the use of the word by many professionals in reference to different concepts and thus creating "methodological problems of what is actually being assessed or measured." In this regard, Carblis (2008, 22) points out that, by itself, the variety of definitions may not indicate a significant problem:

> Variety does not necessarily imply confusion or that there are "surplus meanings." No meaning is essentially "surplus." Meanings are either valid or they are not. The large number of valid meanings may simply indicate that it is a multifaceted concept.

Therefore, variety may even be considered a virtue—the concept being "so malleable that it can be defined and redefined according to the user's need of an intellectual tool" (Carblis, 2008, 22). What may, however, be problematic, is the issue of precision of definition:

> Any use of such a malleable term requires that its terms of usage in any context be precisely, consistently, and clearly established and used. Imprecise or inconsistently used definitions will cause genuine confusion. Any concept must be used consistently within the degree of precision afforded by the scope of its definition (Carblis, 2008, 22).

And yet, when it comes to competencies, there is no shortage of competing definitions of the term (Winterton, 2009), with two alternative spellings—competenc*y* vs. competenc*e*—further exacerbating the problem. As Winterton (2009, 683-684) indicates in this regard, "It would be wrong to dismiss the terminological differences in competence and competency as simply… examples of 'two peoples divided by a common language', although there is an element of this, because both terms are used on both sides of the Atlantic."

Many definitions and meanings of competencies generally refer to notions of human capability, cognitive function, skill, fitness, efficiency, proficiency, and effectiveness (Carblis, 2008, 19, Holton et al., 2006, p 212). In a broad sense, competencies are understood as acquired or developed attributes of a well-rounded—competent—individual. Robert White (1959), whose name is associated with the beginning of the notion of competence, defines it as a basic human drive to acquire personal skills and effectively manipulate the environment (in Klemp, 2001a, 130). Raven (2001) talks about *human competencies* and defines them as "genetically and environmentally determined patterns of competence to carry out certain self-motivated activities" (254). When Ulrich and Brockbank (1989) and Nielsen and Poole (1993) define competencies, respectively, as "the knowledge, skills, and abilities an individual possesses and demonstrates" or as related sets of skills, knowledge and attributes that

characterize a competent person, they, too, provide a broad treatment of competencies (cited in Poole et al., 1998, 88).

More specifically, though, competencies are linked to workplace performance and refer to an individual's ability to carry out a certain task (or tasks) (Lodge et al., 2005; Boyatzis, 1982), like, for example, in this definition: "*an individual competency* is a written description of measurable work habits and personal skills used to achieve a work objective" (Green, 1999, 5). Linking competencies with work, however, is not a guarantee against the appearance of vague definitions, such as the one cited in Poole et al. (1998, 92), where "managerial competencies appear to be 'that which cannot be seen, but can be grasped'."

Besides having broad and specific foci, competency definitions also vary according to the context, theoretical approaches, and purposes for which they are provided (Poole et al., 1998; Lodge et al., 2005). Some think it important to differentiate between competencies based on the nature of work (managers – professionals), while others, based on the level of the job. In Australia, applied research has been conducted attempting to differentiate competencies by gender (Poole et al., 1998, 88).

Because there is no generally accepted definition of the concept, there is no "overarching or unifying theory" of competence (Rychen, 2001, in Carblis, 19).

The complexity of the term is emphasized by a large number of frameworks within which it has been conceptualized (Carblis, 2008, 19). Among them, the four broadest schools of thought differ from each other based on their interpretation of competency as: "(1) subject-expertise or individual accomplishment; (2) the capacity of

organizations; (3) behavioral traits associated with excellence; and (4) the minimum abilities required to tackle specified jobs" (Lodge et al., 2005, 781).

Competency as Subject-Expertise

The first school of thought, represented by the "expertise literature" (Burnett et al., 2006, 141), is associated with Weberian bureaucracy and a traditional notion of bureaucratic competency as "neutral competence"—high-level functional knowledge necessary to legitimize the use of legal powers (Lodge et al., 2005, 781). Here competency "means only safe performance" (Burnett et al., 2006, 141). In the context of public administration, the concept of "neutral competence" was formulated by Woodrow Wilson in 1887 in *The Study of Administration*: "The field of administration is a field of business. It is removed from the hurry and strife of politics" (Wilson, 1997, 20). Although significantly undermined by the recognition of Norton Long's (1949) "the livelihood of administration is power" (Kettl, 2002, 84), the idea still lives in the market model of governance (Peters, 1996, 20). In this regard Ingraham and Getha-Taylor (2005, 90) bring our attention to another, purely American, flavor that the practice of political appointments adds to the notion of bureaucratic competence by overlaying it with "the idea of political responsiveness." They comment, "'Responsive competence'… is not really about professional competency at all, but about responsiveness to political authority and political appointees." It is referring to these meanings of competence that Lodge and Hood (2005) observe that the word "competency" "seems to have crept into the language of public administration and policy relatively recently" but "has figured large in public management reform both ancient and modern" (779).

Competency as Organizational Capacity

The second definition of competency has originated in the strategic management school and is associated with the works of Hamel and Prahalad (Sanchez et al., 1996). It underscores the factors that make organizations effective (Lodge et al., 2005, 782; Green, 1999, 6) by tying the term competency to "strategic, future oriented, collective functions in organizational level" (Burnett et al., 2006, 141). This approach, which is becoming widely popular, especially in the U.S., is known as the "core competence of the organization" (Adams, 1997), as it focuses on characteristics of the organization itself, rather than of individuals who comprise it—characteristics that make it stand out advantageously from similar organizations. These characteristics, called *core competencies,* are defined as "*unique bundles of technical knowledge and skills with tools that have an impact on multiple products and services in an organization and provide a competitive advantage in the marketplace*" (Green, 1999, 6) (italics added). These are the characteristics that should be fostered (rather than outsourced) to "maintain or enhance the organization's strategic position" (Lodge et al., 2005, 782) and competitive advantage of being "the best in the world."

In looking for a definition of the term that can be applied to a public setting, Terry's (2003) description of "institutional integrity" as "*processes, values, and unifying principles that determine an institution's distinctive competence*" comes to mind as aptly conveying the idea of core competencies of public agencies.

Underscoring an organizational (as opposed to an individual) level of thinking about core competencies, Prahalad and Hamel (1990) define them as the collective learning in an organization that allows the coordination of diverse production skills as

well as the integration of various streams of technology (82). They also pinpoint core competencies' important quality:

> Core competence does not diminish with use. Unlike physical assets, which do deteriorate over time, competencies are enhanced as they are applied and shared. But competencies still need to be nurtured and protected; knowledge fades if it is not used (1990, 82).

This supports Behn's (1998) assertion that frequent usage of institutional processes, values and principles not only enhances them but also makes them more effective.

Another important quality of core competence is its being bigger than the sum of its parts—bigger than the "sum of all the individual competencies of the organization's employees, because these competencies are imbedded in the organization's systems, routines, mechanisms and processes" (Adams, 1997).

A shortcoming of the strategic core competencies approach, however, is that the organizational unit of analysis leaves out of focus the importance of "the human side of the enterprise," thus obscuring, as McClelland put it, "that it's the people in the organization that are the important thing" (Adams, 1997).

Another limitation of this perspective stems from its relative newness and, overall, is similar to the critique directed at the definition of competency: "There is an evident absence of a clearly articulated theory or framework for theory building. Concepts or constructs invoked are often vague and likely to be idiosyncratic to each writer. There is terminological inconsistency across writers. And lacking a well-defined theory base, the field has a paucity of empirical studies" (Sanchez et al., 1996, p 1-2).

Human Resources Interpretations of Competency

The last two notions of competency, most widely accepted, belong to the HR school and represent two contrasting interpretations. The first interpretation, known as *behavioral approach*, seeks to identify, assess, and improve a person's underlying abilities and behavioral attitudes that, independently of level of education, training, or skill, distinguish superior from merely average performance (Lodge et al., 2005, 272).

The second interpretation (usually spelled with an "e" at the end), labeled *achievement approach* but also known as "minimum standards of competent performance," focuses on those factors that are "needed to perform according to accepted views of good practice at a range of vocational levels" – like playing "the *Moonlight Sonata* at a defined level of accuracy and intonation" (Lodge et al., 2005, 783). Coming from human resources an individual competency's definition as "a written description of measurable work habits and personal skills used to achieve a work objective" (Green, 1999, 5) echoes the "minimum standards of competent performance" and therefore belongs to the second interpretation.

The two models just described are, respectively, the American model, with the focus on the inputs that contribute to superior job performance, and the British model that focuses on the demonstrated outcomes of competence (Horton, 2002, 4) and since the mid-1980s, has been widely utilized in the system of vocational qualifications, first in the U.K. (and later in other countries and in many public service organizations other than the civil service),[22] (Lodge et al., 2005, 783). They both are called performance-based, as performance is their ultimate goal, their different foci notwithstanding.

Typically, the discussion of competencies thus understood takes place within the framework of "competency movement" defined as a "set of beliefs and practices about how education, training and development can and should be organized in a vocational and work context" (Poole et al., 1998, 89). Both approaches serve as a basis for the development of performance-based competency training programs.

The Competency Movement

The competency movement in the U.S. is associated with the name of Harvard psychologist David Clarence McClelland (1917-1998) and the ground-breaking work in social psychology and human motivation that he did in the late 1950s and 1960s. The competency approach that he developed has been applied to public and private management, leadership theory, small business administration, higher education, vocational training and on-the-job development, mental health, behavioral medicine, economic development, as well as the development of developing countries (Adams, 1997).

In the 1973 article *Testing for Competence Rather than "Intelligence"*[23] McClelland argued that traditional academic intelligence or aptitude tests did not predict future job performance or success in life and, moreover, were "biased against minorities, women and persons from lower socioeconomic strata" (McClelland, 1993, 3). As an alternative to knowledge content tests, he offered to test[24] for "competence"—identifiable clusters of skills and traits, not related to the levels of education or training that would be better predictors of performance (Bowman et al., 2010, 5). Lodge and Hood (2005, 782) compare McClelland's idea of testing for competence to assessing a person's fundamental musicality independent of whether that person has had any musical training.

They argue, "Stress was laid on the importance of identifying and improving those individual behavioral attitudes that distinguished excellent from merely adequate performance, and which were independent of technical knowledge and skill" (2005, 782). From the very beginning, McClelland thought that, alongside occupational competencies, competencies involved in "clusters of life outcomes" should be included as well (9) to prevent the tests from becoming extremely specific to the criterion involved. These "other" competencies could be traditional cognitive ones, such as reading skills, as well as the so-called personality variables, among which he described four: *communication skills*, including nonverbal; *patience*, also defined as response delay; *moderate goal setting*; and *ego development* (10).

McClelland's methodology[25] was tested for the first time in a study McBer company did for the U.S. Department of State (Bowman et al., 2010, 5). The researchers were asked to find an alternative to the Foreign Service Officer Exam, the traditional way of selecting junior Foreign Service Information Officers (FSIOs), as applicants' scores on that exam did not predict their success on the job and discriminated against minorities (McClelland, 1993, 4). In looking for predictors of job performance, two groups of diplomats already in the Service were interviewed extensively and compared: one comprised of superior performers and another one of those people who "did their jobs just well enough not to get fired" (McClelland, 1993, 4). The comparison revealed that outstanding performers possessed three competency characteristics that were absent in average performers. These characteristics were: *cross-cultural interpersonal sensitivity*,[26] or the ability to hear beyond the actual words: to discern the feelings and the true meaning of what the person from another culture was saying and, therefore, to predict

what reaction to expect; *positive expectations of others*, which included not only "a strong belief in the underlying dignity and worth" of people different from oneself but also the ability to maintain this belief under stress; and *speed in learning political networks*, or the ability to determine pattern and directions of influence as well as political interests of one's interlocutors (McClelland, 1993, 5-6).

Carblis (2008, 30) attributes the popularity of performance-based approaches to competence to the "confluence of at least three influences:"

1. "Workplace demands created by economic and social forces;"

2. "The dominance and influence of the behaviorist paradigm in psychology and education throughout much of the twentieth century;" and

3. "The training challenges rising from both world wars and the cold war."

Globalization and increased international competition as a means to retain or regain industrialized countries' competitive advantage have also contributed to the rise of these and strategic approaches to competence (Horton et al., 2002).

According to Carblis (2008, 30), philosophical underpinnings of performance-based approaches can be traced all the way back to the industrial revolution. The dawn of the twentieth century was the time when the ideas about management were developed by practitioners—managers, business consultants, or heads of businesses: Frederick Winslow Taylor, Frank Gilbreth, Henri Fayol, Lyndall Urwick, Chester Barnard, and Mary Parker Follet, to name a few (Behn, 1993, p 49-50). As Behn (1993, 50), observes:

> At least until the 1920s or 1930s, concepts of management were not developed by theoreticians or academics. Rather, many of the great ideas of management "were first formulated in the steel mills of Pennsylvania, the factories of Detroit, or the quarries of France."

One of the most influential and most enduring[27] among them was Taylor's (1911) view of factory workers as clogs in the machine. His philosophy known as Taylorism provided a theoretical foundation to McClelland's conceptualization. Thus, Goleman (1998, 16) denotes,

> In exploring the ingredients of superb job performance, McClelland was joining an enterprise that got its first scientific footing at the beginning of the twentieth century with the work of Frederic Taylor. Taylorist efficiency experts swept the world of work, analyzing the most mechanically efficient moves a worker's body could make. The measure of human work was the machine.

Interest in McClelland's methodology has led to the need to define competency more precisely.

Competency Definitions within Behavioral Approach

The concept of competency has been developed more or less exhaustively in the works of Richard Boyatzis (1982) and Spencer and Spencer (1993). Boyatzis (1982) is credited with developing a definition of competency (to replace the narrower term *skill*) (Adams, 1997) even though he actually borrowed one from Klemp (1980, in Boyatzis 1982, 21):

> A *job competency* is *"an underlying characteristic of a person which results in effective and/or superior performance in a job."*

Spencer and Spencer's (1993, 9; italics original) definition is rather similar:

> A competency is an *underlying characteristic* of an individual that is *causally related to criterion-referenced effective and/or superior performance* in a job or situation.

Underlying in both definitions means that competency is a rather deep and enduring part of one's "personality and can predict behavior in a wide variety of situations and job tasks" (Spencer et al., 1993, 9). Similarly, *causally related* means that possessing them, consciously or unconsciously, always precedes and leads to effective

and / or superior performance (Boyatzis, 1982, 23). Competencies <u>do not cause</u> superior performance but <u>are **a** cause</u> of it—they are a necessary but not sufficient condition for superior performance (Boyatzis, 1982, 21). The causality, nevertheless, points to the fact that there exists an empirical relationship between the characteristic as an independent variable and job performance as a dependent variable (Boyatzis, 1982, 23). Finally, *criterion-referenced*—the most critical part in Spencer et al.'s (1993) definition—means that "the competency actually predicts who does something well or poorly, as measured on a specific criterion or standard" (9). The authors stress: "*A characteristic is not a competency unless it predicts something meaningful in the real world*" (Spencer et al., 1993, 13; italics original).

The criterion-referencing element in their definition has allowed Spencer and Spencer (1993) to differentiate between the two types of performance:

- o *Superior Performance*. Statistically it is defined as one standard deviation above the mean (average performance) (13) (that is, at least, when performance can be measured in terms of quantifiable results). In a given working situation this level is roughly achieved by the top 1 person out of 10 (13). Spencer et al. (1993) observe: "To improve performance, organizations should use the characteristics of superior performers as their 'template,' or 'blueprint,' for employee selection and development. Failure to do so is essentially to select and train to *mediocrity*—an organization's current average level of performance" (15).

- o *Effective Performance*. "This usually really means a 'minimally acceptable' level of work, the lower cutoff point below which an employee would not be considered competent to do the job" (13). (The second criterion resembles the

achievement approach of the British model but focuses on inputs, not outcomes.)

The following underlying characteristics comprise *competency*:

1. *Motives*. Something people consistently think about and want that causes them to act. "Motives 'drive, direct, and select' behavior toward certain actions or goals and away from others" (Spencer et al., 1993, 9). For example, people with a high achievement motive will have it aroused every time they encounter a situation in which their performance can be measured and a goal can be stated, at which time they will choose to engage in activities that will help them get feedback on their performance and may result in improved performance (Boyatzis, 1982, 28). Motives exist at both the unconscious and conscious levels (Boyatzis, 1982, 27).

2. *Traits*. These are <u>generalized</u> responses to events (Boyatzis, 1982, 28) and include both thoughts (e.g., when people with the trait of efficacy—those who think they are in control of their future and fate—encounter a problem in any aspect of their lives, they take initiative to resolve it themselves, not waiting for help) and psychomotor activities (like fine muscle control) (Boyatzis, 1982, 28). Together with motives ("master traits") they form the core of one's personality and predict people's long-term on-the-job behavior (Spencer et al., 1993, 10-11). Traits are relatively easier to arouse than motives (Boyatzis, 1982, 28).

3. *Self-Concept*. A person's self-image, social role, values and attitudes.[28] They are *respondent* (or reactive) in nature and predict a person's short-term actions and actions when others are in charge (Spencer et al., 1993, 10-11). Self-image is, according to Boyatzis (1982, 29-30), "not only a concept of the self but an

interpretation and labeling of the image in the context of values" that are rooted in the individual's past or current beliefs, or beliefs held and espoused by people with which the individual lives and works. *Social role* is a set of social norms for behavior that a person perceives as acceptable and appropriate in the social groups or organizations to which he or she belongs. It represents an individual's view of how he or she "fits in" with the expectations of others (Boyatzis, 1982, 30-31). Self-concept exists at the conscious level (Boyatzis, 1982, 27). Together motives, traits and self-concept form a hidden part of one's personality (Spencer et al., 1993, 10-11) (See Figure 9).

4. *Knowledge*. Acquired information, a particular set of facts and concepts in the demonstration of any competency, as well as the ability to find information, in specific content areas (Boyatzis, 1982; Spencer et al., 1993). Being a respondent characteristic, knowledge at best predicts what someone can do, not what they will do (Spencer et al., 1993, 10-11). (Emphasized here is that the competency-based approach does not discard knowledge as irrelevant to superior performance; it recasts it as the ability to look for and find the right knowledge and information.)

5. *Skill*. A person's ability to perform a certain physical or mental task (Spencer et al., 1993, 11). For example, a planning skill is demonstrated through outlining a sequence of action-steps to be taken to accomplish a specific objective "in any number of situations or contexts" and identifying both potential obstacles and sources of help in removing them. "None of these separate actions constitutes a skill, but the system of behavior does. Together these various behaviors… aid

individuals in reaching an objective or performing an aspect of a job" (Boyatzis, 1982, 33). Skills exist at the behavioral level (Boyatzis, 1982, 27). Both "knowledge and skill competencies invariably include a motive, trait, or self-concept competency, which provides the drive or 'push' for the knowledge or skill to be used" (12). Together with knowledge, skill is a visible, surface, characteristic of an individual and is relatively easier to assess and develop in comparison with the hidden characteristics (Spencer et al., 1993, 11).

Figure 9: Competency Levels

The Iceberg Model

Visible — Skill / Knowledge

Hidden — Self-Concept / Trait / Motive

Skill

Self-Concept

Trait, Motive

Attitudes, Values

Knowledge

Surface: Most easily developed

Core Personality: Most difficult to develop
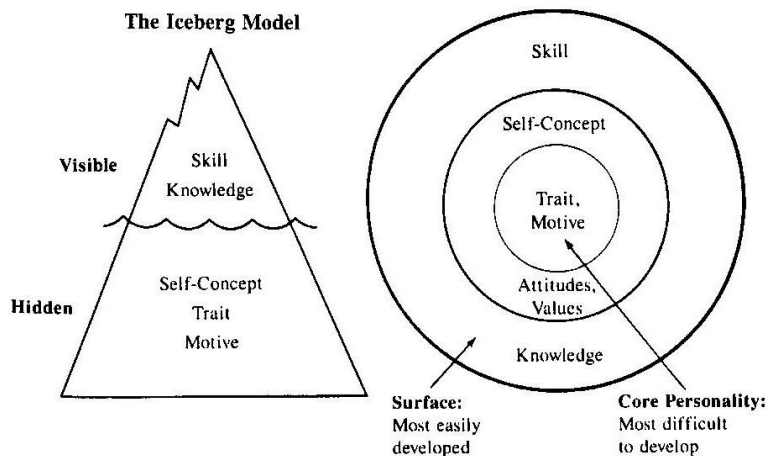
Source: Spencer et al., 1993, 11.

Both Boyatzis and Spencer and Spencer agree that a competency always includes intent; it simply cannot be defined by behavior without intent (or *purposeful* (as opposed to random or providential) behavior in Boyatzis' (1982, 12) case): without knowing *why* a person is doing what she is doing it is impossible to determine what competency, if any, is being demonstrated (Spencer et al., 1993, 9, 12).

Both Boyatzis (1982) and Spencer and Spencer (1993) distinguish between *competencies* per se, or *differentiating competencies* (in Spencer et al.'s (1993) model) and *threshold competencies*:

- o *Threshold Competencies*—essential characteristics that every person needs to be minimally effective on the job but that do not differentiate between average and superior performers (such as the ability to read or computer literacy, or a certain level of IQ).

- o *Differentiating Competencies*—characteristics that distinguish superior performers from the average ones (such as a person's achievement orientation expressed in setting goals higher than is required by the organization) (Spencer et al., 1993, 15).

The way Spencer and Spencer's definition is formulated, as compared to Boyatzis' (by omitting "job" in a "job competency" at the beginning and adding "or situation" to "in a job" at the end) allows to expand the application of competency beyond the job setting to other spheres of our daily lives. Another of their contributions is the introduction of behavioral indicators— "specific behavioral ways of demonstrating the competency," as well as the lowest common denominators and smallest units of observation "directly comparable across all [competency] models" (Spencer et al., 1993, 19, 20).The use of behavioral indicators helped address the main criticism against the definition of competencies as being too broad: being backed up by behavioral indicators, it has become possible to describe each competency in a clear and comprehensive way (Adams, 1997). Spencer and Spencer (1993, 21) also discovered a unique characteristic of competency behavioral indicators—the fact that they "appeared to have scaling properties: a clear progression from lower to higher levels on one or more dimensions."

Boyatzis' (1982) definition has its strengths as well. Having focused on job competencies, he was able to argue that demonstrated behavior is the product of the

congruence among an individual's competencies, the demands of a specific job, and

organizational environment and that *consistent* effective or superior performance can

only occur when job demands and organizational environment are factored in as well[29]

(Boyatzis, 1982, 13, 15). Boyatzis indicates that over time the effect of these components

on each other will result in increased consistency in either application of required

competencies (thus improving the quality of performance of a relevant task or function)

or avoidance of those job functions that require competencies one does not possess (1982,

36). Finally, because of their interdependence, a change in any component requires

changes in other components as well. This means that in order to appropriately respond to

the changes in the organizational environment and/or job demands managers must

"change aspects of their competencies and the way in which they use them" (Boyatzis,

1982, 39). Thus, assumed here is the possibility of developing the needed competencies

beforehand, provided adequate understanding and resource availability (for example,

before someone is promoted to a position where they will be needed) (Boyatzis, 1982,

39). This aspect of Boyatzis' (1982) model highlights the value of competency training.

The next significant contribution to the development of the concept of

competency comes from Goleman (1995; 1988; 2001; 2002). His definition of

competencies builds on the previous ones in a sense that he borrowed from them the idea

itself, which he applied to his model of emotional intelligence, and also because many of

the competencies comprising the first two models—those that combine both cognitive

and emotional aspects, or "cognition and emotion" or "thought and feeling," as Goleman

(1998, 23) put it—have since been recognized as EI competencies (Carblis, 2008, 7).

Thus, Goleman (1998/2011, 24) defines an *emotional competence* as "a learned capability based on emotional intelligence that results in outstanding performance at work." The possession of "an underlying EI ability" is a necessary but not sufficient condition for the manifestation of a given competency on the job (1995, xvi). Goleman (1995, xv-xvi) explains:

> While our emotional *intelligence* determines our potential for learning the fundamentals of self-mastery and the like, our emotional *competence* shows how much of that potential we have mastered in ways that translate into on-the-job capabilities. To be adept at an emotional competence like customer service or teamwork requires an underlying ability in EI fundamentals, specifically social awareness and relationship management. But emotional competencies are learned abilities: having social awareness or skill at managing relationships does not guarantee that one has mastered the additional learning required to handle a customer adeptly or to resolve a conflict. One simply has the potential to *become* skilled at these competencies.

A systematic study of the federal government conducted by Goleman, supports his contention that "the higher the level of the job, the less important technical skills and cognitive abilities are, and the more important competencies in emotional intelligence become (2011, 33). Therefore, in assessing significance of emotional competence, Goleman states that its greatest impact and contribution is to the realm of leadership. He argues, in particular:

> Emotional competence is particularly central to leadership, a role whose essence is getting others to do their jobs more effectively. Interpersonal ineptitude in leaders lowers everyone's performance: It wastes time, creates acrimony, corrodes motivation and commitment, builds hostility and apathy. A leader's strengths or weaknesses in emotional competence can be measured in the gain or loss to the organization of the fullest talents of those they manage (2011, 32).

As applied to leadership, emotional competencies are defined as "learned abilities, each of which has a unique contribution to making leaders more resonant, and therefore more effective" (Goleman et al., 2002, 38).

Other characteristics of competencies worth stressing are their cumulative character (they are gained over a lifetime, through life experience, on-the-job training, and training and development programs (Holton et al., 2006, 211)) and selective use.

Coming from the fields of psychology, organizational psychology, organizational behavior and management, the above theoretical contributions represent but one approach to competency, which can hardly be called dominant, as evidenced from the fact that Boyatzis (1982) and Spencer and Spencer's (1993) books have never been reissued, and it seems that both research and theory development continue mainly along the line of emotional intelligence and resonant leadership (Goleman et al., 2002; Boyatzis et al., 2005).

A different explanation, however, may be that the differences between behavioral and achievement approaches have become more blurred in recent years, as they "moved into the world of management consultancy and practical politics" (Lodge and Hood, 2005, 273). This is reflected in the conflated spelling of the word's two variants that are now used interchangeably (Winterton, 2009, 684) (as evident even from this narrative). The convergence in meaning, according to Winterton (2009, 684), has further increased the ambiguity of the concept of competency through "the practice of using the term as both an independent and dependent variable, in other words, to describe both the attributes a person must acquire and the demonstration of those in performance, or inputs and outputs." He (2009, 684) argues, "As a result, it is impossible to arrive at a definition capable of accommodating the different ways that the term competence is used: 'as tacit understandings of the word have been overtaken by the need to define precisely and

operationalize concepts, the practical has become shrouded in theoretical confusion and the apparently simple has become profoundly complicated'."

A major critique of the performance-based competency conceptualizations is that they are disconnected from strategic objectives of organizations (Barner, 2000, 48). Combining the human resources and strategic management approaches helps address this critique. Such an attempt is evident in offered by Chen and Naquin (2006) "overarching perspective" that takes into account both performance and strategic aspects of various definitions of competencies, linking individual competencies to "strategic, future-oriented, collective functions in organizational level" (265-266). Thus, they define competencies as "*the underlying, individual, work-related characteristics (e.g., skills, knowledge, attitudes, beliefs, motives, and traits) that enable successful job performance where 'successful' is understood to be in keeping with the organization's strategic functions (e.g., vision, mission, uniqueness, future orientation, success, or survival)*" (266) (italics added).

Competencies as Leader Characteristics

With their philosophical underpinnings reaching back to the dawn of management, competencies have been developed for occupations or related fields, such as management. However, a current trend within the performance-based approach is to move away from the broad thinking about job-related competencies in general to focusing more narrowly on management and leadership, in particular, "on leadership competency development and acquisition" (Ingraham et al., 2005, 796). But while management is confined to work settings, leadership may not be. This means that there may be different understandings of competence in the leadership literature, as there may

be a different focus in leader competencies research than in the research on general or

managerial competencies—such as, for example, on leadership competencies of global

citizens. Therefore, in this subsection I record understandings and interpretations of the

meaning of competency as found in leadership and in public administration texts.

I argue that Selznick (1957) has provided both a macro and micro lenses through

which to view competencies of public organizational leadership. In discussing "how

organizations become institutions, and what problems and opportunities are thus created,"

he (1996, 271) explains:

> As an organization is "institutionalized" it tends to take on a special character and
> to achieve a distinctive competence or, perhaps, a trained or built-in incapacity.
> Monitoring the process of institutionalization—its costs as well as benefits—is a
> major responsibility of leadership. Thus institutional theory traces the emergence
> of distinctive forms, processes, strategies, outlooks, and competences as they
> emerge from patterns of organizational interaction and adaptation. Such patterns
> must be understood *as responses* to both internal and external environments,

while "distinctiveness" should be viewed as "describing the formation of a certain *kind* of

institution" (271).

The macro lens focuses on the "distinctive competence" of organizations, which

in the context of public agencies means bringing into focus those "institutional processes,

values, and unifying principles" (Terry, 2003, 43) and characteristics, that make them

unique in comparison with other agencies, in other words—characteristics that emphasize

and are related to their "publicness," of which serving the public interest and preserving

"the values and traditions of the American constitutional regime" (Terry, 2003, xv) are of

primary importance. Here the understanding of competence is akin the organizational

capacity perspective in which the notion of competitive advantage has been replaced with

the idea of the pursuit of public interest.

The micro lens helps to identify particular competencies needed to ensure an organization's smooth functioning, its meeting specific demands of internal and external environments—routine and nonroutine, expected and unexpected—and its successful adaptation to new circumstances. In essence, the micro lens provides an understanding of competencies similar to the interpretations of the human resources perspective, especially its behavioral approach. Keeping both lenses in focus and adjusting them as needed is the responsibility of organizational leadership.

In public administration leadership literature, the term *competency* is still used somewhat arbitrarily and/or narrowly (as, for example, in "leadership traits or competencies" (Denhardt et al., 2008, 196)), and often to denote neutral expertise. However, the influence of the human resources interpretations, especially the behavioral approach, linking competency with organizational performance, has become noticeable in recent years. Thus, Bowman et al. (2010, 6) argue that competency "includes both skills and individual traits and involves the use of both 'hard' and 'soft' management skills" and targets excellence: "public servants who strive for excellence in these competencies will gain the professional edge necessary to excel in their jobs and produce the most 'public value'—or work in the interest of the common good."

A value-based understanding of competence is provided by Fairholm (2011, 39):

Leadership success is a function of leaders' competence in generalizing their core values in a future that all group members come to understand and accept. Indeed, leadership competence is defined by the quality and utility of the leader's vision of the future and the relative degree to which he or she extends that vision and those values into the hearts, minds, and actions of followers.

Here the link between competence and leadership success parallels the assumptions of the behavioral approach as well.

On the other hand, Fiedler's (1996) notion of leadership effectiveness may be indicative of overreliance on cognitive abilities and neglect of EI competencies in public administration.

Thus, he argues in his summary of the latest advances in leadership theory that leadership selection and training, as well as management development, should proceed in two steps: (1) ensuring that the chosen individuals possess the required intellectual abilities, experience, and job-relevant knowledge; and (2) enabling them to "work under conditions that allow them to make effective use of the cognitive resources for which they were hired" or trained (248).

Perhaps the most comprehensive description of competencies within the framework of public administration leadership theory has been provided by Van Wart (2011, 2008). Having focused on competency approaches, he (2011, 193) argues that these approaches define and describe competencies according to their nature and interaction with each other and also provide a standardized nomenclature for them.

Having suggested that contemporary competency approaches combine the classical trait approach with the multiple-organizational-level approach, Van Wart (2012, 192) offers a more sophisticated understanding of the competencies theory than the understanding offered, for example, by Callahan et al. (2007), who liken competency and skills approaches. According to Van Wart (2012), competency approaches spell out "exactly which standard competencies are necessary in which sets or classes of situations:" whether involving supervisors, managers, or executives (193). Here he (1992) refers to Katz's "classic generalization" "that front-line employees and supervisors need technical skills most; managers have the greatest imperative for

interpersonal competencies; and executives primarily require conceptual abilities," which does not mean that "executives need *only* conceptual skills. Their total capability comes from their experience and training as individual worker, supervisor, and manager" (481).

In Callahan et al.'s (2007) view, the study of leader competencies can be challenging because of the difficulty encountered in separating learnable competency behaviors from stable personal characteristics (i.e., traits) (149). This is another competency-related issue that receives a lot of attention in literature. Whether or not leadership can be learned is an on-going debate that has fueled enough divergent opinions on both sides of the issue. Allio (2005, 1073), for example, argues that "leadership cannot be taught, although potential leaders can be educated." His argument goes on as follows:

> Men and women become leaders by practice, by performing deliberate acts of leadership. The primary role of a good leader (one who is competent and ethical) is to establish and reinforce values and purpose, develop vision and strategy, build community, and initiate appropriate organizational change. This behavior requires character, creativity, and compassion, core traits that cannot be acquired cognitively (1071).

Colvard (2008, 50), too, contends that leadership cannot be taught, as it is "an experientially acquired skill." Parks (2005), as the title of her book *Leadership Can Be Taught* suggests, argues quite the opposite. Kouzes and Posner (2001, 82) not only share Parks' view but are very vocal against those who don't, calling the "leadership cannot be taught" argument "the most pernicious myth of all." They argue, in particular:

> This myth is perpetuated daily whenever anyone asks, "Are leaders born or made?" Leadership is certainly not a gene, and it is most definitely not something mystical and ethereal that cannot be understood by ordinary people. It's a myth that only a lucky few can ever decipher the leadership code. Of all the research and folklore surrounding leadership, this one has done more harm to the development of people and more to slow the growth of countries and companies than any other.

I share Van Wart's (2005, xvi) belief that leadership, although dependent, to some extent, on innate abilities or hereditary advantages, is largely a learned phenomenon and, as such, "can be improved through experience, self-analysis, and training and education."

Robbert (2005, 262) elaborates on the importance of these determinants:

> Through education and training, individuals can acquire an academic appreciation of leadership styles and techniques and a sense of their contingent efficacies—what styles and techniques tend to work in what circumstances… These skills are honed through observation and practice—actual experience in seeking to shape the behaviors of organizations and individuals within them, or in observing the efforts of others. One's ability to acquire and apply that knowledge also varies as a function of overall intelligence, charisma, and other innate personal characteristics. Thus, while leadership skills can be developed, organizations must also lay the groundwork for meeting their future leadership needs by insuring, through recruiting and selection processes, that a sufficient proportion of new hires have high leadership potential.

With regard to management skills, which Robbert (2005, 262) distinguishes as a separate group of competencies, he adds that, being less dependent on innate properties, other than general intelligence, they are easier to develop than leadership skills. Academic programs, such as advanced degrees, continuing education, workshops or independent study, are the typical venues for the development of these skills.

Competency-Based Management

The process of identifying sets of competencies affecting job proficiency in all areas of organizational activity has become known as *competency development* or *competency modeling* (Chen et al., 2006, 266), as well as *competency management* or *competency-based management (CBM)* " (Horton, 2002, 3). The process goes beyond competency identification to include constructing a framework to be used as a foundation for recruitment; personnel selection, training and development; rewards, compensation, and job promotion; training needs analyses; performance appraisal; individual career

planning; organizational development; human resource planning, including succession, strategic planning, and other aspects of HRM (Horton, 2002, 3; Chen et al., 2006, 266).

As indicated by Strebler et al., (1997), a competency framework is not just a list of competencies—it is first and foremost a tool used to express, assess and measure competencies. As pinpointed by Horton (2002), its claimed advantage is the consistency with which competency-based management makes it possible to identify and measure people quality at all stages of the employment cycle, their skills, motives, personality types, and all other characteristics that tend to differentiate average from superior performance. According to Holton et al. (2006), a competency-based framework is viewed as a mechanism for linking HRD with organizational strategies (211) through bringing clarity to organizational objectives and providing better links between process and goals (Ingraham et al., 2005, 796). It also provides a common venue and "language for discussing leadership development" (Mau, 2009, 318).

Relevance of the Competency-Based Approach: A Passing Fad or a Paradigm Shift?

Begun in the 1990s, the growing interest in leadership and leadership development is attributed to the "new business and human resources agenda that needs to deliver business performance in an increasingly competitive or resource limited environment" relying solely on the improved performance of individual mangers and all employees (Mau, 2009, 316). According to Poole et al. (1998), "the simultaneous demand for improved quality, decreased costs and constant innovation has resulted in the need to constantly upgrade knowledge and skills for those in leadership roles, with the use of competency-based approach" (92).

This approach has spread in the public sector under the influence of NPM. When the traditional model of governance has stopped working in the changed context and the hold of distinctively public- service values has significantly weakened, NPM, "with its emphasis on managerialism," gave rise to a new set of values, in particular, "innovation, accountability for results and leadership, all of which served to accentuate the importance of using competencies in the public sector to become a high performing organization" (Mau, 2009, 316). At the same time, as Lodge and Hood (2005, 785) indicate,

> …a new or revamped approach to competency was central to a widespread public-management reform agenda designed to strengthen politicians' control over bureaucrats. Such a strengthening of control might be effected by putting more pressure on senior bureaucrats to manage and "deliver…"

Whether driven by deep internal dissatisfaction of civil servants with existing promotion systems, "lower-level dissatisfaction with perceived inconsistencies in staff management (in particular the treatment of women and ethnic minorities)" (785), "poor leadership skills at the top of the public service" (785), or by citizen dissatisfaction with the way they are treated as bureaucracy's clients, these NPM-inspired movements are not confined to a single country and represent a universal shift in perceptions with regard to bureaucratic work.

World-wide changes in the bureaucratic environment, such as the internationalization of national markets and product standards, the development of more sources of policy advice and service provision to government, and increasing information demands on policy-making, have facilitated these movements resulting in "substantial cross-national commonality or 'sameness' in the demands that are placed on civil service competency" (Lodge et al., 2005, 785).

Lodge and Hood (2005) offer three interpretations of the recent "competency mood" in the civil service reform worldwide: (1) the *cynical interpretation*, according to which it is "just one more of the many passing fads in administrative reform (781)," "one of the many hand-me-down business management ideas (784)" that have passed their peak of popularity in business and now are being marketed for the public sector by consultants looking for new markets; (2) the *"difference theory" interpretation* that states that competency movement is "a lowest-common-denominator language," a "catch-all term" covering diverse national agendas, practices, and "trajectories of change" (781), in other words, the apparently uniform terminology of the movement obscures its national distinctiveness shaped by different prior notions of competency as well as different understandings of the role of civil servants; and, finally, (3) *"the globalizers' interpretation* of competency as a reflection of broader and more fundamental movements in public bureaucracies world-wide" (781).

At least what concerns the United States, there seems to be a consensus that "a focus on competence and competencies is not a passing fancy" but a reflection of "a historic unease with the nature and role of public bureaucracy in democratic government" (Ingraham et al. 2005, 790). Locating the place of competency-based movement in public administration, Mau (2009) writes,

> While there has been a debate in the literature as to whether competency-based management in the public sector is merely a fad or represents a paradigm shift, this does not detract from the fact that it is a concept that has become firmly ensconced in the theory and practice of public administration. The trend is undeniable. Competency-based management has become part of the lexicon of the public sector in a wide range of countries, including the USA, Australia, New Zealand, the UK, Germany, Belgium, The Netherlands and Canada (315).

Competency Frameworks and Approaches to Their Development

According to Chen et al. (2006), common practice of competency development can proceed through quantitative and/or best practice approaches. The quantitative approach involves the reorganization of exemplary performers on a specific job and identification of their individual skills, knowledge, behaviors, traits, and other characteristics that contribute toward the successful performance on the job. The best practice approach takes an existing competency model and adopts it for use in a particular organization through a dynamic customization of competencies (Chen et al., 2003, 268). There are many voices, though, McClelland among them (Adams, 1997), that caution against the less rigorous methods that often fail to identify the correct competencies needed in particular jobs or organizational settings. Wilson et al. (2012, 65) are among most forceful:

> Despite the concepts of specificity and uniqueness inherent in both organizational and behavioral competencies, few organizations have been willing to invest the considerable effort required to identify their distinctive competencies. Too many organizations proclaim their competency models after a few hours spent in a conference room wordsmithing one of the many proprietary competency frameworks now promoted by various consultants. Such "conference room competency models" are unlikely to deliver any competitive business advantage or differentiate excellent performance.

That said, behavioral event interviewing (BEI), a method developed by the behavioral competency school, itself is not without limitations. Being wholly reliant on the judgment of the interviewers as well as quality of their training, it can be prone to bias and subjectivity (Adams, 1997).

There are three types of applied competency frameworks:

- o *Functional*. These models "are built around key organizational functions—such as finance or information technology—and apply only to employees within that particular function" (Ingraham et al., 2005, 796).

- o *Role*. This is a cross-functional framework that incorporates all "individuals who perform a certain job across all functions—such as all mid-level managers" (Ingraham et al., 2005, 797).

- o *Core*. "Core competency models capture the skills and behaviors required by the organization as a whole and are often 'very closely aligned with the organization's mission, vision, and values'." They perform four key functions:

  - Set direction;
  - Demonstrate personal character;
  - Mobilize individual commitment; and
  - Generate organizational capability (Ingraham et al., 2005, 796, 797).

Competency models typically group competencies into thematic clusters, whereby, ideally, every competency is described in some detail and provided with a behavioral scale ranging from low to high for its assessment.

<div align="center">**Chapter Five – Competency Models**</div>

This chapter provides an overview of the models used to construct the integrated

model of public-sector leadership competencies.

Boyatzis' Integrated Performance-Based Competency Model of Management

In 1982, in a book entitled *The Competent Manager: A Model for Effective*

Performance Boyatzis summarized his work on developing a generic model of

managerial competency, which he opened by elaborating on the message embedded in

the title:

> Organizations need managers to be able to reach their objectives. They need
> *competent managers* to be able to reach these objectives both efficiently and
> effectively (1982, 1).

Linking managerial competence with effective organizational performance,

Boyatzis (1982) set out to determine characteristics of competent managers, or, in other

words, those qualities that were "related to effective performance in a variety of

management jobs in a variety of organizations" (8), thus emphasizing the generic nature

of his competency model. The examination of competence assessment studies of specific

management jobs done previously by the stuff of McBer and Company[30] resulted in a list

of every competency that had ever been shown to relate to managerial effectiveness

(1982, 26). Possession of the competencies from the list does not ensure that a manager

will be effective in a particular management job in a specific organization; all the list

does is clarifies what competencies can be found in effective managers, regardless of the

organization or specific management job (Boyatzis, 1982, 47). Additionally, Boyatzis

examined possible effects of managerial competencies on each other and proposed a

framework relating them to other aspects of management jobs, ultimately locating the competency model within a broader theoretical model of management (9).

Through cluster analysis involving 21 characteristics believed to be relevant to managerial performance, Boyatzis (1982, 60) identified five clusters and a stand-alone competency. The first cluster, called *the goal and action management cluster*, is comprised of the competencies that are vital for performing the core function of every manager's job—which is making things happen, moving the organization or unit toward a goal or a bottom-line. Interestingly, Boyatzis likens a manager involved in establishing goals, determining how to use human and other resources, and solving problems to the entrepreneur, the "shaker and mover," because performance of these tasks requires assuming certain risks, taking initiative, and having a clear image of the desired outcome (Boyatzis, 1982, 60). According to Boyatzis (1982), the "underlying characteristics that enable a manager to respond to the entrepreneurial requirement" are *efficiency orientation*, *proactivity*, *diagnostic use of concepts*, and *concern with impact*. As seen from Table 4, all four were found to be significant and were included in the integrated competency model.

The second, called *the leadership cluster*, consists of those qualities which the manager needs to mobilize, stimulate, and motivate human resources, as well as those he/she needs to represent his/her organization to outside groups. Managers who are inspirational and insightful will be more successful in performing those tasks (Boyatzis, 1982, 99-100). The competencies belonging to this group are: *self-confidence*, *use of oral presentations*, *conceptualization*, and *logical thought*. Table shows that the first three have a significant relationship with performance. Because at the skill level logical

thought was not found to be related to overall effective managerial performance, with the only exception of middle-level managers' performance; while managers believe that it is related, Boyatzis (1982, 111) labeled it a threshold competency, arguing that it is "probably needed to perform a manager's job adequately (at least for middle level managers), but demonstrating more of it does not necessarily result in better performance."

The third, *the human resource management cluster*, includes competencies that are required for successful coordination of groups of people, such as work units, departments, divisions, etc., so that they can work together toward the organization's goals (Boyatzis, 1982, 121-122). They are: *use of socialized power*, *positive regard* (at the middle level management only), *managing group process*, and *accurate self-assessment*. All four competencies were included in the integrated model, however, positive regard and accurate self-assessment were labeled threshold competencies, as they were not found relevant, or were found to be just barely related, to managerial effectiveness (see Table 4).

The fourth cluster, called *directing subordinates*, helps answer the question about those qualities that enable some managers "to guide and control their subordinates toward improved performance in a way that others cannot" (Boyatzis, 1982, 143). Giving directions, orders, and commands as well as providing right feedback on performance that objectively tells subordinates how they are doing "not only directs subordinate activity but also can be motivating to subordinates" (Boyatzis, 1982, 143). The competencies in this cluster include: *developing others*, *use of unilateral power*, and

spontaneity. As Table 4 shows, all of them are part of the model in the threshold competency capacity.

The fifth, *focus on others*, cluster addresses the expectation that managers are people with "some degree of wisdom or perspective on events, the organization, and life" (Boyatzis, 1982, 159), in other words, that they possess a characteristic called maturity. It indicates a level of psychological development or ego strength that a person attains as he/she passes through various life stages, although it is not totally dependent on age or breadth of experience. This means that some people can develop aspects of maturity relatively early in their adulthood while others may not advance in their development at all (Boyatzis, 1982, 159). Boyatzis (1982, 160) indicates that, of all the competencies he studied, aspects of maturity—what specific behaviors comprise it—are the most elusive. Nevertheless, he believes that mature managers possess the following competencies: *self-control*, *perceptual objectivity*, *stamina and adaptability*, and *concern with close relationships*. Boyatzis (1982, 160) comments that two aspects of maturity that were not directly included in the study are moral development and cognitive development, as he believes they should be a topic for further research. As seen from Table, perceptual objectivity, self-control (only at the trait level), and stamina and adaptability (again, only at the trait level) were found to have a significant relationship with managerial performance and were included in the model. Concern with close relationships, on the other hand, did not produce an associational relationship with performance and was not included in the model.

In addition to the five clusters discussed above, the model also includes *specialized knowledge*, or *usable* facts and concepts that a manager needs on a job, which

Boyatzis (1982, 183) designated a threshold competency. The structure of specialized

knowledge develops on the basis of topics believed to be relevant to management, such

as finance, marketing, human resource management, production, information systems,

and general management, as well as such subtopics as industrial relations, organization

development, quantitative analysis, business policy and strategy, legal, ethical, and social

responsibilities, etc. (Boyatzis, 1982, 185-186). The danger, or dilemma, here is that if

specialized knowledge is limited to one perspective (for example, the perspective adopted

in human resource management or in marketing—which does increase its utility in those

domains), its understanding will be constrained, because:

> Each perspective has limitations and contributions to understanding specialized knowledge needed and useful to people in management jobs. Facts and concepts emerging from either perspective can be *usable* and therefore incorporated as part of the specialized knowledge competency in a generic model of management (Boyatzis, 1982, 187).

Boyatzis (1982, 189) argues that any discussion of specialized knowledge should

also address the issue of memory. However, memory is relevant not only for retention of

information but also in the context of other competencies as well. Boyatzis (1982, 190)

summarizes:

> To use logical thought, a person must remember causal relationships observed and discovered in previous experiences. To utilize and demonstrate conceptualization, a person must remember information about events to link together and recognize a pattern in that information. To generate metaphors or analogies, which is a part of conceptualization, a person must remember these metaphors and analogies. To utilize and demonstrate diagnostic use of concepts, a person must remember the concepts, theories, or frameworks to apply them in particular situations or events. It is understandable, therefore, that memory does not appear as a separate competency, but is so basic to performance as a manager that it is a precursor to demonstration of any of the competencies, just as being alive is necessary for a person to function as a manager.

Table 4: Developing an Integrated Competency Model of Management:
A Look at Competencies by Cluster, Type, and Level

	Competency	Motive	Trait	Self-Image	Social Role	Skills
The Goal & Action Management Cluster	Efficiency Orientation	*n Achievement*		I can do better. I am efficient.	*Innovator*	*Goal-setting skills, Planning skills, Skills in organizing resources efficiently.*
	Proactivity		Sense of efficacy	I am in control of what happens to me	*Initiator*	*Problem solving skills, Information seeking skills*
	Diagnostic Use of Concepts			I am systematic	*Scientist*	*Pattern identification through concept application, Deductive reasoning*
	Concern with Impact	*n Power*		I am important	Status-oriented roles	*Symbolic influence behavior*
The Leadership Cluster	Self-Confidence			I know what I am doing and will do it well	*Natural leader*	*Self-presentation skills*
	Use of Oral Presentations			I can verbally communicate well	*Communicator*	*Verbal presentation skills*
	Logical Thought			I am orderly	*Systems analyst*	*Organization of thought and activities,* Sequential thinking**
	Conceptualization			I am creative	Inventor	*Pattern identification through concept formation,** Thematic or pattern analysis***
The Human Resource Management Cluster	Use of Socialized Power			I am a member of a team	*Team member, Organization member*	*Alliance producing skills*
	Positive Regard		Belief in people	I am good	Optimist	*Verbal and nonverbal skills that result I people feeling valued**
	Managing Group Process			I can make groups work effectively	*Collaborator, Integrator*	*Instrumental affiliative behaviors,** Group process skills*
	Accurate Self-Assessment			I know my limitations, my strengths, and my weaknesses	Sounding board, Reality tester	*Self-assessment skills, Reality testing skills*

The Directing Subordinates Cluster	Developing Others			I am helpful to others	*Coach, Helper*	*Skills in feedback to facilitate self-development*
	Use of Unilateral Power			I am in charge	*Person in charge*	*Compliance producing skills****
	Spontaneity			I can act freely in the here and now	Provoker, Jester	*Self-expression skills*
The Focus on Others Cluster	Self-Control		*Impulse control****	I am a disciplined person, I have a lot of self-discipline		Self-control skills
	Perceptual Objectivity		Multiple perceptions of events	I can keep an appropriate emotional distance		*Effective distancing skills*
	Stamina and Adaptability		Physical stamina, *Developmental stage of adaptation*	I work hard and diligently, I am flexible		Adaptation skills, Coping skills
	Concern with Close Relationships	n Affiliation		I am likable and caring		Nonverbal skills that result in people feeling cared for, Friendship building skills
	Specialized Knowledge				Specialized Knowledge	
	Memory					

Levels of each competency for which results indicate a relationship to managerial effectiveness are italicized.
Shaded rows indicate threshold competencies.
*At middle management jobs only.
** At middle and executive management jobs only.
*** At entry level management jobs only.
Red marks those competencies that were excluded from an integrated model.

Source: Boyatzis, 1982, p 94, 118, 138, 156, 180, 184, 189, and 193.

This reasoning led Boyatzis (1982, 190) to exclude memory as a separate

competency from his generic model of management.

Even a cursory look at Table 4 is enough to notice that the sets of competencies

relevant to performance differ by level of management. This means, according to

Boyatzis (1982, 225), that a manager's promotion to the next level requires that he/she

undergo a transformation not only in orientation and focus but also in aspects of

competencies. In particular, to be effective at a mid-level management job, an effective entry-level manager must undergo "the most difficult transition in a person's career" requiring most substantial changes in terms of the use of competencies.

For an effective middle manager promoted to an executive level job the transformation, enabling him/her to perform competently, is easier, as it involves the change in the manifestations of the competencies—many of which he/she has effectively demonstrated at a prior job (Boyatzis, 1982, 225). This finding has led Boyatzis (1982, 225) to conclude:

> Since allowing the changes to occur "naturally" would be an inefficient use of human resources and potentially would threaten the effectiveness of key managerial talent, the organization should assist managers in these transitions through one of three options: training, career pathing, or special mentoring.

The examination of the predictive effect of the integrated set of competencies on differentiating performance of poor, average, and superior managers revealed that these competencies comprise "about half of the competencies that are related to effective performance of managers in particular management jobs in specific organizations" (Boyatzis, 1982, 204). Boyatzis (1982, 204) believes that, overall, the generic competency model explains about one-third of variance in performance of a manager; while job- and organization-specific competencies and situational factors each explain the remaining two one-thirds of variance.

Spencer and Spencer's (1993) *Competency Dictionary*

Building on a number of proposed frameworks, in 1993 Spenser and Spenser published *Competence at Work* in which they attempted to develop a common framework of competencies and relate them to the nature and level of the work being undertaken

(Raven 2001). By their own admission, encouraged by Boyatzis' (1982) success, they analyzed 286 jobs for which competency models were available, treating reports on each of those models as separate qualitative studies of the characteristics of superior performers in particular jobs (Spencer et al., 1993, 19, 20). The result of their endeavor was the creation of the dictionary of generic competencies consisting of narrative definitions of twenty-one characteristics arranged into clusters—a typical arrangement for competency models. What was different and new was a listing of 360 behavioral indicators, three to six for every competency, and a brief discussion of 400 behavioral indicators associated with rarely observed competencies, called "uniques," that did not make the dictionary (Spencer et al., 1993, 19, 20).

The twenty-one competencies that made the Dictionary are grouped into clusters and presented in generic form and in scales that cover behavior in a wide range of jobs (22-23).

The Achievement and Action Cluster

The first cluster in the Competency Dictionary is *achievement and action*. As its name suggests, it is directed toward action and task accomplishment. Competencies that comprise it are: *achievement orientation*; *concern for order, quality, and accuracy*; *initiative*; and *information seeking* (Spencer et al., 1993, 25-34).

Achievement orientation (See Appendix A for definition) is usually analyzed as referring to an individual's own performance. However, it may also indicate the person's drive to succeed alongside other people, such as subordinates or team members through measuring, improving, or setting goals for their performance. In this context, "the

person's underlying need for achievement is mixed with or modified by an underlying need to influence others" (Spencer et al., 1993, 29).

Managers understand achievement orientation first and foremost as performance measurement—their own as well as their subordinates. They conduct cost and benefit analyses, think and talk about these measures and how they can use them to find better, faster, and more efficient ways of doing things, to improve their and their subordinates' performance, set goals, and achieve results (Spencer et al., 1993, 203). They are also shown to take calculated entrepreneurial risks and be concerned with innovation (Spencer et al., 1993, 204). Because, for managers to be effective, much of their achievement orientation must be socialized to include their team members or subordinates, the competency also includes an element of need for Power (Spencer et al., 1993, 203). On the other hand, combined with interpersonal understanding, achievement orientation enables them to "make optimal job-person matches to improve performance" (Spencer et al., 1993, 204).

Achievement orientation has a three-dimensional scale. The first dimension establishes intensity and completeness of achievement-motivated action, with the scale ranging from wanting to do the job well to risk-taking and persisting in entrepreneurial efforts (Spencer et al., 1993, 25-28). I believe that in later (or at least later modifications of) competency models, such as ECQs, behaviors representing the highest points on the scale were separated to form a new competency—*entrepreneurship.* The second dimension shows the breadth, or degree, of achievement impact, from affecting the individual's own work to influencing the way the entire organization does business. The third dimension represents a degree of innovation, or newness of the individual's actions

or ideas to the job, organization, industry and beyond (Spencer et al., 1993, 25-28). Similarly, it is possible that this entire dimension became the basis for creating a new competency, or a half, to be more exact—*creativity and innovation*.

The *concern for order* scale (See Appendix A for definition) has a single dimension expressed as the "complexity of action to maintain or increase order in the environment, ranging from keeping an orderly workspace and general concern with clarity to setting up complex new systems to increase order and quality of data" (Spencer et al., 1993, 30). In management jobs, particularly upper management positions, this scale becomes a negative predictor—identifying average, rather than superior performers (Spencer et al., 1993, 30). In the context of fast-changing environment in which modern-day executives operate, this makes perfect sense: one cannot embrace change while trying to keep order or, by extension, status quo.

The *initiative* competency (See Appendix A for definition) involves "spontaneous, unscheduled, perceptive recognition of upcoming problems or opportunities and then the taking of appropriate action;" it does not include routine planning ahead (Spencer et al., 1993, 33). As applied to superior managers, initiative means going beyond one's job requirements in seizing opportunities, handling crises swiftly and efficiently, or preparing for future problems or opportunities (Spencer et al., 1993, 206).

Initiative is measured on two scales. The first, primary, scale provides a time dimension, spanning from completing decisions made in the past (which also implies tenacity or persistence) to taking an action in the present to solve problems or realize opportunities that are still years away in the future (Spencer et al., 1993, 32, 33).

Research indicates that, all other things being equal, superior performers' time span is longer than that of average performers (Spencer et al., 1993, 33).The second scale determines the amount of discretionary (extra/unrequired) effort one makes to complete a work-related task . It ranges from working independently to making heroic efforts and involving others in unusual extra efforts (e.g., mobilizing community). This dimension is a strong predictor of superior performance (Spencer et al., 1993, 32, 33).

Information seeking (See Appendix A for a definition and brief description) is described along a single dimension of effort an individual is prepared to make in search of information. It ranges from questioning those directly involved to doing extensive research to asking to seek information those who would not normally be involved (Spencer et al., 1993, 34, 35). Systematic information seeking is often done informally (Spencer et al., 1993, 210).

The Helping and Human Service Cluster

The second cluster, consisting of two competencies, is called *helping and human service*. Underlying this cluster is the intent to meet the needs of other persons by attuning oneself to their concerns, interest, and needs (*interpersonal understanding* (IU)) and by working toward meeting those needs (*customer service orientation* (CSO)) (Spencer et al., 1993, 37-43). As part of interpersonal understanding, and because of its growing importance, Spencer and Spencer (1993, 37) also included in this cluster a characteristic they called *cross-cultural sensitivity*, which they defied as interpersonal understanding across cultural divides. In later models, this characteristic became a separate competency, typically under the name of *leveraging diversity*.

Behavioral descriptions of *interpersonal understanding* (See Appendix A for definition) fall within two dimensions. The first dimension, complexity or depth of understanding of others, ranges from understanding explicit content or obvious emotions to understanding complex underlying causes of behavior, hidden attitudes, etc. The second dimension, listening and responding to others, indicates an effort one makes to do so and ranges from basic listening to helping people with problems (Spencer et al., 1993, 38, 39). According to Spencer and Spencer (1993, 208), interpersonal understanding is more often used to support other competencies, especially impact and influence as well as competencies of the managerial cluster, than by itself.

McClelland recalls that the *customer service orientation* competency (See Appendix A for definition) was developed in response to a perceived feeling that just being efficient and skillful in dealing with customers was not enough to make them want to come back for more service. It turned out that customers valued a friendly and respectful treatment even more than efficiency with which their issues were resolved (Adams, 1997). The competency has two dimensions. The first, focus on client's need, dimension represents intensity of motive and completeness of action, ranging from follow up on the issue that made the client to seek service to acting as the client's advocate (Spencer et al., 1993, 41-42). The second dimension represents the amount of discretionary effort one makes on the client's behalf, ranging from going out of the way to be helpful to taking extraordinary efforts (Spencer et al., 1993, 41-42).

The Impact and Influence Cluster

The third cluster in Spencer and Spencer's Dictionary (1993, 44) is called *impact and influence*. This cluster addresses the "individual's underlying concern with his or her

effect on others, known as need for Power." Spencer and Spencer (1993, 44) stress that

the "power" motivation in this cluster is understood as the engine driving effective

behavior of superior performers based on "consideration of the good of the organization

or of others."[31] Three competencies comprise this cluster: *impact and influence* (IMP),

organizational awareness (OA), and *relationship building* (RB) (Spencer et al., 1993, 44-

53).

What distinguishes *impact and influence* (See Appendix A for definition) from

responsive action in interpersonal understanding or customer service orientation is the

person's *own agenda*—"a specific type of impression to make or a course of action that

he or she wishes the others to adopt" (Spencer et al., 1993, 33). For best managers that

"personal" agenda involves improvement of the functioning of their unit or company, and

not personal gain (Spencer et al., 1993, 202). Similarly, impact and influence is not to be

confused with directiveness, intent of which is not to persuade or influence but to impose

one's will on others (Spencer et al., 1993, 48). The scale of this competency is two-

dimensional. The first, main, dimension—actions taken to influence others—indicates the

"number and complexity of actions taken to influence others, ranging from a

straightforward presentation to complex customized strategies involving several steps or

additional people" (Spencer et al., 1993, 45). The second dimension shows the breadth of

influence, understanding or network that ranges from affecting a single individual to

impacting international governmental, political, or professional organizations (Spencer et

al., 1993, 45-47).

The scale of *organizational awareness* (See Appendix A for definition) parallels

that of interpersonal understanding, with the only difference being that the subject is

organizations, not individuals (Spencer et al., 1993, 48). Also, having organizational awareness does not automatically mean possessing interpersonal understanding as well (Spencer et al., 1993, 48). The primary scale of this competency deals with the *depth*, or complexity, *of understanding of organization*. It ranges from understanding formal organizational structure to understanding long-term underlying issues (Spencer et al., 1993, 49). If awareness concerns the individual's own organization, the competency is coded as OAI. In cases when awareness refers to other organizations, the competency's code is OAE (Spencer et al., 1993, 48). The secondary scale that measures the breadth, or the size, of the organization/ organizational structures the individual understands is identical to the breadth dimension of impact and influence. (Spencer et al., 1993, 49).

Similar to organizational awareness, *relationship building* (See Appendix A for definition) may also concern the individual's own organization (RBI) or other organizations, including the community at large (RBE) (Spencer et al., 1993, 49). Even though the link of relationship building to superior performance have been confirmed by several studies, this competency requires caution in that "mixing business and personal life successfully over the long run takes care, discipline, and subtleties" (Spencer et al., 1993, 51). The two-dimensional scale measures, on the one hand, the closeness of the relationship, ranging from formal work-related contacts to close personal friendships involving family members, and on the other, the size of the network of relationships built (in this part it is similar to the breadth dimension of impact and influence and organizational awareness) (Spencer et al., 1993, 51).

Both competencies (organizational awareness and relationship building) are found in most managerial models, however, each gets less than three percent of the total indicators of performance (Spencer et al., 1993, 211).

The Managerial Cluster

The fourth cluster in the Competency Dictionary is comprised of those competencies that carry the intention to have certain specific effects: *developing others* (DEV); *directiveness: assertiveness and use of positional power* (DIR); *teamwork and cooperation* (TW); and *team leadership* (TL). Because at their core is influence, Spencer and Spencer (1993, 54) indicate that they are a specialized subset of the impact and influence cluster. However, because they represent intentions that are particularly important to managers, the researchers designated them a "personal" cluster called *managerial*.

Intent to teach is what really distinguishes *developing others* (See Appendix A for definition) from such competencies as directiveness, interpersonal understanding, impact and influence or teamwork and cooperation (Spencer et al., 1993, 54). The competency's scale has two dimensions: the primary, which measures intensity and completeness of action to develop others, starting with expressing positive expectation of others and gradually rising to rewarding good development (in particular, promoting or arranging positions for especially good subordinates as a reward or developmental experience); and the secondary, that indicates the number and rank of people developed, ranging from developing one subordinate to developing large groups among which there may be the person's superiors or customers (Spencer et al., 1993, 55-56). The intensity scale of developing others starts with positive expectations regarding others' abilities or potential,

even in "difficult" cases, and in firm belief that others can and want to learn (Spencer et al., 1993, 55). Based on this observation, I conclude that developing others has absorbed the positive regard competency from Boyatzis' (1982) model.

If we go up the intensity of developmental orientation scale (Spencer et al., 1993, 55-56), we will notice that this scale contains behavioral descriptors of all four styles of *situational leadership*, starting with *directive* (level A.2: "*Gives detailed instructions and/or on-the-job demonstrations*. Tells how to do the task, makes specific helpful suggestions"), next proceeding to *supportive* (level A.3: "*Gives reasons or other support*. Gives directions or demonstrations with reasons or rationale included as a training strategy; or gives practical support or assistance to make job easier…;" level A.5: "*Reassures and encourages*. …gives individualized suggestions for improvement…"), then moving on to *coaching* (A.6: *Does long-term coaching and training*. Arranges appropriate and helpful assignments, formal training or other experiences for the purpose of fostering the other person's learning and development…;" level A.7: "*Creates new teaching/training*…arranges successful experiences for others to build up their skills and confidence;"), and finally arriving at *delegating* (level A.8: "Delegates fully. After assessing subordinates' competence, delegates full authority and responsibility with the latitude to do a task in their own way, including the opportunity to make and learn from mistakes in a noncritical setting").

Developing others is the second most often distinguishing managerial competency (Spencer et al., 1993, 206).

While *directiveness* (See Appendix A for definition) is most clearly observed in hierarchical relationships at work, assertiveness is not limited to positions of power

(Spencer et al., 1993, 58). The scale of directiveness has two dimensions: one – to measure the intensity of the assertive tone, ranging from giving basic, routine directions to firing and getting rid of poor performers if necessary; and the second – to measure the breadth of direction (the number and rank of people directed), which is similar to the breadth dimension of developing others (Spencer et al., 1993, 58-59). The association of directiveness with the style of superior managers should be viewed with a dosage of caution. While its everyday use would be contrary to the meaning of competency, its selective employment in crisis or "turnaround" situations, or when confronted with "poor performance that does not respond to developmental efforts," can have a significant positive effect (Spencer et al., 1993, 58). In general, average managers depend on directiveness to a greater extent than do superior managers (Spencer et al., 1993, 209).

The importance of this competency has diminished significantly in recent years, as evident from its absence from later models. In our present-day interconnected world, "the authority to solve public problems is fragmented and disbursed over an ever-tightening web of constraints. No single person, agency, or jurisdiction has sufficient power to develop and implement solutions unilaterally" (Luke, 1998, 4).

Teamwork and cooperation (See Appendix A for definition), also known as *participative management*, requires membership in a team to be demonstrated, but not necessarily a membership in a formally defined team (Spencer et al., 1993, 61). Also, leadership position or position of formal authority is not necessary for the possession or demonstration of this competency. However, it is said that "someone who has formal authority but is acting in a participative manner or functioning as a group facilitator" is using this competency, be it toward one's subordinates or peers (Spencer et al., 1993, 61).

A three-dimensional scale is used to describe a) the intensity or thoroughness of action taken to foster teamwork (here the range of behavioral descriptors includes those that express cooperation and positive expectations of others, solicit inputs, empower others, engage in team-building, and resolve conflicts); b) the size of the team involved (from small informal groups to entire organizations); and c) the amount of effort or initiative needed to foster teamwork that starts with small extra-effort and goes all the way up to involving others in extraordinary efforts (Spencer et al., 1993, 61-63).

Teamwork and cooperation is the most frequently mentioned managerial competency (Spencer et al., 1993, 204).

In Spencer and Spencer's (1993, 64) competency model, *team leadership* (See Appendix A for definition) is often, but not exclusively, linked to positional authority and, therefore, has a job-size aspect. The researchers warn (1993, 64) that, "as with directiveness, leadership must be exercised in a reasonably responsible manner" and should not be used for personal gain, in pursuit of unworthy ends, or "in a manner contrary to the organization's purpose." Two of the three dimensions of the team leadership scale—the breadth and effort—are the same as in teamwork and cooperation. The one dimension that is different (the primary one) is the strength of the leadership role. It ranges from managing meetings to communicating a compelling vision, generating commitment to the group mission, and having genuine charisma. Implied here is the idea that people who score the highest on this scale are visionary and charismatic leaders.

Overall, only less than five percent of the indicators of team leadership relate to superior managerial performance (Spencer et al., 1993, 210). Among them: setting and

communicating high standards for group performance and also standing up for the group in relation to the larger organization, for example, to obtain resources (Spencer et al., 1993, 210).

The Cognitive Cluster

Competencies that comprise the fifth cluster are called *cognitive*, as they are fueled by a desire to understand a situation, task, problem, opportunity, or body of knowledge. *Conceptual* (CT) and *analytical thinking* (AT), indicating practical or applied intelligence, denote a "degree to which a performer does not accept a critical situation or problem at face value or as defined by others, but comes to his or her own understanding at a deeper or more complex level. Observation and/or information seeking are necessary prerequisites" (Spencer et al., 1993, 67). *Technical/ professional/ managerial expertise* (EXP) also belongs to this cluster.

Analytical thinking (See Appendix A for definition) is an important competency distinguishing superior managers at all levels (Spencer et al., 1993, 204). Logical and sequential way of thinking is important when facing technical difficulties, influence issues or achievement-related issues (Spencer et al., 1993, 205).

The analytical thinking scale has two dimensions: complexity of analysis, encompassing the causes, reasons, consequences, and action steps found in the analysis, ranging from breaking down problems into simple lists to making extremely sophisticated analyses; and the size, or breadth, of the analyzed problem (Spencer et al., 1993, 68).

The *conceptual thinking* scale (See Appendix A for definition), too, has two dimensions: one of complexity and one of breadth. The latter is identical to the breadth

dimension of the analytical thinking scale. The complexity of the thought processes

dimension in conceptual thinking also combines measures of their originality, ranging

from using "rules of thumb" to creating new models or theories (Spencer et al., 1993, 71).

Spencer and Spencer (1993, 71) indicate: "In the Conceptual Thinking scale, previously

learned concepts occupy the lower portion of the scale, and original concepts the higher

portion of the scale. Within each section, more complex ideas (coordinating more factors)

are higher than simpler ideas."

The *technical/professional/managerial expertise* (See Appendix A for definition)

scale has four dimensions. The first dimension measures depth of knowledge—formal

educational degree and equivalent mastery attained through work experience—and

ranges from primary, denoting unskilled manual labor, to being recognized as preeminent

authority in a complex professional or scientific field (Spencer et al., 1993, 73-74). The

second dimension establishes breadth of managerial and organizational expertise

"necessary to manage or coordinate or integrate diverse people, organizational functions,

and units to achieve common objectives. This expertise can be demonstrated in line, stuff

function, or team/project management roles …" (Spencer et al., 1993, 73). Spencer and

Spencer (1993, 77) indicate that the first two dimensions do not distinguish superior from

average performers but rather serve as threshold requirements for all other competencies

in their generic model. The third dimension, acquisition of expertise, indicates the

amount of effort spent on maintaining or acquiring expertise and ranges from keeping

technical knowledge and skills up to date to acquiring new and different knowledge and

skills and keeping abreast with the latest ideas (Spencer et al., 1993, 73, 75-76). Finally,

the fourth dimension, called distribution of expertise, denotes the "intensity (and the resulting scope) of the role of technical expert" (Spencer et al., 1993, 73).

The Personal Effectiveness Cluster

The sixth and final cluster consists of the *personal effectiveness* competencies that "reflect some aspect of an individual's maturity in relation to others and to work." These are competencies that control the effectiveness of the individual's performance when dealing with immediate environmental pressures and difficulties and that "support the effectiveness of other competencies in relation to the environment" (Spencer et al., 1993, 78.). In particular: *self-control* "enables a person to maintain performance under stressful or hostile conditions;" *self-confidence* "allows a person to maintain performance against daunting challenges, skepticism, and indifference;" *flexibility* "helps a person to adapt his or her intentions to unforeseen circumstances;" and, finally, *organizational commitment* "aligns a person's action and intents with those of the organization" (Spencer et al., 1993, 78).

Like Boyatzis (1982), Spencer and Spencer (1993, 78-79) indicate that in their research *self-control* (See Appendix A for a definition and brief description) prevailed in low-level (entry-level in Boyatzis) management jobs. They attribute this situation either to the fact that executives face stressful situations less often or to the fact that, by the time it takes a person to reach the executive level, self-control becomes "so ingrained that it is taken for granted and is not entirely conscious" (1993, 79).

Self-control has a one-dimensional scale that shows the intensity and scope of the control exerted, with the range starting at the resisting temptation level and gradually climbing to the calming others in stressful situations level (Spencer et al., 1993, 79). A

distinguishing feature of this competency is its being linked more strongly to the situation than to other competencies (Spencer et al., 1993, 79).

According to Spencer and Spencer (1993, 80) *self-confidence* (See Appendix A for definition) is a distinguishing competency in the majority of models of superior performers. Although they claim that it is not clear if this characteristic is a cause or an outcome: "Is someone successful because they have self-confidence or do they have self-confidence because they are successful?" (Spencer et al., 1993, 80-81).

Two dimensions comprise the self-confidence scale: the competency's intensity—self-assurance—is measured by the amount of challenge or risk the individual is confident enough to assume, ranging from confident presentation of self to others to putting oneself in extremely challenging situations; and a unique dimension called *dealing with failure,* that "combines taking personal responsibility with correctable causes of failures" (Spencer et al., 1993, 81). Thus, best managers attribute their failures to specific, correctable mistakes that they made and, therefore, act to avoid repetition of those mistakes in the future or to correct the problems that the mistakes caused (Spencer et al., 1993, 81). Similarly, after having described an incident of failure, superior performers tend to move on to what they are going to do next, while average performers tend to keep returning to the causes of why they failed, offering different explanations. This means that frequency of explanations of negative events is a distinguishing characteristic (Spencer et al., 1993, 81). Spencer and Spencer (1993, 208) indicate that dealing with failure is mentioned in about one third of the managerial models, usually with the intent to improve performance.

The foundation of *flexibility* (See Appendix A for definition) is the "ability to objectively perceive the situation, including the viewpoints of others," which enables superior performers to adapt the skills and competencies needed (other than flexibility) to the demands of the situation (Spencer et al., 1993, 84). Its scale is made up of two dimensions: breadth of change and speed of action. The first dimension ranges from seeing situation objectively to adapting strategies, while the second dimension ranges from long-term planned changes to instantaneous action (Spencer et al., 1993, 84-85).

Organizational commitment (See Appendix A for definition) often becomes apparent in organizations with strong missions, such as the military or schools, and in those work situations in which a person finds oneself in conflict (usually implicit) between own professional identity and the organization's direction[32] (Spencer et al., 1993, 86). Organizational commitment is measured on the intensity of commitment scale as the "size of the sacrifices made for the organization's benefit," ranging from making an active effort to fit in to sacrificing own department's short-term good for long-term good of the entire organization (Spencer et al., 1993, 86-87).

By Spencer and Spencer's (1993, 88) admission, the competencies that were included in the dictionary account for 80 to 95% of all competencies that distinguish superior performance in the majority of job studies. They divide the rest of the competencies they call uniques into three categories: "unique behaviors expressing generic competencies;" competencies seen repeatedly but not often enough to become generic; and competencies that are only relevant in the context of a specific job or type of job (Spencer et al., 1993, 88). Some of the unique behaviors associated with generic competencies were discussed in the above overview, and the truly unique competencies

are too specific for me to mention them here. However, I believe that the second

category, the one that is not used often enough to obtain the generic status, warrants a

second glance. The list of these competencies follows (and the definitions are provided in

Appendix A):

- o *Occupational preference.* One can argue that *public service motivation* has

  developed from, or is an adapted for the public sector version of, this competency;

- o *Accurate self-assessment.* Boyatzis (1982) designates this competency as

  threshold, but not unique.

- o *Affiliative interest.* In Boyatzis' (1982) model—concern with close relationships.

- o *Writing skills.*

- o *Visioning.*

- o *Upward communications.*

- o *Concrete style of learning and communicating.*

- o *Low fear of rejection.*

- o *Thoroughness.*

Although Spencer and Spencer's (1993, 199) competency model is purportedly

generic, it is based on the analysis of the existing models to date, rather than the original

data. Therefore, it is justifiable to use it in the discussion of managerial competencies.

They themselves believe that their findings are "substantially similar to those of

Boyatsiz" (1982) and that any variations between the two models can be attributed to

different levels of analysis and the addition of ten more years-worth of models (Spencer

et al., 1993, 109). Based on two conclusions: that "superior managers of all types and

levels share a general profile of competencies;" and that "managers of all types

are…more like each other than they are like the individual contributors they manage" –

they created a "generic competency profile derived from models of the entire range of

managers" (36 total)—the profile that "fits all managerial jobs reasonably well but none

precisely" (Spencer et al., 1993, 109). Another particular feature of the model is that it

highlights the commonalities between managerial jobs of all levels, functions, or

environments but says nothing about their differences.

Table 5 provides a generic competency model of managers, with competencies

listed by frequency, starting with the biggest.

Table 5: A Generic Competency Model of Managers

Weight	Competency
XXXXXX	Impact and Influence
XXXXXX	Achievement Orientation
XXXX	Teamwork and Cooperation
XXXX	Analytical Thinking
XXXX	Initiative
XXX	Developing Others
XX	Self-Confidence
XX	Directiveness/Assertiveness
XX	Information Seeking
XX	Team Leadership
XX	Conceptual Thinking
Base Requirements	(Organizational Awareness and Relationship Building)
	Expertise/Specialized Knowledge

Source: Spencer et al., 1993, 201.

Competence at Work has made an important contribution to the spread and

adoption of the competency-based approach to managing and training human resources.

Having arisen, in part, "form the belief that the requirements of formal education and

training programs are often based more on theory and tradition than on the demands of

the workplace," it sought to develop "occupationally relevant standards of competence"

(Poole et al., 1998, 89). As such, starting from the 1980s, it not only has gradually

entered the discourse on workplace efficiency and effectiveness but also reinvented the entire practice of human resource management (HRM).

Criticizing the performance-based approach to competencies in general, Carblis (2008, 33) argues that, while still providing critically important and valuable insights, taken by itself, this approach can potentially omit those "attributes or capabilities that may exist beyond the frame provided by the behavior set related to performing a task."

While the two models just discussed are described as generic, they more or less help identify those competencies that distinguish superior managers. This next model seeks to identify competencies linked to the realm of emotions and is said to be gaining prominence in leadership studies as it helps to distinguish superior leaders.

The CLIMB Model, Russ-Eft and Brennan (2001)

This study provides an unconventional understanding of competencies by likening them to embedded components of a molecular structure, thus applying the systemic approach to the concept. The reference to behavioral indicators as the smallest units of analysis, however, helps establish that the model is based on Spencer and Spencer's (1993) definition.

Russ-Eft and Brennan (2001), researchers at *AchieveGlobal*, conducted a qualitative study of leadership in over 450 heavy-industrial, hi-tech, service industry, government, and education organizations throughout the U.S. and Canada that "had one thing in common: all had seen above average growth in the number of employees over the three years before the study" (Russ-Eft et al., 2001, 82). Two individuals—one manager or executive and one non-managerial employee—were randomly selected from

each organization to recount one instance of good and one of poor leadership demonstrated within the past month by either a manager or a non-manager. The purpose of such a research design was to "identify the full range of characteristics that make up leadership at all levels of an organization" (Russ-Eft et al., 2001, 83). It is also the main reason why I chose to include it in this study.

The resulting fifty critical incident competencies "for universal leadership behaviors" were grouped into seventeen larger competencies "within AchieveGlobal's proven" model called CLIMB, which "addresses a leader's ability to:

Create a compelling future,

Let the customer drive the organization,

Involve every mind,

Manage work horizontally, and

Build personal credibility" (Russ-Eft et al., 2001, 84) (these are also the model's competency clusters).

The seventeen competencies by cluster are as follows (I omit positive and negative examples demonstrating each competency):

Create a compelling future

- Setting a vision
- Managing a change

Let the customer drive the organization

- Focusing on the customer

Involve every mind

- Dealing with individuals
- Supporting teams and groups
- Sharing information

- Solving problems and making decisions

Manage work horizontally

- Managing business processes
- Managing projects
- Displaying technical skills
- Managing time and resources

Build personal credibility

- Taking responsibility
- Taking initiative beyond job requirements
- Handling emotions
- Displaying professional ethics
- Showing compassion
- Making credible presentations (Russ-Eft et al., 2001, 84-87).

The results of Russ-Eft and Brennan's research are interesting primarily because they showed practically no difference in leadership competencies between managers and individual contributors: only three out of the fifty critical incident competencies did not involve individual contributors, the rest were almost equally split between the two groups (Russ-Eft et al., 2001, 88). This not only means that "leaders both inside and outside of managerial positions… display a common set of leadership behaviors" (Russ-Eft et al., 2001, 88), but also that there is a need for leadership at all levels of the organization (Russ-Eft et al., 2001, 80).

Leadership Competencies, Klemp, Jr. (2001b)

I chose to include this business leadership competencies model following the assumption that the public sector borrows a lot of managerial "best practices" from the private sector.

Klemp (2001b) does not provide a definition of competency per se but distinguishes between practices—"what people do on the job to get results," and attributes—"knowledge, skills, and other characteristics that people bring to the job that enable them to carry out leadership tasks" (239). He further states that "attributes are the raw ingredients of performance"—what people bring to the job; while practices are "what people do with the attributes they possess" (2001b, 239). Practices depend on the presence of attributes (such as "self-confidence") and can be described by observable on-the-job behaviors (as in "makes tough decisions") (2001b, 239). Having the attribute is necessary but not sufficient for the required behavior to be demonstrated (not all highly self-confident people make tough decisions, even if the situation requires them); however, it "certainly increases the likelihood that the behavior will be demonstrated consistently over time" (Klemp, 2001b, 239). According to Klemp (2001b, 250), "The power of attributes is in their ability to predict leadership potential, while the power of practices is in their definition of what effective leaders actually do."

With access to a database of sixty-two leadership competency models from selected Fortune 500 business and financial services organizations, developed on average within five years of the study and still in use, Klemp set out to "put these different competency models into a coherent framework, to identify common leadership competency trends, to examine relationships among competencies and organizational strategies, and to clarify how competencies can be used in the early identification and development of leadership talent" (2001b, 237).

Of the sixty-two models, 8% were models comprised purely of *attributes* (such as *strategic thinking*) (these, on average tend to be longer), 27% were models comprised

almost exclusively of *practices* (e.g., *focus on customer*), and 65% were models

containing a mixture of attributes and practices (2001b, 240). Klemp (2001b, 240)

believes that high percentage of mixed models, on the one hand, reflects the "way senior

managers talk about other senior managers… as people who both 'have the right stuff'

and 'do the right things,'" and, on the other, points to the fact that until that time "there

has not been a clear distinction between practices and attributes to provide rigor and

conceptual clarity to the development of competency models (2001b, 240).

By performing a content analysis, Klemp identified thirty attributes and thirty

practices that "were used to code the leadership competencies from all the models into a

common database (2001b, 2239-240). Of the thirty practices, eighteen competencies are

identified as the most common (See Table 6).

Table 6: Top Leadership Practices by Percentage of Representation in Models

Key Practices		Other Practices	
Develop People (64%)	Get Results (55%)	Build Teams (36%)	Cooperate/Team Player (36%)
Focus on the Customer (52%)	Communicate (52%)	Develop Creative Solutions (34%)	Create a High-Performance Climate (32%)
Set Vision & Direction (46%)	Build Business Relationships (43%)	Drive Change (32%)	Act as a Role Model (29%)
Make Decisions (41%)	Manage Performance (39%)	Manage Diversity/ Value Others (29%)	Develop Strategy (25%)
Influence the Organization (38%)		Take Charge (23%)	

Source: Klemp, 2001b, 243.

Leadership practices that are not included in Table due to their low frequencies

are: align the organization, delegate, drive for improvement, empower others'

performance, hire and staff, manage across boundaries, manage complexity, manage

conflict, manage, motivate others, plan and organize, promote learning, total quality

management (2001b, 140). To Klemp (2001b, 244), "the fact that many leadership

practices are not universally represented suggests that leadership is situational: Different

leaders face different challenges" that require different behavioral responses. An

unexpected result for him has been to find "develop people" as the most represented

competency. He thinks that this may point to the existence of "a significant gap between

what leaders typically do and what the organization would like them to do, particularly

given the great need for executive talent and the fact that leaders play a pivotal role in

developing their own replacements" (Klemp, 2001b, 244). I find it interesting to see

which competencies have been omitted from the table as less representative. According

to Kotter (1988), managing complexity is the primary task of managers, the task that

distinguishes them from leaders (a different personality type that excludes coexistence in

the same person). One interpretation of such an omission may be that the view that

leadership and management are not the same is prevalent in the world of business. The

low representation of "manage across boundaries" may signify that this competency is

more important in the public sector, after all, it is primarily public managers that must

share their responsibility with others in delivering services to the public. In addition,

public managers have been practicing this competency for years in the area of

intergovernmental relations (O'Leary et al., 2009, 3). Also, this is an interorganizational

competency, which may be the reason why it is excluded from purely organizational

models. Underlying the exclusion of "manage conflict" may be the fact that in the private

sector competitive spirit is more important than harmony. Similarly, underrepresentation

of "motivate others" may speak to the fact of lesser importance of intrinsic motivation in

the business setting. Lastly, the exclusion of supervisory and mid-managerial competencies may indicate the models' bias toward executive leadership.

Turning to the analysis of attributes, ten attributes out of thirty "achieve universal status by being found in 60% of the models, with additional 10 attributes being found in 40% to 60% of the models (See Table) (Klemp, 2001b, 244). As attributes underlie behaviors, Klemps' (2001b) deductions with regard to practices apply here as well. The attributes cited most frequently are either rooted in character ("integrity"), represent a personal characteristic ("flexibility") or denote a capacity ("conceptual grasp") (2001b, 244-245). Klemp (2001b, 245) believes that these attributes are not easy to develop and, therefore, it would be logical to make them the focus of selection or early identification of talent, rather than development. He (2001b, 245) deliberates:

> Leadership comes from a combination of having the raw ingredients of capability and being thrust into situations that require one to rise to the challenges of leadership. While the presence of role models and mentors can speed the process, and recognizing that education also plays an important part in preparing leaders with know-how essentials, there is no substitute for experience and accountability in molding people with the right attributes into capable leaders.

Table 7: Top Leadership Attributes by Percentage of Representation in Models

Key Attributes		Other Attributes	
Integrity/Honesty/ Ethics (77%)	Achievement Drive (76%)	Initiative/ Action Oriented (58%)	Communication Skill (52%)
Interpersonal Astuteness (73%)	Learning Orientation (73%)	Energy/ Enthusiasm (50%)	Political Astuteness (50%)
Directive/Controlling (66%)	Influence Skill (64%)	Analytic Thinking (48%)	Accountability/ Commitment (48%)
Strategic Thinking (64%)	Conceptual Grasp (63%)	Cooperativeness (48%)	Decisiveness (44%)
Flexibility/Adaptability (61%)	Self-Confidence/ Courage (60%)	Judgment (44%)	Business Acumen (40%)

Source: Klemp, 2001b, 245.

Leadership attributes with low frequencies and therefore not in the table are: attention to detail, composure/self-control, creativity, dependability, global perspective, presence/charisma, responsiveness, risk-taking, technical/functional knowledge, tenacity/persistence (Klemp, 2001b, 239). I find it striking that risk-taking, the epitome of the private-sector competencies, is found to be not representative enough to be included in the table. At the same time, I am somewhat surprised that integrity/honesty/ethics is at the very top of the attribute-type competencies, however attribute this to the increased regulatory scrutiny.

Klemp (2001b) believes that some of the important competencies of the attribute level are either underrepresented or missing altogether from his dataset (245). In particular, in his view, business acumen's faring in the fortieth percentile does not reflect the critical importance of this competency to a senior manager's effectiveness. One of the explanations he offers is that it might be assumed as a threshold competency in a number of models (2001b, 246). He is similarly surprised at the absence of *ambition*—"one of the key ingredients of effectiveness: effective leaders have to *want* to lead" (Klemp, 2001b, 246). He must have overlooked that ambition and achievement drive denote the same characteristic, and the latter is well represented in his model.

In presenting the "big picture"—the broader pattern of leadership competency he has discovered in the course of his research, Klemp (2001b) offers a set of nine "meta-competencies" or the "nine-bucket model," as he calls it, that capture "the core of effective leadership, regardless of differences among leadership competency models."Five of them are "core leadership attribute buckets" and four are "core leadership practice buckets" (246-248):

- *"IQ" (Intellectual horsepower)*. It is believed to be indispensable in effective senior leadership. 97% of the models contain one or more of the following: conceptual grasp, analytical capability, strategic thinking, and judgment.

- *"EQ" (Emotional Intelligence)*. Effective leaders are good at reading people, anticipate the reactions of others, are aware of the morale and climate of the work environment, and have mastered interpersonal dynamics. This has been reflected in 84% of the models.

- *"Know" (Business and technical acumen)*. The theme that knowledge is the foundation of effective performance was present in 55% of the model.

- *"Grow" (Personal Development)*. The learning orientation and mental flexibility theme was reflected in 81% of the models.

- *"Ego" (Strong sense of self)*. A healthy ego not only implies that leaders are self-confident and willing to admit their mistakes but also provides a "foundation for acting with honesty, integrity, and strong ethics." This theme was found in 92% of the models.

- *"Tell" (Giving direction)*. The theme of using the authority to get things done was present in 82% of leadership models.

- *"Sell" (influencing others)*. Use of persuasion, effective communication, and coalition and team building were present in 76% of the models.

- *"Initiate" (Making things happen)*. Proactivity related competencies were found in 79% of the models.

o   *"Relate" ((Building relationships)*. The theme of building and leveraging

relationships based on trust, inside and outside of the organization, was present in

79% of the models.

Klemp (2001b, 249) stresses the importance of periodical reviews and revisions of

leadership competencies.

Emotional Intelligence Competency Framework (2002)

Emotional intelligence, with its emphasis on self, as well as self in relation to

"other" considers the intrinsic in a person, leader, world citizen (Carblis, 2008, 31).

There are two types—*ability-based* and *mixed* or *trait* type (Fambrough et al.,

2008, 746)—and three main models of EI, each representing a different perspective.

Ability-based theorists Salovey and Mayer's model "rests firmly in the tradition of

intelligence shaped by the original work on IQ a century ago" (Goleman, 2006, xiii).

Mayer and Salovey (1997, in Fambrough et al., 2008) define emotional intelligence as

"*the ability to monitor one's own and others feelings and emotions, to discriminate

among them and to use this information to guide one's own thinking and actions."* In this

model, EI is perceived as a form of pure intelligence—cognitive ability to process

information of an emotional nature and to "relate emotional processing to a wider

cognition." Individuals vary in this ability, which manifests itself in certain adaptive

behaviors (Stys et al., 2004). Based on their definition of EI, I would characterize this

model as a closed-system model at the center of which is the individual engaged in his

self-awareness and self-management.

In the mixed or trait school of thought, emotional intelligence is defined as "*being concerned with understanding oneself and others, relating to people, and adapting to and coping with the immediate surroundings to be more successful in dealing with environmental demands*" (Bar-On, 1997, in Stys et al., 2004). Implied in the concept of EI are individual differences in the efficiency with which emotionally charged information is processed (Matthews et al., 2004, 12).

There are two main models representing this approach. In the model put forth by Reuven Bar-On, EI is perceived as a combination of cognitive and personality factors that influence general well-being (Stys et al., 2004). As seen from the second definition of EI, this model is directed both inside and outside of the individual, as it tries to locate him within a broader context of his social existence.

Finally, Goleman's mixed model of emotional intelligence is considered to be "the most authoritative among all EI approaches, as evident in the wide acceptance and use of his definitions of EI competencies" Carblis (2008, 7).

The difference between the two approaches is in that mixed models typically "present EI as a set of competencies that should help individuals be more effective in responding to their environment, whereas ability-based models focus on a 'well defined and conceptually related set of cognitive abilities for the processing of emotional information and regulating emotion adaptively'" (Fambrough et al., 2008, 746). Whatever the approach, EI models can be measured, typically by one of the following methods: self-report tests (such as the Bar-On EQ-i)—self evaluation instruments of aspects of one's personality; the 360-degree assessments (such as the Emotional Competence Inventory (ECI))—a rather popular tool that combines ratings from a

number of sources, such as self, supervisors, peers, direct reports, customers, etc.; and

ability tests (such as the Mayer-SaloveyCaruso Emotional Intelligence Test (MSCEIT))

that measure a person's capacity to solve problems of certain kinds and that compare the

person's performance with the performance of a reference group (Caruso, 2004).

My focus on this model comes from its link to primal, or resonant, leadership

(Goleman et al., 2002) and also because it builds, in part, on the works of Boyatzis (1982)

and Spencer and Spencer (1993): many of the competencies in their models have since

been recognized as EI competencies (Carblis, 2008, 36).

Inspired by Salovey and Mayer's research, Daniel Goleman, a psychologist,

pursued his own line of research on IQ and emotions and developed a theory of

emotional intelligence based on an emotional competency framework (Carblis, 2008, 6),

which he described in *Emotional Intelligence* (1995/2006)—Goleman's "introduction" to

a significant new development in psychology—"the merging of neuroscience with the

study of emotions"—that outlines main constructs and themes of EI; *Working with*

Emotional Intelligence (1998), that offers an overview of an expanded framework for

which Goleman borrowed McClelland's concept of competency to explain "how the

fundamentals of EI—self awareness, self-management, social awareness, and the ability

to manage relationships—translate into on-the-job success;" *Emotional Intelligence:*

Issues in Paradigm Building (2001), a chapter in which he reviews different models of

EI, addresses current issues in EI theory, and discusses the complex relationship between

IQ and EI; and *Primal Leadership* (2002, in co-authorship), that adapts his model to

leadership theory, in particular, resonant leadership, and reviews how his model "nests"

nineteen EI competencies within the four domains (Goleman, 2006, xv-xvi).

Goleman's model is a result of the analysis of competency models for 181 different positions in 121 companies and organizations worldwide, with the combined workforce of millions (2011, 31). It focuses on on-the-job performance and organizational leadership and links EI theory with the research on the competencies that distinguish star performers from average (Goleman, 2006, xiii). As that research shows, IQ scores or technical skills cannot predict superior performance or stellar leadership, especially within intellectually demanding professions. Therefore, in Goleman's model, high IQ becomes a "threshold" ability (people at the top levels of organizations have already been sifted for intellect and expertise), while emotional intelligence becomes the "discriminating" competency that helps determine who will lead most ably.

The model "clearly links specific clusters of competencies to the underlying brain dynamics that drive them" (Goleman et al., 2002, 38). It is divided into two parts—one dealing with *personal competence* and consisting of the *self-awareness* and *self-management* domains, and another with *social competence*, or relationship management, to which belong two more domains: *social awareness* and *relationship management* (Goleman et al., 2002, 38). The four clusters encompass nineteen EI competencies, and, as Goleman (1995, 44) put it, "each of these domains represents a body of habit and response that, with the right effort, can be improved on." As pinpointed by Fambrough and Hart (2008, 748), "The promise of EI and the reason to select for and develop the EI capacity of leaders is to enhance their effectiveness in influencing followers to ensure organizational success and to contribute to an uplifting culture."

Personal Competence

<u>Self-Awareness</u>

Self-awareness denotes the ability to understand oneself: one's emotions and their impact, one's strengths and limitations, and one's self-worth and capabilities (Goleman et al., 2002, 38). Competencies that comprise this domain include, respectively, emotional self-awareness, accurate self-assessment, and self-confidence (See Table 8).

Recognizing a feeling as it happens is the essence of *emotional self-awareness* (See Appendix A for definition) (Goleman, 1995, 43). Emotional self-awareness is both awareness of our mood ["I am happy"], our thoughts about that mood" ["I am thinking good things to cheer up"], and how it affects us and our job performance. Although different conceptually, in reality being aware of feelings and acting to change them go hand-in-hand: to recognize a bad mood is to want to improve it. The road to emotional self-awareness is through *self-reflection*, and even more so through *reflexivity*—an "unsettling of the 'basic assumptions, discourse and practices used in describing reality'" that makes a leader "question the ends, means, and relevance of administrative practice" and "can lead to the construction of new organizational and social realities" (Cunliffe et al., 2005, 227). Similar to communication skills that go beyond the use of words, "the realm of the emotions extends, too, beyond the reach of language and cognition" (Goleman, 1995, 40). It finds expression in *intuition,* which "offers EI leaders a direct pipeline to their accumulated life wisdom on a topic. And it takes the inner attunement of self-awareness to sense that message" (Goleman et al., 2002, 45).

Accurate self-assessment (See Appendix A for definition), or self-knowledge, implies knowing what motivates oneself to perform at one's best and receive satisfaction

and pleasure from it. "No external motivators can get people to perform at their absolute best" (Goleman et al., 2002, 45).

Self-confidence (See Appendix A for definition) is a sound sense of one's self-worth and capabilities; it exhibits in the ability to play to one's strengths, which stems from self-knowledge (Goleman, 1995, 40).

Self-Management

The second EI domain combines competencies that together represent *self-management*, or maintaining emotional balance. It is a "focused drive that all leaders need to achieve their goals" (Goleman et al., 2002, 45). Self-management builds on self-awareness, since without knowing what we are feeling, we cannot manage those feelings. This domain is comprised of the following competencies: emotional self-control, transparency, adaptability, *achievement* (See Appendix A for definition), initiative, and optimism (See Table8).

Emotional self-control (See Appendix A for definition) is understood as both controlling emotions and resisting impulse. This EI competency allows the leader to keep his anger in check or, when necessary, "to use his anger in an artfully channeled outbursts designed to get instant attention and mobilize people to change or get results" (Goleman et al., 2002, 79). The lack of self-control is cited as one of the most common failings in leader (Goleman et al., 2002, 79). Similarly, underscoring the importance of impulse control in life and in leadership, Goleman (1995, 81) argues,

> There is perhaps no psychological skill more fundamental than resisting impulse. It is the root of all emotional self-control, since all emotions, by their very nature, lead to one or another impulse to act.

Goleman et al. (2002, 47) call *transparency* (See Appendix A for definition) "not only a leadership virtue but also an organizational strength." It means the removal of barriers and smokescreens within the organization, information sharing, and inclusion of employees in decision-making (Goleman et al., 2002, 58). Transparency enables integrity and the feeling of trust toward a leader.

Adaptability (See Appendix A for definition) allows leaders juggling multiple demands without losing their focus or energy, at the same time increasing their levels of tolerance to the inevitable ambiguities of organizational life (Goleman et al., 2002, 254). As Goleman et al. (2002, 254) put it, "Such leaders can be flexible in adapting to new challenges, nimble to adjusting to fluid change, and limber in their thinking in the face of new data or realities."

Initiative (See Appendix A for definition) is stronger in those leaders who have a sense of efficacy—a belief that they have what it takes to control their own destiny (Goleman et al., 2002, 255). People scoring high on initiative are more likely to be using whatever competencies they have or to do what it takes to develop them (Goleman, 1995, 90).

Optimism (See Appendix A for definition) sustains a positive outlook even under intense pressure. Underlying this competency is self-efficacy—the belief that one has control over the events of one's life and can face challenges as they come u An optimistic leader sees an opportunity where others see a threat or a setback, as his "glass half-full" philosophy helps him believe that change is good. Such leaders see other people positively and expect the best of them (Goleman et al., 2002, 47, 255). "Optimism and hope—like helplessness and despair—can be learned" (Goleman 1995, 89).

Social Competence

<u>Social Awareness</u>

The fist domain in the social competence group is *social awareness*. Comprising this domain are three competencies: empathy, *organizational awareness* (See Appendix A for definition), and *service* (See Appendix A for definition) (See Table 8).

Empathy (See Appendix A for definition), or the ability to know how another person feels, is the fundamental competency of social awareness (Goleman et al., 2002, 50).

Empathic people are better attuned to understand the "subtle social signals" of another person's true feelings, thoughts (Goleman, 1995, 43), as well as nonverbal clues. Empathy is linked to self-management and also plays a key role in developing and retaining talent (Goleman et al., 2002, 50).

Relationship Management

The second domain in this group is *relationship management.* The competencies that comprise this domain—inspirational leadership; influence; developing others, *change catalyst* (See Appendix A for definition), conflict management, *building bonds*, and teamwork and collaboration—guide the emotional tone of a group so as to move people in the right direction and catalyze resonance (Goleman et al., 2002, 51). As the complexity of the leadership tasks increases, the role of the relationship management competencies becomes more pivotal (Goleman et al., 2002, 52) (See Table 8).

The *inspirational leadership* competency is most strongly associated with visionary leadership (Goleman et al., 2002, 58). Articulating the purpose that rings true, attuning it to values shared by the followers, and guiding them toward a compelling

vision are some of the characteristics that distinguish visionary leaders (Goleman et al., 2002, 58).

Table 8

Emotional Intelligence Domains and
Associated Competencies

PERSONAL COMPETENCE: These capabilities determine how we manage ourselves.

SELF-AWARENESS
- *Emotional self-awareness:* Reading one's own emotions and recognizing their impact; using "gut sense" to guide decisions
- *Accurate self-assessment:* Knowing one's strengths and limits
- *Self-confidence:* A sound sense of one's self-worth and capabilities

SELF-MANAGEMENT
- *Emotional self-control:* Keeping disruptive emotions and impulses under control
- *Transparency:* Displaying honesty and integrity; trustworthiness
- *Adaptability:* Flexibility in adapting to changing situations or overcoming obstacles
- *Achievement:* The drive to improve performance to meet inner standards of excellence
- *Initiative:* Readiness to act and seize opportunities
- *Optimism:* Seeing the upside in events

SOCIAL COMPETENCE: These capabilities determine how we manage relationships.

SOCIAL AWARENESS
- *Empathy:* Sensing others' emotions, understanding their perspective, and taking active interest in their concerns
- *Organizational awareness:* Reading the currents, decision networks, and politics at the organizational level
- *Service:* Recognizing and meeting follower, client, or customer needs

RELATIONSHIP MANAGEMENT
- *Inspirational leadership:* Guiding and motivating with a compelling vision
- *Influence:* Wielding a range of tactics for persuasion
- *Developing others:* Bolstering others' abilities through feedback and guidance
- *Change catalyst:* Initiating, managing, and leading in a new direction
- *Conflict management:* Resolving disagreements
- *Building bonds:* Cultivating and maintaining a web of relationships
- *Teamwork and collaboration:* Cooperation and team building

Source: (Goleman et al., 2002, 39).

Influence (See Appendix A for definition) in pursuit of achievement means exerting forceful direction with the purpose of getting results (Goleman et al., 2002, 79).

The *developing others* competency is being realized when a leader acts as a counselor, helping employees with setting goals, reaffirming values, and expanding repertoire of their abilities (Goleman et al., 2002, 62).

Conflict management (See Appendix A for definition) means "knitting together" diverse and sometimes "conflicting individuals into a harmonious working group" (Goleman et al., 2002, 66) and "repairing rifts" within the group (Goleman et al., 2002, 69).

Teamwork and collaboration characterizes those leaders that are concerned with building emotional capital, with "promoting harmony and fostering friendly interactions, nurturing personal relationships that expand the connective tissue with the people they lead" (Goleman et al., 2002, 64-65).

The four domains are closely intertwined and have a dynamic relationship among them. Thus, self-awareness facilitates both self-management and social awareness, while the combination of the latter two allows effective relationship management, which also requires of the leader to first have a sure sense of his/her own direction and priorities, which, again, brings us back to self-awareness. EI leadership, therefore, builds up from the foundation of self-awareness (Goleman et al., 2002, 30-31).

In the EI model of leadership the link among the competencies takes a form of a leadership style. There are six such styles in the model, each with its own effect on climate and performance/outcomes: *visionary* (the most effective; style of transformational leaders), *coaching* (focus on personal development of followers),

affiliative (focus on building relationships), *democratic* (when uncertain about direction),

pacesetting (focus on excellence and performance; short-term effectiveness), and

commanding (focus on compliance) (Goleman et al., 2002, 58, 60, 63, 67, 72, 76). Table

9 provides their brief summary.

In part, the growing popularity of EI can be explained by the appeal of its

underlying assumption or, according to some, ultimate motive —its egalitarianism,

namely, that it is a "potentially equalizing intelligence" (Locke, 2005; in Fambrough et

al., 2008, 751).[33] Matthews et al. explain:

> …the appeal of EI reflects both positive and negative cultural mores. On the
> positive side, the construct emphasizes the value of nonintellectual abilities and
> attributes for success in living… EI has driven home the notion that, while the
> road to success in everyday life is determined partly by intellectual ability, there
> are a host of other contributing factors… EI also focuses attention on character
> and aspects of self-control, such as the ability to delay gratification, tolerate
> frustration, and regulate impulses… On the negative side, writings on EI place
> greater emphasis on the importance of emotional abilities than on intellectual
> intelligence—an outcome that is congenial to the personal profiles and
> worldviews of many (2004, 6).

Locke (2005; in Fambrough et al., 2008, 752) is forceful in his argument that

claims of EI being able to replace IQ are baseless, and that there is a hidden political

agenda behind the creation and dissemination of EI, namely, "to erode the dominance of

IQ as the signifier of an individual's potential value to an organization" (Fambrough et

al., 2008, 752). I would like to address this criticism that it has never been Goleman's (or

other EI theorists') intention to substitute EI for IQ, or even denigrate the role of high IQ

in one's career or leadership. All that has been argued is that when everybody among

those who reached some considerable heights has high IQ, then it becomes a lesser

predictor of who will reach the summit. That's where EI takes over. Following

McClelland, his college advisor, Goleman studied a complex relationship between IQ, EI,

and a successful career, especially as applied to organizational leadership and top management (Goleman, 2006, xiv). His conclusion is that at some point in their careers IQ becomes a threshold characteristic, needed to be minimally effective, while EI becomes a discriminating competency "that best predicts who among a group of very smart people will lead most ably" (2006, xiv-xv). [34]

Table 9: EI Competencies by Leadership Style

Style	Competencies
Visionary	Inspirational Leadership Transparency Empathy Change catalyst Inspiration Self-Confidence Self-Awareness
Coaching	Developing Others Emotional Self-awareness Empathy Self-Confidence
Affiliative	Teamwork and Collaboration Empathy Conflict Management
Democratic	Teamwork and Collaboration Conflict Management Influence Empathy
Pacesetting (to keep in check)	Achievement Initiative Self-Awareness Emotional Self-Control Empathy
Commanding (to keep in check)	Influence Achievement Initiative Self-Awareness Emotional Self-Control Empathy

Source: Goleman et al., 2002, p 58-59, 62, 64-66, 69, 74, 79.

The concept of emotional intelligence is not without other contradictions. In fact, EI has been contested quite a lot by the academic community (Fambrough et al., 2008, 740) due to a number of weaknesses that make Goleman's model open to criticism. Thus, Goleman does not provide a concise and precise definition of EI. The definition that he does provide (1995, 34) is too broad, too tailored to the populist (as opposed to academic or scientific) audience, and some say "overinclusive" (Matthews et al., 2004, 11, 14) as it combines all "those positive qualities that are *not* IQ" (or what is called a definition by exclusion), thus, arguably, creating a tension with other definitions found in the literature (two of which are offered above) and even with some elements of his own competency model (Matthews et al., 2004, 12). Some critics even ask: If emotional intelligence equals character, then is it "simply an old wine, which has been well marketed in a new bottle?" (Matthews et al., 2004, 12).

A similar criticism applies to the definitions of competencies found in his books. Some of them (especially those from the social competence group) are either underdeveloped, barely explained (achievement, organizational awareness, and service), or just mentioned and never explained (building bonds).

Another major criticism is directed at Goleman's research, too little of which has appeared in peer-reviewed publications, thus making it harder to establish its quality and validity (Matthews et al., 2004, 12). However, if the number of times Goleman's name has been cited in peer-reviewed publications by scientists who work within the area of EI is any indication, then the authority of his model is firmly established (Matthews et al., 2004, 12).

There is also a concern with regard to potentially dehumanizing effects of EI assessments and training on leaders, as some believe that negative emotions are "equally informative" and their repression may slow down personal development and lead to "other destructive consequences," while the "control of individual emotions to achieve organization-level goals that may or may not benefit the worker is one way EI can be seen as the commodization of emotions by management" (Fambrough et al., 2008, 751).

Finally, with the backdrop of recent public exposure of corporate malfeasance, a major concern has been raised with regard to EI training, perceived by some as an instrument of producing inauthentic transformational leaders that might use their power of persuasion to pursue unscrupulous ends (Fambrough et al., 2008, 750). Carr (2000; in Fambrough et al., 2008, 750) comments in this regard, "…it seems that emotional intelligence is no end in itself, and that its ultimate value is crucially dependent upon the moral ends which it serves."

Fambrough and Hart (2008, 752) also argue that EI is a purely Western phenomenon, as it has originated in the U.S., Canada, Great Britain, Australia, and New Zealand. Therefore, transplanting this concept to other cultures should proceed with caution. The same advice is given to HRD professionals "when considering applying EI tools or principles cross-culturally or in multicultural contexts" (Fambrough et al., 2008, 753).

Despite all the contradictions and pitfalls surrounding EI, Fambrough and Hart (2008, 753) are not alone in believing that

> …leaders will benefit from an increased understanding of their own emotions in congruent, nonthreatening ways. Attending to the emotional responses of others, along with a genuine commitment to interpreting emotions with empathic accuracy are habits and skills that can be honed over time and will certainly

increase interpersonal effectiveness… Because emotions are so frequently repressed or regulated in the workplace, leaders need opportunities to make authentic contact with their own core emotional fabric and to examine how they are using emotions to achieve organizational and personal goals. Opportunities to confront the enormous responsibility of leadership as a source of influence and creation of meaning for followers should be part of leadership development agendas.

Van Wart's (2005) *Leadership Action Cycle*

Van Wart (2011) defines *job competencies as "the traits, skills, and behaviors most important for a specific position or class of positions*" (292), where the traits are "relatively innate or long-term dispositions" that nevertheless can be improved, "modestly and incrementally with practice, training, and education 'in specific situational environments'" (p 259, 260); skills are "broadly applied, learned characteristics of leader performance" that are "heavily affected by later training, education, and practice;" and behaviors are "the concrete actions that are taken in performing work" (292). The latter "can be thought of as types of skills, but they are more narrow in concept and specific in usage." "Skills are similar to traits in that they are broad; they are similar to behaviors in that they are generally more directly observable than traits" (292). "The difference among traits, skills, and behaviors is largely one of degree" (2011, 292).

Van Wart's (2011) competency model has an element called *task competencies*— "the finite behaviors, roles, and skills that a worker at any level needs to have to accomplish work successfully. Task competencies may be any combination of knowledge, physical dexterity, interpersonal capacity, or intellectual abilities… Task competencies are critical to the proper functioning of any organization, whether one is talking about the efficient treatment of a customer by an employee working at the

counter, an effective treatment by a public sector physician, or the public-speaking skill of an executive. A good organizational reputation, minimization of rework, or maintaining strong funding all ultimately depend on good task competencies" (2011, 208). The way this concept is defined is similar to what Boyatzis (1982) and Spencer and Spencer (1993) call a *threshold competency*.

Leadership Action Cycle (LAC) (2005) (See Figure 10) is an organizational leadership competency taxonomy that encompasses 37 competencies associated with leader traits, skills, and behaviors and, overall, incorporates more than seventy elements relevant to the notion of leadership. Van Wart describes it as a model of moderate complexity that is consistent with mainstream leadership research and applicable to all organizational leadership with a primary administrative function regardless of sector (3). It is based on the 1997 OPM study of 10,000 managers along 151 behavioral dimensions (Van Wart, 2011). The model helps visualize leadership "as a competency-based linear process as it would be experienced by hypothetical new leaders:" from assessing organizational demands and constraints and their own abilities and priorities (performance outcomes they want to achieve), to taking action toward performance goals, to evaluating their performance (Van Wart, 2011, 194). This feature, according to Van Wart (2011, 194) makes it useful in both applied and training settings.

As one of the building blocks, the model incorporates nine leader styles and a combined style, which is "the use of two or more styles simultaneously in a single fused style" (Van Wart, 2011, 65).

Figure 10: Van Wart's Leadership Action Cycle

The Leadership Action Cycle: Full View
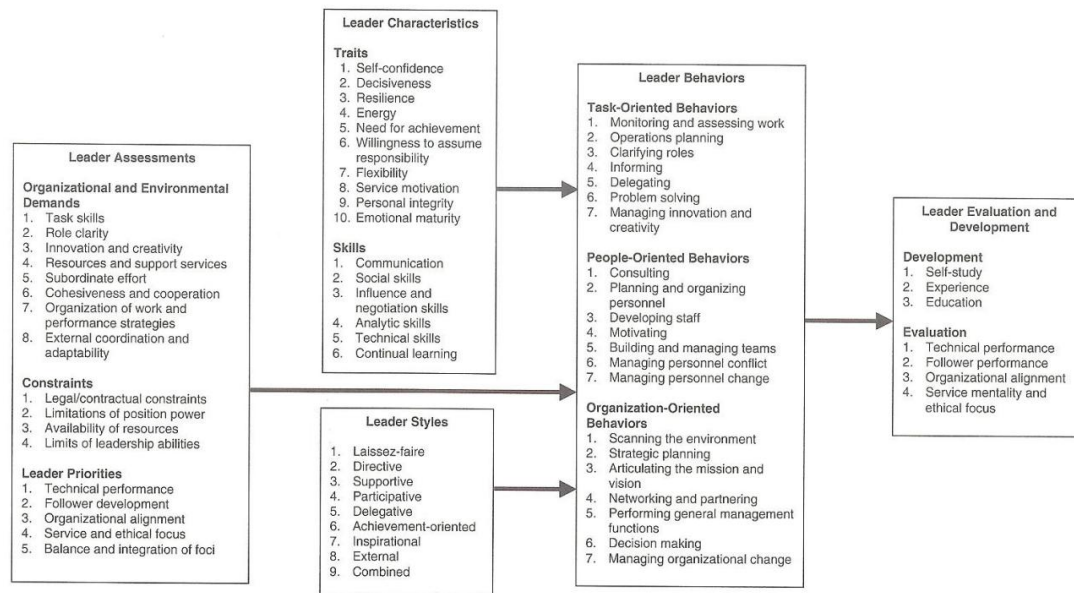
Source: Van Wart (2008), 429.

Three variables determine which style should be used:

o *Organizational and environmental demands*: the mix of styles will depend on the leader's position and will "vary by factors such as the need for control, differential goals and performance expectations, types of motivators utilized, and the type of leader focus emphasized" (Van Wart, 2011, 194).

o *Constraints*: "leaders must examine the constraints that they face in terms of resources, power, and personal skills. A leader taking over a division in a crisis mode may need to rely on a highly directive style, whereas a leader taking over a high-performing division may initially adopt a laissez-faire style as s/he studies the organization for subtle refinements" (Van Wart, 2011, 194).

o *Leader priorities*: Several perspectives define a performance outcome a leader is trying to achieve: "Technical efficiency requires cost efficiency and program

effectiveness. Follower satisfaction is a result of development, competence, and appropriate inclusion in organizational processes and decision making. Decision quality as a performance variable emphasizes a balance of various criteria including leader expertise in the decision arena, follower knowledge, follower impartiality, timeliness demands, and so on… Another performance outcome is the degree of alignment of the organization with the external environment. Finally, performance can be assessed based on the organization's ability to change and be flexible. This type of performance variable becomes more important in a dynamic or turbulent environment" (Van Wart, 2011, 194, 196).

The nine styles of LAC are:

1. *Laissez-faire*. The style typically associated with poor leadership and characterized by "low leader control, low leader goals and performance expectations, and little or no motivational stimulation for followers. It can mean that the leader is not focusing on either the internal or external aspects of the organization, or it is possible that the leader's focus on external matters leads to a laissez-faire style internally" (2011, 55).

2. *Directive* or task-oriented. "Probably the most commonly identified style" associated with a leader telling subordinates what to do. "Behaviorally, it emphasizes task skills such as monitoring, operations planning, clarifying roles, informing, and delegating in relation to the assignment of work projects. At the organizational level, it also involves general management functions, such as human resource management, as an extension of coordinating and scheduling functions. A directive style assumes high leader control, average (or above)

performance expectations, a formalistic notion of motivation based on legitimacy of command, reward, and punishments, and an internal focus" (2011, 55).

3. *Supportive*. This style is "demonstrated by showing consideration toward followers, displaying concern for their needs, and creating a friendly work environment for each worker individually. It focuses exclusively on people-oriented behaviors: consulting (especially the listening modality), coordinating personnel, developing staff, motivating, and, to a lesser degree, building and managing teams and managing conflict" (2011, 56). "In terms of motivation, this style emphasizes human compassion and dignity, and was originally highly influenced by the human relations school. It assumes an internal approach to the organization that specifically focuses on followers" (2011, 57).

4. *Participative*. This leadership style involves providing subordinates with advice rather than direction and including them in decision making and problem solving. Leaders practicing this style "establish a friendly and creative work environment for the team as a whole. Behaviors include consulting (in the discussion mode), coordinating personnel, developing staff, motivating, building and managing teams, managing conflict (especially as it arises out of constructive disagreements and creative tensions), and managing personnel change by including followers in change decisions. It also includes a modest amount of delegation in the task domain" (2011, 57).

5. *Delegative*. This style "allows subordinates relative freedom for decision making and from daily monitoring and short-term reviews. The main behavior of this style is delegation, which involves designation of responsibility and allocation of

authority. Providing additional responsibility is similar to job enlargement. Allocation of authority means greater decision-making independence and thus is a form of power. It is the latter element that is considered especially critical to true delegation… The motivational assumption is that followers seek independence as a form of self-fulfillment. In addition, they often perceive delegation as recognition of professional mastery and superior competence" (2011, 58-59).

6. *Achievement-oriented*. With individual achievement being the primary motivational base of this style, it concerns a leader that shows confidence in the followers' performance by setting challenging task goals, seeking task improvements, and emphasizing excellence. "The primary behaviors involve a combination of both people and task domain types. In terms of task focus, it includes clarifying roles, informing, delegating, problem solving, and managing innovation and creativity. In terms of people focus, it includes consulting, developing staff, and building and managing teams" (2011, 61).

7. *Inspirational*. This style, also known as transformational, emphasizes "rising to the challenges of all types of change" and "uses intellectual stimulation in order to produce new ideas or to gain their acceptance for new approaches, and to arouse contagious enthusiasm for the achievement of group goals. It relies heavily on acceptance of the leader's wisdom and/ or integrity by followers, and it draws on many behaviors. In the task domain, it includes managing innovation at the operational level. In the people domain, it includes managing personnel change because the style often implies significant attitudinal changes in followers. At the organizational level, it includes scanning the environment, strategic planning,

vision articulation, networking and partnering, decision making, and managing organizational change" (2011, 62). "The inspirational and achievement-oriented styles are the only two styles that specifically focus on challenging goals and high expectations" (2011, 61).

8. *Strategic*. While strategic leadership is not a new concept, a strategic leadership style is. It "focuses attention on organizational matters in the environmental context that contribute to organizational alignment, the ability to gain and retain resources, and the opportunity to gain comparative advantage in public settings and competitive advantage in private settings. It is based on the capacity to learn, change, and implement initiatives effectively… [and] involves all the organizational behaviors but emphasizes environmental scanning, strategic planning, vision articulation, decision making, and managing organization change" (2011, 63).

9. *Collaborative*. "Representation, external networking/ partnering, goodwill, and "expanding the pie" (an external win–win perspective)" are this style's main features designed to "build goodwill while simultaneously providing long-term organizational and personal advantage:" "The representative function provides an organizational presence; networking provides a sense of collegiality, contacts, and enhanced trust that comes from long-term interaction; and partnering engages in cooperative projects in which there is mutual gain." Other uses of this style include "philanthropic activities such as donations of time, resources, and money" or professional or local community building "for mutual self-gain through

expanding the capacity or reputation of a cluster of organizations" or for "the enhancement of the common good" (2011, 64).

According to Van Wart, the degree of success of a chosen style depends on leaders' characteristics, abilities and attitudes as well as their experience with particular styles, and the quality of their behavioral skills (2011, 194).

Turning to those characteristics and behavioral skills—the next two building blocks of LAC comprised of competencies per se—they hold total of five clusters between themselves. Leader characteristics consist of traits ("relatively innate or long-term dispositions") and skills ("broadly applied learned characteristics"), and leader behaviors (concrete actions) include task-oriented, people-oriented, and organization-oriented behaviors (Van Wart, 2011, 259). "Possession of certain traits and skills is an indicator of likely or future effectiveness; behaviors are the (present or past) indicators of the effective use of traits and skills in organizational contexts" (Van Wart, 2011, 259). Van Wart, like Klemp (2001b) chose to group the competencies of his model according to an attribute/practice-type of principle, which, if to follow Klemp's argument, means a step toward providing "rigor and conceptual clarity to the development of competency models" (2001b, 240). On top of that, for one of the categories, namely, leader behavioral competencies, he introduced a thematic classification as well.

Leader Characteristics

Remarking that a trait approach to leadership gives only "a very general indication of leadership capacity," Van Wart (2011, 259) indicates that practicing managers and leaders consider traits and skills to be more important than most behavior competencies[35] in determining leadership effectiveness.

Traits

 Of the ten traits comprising this group six are personality traits—self-confidence, decisiveness, resilience, energy, flexibility, and emotional maturity (has an additional value attribute); two motivational drives—the willingness to assume responsibility and the need for achievement; and two value orientations—personal integrity and a service mentality (Van Wart, 2011, 260).

 Self-confidence (See Appendix A for definition), according to Van Wart (2011, 260) is a trait composed of three subelements: *self-esteem*, or "a positive regard for oneself and one's abilities in a general sense," *self-efficacy*, or the belief that one has what it takes to succeed, and *courage*. What concerns self-efficacy, it is, on the one hand, highly malleable to training and experience and, on the other hand, has an innate aspect that "has to do with feeling that one's actions make a difference, rather than having a more fatalistic attitude," which tends to find expression in an optimistic outlook (260). Finally, self-confidence makes courage possible (261).

 Decisiveness (See Appendix A for definition) "emphasizes action at the directive end" of the degree-of-follower participation- in decision making spectrum (2011, 262). It is different from directive decision making and can occur after consultation with subordinates (2011, 262). Usually, crises or considerations of efficiency and time management determine the degree of subordinate inclusion (262). Decisiveness is comprised of the following subelements: a *willingness to make unilateral decisions* when appropriate, an *ability to act quickly in crisis*, and the *ability to remain calm under stress* (262-263).

As a leadership competency, *resilience* (See Appendix A for definition) enables those who possess this trait to effectively deal with stress caused by setbacks, "the weariness of long hours, distractions, or misfortune" by remaining optimistic and quickly recovering their direction and strength (2011, 265). It has two subelements:

- o *Persistence*, or the "ability to stay the course despite hard work or setbacks" (265). It assumes the focus on long-term goals and implies having "stamina to endure, patience to wait for opportunities, and flexibility to find new ways to achieve long-term goals" (265); and

- o *Stress tolerance,* or "the ability to rebound." People possessing stress tolerance can withstand "high levels of psychological and/or physical discomfort related to their jobs in the short-term, and are able to quickly regain their energy and optimism" (266).

There are three reasons why resilience is important:

1. Resilience improves energy, long-term goal achievement, and the ability to assume responsibility as a leader.

2. It contributes to leaders' good psychological and physical health.

3. It increases leaders' dependability: the likelihood that the leaders

- will have the resolve to achieve goals and
- Will not be worn down by fatigue, disillusionment, or ill health (266).

Energy (See Appendix A for definition), according to Van Wart (2011, 267), better predicts long-term leadership success (defined as advancement to leadership positions) than many other traits. It, too, consists of several subelements:

- o *Physical vitality* (good health) and *stamina* (physical endurance).

- o *Mental interest* that combines "a work focus and concentration at a technical level, and enthusiasm, commitment, or passion at an emotional level."
- o *High activity level* that allows to accomplish a lot (267).

Energy is directly linked to task accomplishment and indirectly to achievement motivation and a willingness to assume responsibility (268).

Underlying *need for achievement* (See Appendix A for definition) is the desire to be recognized for one's accomplishments (2011, 269). This competency-trait can have three elements:

1. *Task accomplishment*. Ex.: for a line worker it might be successfully closing cases; for a manager, a successful completion of a special project.

2. *Competition*. "What is the relative status of the achiever's level of accomplishment compared to others? This is the element most commonly associated with record-breaking, a need for acknowledgement and ambition."

3. *Excellence*. "How well or skillfully has the task been accomplished? This dimension may be seen as excellence in quality, lack of errors, consistency, customization, or innovation."

In describing need for achievement, Van Wart draws on McClelland's (1987) research on human motivation. One of the findings of that study is that the achievement drive has a curvilinear relationship with leadership: that is, that a moderate drive is more likely to result in successful leadership as well as leadership advancement, because a strong drive often thwarts leadership success by making leaders unable to delegate and to suppress the competitive spirit when working in a team (270).

"While the drive for achievement is the drive for accomplishment and competition," *willingness to assume responsibility* (See Appendix A for definition) is "the drive for 'higher' positions" involv[ing] greater responsibility and the use of power" (Van Wart, 2011, 272). Interestingly, willingness to assume responsibility positively correlates to leader advancement and effectiveness (273). Its subelements are:

1. *Willingness to take on different responsibilities*. "This often means learning new tasks, developing skills, and realigning one's competencies for the new position." This quality is often associated with *ambition* ("which, in and of itself, is not necessarily bad, unless the need is unchecked").

2. *Willingness to use power*. Assumed here is liking power itself and the influence that it brings, a quality that is called *dominance* (Dominant people not just like power, they study it to maximize its use). Another attribute included here is "the ability to use power in more forceful ways," or *assertiveness*, which is useful when leaders have to do unpleasant things, such as firing. Those who do not enjoy the use of power eschew leadership positions. Also, leaders with excess of dominance and assertiveness are perceived as domineering or aggressive (273).

According to Van Wart (2011, 273, 274), "the importance of willingness to assume responsibility is seen most prominently when there is a leadership vacuum" and tends to spike during crises.

Flexibility (See Appendix A for definition) is considered to be a leadership trait critical to all the change functions (such as problem solving, creativity and innovation, conflict management, managing personnel change, and managing organizational change),

and whose importance continues to grow in the present-day organizational environment (Van Wart, 2011, 276). This trait consists of two elements:

- o *Adaptability*. This is a key component, especially for leaders of organizations/units functioning in a rapidly changing environment. Adaptable leaders are willing to use alternatives, substitutes, and surrogates. It also has an attitudinal aspect: those who are willing to adapt are not stubborn; they see change as an opportunity.

- o *Alertness to alternatives* (a cognitive component) and the "ability to see that substitutions can sometimes be improvements. Flexible leaders do not see most decisions as single yes/no choices, but as a series of options with different benefits and costs" (275).

Flexibility strongly relates to such other competencies as resilience, need for achievement, and continual learning (276).

A trait having too much of which is rather difficult (Van Wart, 2011, 279), *service mentality* (See Appendix A for definition) "did not play a significant role in the specification of leadership traits in the modern mainstream literature until strong ethical themes were introduced into the field in the late 1970s with Burns (1978) and Greenleaf (1977)" (278). It consists of two major elements:

- o *Concern for others*—the public at large, customers, and employees.

- o *Preference for decision-making inclusiveness of others* to the degree that it is possible and appropriate, ranging "from minimal consultation prior to the decision to full delegation of authority." While the first element is attitudinal, the second is behavioral: "One can have a concern for others and act on their behalf, but not

directly involve them in decision making." "Consistently acting on others' behalf without consulting them, even assuming genuine goodwill, is a type of paternalism antithetical to a robust service motivation" (277).

From the followers' perspective, *personal integrity* (See Appendix A for definition) is the most important aspect of leadership (Van Wart, 2011, 281). It is comprised of the following aspects:

- o *Consistency and coherence* in practicing personal values, which are "the most overarching elements of personal integrity." "A person who is consistent will act in the same way each time s/he is confronted with roughly equivalent situations." Similarly, "a person who is coherent in their values has values that fit together well and can therefore be more easily explained to others" (280).

- o *Honesty*, or "the state of being honorable, which, at a minimum, refers to restraint from lying, cheating, and stealing." The opposite of lying is truthfulness. Truthful people avoid falsehoods and misleading information and are forthcoming. Not taking advantage of the situation (for personal gratification) or bribes is a minimum threshold of honor. The next level is placing others' interests above your own (or at least as high). Finally, in the public sector exclusively, the highest level is "vigorously safeguarding trust, or 'stewardship'." In extreme cases it takes the form of moral courage (280-281).

- o *Fairness*; or "impartiality and a lack of prejudice or discrimination. A minimum level is required to ensure that people are treated with equality according to the rules. However, fairness also means taking all circumstances into consideration, which may mean overriding or bending rules after review. That is, special or mitigating circumstances may justify a different conclusion." Fairness is difficult

to execute as different people have different responsibilities and needs and like to be recognized for different things (281).

According to Van Wart (2011, 284), *emotional maturity* (See Appendix A for definition) is the trait that singularly ensures a leader's long-term staying power. It includes four elements:

- o *Self-awareness*, or an objective self-assessment of one's strengths and weaknesses, as well as underlying values (at a broader level). Like resilience, self-awareness "helps one to accept setbacks as inevitable and to learn from failures and adversity in general, rather than becoming excessively frustrated, bitter or protective (284).

- o *Emotional self-control*, or self-regulation, "leads to both evenness of emotions and emotional balance between oneself and others." Those who mastered self-control do not suffer from mood swings and emotional outbursts and are devoid of tendencies toward narcissism and paranoia (284-285).

- o *Responsibility for actions*, patterns of actions, and the consequences of actions, or what President Harry Truman eloquently summed up "the buck stops here." Taking responsibility for actions means sharing responsibility for mistakes, even when not directly at fault, and giving as much credit as possible to others to encourage and reward them. The sensitivity to others, on the other hand, comes "in part from the fact that building up the morale and confidence of followers is a leader's major responsibility, and that finding the best in others and amplifying it is a fundamental leadership mandate." "Leaders who take full responsibility for

their actions pay attention to the long-term ramifications of their actions (and inaction) (285).

- o *Socialized power orientation.* "First and foremost, a socialized power orientation means using one's formal power (especially to punish or order) as infrequently or lightly as possible given the context." Good leaders rely on respect of their expertise and merit, surround themselves with the best and brightest people, and encourage constructive criticism. An opposite to socialized power, "a personalized power orientation results when power has insinuated itself into a leader's psyche," which is manifested in the leader's frequent and blatant use of formal authority (285-286).

Van Wart (2011, 286) indicates that in the public sector leadership literature emotional maturity has not yet received proper attention.

Skills

The second group of leader behaviors is comprised of six skills—"particularly susceptible to refinement" through training, education, and practice competencies (Van Wart, 2011, 292). Some skills, however, like oral communication, analytic, social, or influence skills, "have a substantial innate or "hard-wired" component," which can be overcome by practice in the absence of a "gift" (2011, 292, 297, 305). These skills are: communication skills, social skills, influence skills, analytic skills, technical skills, and a proclivity for continual learning (2011, 293).

Communication (See Appendix A for definition), *direct* and *indirect* (through gestures, posture, etc.) *one-* and *two-way* (ensures accurate receipt of the message by

subordinates and includes receipt of information by the leader) includes four types of skills:

- *Oral communication* that itself takes different forms: "one-on-one," speaking in groups, or communicating orally via electronic media (293).

- *Written communication*, such as e-mails, memoranda, reports, and special-purpose documents like performance appraisals, letters, public relations materials, and written public statements. "Both underreliance and overreliance on written communication skills are common, depending on the biases of leaders. Generally, it is the written record that lasts most effectively over time for all of those not prominently in the public eye" (294).

- *Listening* which performs a number of functions of its own: serves as a source of information about facts, trends, problems, and performance; carries information about people's attitudes, moods, and motivation levels; and has a symbolic quality as an act of respect. As such, it provides a stronger bond than do speaking and writing (294).

- *Nonverbal communication*—the most unappreciated among all elements of communication skills, it can convey immense stores of information, "but the information relayed is far more subtle and embedded than information that is spoken and written. It includes eye movement, facial expression, body posture, gestures, and body movement (294).

"A major pillar of a leader's skill set," as Van Wart (2011, 297) calls them, *social skills* (See Appendix A for definition) "are subtle and difficult to pinpoint" "despite their obvious ramifications." Also, they "overlap extensively with communication and

influence skills and are occasionally subsumed under them" (297). The three major elements comprising social skills are:

- o *Personal likability*, or agreeableness (and in extreme form charisma), that focuses on such aspects as *optimism, kindness, tact, and respect for others* (2011, 297).

- o *Expressiveness*. Part of this skill is making sure that "the right thing is said or done at the ideal time." "Leaders who are strong at expressiveness are also particularly capable of putting emotions or professional passions into words. This is important in order to make people feel personally valued, infuse meaning into work, and "rally the troops" for joint efforts" (2011, 297). Expressiveness also involves encouragement and positive reinforcement (found to be more effective than disincentives) and critique, when necessary (2011, 297).

- o *Social Perceptiveness*. "A baseline of social perceptiveness is an honest understanding of one's own motives, values, drives, and preferences. This leads to an understanding of the motives and actions of others, which is of inestimable value in leadership." A more sophisticated dimension is deep understanding of interpersonal dynamics. "Interpersonal dynamics is alternately the glue of the organization and the source of bureaucratic politics (2011, 297-298).

Social skills relate to a number of competencies: they directly lead to influence skills (which are a form of power); enhance communication, thus also allowing for better information gathering; and "increase the ability to engage in effective team building." They also "reduce unnecessary problems due to bad personality traits … while increasing the ability to finesse awkward social situations" (2011, 298).

Influence skills (See Appendix A for definition) give leaders the power to affect people, resources, and outcomes (Van Wart 2011, 300). Eight influence strategies comprise this type of skills:

- o *Legitimating tactics*. These are used to "emphasize the consistency of an influence attempt with established policies, procedures, or past practices," or to "directly assert the right of the agent as an appropriate decision maker to make the request/order." Typically, to assert authority, legitimating tactics involve the power to reward and punish, but mostly as an incentive to influence future actions. Legitimate authority should be used sparingly, if the leader does not want to be referred to as authoritarian or a rule-monger (2011, 301).

- o *Pressure tactics*. These "involve the use of demands, threats, or pestering to influence. More than any other influence strategy, pressure tactics emphasize punishment, including prospect of dismissal, poor evaluation, no raise, fewer resources, shunning, and so on." Pressure tactics range "from the subtle hint and gentle reminder to the overt warning of potential dire consequences" and effective leaders use them all, "carefully matching the need and the strategy, and compliance with later rewards and punishment. However, administrators who overuse pressure tactics or use them too bluntly are quickly labeled as bullying, bothersome, or intimidating." Subordinates, on the other hand, use pressure tactics of their own (2011, 301).

- o *Exchange tactics*. These take the form of "mutual exchange of favors, either in explicit agreements or implicit and loose understandings. They emphasize reward power. At the macro level, mutually agreed exchange is not only the basis of the

capitalistic economic system, but also ultimately the basis of free-floating employment systems. That is, applicants agree to certain work obligations and conditions while organizations agree to certain compensation, benefits, and support. At the micro level where most leaders operate most of the time (outside the hiring process), exchange tactics are often used to influence extra or unusual work or effort, or to get special working accommodations," such as a leader promising workers compensatory time later for overtime now, or line workers promising the leader to increase productivity in exchange of sending them to a special training program (2011, 301).

o *Rational persuasion*. Here, the use of facts and logic are the tools with which the leader tries to convince the target. Some problems of rational persuasion are: fundamental assumptions are often unstated and unchallenged, facts are easily selectively manipulated (consciously or unconsciously), and convictions, commitment, and passion may be more important than rational logic for success" (2011, 302).

o *Consultation*. This powerful influence tactic is based on "involving the target in the process of planning, in providing substantive feedback, or in making changes. The agent gains information and "buy-in," and the target may affect decision making while also getting information… The problems of consultation include the inordinate amount of time and energy that it requires, and the possibility of accusations of manipulation by those who use it superficially or selfishly" (2011, 302).

- *Emotional*, or inspirational, *appeals*. This influence strategy allows the agent to sustain the targets' enthusiasm and commitment by appealing to and arousing certain values, preferences, or shared beliefs or by rousing self-confidence. "Effectively made emotional appeals enable people to make sacrifices for the organization or unit and feel good about it during times of hardship or crisis, unite people with shared beliefs, and can enhance the sense of self-worth and satisfaction of those targeted. Ineffectively or inappropriately done, emotional appeals are cloying or manipulative, or they set up emotional expectations that are unmet" (2011, 302).

- *Personal appeals*. These tactics exploit the "feelings of loyalty, friendship, or human compassion," as well as the fact that people generally like to help others. "When this is done on a reciprocal, ongoing, and appropriate basis, the sharing of such "favors" introduces a culture of mutual assistance and support. The limitations of this strategy include overreliance on personal appeals in order to compensate for poor organizational leadership skills and unwilling to reciprocate (302-303).

- *Friendliness*, or ingratiation. This tactic involves "the use of affable behavior or praise, or the provision of unrequested assistance directed at the target in order to increase the responsiveness to future requests and orders. On one hand, basic friendliness is an expectation of social intercourse, even in work settings in which the parties hold unequal positions; enthusiastic and widely distributed friendliness is normally considered a virtue. On the other hand, friendliness becomes smarmy ingratiation when the agent's motives are solely instrumental, self-serving, or

manipulative. This is particularly obvious when praise becomes flattery that is either exaggerated or untrue, or acts of 'unrequested assistance' essentially become bribes to win favors" (2011, 303).

Legitimizing, pressure, and exchange tactics derive from position-based power, in particular, power based on authority, control over work environment, and reward and punishment; rational persuasion and consultation mix positional and personal power and are based largely on expert power and control over information; finally, emotional appeals, personal appeals, and friendliness reside in referent subtype of personal power (2011, 302).

Analytic skills (See Appendix A for definition) encompass "much of what people think of as intelligence" (Van Wart, 2011, 305). Four major elements comprise this group:

- o *Memory*. "When people have good memories, they have a clear advantage in making distinctions because the data are immediately accessible. Because memory is based on exposure to information, those we typically think of as having a "good memory" can either remember information from a single exposure or can recall detail after a long period of time with few exposures… Good memory in concrete work might involve knowing the specific language of seldom-used statutes in code enforcement, or it might involve remembering the process used to solve a problem from several months before. Good memory in social settings might involve remembering the names of people one met only once before or remembering people's spouses, children, or other personal details. Political memory might include knowing the key decision

makers and the decision protocols that they are expected to use, or perhaps a complex grievance process" (2011, 305).

o *Discrimination*, defined as "the ability to distinguish and use different conceptual dimensions." It also involves "using subtlety and nuance to make better decisions" (for example, to discern in what areas a subordinate's proposal can be improved). "While leaders keep up their technical discrimination skills, they must also refine an entirely new set of discrimination abilities. A common example of leadership discrimination is the ability to resist contamination of personal and professional arenas" (2011, 305).

o *Cognitive complexity*, defined as "the ability to consider and use different dimensions simultaneously or use different levels of complexity in different domains. For a manager to do a good job in performance appraisals, some degree of cognitive complexity is an asset because of the complex nature of workers' contributions and liabilities in the work environment… Cognitive complexity increasingly becomes a way of life as managers move up the hierarchy, and they have to make many discriminations in different domains as well as subtle judgment calls about what to emphasize for the organization's good" (2011, 307).

o *Ambiguity tolerance*, defined as "the ability to suspend judgment while new data are being gathered." On one hand, many analytic skills involve the ability to set up and remember patterns or mental models (also known as mental schemas). However, mental models are based on past information and past

analysis. They become a liability when either the past trend is no longer accurate or past analysis was inadequate or faulty. Managers who tolerate ambiguity well are more willing to pay attention to anomalies in order to determine whether a new or contradictory pattern emerges, or more willing to appreciate that new environmental trends may mean the configuration of new, and yet-to-be-elaborated, mental models" (2011, 307).

To command the loyalty and respect of their followers, subordinates, or teams of specialists, leaders must retain a degree of technical knowledge, even though they themselves become farther removed from the technical work as they rise in rank. Therefore, "their mastery of *technical skills* (See Appendix A for definition) generally remains important" (Van Wart, 2011, 308), although technical skill is the only competency in which supervisors are perceived to have greater need than executives (2011, 309). Technical skills are comprised of three major elements:

- o *Technical information and skills of the discipline*. Here the focus is on discipline-specific knowledge and education, often confirmed by a degree. While technical skills often serve as the basis for leader hiring and promotion, especially at the supervisory level, "over time, many complain that they lose touch with these skills" (2011, 309).
- o *Information about the organization*—processes, rules, employees, facilities, clients, interest groups, elected overseers, culture, etc. Typically, leaders promoted internally in an organization have a good grasp in this area but for external hires it may present a major issue and they might need "to focus considerably on understanding the organization for the first six months or so.

However, sometimes this is an asset in the long run because such leaders have broader experience and can use comparative practices as a source of personal benchmarking" (2011, 309).

o *Basic management knowledge/skills*, such as managing and leading teams, leading meetings, basic operational problem solving, and rudimentary operations planning. These skills, considered to be an extension of organizational knowledge and skills, are now expected of frontline workers. Exceptions in this case are military and quasi-military organizations, where "the planning of meetings, teams, operations, and the like is considered a critical craft of the trade" (2011, 309-310).

Continual learning (See Appendix A for definition), the competency importance of which has been on the steady rise for the past few decades, builds on and is closely linked to other competencies, in particular,

o Memory—is critically linked to continual learning;

o Other cognitive attributes—required to develop better mental models;

o Emotional maturity—required to learn from mistakes;

o Flexibility—required to change assumptions and ways of thinking and behaving in response to a changing world (Van Wart, 2011, 311).

In describing these skills, Van Wart (2011, 311, 313) focuses on two elements:

o *Ability to glean and use new information and data.* Underlying this ability is the *basic learning mode*. It requires using new information in standard ways—just reviewing and monitoring data and trends, both internal and external to the organization. "The challenge lies in the vast amount of information to monitor and review as well as in the number of standard processes and problem-solving

protocols one must learn and use in the contemporary management world."
Therefore, it is tempting to do so superficially, or even not at all.

o *Ability to expand knowledge*. It requires the advanced learning mode.[36]
"Advanced learning involves creating new knowledge that leads to innovation
(using known products/ processes in new ways) or invention (discovering
altogether new products/processes). It also requires disseminating that
knowledge."

The next major part of the Leadership Action Cycle focuses on "an examination
of the discrete types of actions that leaders practice" or, in other words, *leader behaviors*
(Van Wart, 2011, 319). Van Wart (2011) has divided this category into three behavior
domains: two traditional—*task-* and *people-oriented behaviors*, and one that fell into
leadership theorists' focus not so long ago, namely, *organization-oriented behaviors*.
Behavioral competencies in all three domains arranged according to the same logic:
before leading, people first should have information and knowledge about ongoing
activities and behaviors, in other words, they should undergo an assessment phase. The
demonstrated leader behaviors for each of the domains are, respectively: *monitoring and
assessing work*; *consulting*; and *scanning the environment* (2011, 320-321) (See
Appendix A for definitions).

During the next phase, leaders decide what to do. This involves processing of
information and making explicit and implicit plans with regard to themselves and others.
In the task domain these actions correspond to *operations planning*, in the people-
oriented domain to *planning and organizing personnel* and in the organization-oriented
domain to *strategic planning* (2011, 321) (See Appendix A for definitions).

The implementation phase requires that leaders demonstrate several behavioral competencies in each of the domains. Thus, at this stage, task-oriented behaviors include *clarifying roles and objectives*, *informing*, and *delegating*; people-oriented behaviors involve *developing staff*, *motivating*, and *managing teams and team building*; and, lastly, organization-oriented behaviors are directed at *articulating the mission and vision*, *networking and partnering*, and *performing general management function* related to human resource management, finance, and budget (2011, 321) (See Appendix A for definitions). Van Wart (2011, 321) indicates that though similarities across domains are not as apparent during the implementation phase as they are during the previous two phases, one can still see commonalities among developing staff, articulating the mission and vision, and clarifying roles or among informing, motivating, and networking and partnering. There are also parallels between delegating and team building. Only performing general management functions does not have a corresponding competency at other levels.

Change is the main theme of the next phase in the taxonomy. At the task, people, and organization levels, respectively, the following pairs of behaviors signify different aspects of change: *problem solving* and *managing technical innovation and creativity*; *managing conflict* and *managing personnel change*; and *decision-making* and *managing organizational change* (2011, 321) (See Appendix A for definitions). Van Wart (2011, 321) points out that, "essentially, change behaviors are special types of implementation skills that, for many, are the very essence of leadership."

According to Van Wart (2011, 321), the combined twenty-one midlevel behaviors of the three domains "allow for a relatively detailed analysis of the needs, abilities, and

performance of leaders." Table 10 presents a summary of the above-mentioned leader behaviors and their logical organizers by domain.

Table 10: Summary of the Three Behavior Domains

	Leader actions: behavior domains		
	Task	People	Organizational
Assessment/ evaluation functions	1. Monitoring and assessing work	1. Consulting	1. Scanning the environment
Formulation and planning functions	2. Operations planning	2. Planning and organizing personnel	2. Strategic planning
Implementation functions	3. Clarifying roles and objectives 4. Informing 5. Delegating	3. Developing staff 4. Motivating 5. Building and managing teams	3. Articulating the mission and vision 4. Networking and partnering 5. Performing general management functions
"Change" functions	6. Problem solving 7. Managing innovation and creativity	6. Managing conflict 7. Managing personnel change	6. Decision making 6. Managing organizational change

Source: Van Wart, 2011, 322.

Summarizing task-oriented behaviors, Van Wart (2011, 349) points to the fact that problem solving, perceived as one of the most important competencies, is, at the same time, one of the hardest to learn and easiest to overuse. As a consequence, it has a dark side: the more time the leader spends on problem solving, the less time is dedicated to problem prevention (2011, 349). On the other hand, such critical competencies as monitoring and assessing, operations planning, clarifying roles and objectives, and informing are frequently underappreciated (2011, 349).

Similarly, with regard to people-oriented behaviors, Van Wart (2011, 387) argues, "To the degree that we define leadership primarily as leading others, these competencies are core to the leadership endeavor." In terms of focusing attention, they are even more important to lower-level managers than they are to executives (2011, 387).

Lastly, organization-oriented behaviors emphasize an external focus and a systems approach—the "big picture"—and pay more attention to organizational culture and organizational change, including dealing with crisis (Van Wart, 2011, 392). As Van Wart (2011, 392) indicates, historically, this is the area where the differences in competencies were the sharpest between executives and lower-level managers, as organization-oriented behaviors used to be the prerogative of those at the organizational helm. With flatter organizational structures and new models of governance, this distinction has blurred. However, what concerns "the nature of the attention," it does vary substantially, according to Van Wart (2011, 393). Thus, in environmental scanning, the executives' focus is on budget and policies issues, while supervisors pay more attention to client needs; decision making differs in scope for the two groups, while articulating mission and vision and managing change differ in the amount of attention; and strategic planning falls into the realm of executives only (2011, 393).

Van Wart (2011, 401) denotes that, to be great, leaders do not have to possess charisma, but "they do need the ability to express a coherent and compelling vision." Similarly, they must have a deep understanding of the mission and be able to convey it effectively both inside and outside their organizations, as well as to facilitate its evolution (which can proceed as either part of strategic planning or outside it) (2011, 402-403). Mission articulation includes three elements:

- o *The Mission Proper*. This is the commonly understood interpretation of the organization's legal mandate, its "central dominant theme" (403).
- o *Vision*. "The vision includes the aspirations of the organization, the overarching goals it wants to achieve, the broad strategies that it intends to use

to achieve its purpose, and the special niche or competencies that it expects to excel in… While mission statements focus on the 'what,' vision statements focus on the 'how'" (2011, 403-404).

- o *Values.* "Values are expressed through the various operating philosophies of the organization, having to do with governance systems, organizational structures, and systems of accountability" (404). "…contemporary value debates include the degree to which the organization will emphasize monopoly versus competition, regulation over market incentives, adding versus changing programs, centralized over decentralized systems, individual versus team work, simple versus multidimensional jobs, generic versus customized services, tradition versus innovation, seniority versus performance-based systems, and emphasis on system versus employee needs. Value statements can highlight all major values affecting the organization (public good, legal, organizational, professional, and individual). Alternatively, value statements can emphasize only those values that are often neglected in the organizational context…" (405).

When a leader articulates a vision for the future of her/his organization, she/he also determines a course for change and influences people to follow that course. This brings us to the discussion of the last organization oriented behavioral competency in *Leadership Action Cycle*.

As the broadest level of change, the organizational change competency can involve large-scale change in the direction (as reflected in the philosophy of the organization and/or its policy), structure (as reflected in an organization chart), major

processes, and culture (as reflected in wholesale attitudinal changes that, although not as pronounced as reorganization, may, nevertheless, produce dramatic results) of the organization (Van Wart, 2011, 418- 420). Managing organizational change is considered by many to be the supreme competency that the executive-level leaders should possess, and "not only because of its fundamental importance for the long-term health and survival of the organization, but also because of its difficulty" (Van Wart, 2011, 420).

This competency builds on, and is related to, a number of other competencies, in particular, managing innovation and creativity, personnel change, decision-making, environmental scanning and networking (these two are needed to achieve good alignment), strategic planning (which is necessary to institute the change over time), and "articulating the (reformulated) mission and vision" ("perhaps most noted in the leadership literature") (Van Wart, 2011, 420).

The final building bloc in Van Wart's model is leadership evaluation and development. The guiding principle behind these concepts is that in "today's dynamic, challenging environment" leaders feel the need and pressure for development throughout their careers (2011, 429).

Morse's (2008) Collaborative Leadership Competencies

Using Van Wart's (2004) *Leadership Action Cycle* as the baseline from which to proceed in thinking what other competencies are required to do leadership in the conditions of shared power and authority, Morse (2008) offers a taxonomy of competencies that distinguish a collaborative leader. He asserts that the key element of a collaborative process is that "no one is really 'in charge'," which means that the "leader"

"does not have the positional authority and built-in 'followers'" that he/she would have in their organization (2008, 83). Therefore, to begin, this process requires that certain prerequisites be in place, the most important of which is the presence of a champion/ catalyst/ sparkplug, in other words, someone who takes upon him-/herself leader responsibilities (2008, 83). The next three phases, "from convening through determining the appropriate institutional mechanism and maintenance of the partnership, can all be viewed as tasks of collaborative leadership" (2008, 84). The process of collaboration is presented in Table 11.

Table 11

The Process of Collaboration

1. **Prerequisites**
   Boundary-crossing problem or opportunity
   Complex problem that requires "adaptive work"
   Shared-power environment
   At least some willingness to work together
   A "sparkplug" or "catalyst" to initiate process
2. **Convening**
   Identifying stakeholders
   Issue framing
   Getting stakeholders "to the table"
3. **Exploring and Deciding**
   Choosing an appropriate process and facilitator
   Reframing the problem (or opportunity) as a group
   Identifying shared interests and desired outcomes
   Exploring and identifying strategies
   Identifying and gathering additional information necessary for decision making
   Forging agreements
4. **Doing and Sustaining**
   Building support outside the group
   Appropriate institutionalization
   Monitoring outcomes
   Network facilitation to maintain and strengthen commitment

Source: Morse, 2008, 84.

Morse (2008, 84) indicates that the tasks of collaborative leadership are "specific leader behaviors supported by certain attributes and skills." Many of the competencies required in a collaborative process are the same ones found in organizational leadership, hence the relevance of the *Leadership Action Cycle*. However, there are some

competencies that consistently come up in "different treatments of collaborative processes" (83) as either "unique to the collaborative environment" or as significantly expanded versions of the organizational competencies (2008, 85). They, according to Morse (2008, 85), represent a starting point for thinking about additional competencies needed to be incorporated in leadership development to address collaborative governance. These additional competencies, grouped into attributes,[37] skills, and behaviors, are summarized in Table 12.

Table 12

Collaborative Leadership Competencies

Attributes	Skills	Behaviors
• Collaborative mindset • Passion toward outcomes • Systems thinking • Openness and risk taking • Sense of mutuality and connectedness • Humility	• Self-management • Strategic thinking • Facilitation skills	• Stakeholder identification • Stakeholder assessment • Strategic issue framing • Convening working groups • Facilitating mutual learning processes • Inducing commitment • Facilitating trusting relationships among partners

Source: Morse, 2008, 85.

Attributes

One of the most cited in collaborative literature attributes is what Morse calls (after Linden (2002; in Morse, 2008, 86) a *collaborative mindset* (for which Morse uses Luke's (1998, 226) definition)—an understanding of "the need to be inclusive and interactive, working across systems and agencies, connecting with other efforts, and involving key networks, partners, and stakeholders to pursue outcomes." It also means seeing "across boundaries" and having "'a vision of what collaboration can accomplish'" (86). Morse (2008, 86) also believes that underlying the collaborative mindset is the so-called principle of synergy: "You begin with the belief that parties involved will gain

more insight, and that the excitement of that mutual learning and insight will create momentum toward more and more insights, learnings, and growth" (Covey, 1989; in Morse, 2008, 86).

Morse (2008, 86) also associates collaborative mindset with "'seeing connections and possibilities where others might see barriers or limitations'." This is a part of the definition where I don't agree with him. What he cites is actually a definition of entrepreneurship, pure and simple, which in his case, probably, should have been identified as a separate collaborative leadership competency, since, though present in other competency models, it is not found in Van Wart's (2004) model.

Another attribute, although found in Van Wart's (2004) model as need for achievement, differs from this trait in focus: while Van Wart's (2005) trait is understood as a "drive for excellence" based on self-interest, this attribute, for naming which Morse uses Luke's (1998) concept *passion toward outcomes*, indicates the desire "'to bring about change and to make a difference'." (2008, 86). Morse (2008, 86) explains:

> For them, "the desired result or outcome for the public good becomes the passionate focus and spark that energizes and mobilizes." Thus, more than having a need for personal and organizational achievement, the collaborative leader is passionate about the common good, about creating public value.

I think that, described in this way, this attribute is a collaborative leadership variant of an emotionally charged definition of visioning (the creating of vision part), built on a foundation of broad treatment of public service motivation (See Perry et al., 2008, 17-18). Luke (1998, 223) himself compares passion toward outcomes to "a compelling organizational vision." In his mind,

> Because the outcome will make the world a better place, it has immense significance for the catalyst. It becomes… the overarching purpose, or goal that energizes and guides one's behavior over time (1998, 223).

I think Luke chose to use the word "outcome" instead of "vision" to emphasize the difference between organizational and collaborative leadership. Vision is a desired future state of the organization, ideal in that it is always reachable but never reached, while an outcome is temporal; it is linked to a specific problem set to be resolved through a concrete collaborative effort, at which point the outcome will be achieved.

Morse (2008, 86) further describes the same attribute: "Passion for results becomes a strong motivator for collaborative leaders, giving them 'energy and sense of focus' that make them 'clearly driven people'." This, actually, describes need for achievement.

I believe this competency should be redefined. First of all, all references to need for achievement should be removed as being conceptually wrong, as should be the description of the attribute in terms of passion for results, as, worded the way it is, it describes need for achievement, with achievement itself being the strongest motivator. Secondly, what is left under "passion toward outcomes" should be redefined as a uniquely collaborative leadership competency whose counterparts in the organizational leadership models have to do with creating organizational visions.

The third competency in this category is *systems thinking* that describes those who "see the big picture" and "take the long view" (Morse, 2008, 86). Systems thinking is also defined as both "a discipline for seeing wholes" and "a specific set of tools and techniques" (Senge, 1990; in Morse, 2008, 87). It is both a habit of thinking (attribute) and a learnable set of skills (Morse, 2008, 87). As a habit of thinking it "involves 'thinking about impacts on future generations'; 'thinking about… ripple effects and consequences beyond the immediate concern'; and 'thinking in terms of issues and

strategies that cross functions, specialties, and professional disciplines'" (Morse, 2008, 87). Morse (2008, 87) believes that "jurisdictionally and /or organizationally bound public leaders" are prone to thinking short-term and staying internally focused; therefore, being a systems thinker requires mental discipline and moral courage.

While this competency is paramount for effective collaborative leadership, it is also important in organizational leadership. Yukl et al. (2005) described it for the organizational context.

The fourth competency in Morse's attributes category is *openness and risk taking* (2008, 87), which he links to collaborative leaders being entrepreneurs. He argues that "willingness to experiment and take risks," absence of fear of failure, the ability to compromise (make trade-offs) and "being comfortable with uncertainty" are critical collaborative leadership attributes "identified by many observers" (2008, 87). Collaborative leaders are willing to be wrong, to revise their thinking, and to 'understand that no project, program, or policy should be seen as final or definitive'."

Morse (2008, 87) labels the fifth attribute a *sense of mutuality and connectedness* with others. He (2008, 87) describes it as a "sense of being in relation to others, of being part of a whole; being a part of, rather than apart from, others." This attribute is similar to what in other typologies is linked to emotional intelligence, and, by extension, to psychology, and called "concern for others," "empathy," "interpersonal understanding," social skills, etc. While Morse (2008, 87) is right to comment that "the leaders' psychological connection with others" receives "little explicit attention," the topic is gaining momentum at least within the EI framework.

He believes that concern for others is a "foundation for the application of collaborative skills and ultimately successful collaborative action" (2008, 87). Underlying this attribute is trust. Morse (2008, 87) explains, "…the genuine recognition and understanding of the other that stems from the attribute of mutuality and connectedness also connects in important ways with trust and trustworthiness." Since trust and trustworthiness, in my opinion, has more to do with the reputation, experience, and logical reasoning than with emotions, I would limit its discussion to the province of integrity.

Introducing the sixth attribute, Morse (2008, 88) writes:

The "sense of relatedness" and genuine concern for the "larger public good" that runs through all the preceding attributes, "cannot occur without first shifting one's attention away from a preoccupation with oneself and toward looking outward to relationships and interpersonal networks."

This, according to Morse (2008, 88), requires of collaborative leaders possessing a degree of *humility*, described as a "strong but measured ego." It is expressed in the ability to share credit for accomplishments with others, which is crucial to "forging agreements and sustaining action" (Luke, 1998; in Morse, 2008, 88), and to think more of organizational success than their own.

I find liking humility to ego, however strong and measured, confusing, as for me it means self-centeredness and egotism. Luke (1998, 231) actually, writes the following:

Catalytic leadership is an "egoless" process, a shared process based on a sense of inner strength, not abdication or abandonment… This is fundamentally different from historical descriptions of leaders, where leader and ego have been synonymous with "taking charge." In fact, the ancient Greek word for ego also means "leader."

Unless that's what Morse means: strong but measured leader.

With regard to all six attributes, Morse (2008, 88) denotes that they are fundamental to effective collaborative leadership and work in concert with organizational leadership competencies. He also cautions that there may be some "tension between what makes for good organizational leadership and what makes for good collaborative leadership" (2008, 88).

Skills

The second category in Morse's classification is comprised of three broad skill sets that appear to be essential for collaborative leadership in addition to the skills from Van Wart's (2004) model (2008, 88-89).

First among them are *self-management skills* that refer to the "ability to prioritize and manage time effectively" (2008, 89). Although these skills are included in Van Wart's (2004) model as "technical" skills, Morse (2008, 89) feels it necessary for these skills to be treated separately. He (2008, 89) explains:

> Self-management seems to be a fundamental skill set that stands apart from the others, and while relevant for leading organizations, is particularly relevant when working across boundaries. The personal habits of being proactive, beginning with the end in mind, and putting first things first are the very foundation of what it takes to be a collaborative leader.

Strategic thinking is a second set of skills. Again, in Van Wart's (2004) model strategic thinking is discussed as a part of the analytic skills cluster, which, Morse (2008, 89) thinks, is not enough. He (2008, 89) offers Luke's (1998, 151-184) take on strategic thinking in a collaborative environment as involving four distinct sets of analytical skills:

1. "Framing and reframing issues and their strategic responses."

2. "Identifying and defining end-outcomes or desired results."

3. "Assessing stakeholder interests to discover common and complementary interests." And

4. "Systemic thinking to reveal interconnections and strategic leverage points."

Facilitation skills, or "'knowledge of the process tools' needed 'for designing effective collaborations'" and leading "from the middle" so as to "help a diverse group work together effectively" (Morse, 2008, 89) comprise the second set. These skills address the four distinct challenges identified by Luke (1998, 186-187): "generating new ideas and fresh insights," "coping with conflict," "getting a group unstuck and moving the debate forward," and "forging multiple agreements." Luke (1998, 187) emphasizes that collaborative leaders are not passive facilitators. When needed, they can intervene more aggressively, by presenting proposals.

Behaviors

Behavioral competencies represent the third category in Morse's (2008, 91) classification. Morse (2008, 91) indicates that this is the most popular focus in the research on collaborative leadership. Building on leadership behaviors identified by Van Wart (2004), Morse (2008, 91-95) lists those that are "more specific to the collaborative context." They are:

o *"Stakeholder identification* and *stakeholder assessment"*—the two behaviors with which the collaborative process begins. They work together, because you cannot identify "a constituency for change" without also assessing what their contribution may be to the collective effort. This also entails finding the right mix of stakeholders.

- *"Strategic issue framing."* It "involves transforming a condition (a latent problem or opportunity) into a high-priority issue for the public" (93). Among the strategies employed in the framing are leveraging dramatic events and using the media.

- *"Relationship development with diverse stakeholder."* "Building and sustaining effective personal relationships" is essential for "producing powerful outcomes" (93).

- *"Convening working groups."* It involves "bringing the right stakeholders together 'to the table'" (93). The success of this behavior depends on the perceived legitimacy and transparency (that it is not being driven by hidden agendas) of the process.

- *"Facilitating mutual learning processes."* This implies setting a respectful tone for the interactions, "establishing high standards of communication, …open-mindedness, commitment and hard work," as well as nurturing "a deliberative process of mutual learning" (94). This is accomplished through establishing "the operating rules" and prevailing values and norms of the working group" (94).

- *Inducing commitment*. This should be achieved early in the process and maintained throughout it. Commitment of key decision makers is important during the implementation phase. At this stage, other champions, "advocacy coalitions and other power holders who can help in the political process of allocating resources" (94) should be identified.

- *Facilitating trusting relationships among partners*. This is intended to address relationship-based obstacles that may arise during the working group "span of

life." In addition to having good relations with everybody in the group, the collaborative leader must also build good relations among different group members. Other names for this competency are network facilitator and multilateral broker.

Morse (2008, 95) concludes the description of his taxonomy with the discussion of leadership styles. While among the styles of organizational leadership, the *participative style* seems the most in line with collaborative leadership, Morse (2008, 95) does not discount the idea that a "different style altogether" is required for this type of leadership. So far, two possible styles have been identified: *facilitative style*, which is akin servant leadership, and *advocacy style*, which "approaches consensus building in a rallying spirit" (2008, 95). The difference between the two is in that in the first case the leader subordinates him-/herself to the group, while in the second he/she collaborates with others trying to make them support his/her vision (2008, 95).

Collaborative leadership seems to be especially antithetical to our command-and-control culture (Morse, 2008, 96). This makes development of competencies for collaborative leaders even more important.

Denhardt et al.'s (2008) Leadership Traits or Competencies

Denhardt et al. (2008) made a synthesis of leadership traits/competencies that "seemed to stand out in the literature." While theirs is a purely subjective, very narrow list of personal characteristics believed to be associated with leadership in the broadest sense (not just administrative leadership), I included it in this review for two reasons: mine is a learning exercise in comprehensiveness, and the list represents a public

administration view on the subject. In addition, they complement the list by discussing five actions leaders take to be credible. While the actions themselves can be applied to leaders in general, their discussion is tied to the organizational context.

Denhardt et al.'s (2008) list is comprised of the following five traits/competencies:

1. *Intelligence and self-understanding*. According to Denhardt et al., intellectual ability seems to be positively associated with leadership success. This assumption contradicts the findings of the bulk of competency research, where intelligence was found to have no bearing on leader success. To understand why the list's creators are under the impression that high IQ "stands out in the literature" as a valid leadership competency one only has to turn to Fiedler (1996), who argues that among deeply-rooted notions about leader attributes most prominent are those denoting intellectual functions. A lot of it has to do with how we perceive successful leaders: we do want them to be highly intelligent. The second half of this trait/competency is self-understanding conceived as a part of personal development, as "the process of becoming a leader, to cite Bennis, is much the same as the process of becoming an integrated human being" (Denhardt et al., 2008, 196).

2. *Self-confidence and self-esteem*. Self-confidence is important in that those "who have high expectations for themselves are likely to inspire high expectations for subordinates aw well" (Denhardt et al., 2008, 197). Its importance grows even more "during a time when we are experimenting with new forms of organizational empowerment and shared leadership" (Denhardt et al., 2008, 197). Self-

confidence is not without caveats: tool little of it, and a leader is seen as indecisive; too much of it, and he/she can be perceived as arrogant and intolerant of criticism. Self-esteem, too, is especially important in the context of shared leadership: "Leaders who engage in sharing power give up some control over the situation; they put themselves at risk. Undertaking that risk requires a strong base of self-esteem" (Denhardt et al., 2008, 197).

3. *High energy and determination to succeed.* In Denhardt et al. (2008, 197) interpretation, "high energy" actually encompasses three traits: high energy, physical stamina and tolerance for stress, all of which come handy in the hard work of leading. Similarly, "determination to succeed" is comprised of initiative and a "drive to get things done" (or a "psychological commitment to the task at hand"), which in its extreme, or highest, form embodies the belief that one can influence one's own destiny. That's why leaders "take greater responsibility for their actions than do others" (Denhardt et al., 2008, 197).

4. *Sociability (interpersonal awareness)* is defined as being "sensitive to the social and psychological needs of others" (Denhardt et al., 2008, 197). As with self-confidence, too little of this trait creates task-oriented leaders who do not engage with others, while too much of it puts work second to good interpersonal relationships.

5. *Integrity.* This competency "refers not only to knowing the right course of action but also to being able to pursue that course, even under pressure not to do so" (Denhardt et al., 2008, 197). Qualities of leaders with integrity include honesty,

trustworthiness, ethics, and being principled, which means that they act in accord with their principles and "walk the talk."

While Denhartd et al.'s (2008) list of successful leadership traits ends here, their deliberations on what constitutes a successful leader continue. They turn to Kouzes and Posner's book *The Leadership Challenge* (1995), in which the authors summarized the results of their survey of thousands of U.S. managers asked to name values or personal traits they look for and admire in their superiors. The leaders' composite that emerged as a result was one for which Kouzes and Posner borrowed a word from communications experts assessing the believability of their information sources—people want leaders they can believe in, leaders who are *credible* (in Denhardt et al., 2008, 198).

Credibility—"the foundation of all leadership" (Denhardt et al., 2008, 198) can be established through leaders' actions "when they are at their best," of which Kouzes and Posner count five:

1. *Challenging the process*. This means being willing to undertake some type of change, be it a new program or turning around a decaying organization. Important here is leaders' willingness "to step out into the unknown and explore new ideas and approaches" and "to encourage risk and innovation—in themselves and in others," so as to "learn from both their successes and their failures" (Denhardt et al., 2008, 198).

2. *Inspiring a shared vision*. "Leaders look into the future, explore its possibilities, and dream about what the future might be like. This vision… represents an important change—a desire to make something happen that is new, different, and hopefully better. But leaders not only have to articulate the vision, they also have

to inspire others to buy into that vision, something that is partly dependent on leaders' own energy and enthusiasm in carrying the vision forward" (Denhardt et al., 2008, 198).

3. *Enabling others to act*. This means mobilizing assistance, in the form of teamwork or collaboration, of other people in the organization in carrying forward projects. This happens when leaders are convincing enough, so that the others buy into their vision and feel a sense of ownership in what they are doing as well as a sense of being fully supported in what they are doing (Denhardt et al., 2008, 199).

4. *Modeling the way*. This means "practicing what one preaches" or "walking the talk." Leaders whose behavior is consistent with their principles serve as role models for others in the organization. Similarly, "they are consistent and persistent—consistent with their values and persistent in pursuit of their goals" (Denhardt et al., 2008, 199).

   The competency found in the literature that is demonstrated through this behavior is called *idealized influence*: when leaders are admired, respected and trusted, team members identify with them and try to emulate them (Gittens, 2008, 69).

5. *Encouraging the heart*. The meanings of "encouraging the heart" range from establishing large-scale employee recognition systems to stopping employees in the hall to let them know that they are doing a great job. These leaders recognize that they cannot do their work successfully without other people and make sure that those people know they are being appreciated. Leaders show their appreciation through encouragement of employees to do their very best and by celebrating their successes (Denhardt et al., 2008, 199).

Bowman et al.'s *Competency Triangle of Public Service Professionalism* **(2010)**

I chose to include this model in my analysis for its intensely public-service lens, its applicability to <u>all</u> public servants notwithstanding. Its focus on excellence and competency-based approach, as well as the latest trend emphasizing the development of leadership at all levels of the organization, allow me to put it on the same methodological plane with the rest of the models.

Having determined defining characteristics of today's public service—horizontal networks, flattened bureaucracies, and shared leadership structures—that are more congruent with a post-industrial, service-based economy (14), Bowman et al. (2010, 22) offer an analytical framework of skills present-day public-service "consummate" professionals require in three comprehensive competencies: technical, ethical, and leadership. They call it *The Competency Triangle of Public Service Professionalism* (2010, 23).

The underlying assumption of the *Competency Triangle* is that there is an overarching set of competencies applicable to all public servants, and "the target of applying these competencies is excellence: public servants who strive for excellence in these competencies will gain the professional edge necessary to excel in their jobs and produce the most "public value"—or work in the interest of the common good" (Bowman et al., 2010, 6).

Technical Competencies

According to Bowman et al. (2010, 37), "technical expertise is a hallmark of public service professionalism." They define technical competence as consisting of

expertise in a functional field and a range of "hard" (goal-oriented) and "soft" (process-oriented) management skills (2010, 23). This competency cluster is comprised of:

- *Specialized knowledge*—functional expertise "that allows the individual to master a particular job (e.g., budgeting) in a certain field (e.g., health care) (2010, 23). This competency is critical because most services are built on specialized knowledge. While having technical background is not necessary, all managers "must have a sufficient overall awareness of the technical aspects of their job to know how to identify those who can bring expertise to bear" (2010, 38).

- *Legal knowledge*—an understanding of the legal requirements and constraints within which one's job is performed "and the institutional savvy necessary to attain objectives" (2010, 37-38). This understanding is necessary because "laws and regulations establish program standards and guidelines for conduct; they dictate the importance of treating citizens and employees fairly and may specify steps to be taken (e.g., investigating employee or citizen complaint). The use of litigation and mediation methods to settle differences further increases the importance of understanding the legal environment surrounding one's field of work" (2010, 38). Finally, "incorporating the legal dimensions into work provides better information and skills to protect the rights of citizens, employees, and professionals and to achieve institutional goals while reducing susceptibility to lawsuits" (2010, 44).

- *Program management*. In discussing program and project management, Bowman et al. (2010, 24) focus attention on challenges arising from the new public service environment, such as the blurring of departmental, organizational, sectoral

and jurisdictional lines with the introduction of informal teamwork and

collaboration (2010, 25). Similarly, the traditional definition of *productivity* has

become "too limited to do justice to the nature of many public service goals" and,

therefore, new ways must be found to define productivity, new standards against

which to measure it, and new strategies to improve it (2010, 26).

o *Strategic planning*—"a technique used to define the major purposes and specific

activities of an organization" (2010, 48). It is "a stepwise process" that clarifies

the mission and provides specific strategies for achieving goals" (2010, 48).

Possession of this competency allows to "determine which sector has the

resources necessary to attain goals and how to creatively utilize those resources to

advance the common good" (2010, 53). An issue critical to strategic planning—to

those of its aspects that concern the viability of leaders' goals, and which is rising

in importance, is *sustainability* (2010, 49).

o *Resource management*—"deciding what needs to be done, and then getting it

done," on the one hand, and ensuring "that the resources necessary to get the job

accomplished are readily at hand" (2010, 57). Resources include financial,

human, and informational.

Ethical Competencies

This set of competencies addresses "ethical capacity and the moral foundations

upon which it is built," where *moral* "refers to the values and principles used to decide

what is right and what is wrong and *ethical* refers to behavior or decisions based on those

values and principles" (Bowman et al., 2010, 27). Included in the cluster are:

- o *Values management*. Here the focus is on ethics and how it guides the way values—the principles or qualities that matter most to an individual or a group—are practiced and adhered to (2010, 73).

- o *Moral development and reasoning*. Confronting challenging ethical issues and "the perplexing 'right vs. right' decisions that are so frequently encountered today" requires the mastery of moral reasoning, which depends on the ability to distinguish between an ethical problem (defined as "a situation with ethical content, requiring individual choices") and an ethical conflict (or "dissonances among principles of right (do good) or among principles of wrong (cause no harm)") on the one hand, and between internal (with self) and external (with another) ethical conflicts, on the other (Bowman et al., 2010, 28-29). Involved here is the understanding of the stages of moral development and the commitment to the achievement of the third-level reasoning "that prevents abuse of professional skills for one's own advantage or for that of a social group" (2010, 73). In this regard, the possession of assessment skills for the analysis of ethical issues in particular settings, availability of ethical resources as well as professional training and development are important (Bowman et al., 2010, 29). "Another skill is the ability to say 'no' when asked to do something unethical" (Bowman et al., 2010, 29). Finally, knowledge of ethical theory is important as it "helps guide actions" (Bowman et al., 2010, 30).

- o *Individual morality* highlights how people consider potential outcomes of their decisions and how they follow relevant guidelines in determining what is right (2010, 76). It includes teleology, deontology, and virtue ethics (2010, 77).

- *Public morality* involves distinguishing "between two distinct spheres of moral standards"—private and public—and "the ethical behavior that follows." "Those involved in public life are charged with acting in the name of an entity larger than the group of people with whom they themselves interact." This often results in the need that such individuals be "guided by a set of laws and regulations that may not always coincide with their own moral precepts or their idea of what constitutes ethical behavior" (2010, 84).

- *Organizational ethics* involves the skills required to create an ethical institutional culture (2010, 87).

Figure 11: The Competency Triangle of Public Service Professionalism
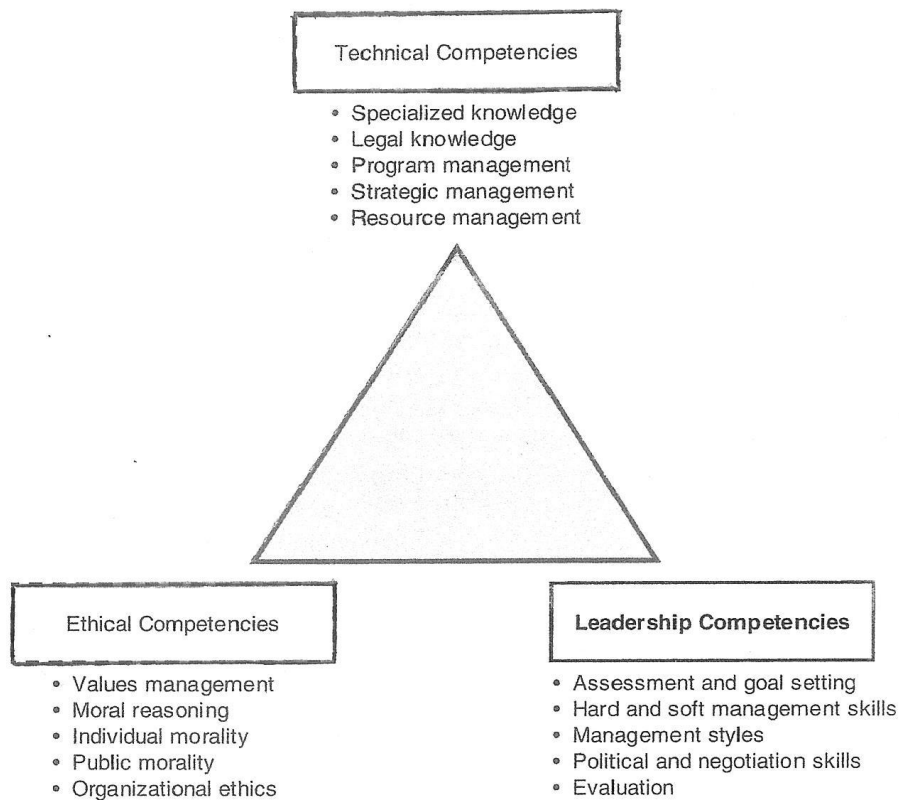
Source: (Bowman et al., 2010, 23).

Leadership Competencies

Presented in this cluster are:

o *Assessment and goal setting*. Essentially, this competence is about leaders using their analytical skills to review large amounts of information in order to identify important operational and motivational trends (2010, 104). Exhibited here are also task skills, role clarity, innovation and creativity, resources and support services, employee inclusiveness and productivity, cohesiveness and cooperation, work organization, performance strategies, organizational culture, and external coordination and adaptability (104-105).

o *Hard* (goal-oriented) *and soft* (process oriented) *management skills*. Hard management skills incorporate organizational and systems management, which are the skills in budgeting, human resource management, IT management, and planning processes ("Leaders need not be technical experts … [in these areas] but they must understand how decisions are made and services are provided"); while soft management skills include communication, negotiation, and symbolic leadership (Bowman et al., 2010, 31).

o *Management styles*. This is about people having preferred and secondary styles, which they either adopt consciously or exhibit unconsciously (in which case it will not be a competency) , as well as the "nature and role of those with whom they interact, organizational power structure, organizational goals, and the environmental factors, affecting an organization" (2010, 107-108). Six styles are named here:

  - Pragmatic—focuses on technical and personnel issues;
  - Task-oriented—aims at completing specific tasks in specified time frame;

- People-oriented—focuses on verbal communication to clarify tasks and strategies; network;
- Entrepreneurial—involves devising new and creative strategic and organizational methods to handle problems;
- Charismatic—centers on motivating employees to adjust to changing circumstances;
- Visionary—focuses on articulating new goals and ways to attain them.

    ○ *Political and negotiation skills.* These skills are needed when public servants are involved in "building alliances, coalitions, and networks with prominent actors and interest groups, both within and outside of their organizations" (Bowman et al., 2010, 32). They include "bargaining, competitive resource acquisition, stakeholder relations, and conflict resolution competencies" (Bowman et al., 2010, 32). In addition, symbolic skills buttress knowledge of systems, people and politics. They include vision, knowledge of both human organizational cultures, awareness of institutional routines, and cultivation of collective identity. Leaders need to provide clarity of direction, cultivate shared vision, and evoke inspiration from others" (Bowman et al., 2010, 32).

    ○ *Evaluation of personal and organizational behavior.* This should be an ongoing activity that involves several steps and includes self-assessment (2010, 114, 128).

The five competencies discussed above can be viewed as a leadership cycle (See Figure 12). In that it starts with the assessment of environmental conditions and goal setting and proceeds through the application of traits, skills, and styles all the way to evaluation, it remind Van Wart's LAC.

Looking at the *Competency Triangle* I can't help wondering why competency clusters are positioned the way they are. Because for me it makes much more sense to put the leadership cluster at the top and two remaining clusters at the corners of the base.

Such a lay out would convey a point that leadership competencies build on the foundation of technical and ethical competencies.

Figure 12: The Leadership Cycle
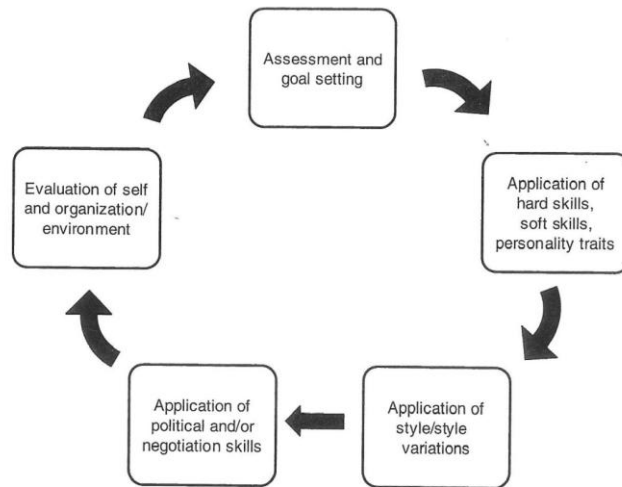
Source: Bowman et al., 2010, 105.

The U.S. Office of Personnel Management (OPM), the Senior Executive Service (SES) and the Executive Core Qualifications (ECQs) (2006)

At the federal level, the agency charged with the development of public sector leaders is Office of Personnel Management.

The U.S. Office of Personnel Management (OPM) was created by the Civil Service Reform Act in 1978. The Act divided the U.S. Civil Service Commission into four agencies, one of which was OPM,[38] conceived by design as the federal government's human resource agency. Its functions range from administering federal employees' health and benefits packages to establishing policy in the area of, and providing the framework for, agencies' personnel selection, retention, development, and promotion (CLCS, 2009).

The Senior Executive Service (SES)—a separate personnel system of the federal government—was established in July 1979, also under the Civil Service Reform Act. The

stated purpose for its creation was improving public sector management through

developing highly competent leaders with "shared values, a broad perspective of

government, and solid executive skills" (OPM in Mau, 2009, 319). Underlying the

creation of the SES was the assumption that responsiveness was linked to performance

or, to use Ingraham et al.'s (2005) expression, the assumption of "responsive

competence," and the belief that senior public executives were not responsive[39] and

required the motivation of economic incentives (Svara, 2007, 79). Moynihan (2004, in

Svara, 2007, 79) deliberates in this regard:

> Whereas the concept of political responsiveness had once been associated with the incompetence of the spoils system, it now appeared consistent with arguments for better performance and the success of the private-sector organizations. Responsiveness now found renewed justification and legitimacy in the context of an administrative doctrine that promised performance, a more socially acceptable goal than simply political control…

Thus with the creation of the SES, performance became "the fundamental value

and goal of management behavior" (Ingraham et al., 2005, 795) in the federal

government in particular and the public sector in general.

Today the SES encompasses more than 7000 supervisory, management and policy

positions above the General Schedule (GS) 15 grade level of civil service, held by "the

individuals who have the responsibility for providing government-wide leadership,

direction, and oversight" (Mau, 2009, 319). These three categories of civil servants

"manage different, but equally important, levels of organizational change" (Ingraham et

al., 1999, 213). Therefore, leadership and management competencies of these individuals

are "essential to effective governance, particularly during a period of fundamental change

of government structure and operations" (Sanders, 1994, 234-235). As Ingraham and

Jones (1999, 213) put it, "They are strategy, change, and information conduits."

Since its establishment, the SES has become a primary vehicle for leadership development in the federal government (Ingraham et al., 2004, 97). In 1979, OPM developed a classification of competencies known as *Executive Core Qualifications* (ECQs). The ECQs describe the leadership skills needed to succeed in the SES, ensure that selection into the SES is based on a competitive process, and reinforce the concept of a "SES corporate culture" (OPM, 2006, 1). Across the federal government, ECQs are used as a critical component of an agency's performance management system, including selection, training and development of its human resources (Mau, 2009, 322). Referring to the 1979 adoption of the ECQs, Mau (2009) indicates that the USA appears to be "a notable exception" from the group of the countries that "followed the lead" of the private sector and is, in fact, in the vanguard of the competency-based movement (316).

The first ECQs consisted of six executive activity areas. As a condition of entry to the SES, aspiring applicants had to demonstrate proficiency in at least four out of six competency areas to the Qualifications Review Board, an independent body comprised of three existing members of the SES from different agencies (Mau, 2009, 320) charged with the mission of assessing the entrants' executive experience and potential—not their technical expertise. The underlying assumption in this case was:

> Experience and training that strengthen and demonstrate the competencies will enhance a candidate's overall qualifications for the SES and measure whether an individual has the broad executive skills needed to succeed in a variety of SES positions—not whether they are the most superior candidate for a particular position. (This latter determination is made by the employing agency.) (OPM, http://www.opm.gov/ses/recruitment/qualify.asp).

The ECQs are the result of extensive studies conducted by OPM and involving more than 8,000 federal government executives, managers, and supervisors (CLCS, 2009; Mau, 2009). Over the course of thirty plus years, the ECQs have been revised several

times. The first, most fundamental, revision was in 1994, when OPM adopted five new ECQs that replaced the six old executive activity areas (Mau, 2009, 320). SES entrants "had either to be fully qualified in each of the five ECQs or outline a plan for achieving competence across all areas. The important point to note is that these ECQs… revolved around management rather than leadership competencies" (Mau, 2009, 320), which prompted their next revision.

While keeping the core subject areas intact, the purpose of the September 1997 revisions was "to shift the focus from management to leadership and the ability to drive change, which is commonly cited in the literature as being a primary task of any organizational leader" (Mau, 2009, 320). According to Mau (2009), from there on, SES members were expected "to lead change, not just have strategic vision; lead and motivate people, not just manage human resources; produce bottom-line results, not just ensure efficient processes; and use communication for building teams and partnerships as opposed to simply representing the organization" (Mau, 2009, 320). As stressed by OPM (2012, 1), the main purpose of the ECQs is the assessment of executive experience and potential and not technical expertise; however, there is the *technical credibility* competency in the *results driven* cluster.

The latest revisions to the ECQs were made in 2006.[40] A new competency—developing others—has been added to the ECQ of leading people, thus bringing the total number of competencies from 27 to 28. In addition, "communication" has been dropped from the ECQ Building Coalitions/Communication and a new category—fundamental competencies—has been created. Six competencies that previously were considered ECQ-specific—interpersonal skills, oral communication, integrity/honesty, written

communication, continual learning, and public service motivation—now comprise this new cluster and are believed to provide the foundation for success in each of the old ECQs.[41] The revision of the ECQ-specific competencies has prompted the modification of each ECQ and the removal of the key characteristics (OPM, 2006, 1). Summing up the results of the latest revisions, OPM maintains that in their current form, the ECQs "represent the best thinking of organizational psychologists, human resources professionals both at OPM and other agencies, and Senior Executives themselves." (OPM, June 2010) (Interestingly, public administration scholars are conspicuously absent from that group of contributors even though the 2001 version of the Guide has the National Academy of Public Administration listed as having participated in the ECQs' development (OPM, 2001, p. 8). Arguing that the ECQs reflect the new thinking, Ingraham and Getha-Taylor (2005, 795) seem to agree with OPM's assessment. They also indicate that the ECQs are "the most commonly cited public statement of critical competencies" (2005, 795).

OPM's Definition of Competency

"A *competency* is a measurable pattern of knowledge, skills, abilities, behaviors and other characteristics that an individual needs in order to perform work roles or occupational functions successfully. Examples of competencies include: oral communication; flexibility; customer service; and leadership" (OPM, 2007).

Senior Executive Service Qualifications

1. ECQ *Leading Change.* **"**This core qualification involves the ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this ECQ is the ability to establish an

organizational vision and to implement it in a continuously changing environment."

1. Creativity and Innovation
2. External Awareness
3. Flexibility
4. Resilience
5. Strategic Thinking
6. Vision

2. ECQ *Leading People*. "This core qualification involves the ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this ECQ is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts."

1. Conflict Management
2. Leveraging Diversity
3. Developing Others
4. Team Building

3. ECQ *Results Driven.* "This core qualification involves the ability to meet organizational goals and customer expectations. Inherent to this ECQ is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculating risks."

1. Accountability
2. Customer Service
3. Decisiveness
4. Entrepreneurship
5. Problem Solving
6. Technical Credibility

4. ECQ *Business Acumen.* "This core qualification involves the ability to manage human, financial, and information resources strategically."

1. Financial Management
2. Human Capital Management

       3. Technology Management

5. ECQ *Building Coalitions.* **"**This core qualification involves the ability to build coalitions internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals."

       1. Partnering
       2. Political Savvy
       3. Influencing/Negotiating

6. *Fundamental Competencies.* **"**These competencies are the foundation for success in each of the Executive Core Qualifications."

       1. Interpersonal Skills
       2. Oral Communication
       3. Integrity/Honesty
       4. Written Communication
       5. Continual Learning
       6. Public Service Motivation

(See Appendix A for definitions of clustered competencies) (OPM, 2010, 32-34).

Each competency is divided into five levels of proficiency, ranging from *awareness* to *expert*. Each proficiency level is described along two continuums: the difficulty of the situation in which a competency is being applied and the amount and direction of guidance. For example, at the awareness level, one demonstrates the competency in the simplest situation and being closely and extensively guided; at the expert level, on the other hand, the "owner" of the competency exhibits it in the "exceptionally difficult situation" and "serves as a key resource and advises others" (OPM, 20**, 1). The ECQs are interdependent: successful executives bring all five "to the table" in serving the U.S. people (OPM, June 2010, 1), which, to Ingraham and Getha-Taylor (2005, 795) "suggests superhuman skills and abilities."

In my mind, the significance of this framework is seriously undermined by the paucity of information about the twenty-eight competencies that comprise the ECQs and the fundamental competencies cluster, of which we know nothing above the brief definitions provided by OPM. This being the model which many government agencies, especially federal, as well as training programs, particularly those that cater to the needs of federal agencies, use (Ingraham et al., 2005, 798) as a springboard in developing their own organizational and training frameworks, the absence of sufficient information is rather regrettable and felt sharply.

Take, for example, *flexibility*: as defined in ECQs, this competency is devoid of subtleties and crucial distinctions between adaptations of different types. Another example is the absence from ECQs of the word *mission*, while in the management literature it is typically used alongside, and interchangeably, with such competencies as *strategic thinking* and *vision*. Is this omission deliberate? Does it mean that in OPM's opinion the skill of mission definition does not contribute to effective leader behavior? Furthermore, judging by definitions provided, I believe that such competencies as *decisiveness* and *strategic thinking* are mislabeled and what is implied there is decision-making and strategic planning respectively. Moreover, *decisiveness* is narrowly defined and indicates only one type of decision-making—authoritarian, which is characteristic of authority-compliance management of Blake and Mouton's leadership grid (see discussion on page 57 of the present work).

Similarly, the two most fundamental for public leadership competencies, *integrity/honesty* and *public service motivation*, are construed too narrowly and defined in too neutral words that do not capture "the full range of public sector values and ethics"

(Mau, 2009, 334). Surely, a public leader's integrity and ethical standards should differ from those of a private corporation's CEO, if only because, according to Mau (2009, 333) "in the public sector, values and ethics are much more encompassing than in the private sector, which adds a degree of complexity." However, there is no reflection of it anywhere in the definitions of these constructs, which makes Ingraham and Getha-Taylor (2005) comment that "the most serious deficiency" of OPM's competency framework is its failure "to focus on the ethical and moral dimensions of public work" (801).

On the other hand, much discussed in public administration literature is the trend indicating that under the influence of NPM public service motivation has become less important for public organizations whose recruitment and selection practices have adapted to private sector-type management reforms (Perry et al., 2008, 129). The OPM's language used to define this competency rather reflects than counteracts this trend.

Finally, Framed by the same neutral language, OPM's definitions of *accountability* and *political savvy* say nothing about distinctly public-sector accountability nor stress the political nature of the administrative process or political constraints under which public-sector leaders operate, which, in my mind, diminishes the value of these competencies for public-sector leaders and ultimately undermines the quality of leadership.

All this raises a fundamental concern with regard to the OPM's ECQs as "overselling" the market and "deregulating" models of governance, especially to the detriment of the participatory state model. The intent to remake government in the image of a private enterprise is evident in the language of the ECQs themselves, e.g., *business acumen*, competencies that comprise them, such as *entrepreneurship* and its component

calculated risk-taking, even *customer* (as opposed to citizen) *service*, as well as in the

language of *the Guide to Senior Executive Service Qualifications* (2006, 2012), linking

the ECQs with reinforcing the "SES corporate culture" and developing "executives with a

'corporate' view of government" (1). And while the former is explained as the ability to

provide strategic leadership and commitment to public policy and administration that

"transcends the commitment to a specific agency mission or an individual profession" and

the latter is defined as shared values "grounded in the fundamental Government ideals of the

Constitution" (OPM, 2012, 1), and while "corporate" has a number of meanings, including

mutual, the first meaning that comes to mind, is, nevertheless, that of *business*. This creates a

misleading impression of what it takes to manage in the public sector.

That is why Mau (2009) contends that, where core capabilities and values are

concerned, the ECQs model is lacking "an overt expression of the core function of the

public sector, which is to serve the public interest" (332). He argues (2009, 332),

> …the provision of a wide range of high quality services to citizens is clearly a
> central component. Even though governments have embraced business principles
> to enhance the efficiency and effectiveness of the public sector, it is essential that
> we do not lose sight of the fact that much of what governments do is not amenable
> to the bottom-line profit considerations that drive private sector organizations. An
> effective competency model probably should in some way reflect that fact.

On a positive side, one can see that the ECQs reflect certain changes taking place

in the public sector, especially those happening under the influence of NPM, such as the

movement toward a governance model known as horizontal management or governing by

network, "whereby other departments, other levels of government as well as private and

non-profit sector partners are being relied upon to deliver programs and services to

citizens" (Mau, 2009, 332). This trend is evident in the ECQ *building coalitions*.

Similarly, the inclusion of the customer service competency also seems to support the

claim that the framework is responsive to new directions in government: the traditional

public bureaucracy has been criticized for being "non-customer oriented" (Ellwood,

1996, 62).

That being said, the SES competency model has not been updated in six years. To

use a phrase from a NAPA report (2008, 347), "Although there are some enduring

competencies in that model, it [might well be the case that it] needs to be modernized"

yet once again.

The U.S. Foreign Service: Competencies for Global Leadership

The organization and management of the U.S. Foreign Service is governed by the

Foreign Service Act of 1980. Under the Act, the U.S. State Department is required to

establish standards for evaluation and promotion members of the Foreign Service

(Spikes, 2008, 188). The State Department has established six broad categories of such

standards, called *core precepts* or *core competencies*, which are comprised of skills

corresponding to each category; therefore, there are leadership skills, managerial skills,

interpersonal skills, communication and foreign language skills, intellectual skills, and

substantive knowledge. Although the American Foreign Service Association periodically

reviews the precepts to ensure they are up-to-date, the six main categories have not

changed in over twenty-five years (Spikes, 2008, 188).

The core competencies constitute the basis on which the U.S. Foreign Service

conducts training, evaluation, and counseling of its employees at the same time providing

it with "competitive, merit-based personnel system of long standing" (Spikes, 2008, 188).

These competencies that underlie career development principles I the Foreign Service are

arranged in a chart with the six categories divided into three subcategories representing level of accomplishment: entry, midlevel, and senior (SES equivalent) (Spikes, 2008, 188-189). The standards for each level are progressive and cumulative: it is assumed that the employee has mastered the lower-level competencies before he/she becomes eligible for promotion to the next level (Spikes, 2008, 189, 191). The description of competency clusters follows.

Leadership Skills

Leadership skills are comprised of competencies that emphasize "the creative and critical application of experience to making decisions, acting on them, and being responsible for their consequences. The emphasis is not only on individual accountability but also on being a member or leader of teams and knowing how to present or accept dissenting views" (Spikes, 2008, 189). Included here are: *innovation; decision making, teamwork, openness to dissent;* and *community service and institutional building*.

Managerial Skills

Managerial skills highlight performance and managerial effectiveness. The following competencies comprise this category: *operational effectiveness; performance management and evaluation; management of resources; customer service; support for equal employment opportunity and merit principles;* and *management of sensitive and classified material, information, and infrastructure*. According to Spikes (2008, 189), some of the key ideas expressed by this competency cluster include "accountability, commitment and courage; achievement of goals and objectives, adequate internal controls, and support for diversity at all levels."

Interpersonal Skills

Interpersonal skills are abilities and behaviors that include *professional standards*; *persuasion and negotiation; workplace perceptiveness; adaptability*; and *representational skills*.

Communication and Foreign Language Skills

Communication and foreign language skills are based on the "ability to speak, write, and listen with a purpose" (Spikes, 2008, 189). Included in this cluster are *written communication; oral communication; active listening; public outreach;* and *foreign language skill*. The requirement to speak a foreign language is one of the basic distinctions of being in the Foreign Service, as is the ability to take part in public diplomacy work abroad, including through the media (Spikes, 2008, 189-190), which is the essence of the public outreach competency.

Intellectual Skills

Intellectual skills are defined as the "ability to collect, evaluate, analyze, and present information, to identify and address key issues, and to formulate policy options" (Spikes, 2008, 190). This competency cluster "also stresses the need to improve those skills through training, education, and other forms of professional development" (Spikes, 2008, 190). It consists of *information gathering and analysis; critical thinking; active learning;* and *leadership and management training*.

Substantive Knowledge

This core precept called *substantive knowledge* addresses the need for technical competence and the "knowledge of how institutions work and relate to one another" (Spikes, 2008, 190) through the involvement of the following competencies: *job*

information; institutional knowledge; technical skills; and *professional expertise.* In addition the *knowledge of foreign cultures* competency addresses the need to "understand the cultural, political, economic, and public norms of other countries" (2008, 190).

Contentwise, Foreign Service competencies fall into three groups:

1. Competencies common to most professions, e.g., accountability, teamwork, communication skills;

2. Competencies institutionally specific to the Department of State or the federal government more generally. These are the competencies that help foster the unique culture of the State Department, e.g., respect for dissent; support for equal employment opportunity and merit principles; and management of sensitive and classified material, information, and infrastructure;

3. Competencies professionally specific to the Foreign Service. These are the "skills and abilities that lie at the heart of diplomatic work at home and abroad: substantive knowledge and appreciation for foreign cultures and societies, foreign language skills, …and participation of policy advocacy oversees for U.S. policies and positions" (Spikes, 2008, 190).

The development of core competencies is complemented by the acquisition of relevant experience through a program the State Department established in 2005 for those of its employees who wish to compete for promotion into the Senior Foreign Service (Spikes, 2008, 189). This program requires that people enrolled in it "gain breadth of experience through service in different regions and functions, …demonstrate abilities as leaders and managers, …sustain proficiency in foreign languages, and …take assignments to posts where there is a critical service need" (Spikes, 2008, 189).

A testament to the model's effectiveness is high respect for the competence of the U.S. Foreign Service found in the literature. Thus, Pickering (2008, 186) writes, "Government has much to learn from the private sector, but in international relations, perhaps the private sector has even more to learn from government." And also: "…the federal government still lags behind the private and nonprofit sectors in developing global leaders, perhaps with the exception of the Foreign Service" (Zaplin et al., 2008, 151-152).

NASA's Leadership Model

Competencies are "measurable skills, knowledge or personal characteristics that have been demonstrated to be essential to effective leadership in the Agency" (NASA, 2011). *Skills* are abilities or proficiencies that are narrow in scope and often developed through training or experience (NASA, 2011). *Behaviors* "are the lowest level elements. Their demonstration or performance indicates proficiency within a skill" (NASA, 2011).

The NASA Leadership Model consists of five separate models that correspond to one of five leadership roles—those of:

- *Influence leader*—a leader without formal leadership designations. "Examples include individual contributors and leaders of small informal work groups."

- *Team leader*—a formally designated leader of an intact group. Includes leaders who lead without authority for the performance reviews of those on their teams. Project leader and project manager are examples of team leaders.

- *1st line supervisor*—includes "supervisors with authority for the reviews of the performance of their direct reports. Examples include individuals who lead

functional or programmatic areas with formal authority and performance appraisal responsibility. Typically branch level supervisors."

- o *Manager*—an individual who manages functional or programmatic areas as well as lower level leaders. "Examples include managers of programs, and deputy chiefs of offices."
- o *Executive*—represents senior leadership of the Agency. "Examples include associate administrators, assistant administrators and chiefs of offices" (NASA, 2011).

Each of the models has the same first two levels of *dimensions* and *competencies* respectively and different third and fourth levels consisting of *skills* and *behaviors*.

NASA's website (http://leadershinasa.gov/Model/Overview.htm) offers very little information on the model beyond the fact that it was developed "through extensive research and validation" and that it was revised in October 2008 to reflect the latest changes in the Agency (NASA, 2011).

Total of 20[42] competencies arranged in five performance dimensions comprise NASA's models. The multilevel list below presents a unified model for all of the roles in the following stepping order: dimensions – competencies – skills. Excluded from this multilevel representation are behaviors corresponding to each skill, to avoid excessive detail.

- ❖ Personal Effectiveness
  - o Cognitive Skills
    - Decision Making
    - Problem Solving/Critical Thinking (Influence leader, team leader, 1st line supervisor)
    - Strategic Thinking (Executive and manager)

- Creativity and Innovation

  o Relating to Others
    - Influence and Negotiation
    - Communication
    - Listening
    - Trust Building

  o Personal Capabilities and Characteristics

    - Adaptability /Flexibility
    - Integrity and Honesty
    - Resiliency
    - Self Development
    - Public Service Motivation

❖ Discipline Competency

  o Understanding of Discipline

    - Discipline Excellence/ Discipline Leadership (Executive and manager)

  o Safety

    - Safety Focus/ Safety Leadership (Executive and manager)

  o Maintain Credibility

    - Discipline Credibility (Influence leader, team leader)
    - Talent Acquisition/Development (1st supervisor, manager, executive)

  o Communication and Advocacy

    - Discipline Advocacy/ Work Unit Advocacy (1st supervisor)/ Organizational Advocacy (Executive and manager)

  o Results Driven

    - Work Management (Influence leader, team leader, 1st supervisor)
    - Organizational Effectiveness

- Accountability

❖ Managing Information and Knowledge
  o Awareness and Use of Information Technology

    - Awareness and Use of Information Technology/ Leads Use of Information Technology (Executive, manager)

  o Knowledge Management

    - Foster Knowledge Sharing/ Leads Knowledge Capture and Sharing (Executive and manager)

❖ Business Acumen

  o Internal and External Awareness

    - NASA Policies and Regulations
    - External Awareness (1st supervisor, manager, executive)
    - Formal Organizational Structure

  o Organizational Culture

    - Organizational Culture

  o Organizational Strategy

    - Aligns Work to NASA Strategy (Influence leader, team leader, 1st supervisor)/ Strategic Planning and Implementation (Executive and manager)

  o Business Development

    - Match Capabilities to Customer Needs (Influence leader, team leader, 1st supervisor)/ Business Development Leadership (Executive and manager)

  o Business Management

    - Resource Allocation and (Financial) Management (Influence leader, team leader, 1st supervisor)
    - Asset Management (Executive and manager)

- Financial Management (Executive and manager)
- Risk Management (1st supervisor, manager, and executive)
- Human Capital Management (1st supervisor, manager, and executive)
  o Customer, Stakeholder and Partner Relationships

- Customer Partnerships/ Relations (Influence leader, team leader)/ Customer, Stakeholder and Partner Relations (1st supervisor)/ Customer, Stakeholder and Partner Leadership (Executive and manager)

  o International (not a separate competency for team leader)

- International Policy (sin 1st supervisor, executive)
- Policy/ Partnering/ Alliances (1st supervisor, manager, and executive)

  o Cross-Cultural Relationships (not a separate competency for team leader, 1st supervisor)

- Cross-Cultural Relations/ Cross-Cultural Leadership (Executive and manager)

❖ Leading and Managing People

  o Leading and Managing Change

- Vision for Change
- Change Process

  o Leading Teams and People/ Organizations (Executive and manager)

- Teamwork and Collaboration
- Performance Management (1st supervisor, manager, and executive)
- Conflict Management
- Diversity with Inclusion
- Coaching (Team leader)/ Coaching and Career Development (Influence leader, 1st supervisor)
- Values Based Leadership (Executive, manager, team leader)

The competency model for executives differs from the other NASA models in emphasizing the leadership aspect of their skills. For example, where the skills of others are defined in terms of relationships, as for example, "cross-cultural relations," for

executives they are defined in leadership terms, e.g., cross-cultural leadership." Several skills are unique only to executives or executives and managers, e.g., financial management, strategic planning and implementation. There are also slight differences between similar skills for different roles. For example, the team member engages only in coaching, but not career development. Given that teams are temporary units, this makes sense. Another example would be the resource allocation and management skill for team and influence leaders and the resource allocation and financial management skill for 1st line supervisors.

Overall, from the limited information available, the NASA leadership model seems to be the most current of the three federal government models. Maybe the fact that it has been most recently updated is a factor. Its link with the latest leadership literature is evident in the presence of values based leadership and organizational culture, both of which are part of the same discussion, in the model. The skills related to technical competence are most fully described and developed. In discussing the need for new competencies for managing a complex multi-sectored workforce successfully, NAPA (2008, 346) brings as an example NASA's experience with this type of workforce during the development of the Space Shuttle. This experience is advantageously reflected in the model.

At the same time, developed for five roles, with dimensions, and competency clusters, the model gives an impression as having too many levels and being excessively hierarchical. It is also noticeably business- and NPM-oriented (the presence of the public service motivation competency notwithstanding), stresses positional authority, and addresses the development of managerial competencies to a much greater extent than

leadership competencies, which appear as a separate cluster only at the very end of the model.

The National Center for Healthcare Leadership (NCHL) Health Leadership Competency Model

The NCHL Health Leadership Competency Model is designed to facilitate the development of leadership core competencies across the health professions – administrative, medical and nursing – thus contributing to the improvement of the health status of the entire country. With the primary emphasis on health deliver y, incorporation of the benchmark data from other health sectors and insurance companies as well as composite leadership competencies based on best practices, in addition to the original research involving practicing health leaders and managers, "give it validity for health in its widest sense" (NCHL, 2010). The model reflects the unique health environment and the state-of-the-art vision of health's future that call for additional competence needed to realize "strategies sustaining health, wellness, a quality of life, and ensuring" the availability of effective treatment (NCHL, 2010). It was last revised in December 2005.

The NCHL Model consists of three domains – Transformation, Execution, and People – and 26 competencies that together "capture the complexity and dynamic quality of the health leader's role and reflect the dynamic realities in health leadership today" (NCHL, 2010). The domains' brief definitions along with the lists of comprising them competencies are provided below:

- o *Transformation:* **"**Visioning, energizing, and stimulating a change process that coalesces communities, patients, and professionals around new models of healthcare and wellness."

- Achievement Orientation
- Analytical Thinking
- Community Orientation
- Financial Skills
- Information Seeking
- Innovative Thinking
- Strategic Orientation

o *Execution:* "Translating vision and strategy into optimal organizational

performance."

- Accountability
- Change Leadership
- Collaboration
- Communication Skills
- Impact and Influence
- Initiative
- Information Technology Management
- Organizational Awareness
- Performance Measurement
- Process Management/Organizational Design
- Project Management

o *People:* "Creating an organizational climate that values employees from all

backgrounds and provides an energizing environment for them. Also includes the

leader's responsibility to understand his or her impact on others and to improve

his or her capabilities, as well as the capabilities of others."

- Human Resources Management
- Interpersonal Understanding
- Professionalism
- Relationship Building
- Self Confidence
- Self Development
- Talent Development
- Team Leadership
(See Appendix A for Competency Definitions) (NCHL, 2010).

National Consortium CPM Competencies

Public management varies by level of the intergovernmental system – first, because the tasks of public management vary by level of government and, second, because policy tools differ by level of government as well (Kettl, 1993, 62-63). Therefore, as Kettl (1993, 62) argues, "both research and training in public management must… take account of the systematic variations that follow the patterns of American federalism." I chose to include the Certified Public Manager (CPM) model because it highlights the competencies attributed to effective leaders/managers of state agencies.

Conant (1995) calls the CPM Program the most important of the state management education and training initiatives (144).

Established in 1976 and encompassing thirty-tree accredited members (thirty states, the Metropolitan Washington Council of Governments, the District of Columbia, and the U.S. Graduate School) (http://www.txstate.edu/cpmconsortium/Member-Programs/Members.html. Accessed March 31, 2013), the CPM Program offers a "comprehensive course of study by which public managers can acquire and apply the best practices and theory to their management behaviors and strategies using prescribed sets of professional standards which are often referred to as 'competencies.' The curriculum uses theory as the foundation and applies it to practical problems facing the participant, their agency/department, and the citizens" Balanoff (2010). Since 1979, the National Certified Public Manager Consortium—an independent nonprofit organization—has been assigned with the task of developing and preserving national standards, or competencies, for CPM designation, as well as providing a formal mechanism for the accreditation and

reaccreditation of CPM programs (Van Wart, 1992, 478; CPM Consortium, 2010). These competencies are as follows (See Appendix A for definitions):

    1. Personal and Organizational Integrity;

    2. Managing Work;

    3. Leading People;

    4. Developing Self;

    5. Systemic Integration;

    6. Public Service Focus; and

    7. Change Leadership (National CPM Consortium, 2011).

The CPM program primarily targets mid-level managers working in state governments. Therefore, a comparison between the National Consortium's model and the ECQs may potentially shed light on the differences between the state/local government competencies and those of the federal government, or on the fit between mid-managerial competencies and executive leadership competencies. Table provides a matrix comparing ECQs with the CPM competencies.

The National Consortium's website does not provide any information on how the competencies were identified or chosen. As far as I can judge, they were chosen by a panel of experts. Similarly, the descriptions of competencies are minimal, which makes any meaningful assessment very hard. A comparison with the ECQs shows an overlap in the competencies denoting integrity and self development. Although CPM's competency and OPM's ECQ *leading people* are identical in name, their contents coincide only to the extent to which the CPM competency is concerned with team-building, the discussion of which in the CPM model is split between this and *managing work* competencies. CPM's

systemic integration can be related in part to OPM's *external awareness* and in part to *strategic thinking*, while *change leadership* addresses to a certain degree OPM's *creativity and innovation* and *vision*. Lastly, CPM's *public service focus* intersects with OPM's *customer service* and, to a lesser extent, with the *public service motivation*. If the National Consortium were to answer the call of the Winter Commission (1993, viii) to revitalize "the concept that public service, especially public service at the state and local level, is a noble and worthy calling," it would have to modify the competency's definition to make the links to the public service motivation more pronounced or to follow the OPM's example and split the existing competency into two.

There are no analogies in the CPM model to written communication, flexibility, decisiveness, entrepreneurship, problem solving, and the entire building coalitions cluster, the latter being especially unexpected considering state governments' role and place in the system of American federalism. The correspondence with the ECQs interpersonal skills, resilience, and conflict management is marginal at best. On the other hand, the OPM model does not include part of CPM's managing work competency that deals with monitoring workloads and documenting performance. I attribute this absence to the difference in competencies required at the middle management and executive levels.

Table 13: Executive Core Qualifications vs. CPM Competencies

			CPM Competencies					
			Personal & Organizational Integrity	Managing Work	Leading People	Developing Self	Systemic Integration	Public Service Focus	Change Leadership
Executive Core Qualifications	**Fundamental Competencies**								
	Interpersonal Skills	Treats others with courtesy, sensitivity, and respect. Considers and responds appropriately to the needs and feelings of different people in different situations.			Effectively managing emotions and impulses.				
	Written Communication	Writes in a clear, concise, organized, and convincing manner for the intended audience.							
	Oral Communication	Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed.			Articulating a vision, ideas and facts in a clear and organized way.				
	Integrity/ Honesty	Behaves in an honest, fair, and ethical manner. Shows consistency in words and actions. Models high standards of ethics.	Appropriate workplace behavior. Increasing awareness, building skills and modeling behaviors related to identifying potential ethical problems and conflicts of interest.						
	Continual Learning	Assesses and recognizes own strengths and weaknesses; pursues self-development.				Demonstrating commitment to continuous learning, self-awareness and individual performance planning through feedback, study and analysis.			
	Public Service Motivation	Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests.						Demonstrating agency and personal commitment to quality service.	
	Leading Change								
	Creativity & Innovation	Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes.							Emphasizing and fostering creativity and innovation; being proactive.
	External Awareness	Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment.					Understanding internal and external relationships that impact the organization.		
	Flexibility	Is open to change and new information; rapidly adapts to new information, changing conditions, or unexpected obstacles.							
	Resilience	Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks.			Effectively managing emotions and impulses.				
	Strategic Thinking	Formulates objectives and priorities, and implements plans consistent with long-term interests of the organization					Approaching planning, decision-making and implementation from an		

	Description							
	in a global environment. Capitalizes on opportunities and manages risks.					enterprise perspective.		
Vision	Takes a long-term view and builds a shared vision with others; acts as a catalyst for organizational change. Influences others to translate vision into action.			Inspiring others to positive action through a clear vision. Articulating a vision, ideas and facts in a clear and organized way.				Acting as a change agent; initiating and supporting change within the organization by implementing strategies to help others adapt to changes in the work environment, including personal reactions to change.
Leading People								
Conflict Management	Encourages creative tension and differences of opinions. Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.			Effectively managing emotions and impulses.				
Leveraging Diversity	Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization.			Promotes a diverse workforce.				
Developing Others	Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and by providing opportunities to learn through formal and informal methods.		Providing meaningful feedback and coaching					
Team Building	Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals.		Creating a motivational environment	Encouraging and facilitating cooperation, pride, trust and group identity; fostering commitment and team spirit.				
Results Driven								
Accountability	Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules.	Legal and policy compliance.	Empowering others by delegating clear job expectations and measuring performance.					
Customer Service	Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services; is committed to continuous improvement.						Delivering superior services to the public and internal and external recipients; including customer/client identification, expectations, needs and developing and implementing paradigms, processes and procedures that exude positive spirit and climate;	
Decisiveness	Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions.							

Entrepreneurship	Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives.			
Problem Solving	Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.			
Technical Credibility	Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.	Legal and policy compliance.		
Business Acumen				
Financial Management	Understands the organization's financial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.		Meeting organizational goals through effective planning, prioritizing, organizing and aligning human, financial, material and information resources.	
Human Capital Management	Builds and manages the workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance problems. Manages a multi-sector workforce and a variety of work situations.		Meeting organizational goals through effective planning, prioritizing, organizing and aligning human, financial, material and information resources. Dealing effectively with performance problems.	
Technology Management	Keeps up-to-date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.		Meeting organizational goals through effective planning, prioritizing, organizing and aligning human, financial, material and information resources.	
Building Coalitions				
Partnering	Develops networks and builds alliances, collaborates across boundaries to build strategic relationships and achieve common goals.			
Political Savvy	Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly.			
Influencing/ Negotiating	Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.			
			Monitoring workloads and documenting performance.	

Emergency Management Profession Core Competencies Model

The following core competencies framework has been created by the Training and Exercise Officers of FEMA Region V, Emergency Management Division of Michigan Department of State Police, "for use in identifying a training curriculum to meet the needs of emergency management professionals. The focus of effort centered on the following statement: 'what would the emergency manager need in order to get the job done?'" (Johnson, 20**). This expert-driven model includes the following competencies:

- *Communications*

    - Presentation
    - Basic Writing
    - Grant Writing
    - Meeting Management
    - Marketing
    - Media
    - Local Groups

- *Coordination*

    - Tact/Diplomacy
    - Facilitation
    - Networking
    - Team Building

- *Leadership*

    - Decision Making
    - Influence
    - Creative Thinking
    - Personnel Management
    - Time Management
    - Negotiation
    - Delegation

- *Resource Management*

    - Identification
    - Collection
    - Update

- Donations Management
- Volunteers

o *Planning*

- Project/Program Management
- Risk Assessment
- Hazard Analysis

o *Training*

- Facts/Strategies
- Development
- Evaluation
- Implementation

o *Exercise*

- Design
- Conduct
- Control
- Evaluation
- Correction Action

o *Business Management*

- Computer
- Budget
- Personnel
- Supervision

o *Evaluation*

- Needs Assessment
- Task Analysis (Johnson, 20**).

The model is intended to "help elevate the transfer of learning from the classroom

to actual day-to-day functions and work tasks of the emergency program manager"

(Johnson, 20**). My motivation for including this model in the present exploration is

grounded in the belief that post 9/11 public service leadership requires some sort of

emergency preparedness.

Military Leadership Competency Models: Coast Guard, U.S. Army, and the U.S. Marine Corps

The Coast Guard

The Coast Guard Manual *Commandant Instruction 5351.1.* defines *leadership competencies* as "*measurable patterns of behavior essential to leading*" (in Horey et al., 2003).

The Coast Guard Leadership Development Program (1997) is comprised of 3 clusters, twenty-one competencies and three core values of *Honor*, *Respect*, and *Devotion to Duty*. The competencies by cluster are:

- o *Performance*

  - Vision Development and Implementation
  - Customer Focus
  - Decision-Making and Problem-Solving
  - Conflict Management
  - Workforce Management Systems
  - Performance Appraisal
  - Management and Process Improvement

- o *Working with Others*

  - Influencing Others
  - Respect for Others and Diversity Management
  - Looking out for Others
  - Effective Communication
  - Group Dynamics
  - Mentoring

- o *Self*

  - Accountability and Responsibility
  - Aligning Values
  - Followership
  - Health and Well Being
  - Personal Conduct
  - Self Awareness and Learning
  - Leadership Theory

- Technical Proficiency (Coast Guard, 1997).

The U.S. Army

The U.S. Army *Field Manual 22-100* (1999) depicts army leaders as "leaders of character and competence" who "act to achieve excellence by developing a force that can fight and win the nation's wars and serve the common defense of the United States."

The Army's *Strategic Leadership Competencies ("Be, Know, Do")* framework contains seven values—Loyalty , Respect, Duty, Selfless Service, Honor, Integrity, Personal Courage; three attributes—mental, emotional, and physical; four skills—interpersonal, conceptual, tactical, and technical; and twelve different actions: decision making, communicating, improving, motivating, influencing, building, developing, executing, operating, learning, planning/preparing, and assessing (in in Horey et al., 2003).

The Marine Corps

Finally, the Marine Corps' leadership competencies contained in *USMC Proving Grounds* consist of eleven principles and fourteen traits.

o *Principles*:

- Ensure assigned tasks are understood, supervised, and accomplished
- Make sound and timely decisions
- Employ your command in accordance with its capabilities
- Know your Marines and look out for their welfare
- Keep your Marines informed
- Train your Marines as a team
- Develop a sense of responsibility among your subordinates
- Set the example
- Seek responsibility and take responsibility for your actions
- Know yourself and seek improvement
- Be technically and tactically proficient.

- o *Traits*:

  - Decisiveness
  - Judgment
  - Initiative
  - Tact
  - Dependability
  - Bearing
  - Courage
  - Integrity
  - Justice
  - Unselfishness
  - Loyalty
  - Endurance
  - Knowledge
  - Enthusiasm

The U.S. Military's leadership competencies were primarily chosen for its proven success record with leadership in general and leader development in particular. Preparedness to contingencies also played a role.

Chapter Six – Methodology

Significance of the Study

No one would argue that inadequate public-sector leadership adversely affects the performance of government institutions. Therefore, the recognition of the most effective leadership models, their synthesis into an integrated model, with its subsequent incorporation into leadership training and development is a relevant and important subject for academic research. It addresses the need for better articulation of leadership models to ensure a better fit with the public sector (Trottier et al., 2008, 319). Clapp (1956) once wrote, "We do not need proof or provable theses so much as we need questions and hypotheses which will stimulate insights among practitioners" (in Lynn, 1996, 49). This is what this inquiry attempts to accomplish.

An integrated competency framework has a number of methodological advantages. The integrating taxonomy builds on the strengths of earlier taxonomies while managing to avoid their weaknesses (Yukl, 1994). It maintains continuity with previous research on leader behavior, encompasses most aspects of the present-day leader and managerial behavior linked to organizational effectiveness, and describes "successful leadership behaviors in future terms" (Horey et al., 2003).

Therefore, the synthesis of the eighteen selected competency models into the integrated model would provide a closer, more critical look at the relevance of the existing public leadership competencies and identify emerging, future-oriented leadership competencies. It also responds to the perceived need to further develop competency-based theory of leadership and contributes, through the advancement of the topic, to the improvement of our civil service and its leadership cadre training and development.

According to Ingraham et al. (2005), "ideas about necessary competence in the public service have changed" from "the founders' views of a government of 'gentlemen like us', to Andrew Jackson's famous 'doctrine of the simplicity of government work'," to our current understanding of competency as a set of specific, identifiable characteristics believed to be necessary for effective performance. Emphasized here is the "notion that the skills and abilities of top civil servants are important… that officials should be placed in the job for which they have an aptitude and/or qualification" (Page et al., 2005, 854). A competency framework can be used as a tool in, first, identifying those desired "aptitudes and/or qualifications" and, second, ensuring, through providing the necessary skills, knowledge and experience to those who strive to leadership positions, that those competencies emerge and take root. I also argue that employing competency frameworks is advantageous in that competencies are both a fluid and focused tool that allows to target specific areas, shift emphases, and thus produce change more quickly (and this change will be only incremental, which is very important to many public administration theorists).

Narrowing down the focus, the integrated competency model brings the disparate and disjointed language of competency modeling one step closer to a common denominator, thus deepening our understanding of this phenomenon. The eighteen models I have drawn upon to construct it represent a significant body of empirical research that afforded me insight into established and emerging public-sector leadership competencies. I believe that my articulation of the integrated model sheds light on competencies linked to the underrepresented models of governance, especially those reflecting the transition to New Democratic Governance, that, nevertheless, are

increasingly perceived by citizens as attributes of effective leadership. Finally, the practical contribution of this study is that the integrated model of leadership competencies can effectively be used as a framework, or a roadmap, in developing a leadership program for public sector executives and/or managers.

Research Design

This is a theory-building exercise the purpose of which is to create an integrated model of public sector leadership competencies. Exploratory in nature and qualitative in terms of methodology, the research involves the analysis of competency models of leadership and management from a phenomenological perspective with a view to establish theoretical linkages between the competency-based approach to leadership and the existing leadership literature, both mainstream and public administration- specific. The analysis also offers an opportunity to learn how core competency models describe effective public leaders and managers and how well they are able to capture the need in new competencies emerging in response to the turbulent environment, or "constant white waters," in which our public leaders and managers operate. The latter also speaks to the models' effectiveness as a tool of leadership development, as well as to their advantages, limitations, and potential. In pursuing these objectives, the research follows mostly inductive, with occasional reversions to deductive, processes. Although less popular than its counterpart, a research design that follows inductive reasoning is quite legitimate and has been used in public administration and closely related fields before, most notably, for example, by Rainey and Steinbauer (1999) in the ''galloping elephants'' theory, in which they reviewed existing literature on public organizations to develop some broad hypotheses about the factors associated with effective public organizations.

Thus far, the study has proceeded in several steps. At the outset, the following research questions have been asked:

- o Does the competency-based approach reflect the sweeping changes that are transforming the public sector?

- o Is it grounded in leadership theory and research?

- o How well does it serve the mission of producing public leaders capable of sustaining high performance in their work communities—departmental units or agencies? And

- o Is this approach capable of capturing and integrating new and emerging competencies as they appear?

I introduced the context in which public leaders and managers operate to ensure that the competencies comprising the model are relevant to the internal and external organizational environments. Next, the exhaustive literature review of leadership theories has provided a theoretical foundation for the study as well as a framework for the discussion on how the competency model approach can inform the current leadership debate. Finally, a comprehensive discussion of competencies and competency-based approaches has contributed to better understanding of the subject matter and to identifying the "building blocks" for the model. Figure 13 provides a graphic depiction of the process.

Stage One: Information Gathering on Competency Models

This stage involves "scanning" of several literature streams—public administration, leadership, organization theory and public and generic management—as well as surfing the Internet to identify competency models for the analysis. The

"scanning" has resulted in the identification and description of eighteen such models, as well as their "deconstruction"—disaggregation from under their original clusters with subsequent input into an Excel spreadsheet in a matrix-like format. The reviewed classifications apply to managerial level leaders, including executives, from the federal government, military, non-profits, academe, and private businesses.

Figure13: Constructing an Integrated Model of Public-Sector Leadership Competencies: The Process
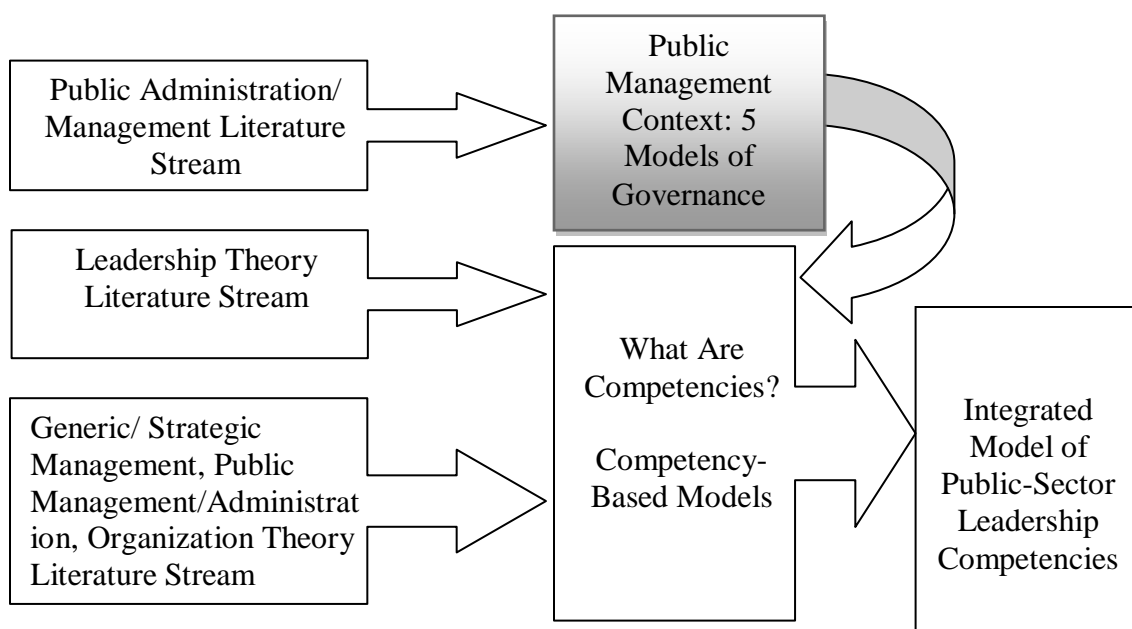
The eighteen competency frameworks thus compared and summarized are as follows:

Integrated Models Based on Statistical Data Analyses (Mixed Sectors)

- o Boyatzis' (1982) Management Competency Model

- o Spencer and Spencer's (1993) Competency Dictionary: A Generic Model of Management

- o Goleman et al.'s (2002) Competencies of Emotional Intelligence

Models Based on a Single Study

- o Russ-Eft et al.'s (1995) CLIMB Model (Mixed Sectors)

- o Van Wart's (2005) Leadership Action Cycle (Public Sector)

Applied Core Competency Models (Public Sector)

- o U.S. OPM's SES ECQs (2006)

- o U.S. Department of State's Decision Criteria for Tenure & Promotion in the

  Foreign Service

- o NASA's Leadership Model (2008)

- o FEMA's Competency Model

- o NCHL Health Leadership Competency Model (2005)

- o The U.S. Coast Guard Leadership Competency Framework (COMDTINST

  5351.1)

- o The U.S. Army Competency Model (Field Manual 22-100)

- o The U.S. Marine Corps Competency Model (USMC Proving Grounds)

Theory-Driven Models

- o Morse's (2007) Collaborative Leadership Model (Public Sector)

- o Bowman et al.'s (2010) Competency Triangle of Public Service Professionalism

  (Public Sector)

- o CPM Competencies (Public Sector)

- o Denhardt et al.'s (2008) Leadership Traits or Competencies (Public Sector)

Integrated Model Based on Qualitative Analysis

- o Klemp's (2001b) Leadership Competencies Model (Private Sector)

The above competency frameworks differ in their conceptualizations and definitions of competencies, approaches, criteria, and numbers of associated clusters and competencies. To increase accuracy of competency groupings and the internal validity of the concepts they were thought to represent, creating the Excel spreadsheet was accompanied by obtaining competency definitions, where such definitions had been provided, and aggregating them in Appendix A.

Methodological Challenges

From the outset, I've encountered a number of difficulties, many of which are similar to those reported by other researchers.

- o The competency frameworks represent different *perspectives*: public, private, generic, organizational leadership-, collaborative leadership-, management-biased, leadership-biased, etc.

- o They also differ in *approaches*: some of them are based on rigorous quantitative research methodology and measure competency in strict statistical terms of standard deviations and the mean, while others are the theorizations and speculations of academics and panels of experts respectively.

- o The frameworks differ in terms of *organization* as well. While most of them are classifications with four or more clusters, some of them are just lists of attributes and/or behaviors.

- o Another difficulty has to do with the *level of detail* involved in the presentation of competencies (Klemp, 2011, 238): from short lists to lengthy books and from short general descriptions to detailed overviews of behaviors for different levels of mastery or for different levels of organizational units.

o Contentwise, the challenges increase even more due to the lack of consistency in understanding and *definitions of the concept of* competency among models, as some of them are defined too broadly, some too narrowly, and some are not defined at all. In fact, what is labeled as competency varies most radically from a simple differentiation between traits and behaviors to stretching the term to also include any combination or all of the motives, skills, abilities, knowledge, roles, functions, attitudes, values, and leadership styles. Therefore, in some taxonomies concepts are described more or less inclusively, few offer sophisticated theories, while others only mention some specific aspect of the concept. For example, the competency called *interpersonal skills* is present in some models as a skill, which is the broadest understanding of this competency, as it typically encompasses some knowledge, experience, personality traits, and behavioral manifestations. In other taxonomies, however, only some aspects of interpersonal skills are present, such as empathy or tact (attributes), or showing compassion (behavior). One classification in this group very often contains both the attribute and behavioral expression of the same phenomenon, like for example with *directive/controlling* and *take charge*. Confounding this problem is the fact that some taxonomies, NASA and CPM's in particular, include under one competency several skills, each of which in other classifications is defined as a full-fledged competency. Klemp (2001), Russ-Eft et al. (2001) and Van Wart (2011) all comment on this problem that breeds "conceptual confusion in the literature" (Yukl, 1994, 67), extremely obscures the meaning of competencies, leads to their mislabeling and misidentification, clouds our understanding of this phenomenon and thus

diminishes the impact of individual research on the development of leadership competencies theory.

o Closely linked to the discussed problem is a "bifurcated" nature of some of the competencies—their combining two or more concepts, as in the case of, for example, *adaptability and flexibility* or *accountability and responsibility for one's actions*.

o Some taxonomies do not provide definitions or provide very brief and insufficient ones to sometimes obscure (to this researcher at least) (e.g., *influence the organization*) or made obscure by the absence of context (e.g., *facilitation*: in team building? managing conflict? developing others? partnering?) notions. The fact that the competency's name alone can be sometimes misleading is well demonstrated by the ESQ's *decidedness*. Just by looking at it, one would determine that it belongs in the group with competencies denoting the ability to act quickly. However, having read the definition provided by OPM one understands that it describes decision-making skills.

o The problem of the *language* or *terminology* of competencies is overwhelming. Take the previous example of *interpersonal skills*—in my sample of eighteen models this competency comes up seventeen times – and all seventeen times under a different name, such as *perceptual objectivity*, *social skills*, *interpersonal astuteness*, or *workplace perceptiveness* to name a few. Apparently, I am not the only one who encountered this problem. Virtanen (2000, 334) cites the methodological issues discussed in a 1994 study of earlier research on competencies in which the researchers denote "the considerable lack of overlap"

among competency models. The researchers trace down the roots of this problem to the origin of competency modeling as a single-organization activity that reflected each organization's unique "internal and external contextual factors" in defining that organization's "performance determinants" and thus relied "on the wording of the managers themselves (Virtanen, 2000, 334). If anything, nearly two decades that passed since then attest to the enduring nature of this problem. No wonder, then that Horey et al. (2003) have declared leadership competency modeling "an inexact science" and its product as being "confusing to potential end users." And yet, they argue that the task of establishing a common language of competencies should be a priority for the post-9/11 military, and, by extrapolation, the entire public sphere.

o Finally, there is a problem every researcher faces when trying to set the boundaries for each competency. Van Wart (2011, 260) calls it "the *operational definition* problem." He argues that it is practically impossible to determine "exactly when one concept such as energy ends and another such as the drive for achievement begins" (2011, 260).

Adhering to the thematic grouping principle, I made a total of 500 entries into the Excel spreadsheet. This operation yielded 111 groupings ranging in size from one to seventeen entries per group. Interestingly, among the competencies that topped the list the biggest groups are *interpersonal skills and team building*, found in one form or another in seventeen out of eighteen models, and in some models (different subelements) more than once (for example, there are 24 total entries in 6 groupings for interpersonal skills). *Influencing and negotiating skills* appeared in fourteen models; while *developing*

others, networking and partnering and *emotional intelligence* and at least one type of *communication skills* share the third place with thirteen entries per each. *Personal and organizational integrity*, *customer service orientation*, at least one kind of both *cognitive and survival skills* and *technical credibility* each were found in twelve models. *Vision*, however, the competency cited in literature as the only one consistently present in all classifications (Klemp, 2001; Virtanen, 2000), in my set of models appears only eleven times. Table 14 contains the highest scoring competencies within my selection of models.

On the other hand, the "integration" has yielded a large number of single entries—twenty-six overall—which can be explained by one of the following reasons:

- o The competency has become obsolete and/or is considered irrelevant;
- o The competency is emerging and is too recent to be represented in earlier taxonomies;
- o The competency is too organization-specific;
- o The "entry" is a subelements of a typically bigger competency
- o The competency has been misinterpreted and "misplaced" by me;
- o The competency is a product of a subjective opinion of its proponent and has neither theoretical, nor practical support.

Of the twenty-six single entries, I eliminated some of the organization-specific ones and those competencies found only in the earliest taxonomies as outdated and/or irrelevant and added the rest as subcategories to bigger concepts. Most of organization-specific competencies have been rephrased in more general terms.

Table 14: Most Frequently Encountered Competencies

Competency	Occurrence
Interpersonal Skills	17
Team Building	17
Influencing and Negotiating	14
Networking and Partnering	13
Developing Others	13
Communication Skills	13
Emotional Intelligence	13
Personal and Organizational Integrity	12
Customer-Service Orientation	12
Having Technical Credibility	12
Cognitive Attributes	12
Continual Learning	11
Articulating the Mission and Vision	11
Human Capital Management	11
Demonstrating Flexibility/Adaptability	10
Managing Organizational Change	10
Decision Making	10
Need for Achievement	9
Strategic Thinking and Planning	9
Managing Conflict	9
Project and Program Management	9
Personal and Professional Ethics	8
Fostering Creativity and Innovation	8
Possessing External Awareness	8
Information Technology Management	8
Initiative	7
Budgeting and Financial Management	7
Monitoring and Assessing Work	7

Stage Two: Regrouping of Competencies into Clusters

To guide the regrouping of the resulting competencies into new clusters, the OPM's Executive Core Qualifications (ECQs) framework has been chosen (but not blindly copied) – the reason being the fact that many government agencies use some variant of it in developing their own leadership competency models and, with the need for a common language being established, this seemed like a logical choice. Therefore, a

number of competencies and clusters in the new model have the same or similar names, although not always the same meaning, as their benchmarks.

I have grouped the 46 competencies I obtained into seven clusters: *personal fundamentals, leading change, leading people, results driven, managing process, resource acumen*, and *building coalitions*.

The Excel spreadsheet has led to the creation of an "at-a-glance" table (See Table 15), which, on the one hand, provides an overview of competencies in the *Integrated Model of Leadership* and, in many cases, their sub-components by cluster, and, on the other, can serve as a starting point and a roadmap in developing the curriculum of a public leadership certificate program. Of the 46 competencies, 16 have at least one subelement, which is a result of grouping thematically similar but not overlapping concepts and not the reflection, at this stage, of the total number of subcompetencies envisioned for each competency.

In describing the integrated model of public-sector leadership competencies offered in the next chapter, my purpose is two-fold: on the one hand, to make the final sweep of public administration literature focusing the discussion on the identified "building blocks" of the integrated model as well as emerging competencies and, on the other hand, to make sure that the model incorporates these nascent competencies. In this sense, the present study is a needs assessment of the current and future public sector leadership competencies. Additionally, establishing linkages between the competencies and the current literature serves the triangulation function.

Table 15: Integrated Competency Model: "At-a-Glance" Table

1. Personal Fundamentals	2. Leading Change	4. Results Driven	6. Resource Acumen

Interpersonal Skills & Related Attributes
  Social Perceptiveness
  Interpersonal Understanding
  Empathy
  Trust Building
  Tact /Diplomacy
  Sociability
  Sense of Mutuality and Connectedness
  Humility/Followership
	Fostering Creativity & Innovation
	
	Possessing External Awareness
	  Environmental Scanning
	  Global Perspective
	
	Developing Resilience
	  Persistence
	  Stress Tolerance
		Customer Service Orientation
		
		Managing and Measuring Performance
		
		Entrepreneurship & Calculated
		  Risk-Taking
		
		Being Accountable
			Budgeting & Financial Management
			
			Human Capital Management
			  Support for EEO & Merit Principles
			  Talent Acquisition & Development
			  Appraising Performance
			  Managing Personnel Change
			  Managing Volunteers

Communication Skills and Subskills
  Oral Communication
  -- Public Presentations & Meeting
    Management
  Written Communication
  -- Grant Writing
  Listening
  Nonverbal Communication
  Foreign Language skills
  Information Sharing
  Informing
  -- Public Outreach & the Media Relations
	Demonstrating Flexibility/Adaptability
	  Adaptiveness
	  Improvisation
	  Mobility
	
	Exuding Energy
	
	Strategic Thinking & Planning
	
	Articulating the Mission & Vision
	
	Managing Organizational Change
			Managing Resources
			  Asset Management
			  Resource Allocation
			  Risk Management
			
			Information Technology Management
			  Knowledge Capture & Sharing

Cognitive Attributes
  Analytical Thinking
  Conceptual /Critical Thinking
  Diagnostic Use of Concepts
  Systems Thinking			

Continual Learning
  Continual Learning
  Information Seeking
	3. Leading People	**5. Managing Process**	**7. Building Coalitions**

Emotional Intelligence (EI)/ Maturity
  Accurate Self-Assessment
  Self-Awareness
  Self-Control
  Self-Esteem
  Self-Confidence
  Optimism
	Team Building
	  Team Leadership
	  Consulting
	  Delegating
	  Motivating
	  Empowering Others
		Problem Solving
		
		 Decision Making
		
		Having Technical Credibility
		  Professional Expertise/Judgment
			Networking &Partnering
			  Boundary-Crossing Leadership
			  Partnering
			  Collaborating/Networking
			  Stakeholder Relations
			  Convening Working Groups
			  Facilitating Mutual Learning

Need for Achievement
 	
Initiative
 	
Decisiveness
	Leveraging Diversity
	  Values-Based Leadership
	
	Managing Conflict
		Knowledge of Formal
		  Organizational Structure
		  Legal Knowledge
		
		Managing Quality & Improving
		  Process
			Processes
			  Facilitating Skills
			  Passion Toward Outcomes
			
			Political Savvy

Personal & Organizational Integrity
 	
Personal & Professional Ethics
  Organizational Ethics
 	
Public Service Motivation
	Developing Others
	
	Promoting Health & Physical Well-Being
	
	Creating Organizational Culture
	
	Planning and Organizing Personnel
	
	Using Different Leader Styles
		Clarifying Roles
		
		Monitoring & Assessing Work
		
		Program/ Project Management
		  Evaluation
		
		Managing Time
			Influencing & Negotiating

Chapter Seven – "Building Blocks" of the Model:
Discussion of the Resulting Competency Clusters

Building on Argyris and Schon's (1979) portrait of a professional as possessing a set of mutually interdependent technical and interpersonal competencies, Fambrough et al. (2008, 754) "agree with their point that task-related skills and abilities and people-associated strengths are intertwined and add that they must occur in the presence of admirable human qualities that may vary contextually (e.g., integrity, respectability, honesty, or trustworthiness)." The review of the "building blocks" of the integrated model presented below offers a closer look at such public service professionals in their leadership capacity. In the discussion below I either outline frames of references within which the concepts of competencies will be developed for the public sector leadership program or provide their brief descriptions.

Cluster 1: Personal Fundamentals

This cluster of competencies is comprised of those individual skills, traits, and abilities that serve as a foundation—a necessary prerequisite—for success in demonstrating all other public leadership competencies covered in the model. With eleven competencies and many subelements, this is the biggest cluster of the integrated model.

Interpersonal Skills and Related Attributes

Link to Leadership Theory: Ohio State Leadership Studies; The Michigan Leadership Studies; Critical Incident Research; Personal Power; Social Exchange Theory (Hollander, 1958); Leader-Member Exchange Theory; Transformational Leadership (Burns, 1978), Charismatic Leadership (House 1997); The Attribution Theory (Conger

and Kanungo, 1987); Servant Leadership (1997); Resonant Leadership (Goleman et al., 2002) Leadership Perspectives Model

Present-day public-sector executives must be able to apply "people skills" that involve both "understanding people and understanding how to manage them in social situations" (Riggio et al., 2004), such as work settings, to effectively engage employees, build intra- and inter-organizational partnerships, and communicate with their customers and stakeholders. Evidence suggests that the importance of interpersonal skills increases as one moves up the organizational hierarchy (Riggio et al., 2004). This makes sense in that "the complexity of the leadership situation increases" the closer one gets to the top, and it is the leader's interpersonal skills that help him/her read and interpret the complex social situation and "enact the complex roles and behaviors needed to be successful" (Riggio et al., 2004).

But not only that. In my mind, the importance of interpersonal skills increases in the context of greater interconnectedness and expanding shared responsibility for societal wellbeing. The content of this competency is also becoming more nuanced—to better address the requirements of collaborative leadership.

The following components help describe the multifaceted nature of interpersonal skills:

- o *Social Perceptiveness*—the ability to maintain perceptual objectivity, be unbiased and keep an open mind. It ranges from an honest recognition of one's own motives and values to a deep understanding of sophisticated interpersonal dynamics underlying bureaucratic politics (Van Wart, 2005, 134). With work having "become the keystone of our personal lives upon which all else is

supported," a leader's workplace perceptiveness has acquired a moral undertone

by entrusting him/her with the task of maintaining "a new social equilibrium," in

which work assumes its rightful place in the life of each worker" by helping them

balance their "personal needs with family, work, community, and the larger

societal group demands" (Fairholm, 2011, 22). In these circumstances, leaders are

expected to be more humanistic and holistic in their approach to interpersonal

relationships (Fairholm, 2011, 22).

o *Interpersonal Understanding*—the willingness and the ability to understand the

true feelings, interests, motivations, and thoughts of others.

o *Empathy*—the ability to feel (not just understand) a wide range of emotions of

other people, to attune to their emotional signals (Goleman et al., 2002, 39), to

show compassion and to look out for their welfare. Zaleznik (1977, 73) argues

that empathy is a true leadership quality. He writes, "Empathy is not simply a

matter of paying attention to other people. It is also the capacity to take in

emotional signals and make them mean something in a relationship with an

individual… and… to have an inner perceptiveness that they can use in their

relationships with others."

o *Trust Building.* According to Scholtes (1999), a good leader creates a cycle of

trust and love (S707). With the rise of collaborative leadership, this competency

has outgrown the boundaries of the organizational context and is an important

asset in managing networks and partnerships.

o *Tact/ Diplomacy.* Broadly understood, *tact* means active "knowledge of the

various social rules that apply in different social contexts and settings." Leaders

that possess this skill "use their knowledge of appropriate social behavior to establish and maintain norms within a group of followers—they set up guidelines for how group members should behave in given circumstances and model that behavior to set an example for followers" (Riggio et al., 2004).

o *Sociability*—a warm and friendly disposition, emotional expressiveness (in the extreme form known as c*harisma)* that enables the leader to positively affect the emotions of others and/or to inspire others (Bohannan et al., 2004).

o *Sense of Mutuality and Connectedness with Others*—in a way, this is need for affiliation in the global context; the feeling of unity/ common destiny/ of being the one with a bigger entity/ a whole/ the universe.

o *Humility/ Followership*—the ability to step aside and let the others run the show. The collaborative leadership model requires that public leaders "make frequent shifts within their more dynamic relationships… from being in charge to being an equal partner with others in the network, and from being responsible for meeting citizen needs and delivering services to being responsive to citizens in determining needs and co-delivering services" (Svara, 2007, 92).

While all elements of interpersonal skills are important for collaborative leadership or during transition to NDG, the last two elements of this category have been identified as emerging competencies to be utilized specifically in the interorganizational context of shared responsibility (Morse, 2008).

Communication Skills and Subskills

Link to Leadership Theory: Ohio State Leadership Studies; The Michigan Leadership Studies; Skills Approach; Transformational Leadership (Burns, 1978),

Charismatic Leadership (House 1997); The Attribution Theory (Conger and Kanungo, 1987); Mintzberg (1973); Leadership Perspectives Model

As Paul Van Riper famously said, "Effective organization men are masters of language" (in Van Wart, 2005, 129). The significance of this competency depends on the power of language to inspire others to follow the leader. In everything a leader does: from coaching subordinates to monitoring and assessing their work, to imparting to them a powerful organizational vision—effective communication is key to his success.

According to the Winter Commission (1993, 43), *competency in communication* means addressing successfully "one of government's greatest challenges"—communicating with constituencies—that "calls for two kinds of skills often missing in the public sector: (1) the ability to shape a persuasive message for a particular audience and (2) the ability to understand what that audience thinks and wants. If government is to articulate a clear vision for the future—and build support for it—it must learn to listen and respond."

According to Svara (2007, 94), "there is a need for communication that is based on shared understanding, symbols and information" and that is "commonly disseminated through open media" and not through closed internal channels. Appreciation of new forms of communication and the ability to use them; developing their own communication links with the public, the mass media, and other key actors; and the ability "to develop clear and coherent messages to a wide range of audiences" as part of the broader government efforts comprise this competency (Svara, 2007, 94). In particular:

- o *Oral Communication.* From one-on-one communication to public speaking, oral communication is about delivering the message to the intended audience in an appropriate manner (technical/ emotive) and style (formal/ informal).

  - *Public Presentations and Meeting Management* are part of public speaking skills involving large audiences.

- o *Written Communication.* "The density and clarity of the written language" (Van Wart, 2005, 130) a leader uses in emails, memoranda, reports, performance appraisals, written public statements, etc. At the executive level, this subset of communication skills is especially important.

  - *Grant Writing.* Government agencies being typically at the giving end of public policy-making via grants, this skill is nevertheless important for hospital, museum, and university leaders (Johnston et al., 2001, 396) as well as for leaders involved in managing networks and partnerships, such as in emergency management.

- o *Listening.* "Government leaders must be willing to tap into the ideas of rank-and-file employees who, being on the front lines and in their jobs for the longer term, often have best sense of what is working well, what needs to be fixed, and how problems can best be solved. A successful leader tries to gather the best available information from every corner of his or her organization before arriving at a decision" (Morse et al., 2007, xi). And this requires an act of listening. Dukakis et al. (2010, 29) discuss listening in the context of "managing by walking around." The gist of it is that to be effective, a leader-manager must walk around, and not just to inspire, but most importantly, to listen to others so that he/she can "better understand the needs of the organization" and him-/herself learn and develop. However, only when the leader-manager responds effectively to what he/she is

hearing does walking around have a positive effect on follower performance
(Dukakis et al., 2010, 29).

o   *Nonverbal Communication* is the ability to read feelings from nonverbal cues. It
    is an important competency, as people's emotions are rarely put into words—90%
    of an emotional message is nonverbal (Goleman, 2005, 96-97).

o   *Foreign Language Skills*. The value of this skill is determined in the context of
    increasing diversity of the workforce and within the global leadership
    competencies framework, where the possession of such competencies has been
    linked to citizen perceptions of leader effectiveness.

o   *Information Sharing.* "Knowing when and how to share information requires a
    very complex understanding of people and situations" (Quinn et al., 1996, 40).

o   *Informing* (See Appendix A for definitions) differs from information sharing by a
    unidirectional flow of information. It accomplishes three functions: facilitates
    work coordination, shapes the mood and work strategies, and serves a public
    relations or image purpose (Van Wart, 2005, 171).

  - *Public Outreach and the Media Relations.* The public character of
    government makes it important that public-sector leaders develop a set of
    skills that would help them to effectively communicate with the public—
    the citizens they serve—and the media because managing the leaders'
    relationship with the public and their public image is part of their jobs.
    (Dukakis et al. 2010, 59).

Cognitive Attributes

Link to Leadership Theory: Kirkpatrick and Locke (1991); Contingency

Approach—Fiedler (1996)

A fast-paced, ever changing landscape of the public service requires of public

managers keen understanding of complex systems, fast reactions, considerable retentive

capacity, attention to details and the ability to grasp the bigger picture. It is through a set of cognitive attributes that an individual comes to an understanding of a situation, task, problem, opportunity, or body of knowledge. No wonder then that they are considered necessary prerequisites for performing managerial or leadership functions in any sector of society or at any level of government.

- o *Analytical Thinking*—the ability to cope with complexity by breaking a situation or a problem into smaller pieces or tracing the causality of its implications.

- o *Conceptual/Critical Thinking*—the use of inductive reasoning, the ability to see the large picture—to understand a problem by putting together its separate pieces.

- o *Diagnostic Use of Concepts*—pattern recognition, the use of deductive reasoning.

- o *Systems Thinking.* Yukl et al. (2005, 370-371) indicate that "complex problems often have multiple causes, which may include actions taken earlier to solve other problems. In large systems such as organizations, actions invariably have multiple outcomes, including unintended side effects. Changes often have delayed effects that tend to obscure the real nature of the relationship. A change in one part of a system will eventually affect other parts of it, and unintended negative effects can cancel out any positive effects." To be able to see these and similar interdependencies, a leader must have system thinking. "Understanding the complex relationships among system components makes it easier to identify potential trade-offs among the performance determinants and to find ways to avoid or minimize them" (Yukl et al., 2005, 370-371). Scholtes (1999) underscores another aspect of systems thinking. He argues that to think in terms

of a system means to think in terms of purpose—the starting point of everything. Therefore, "without a purpose, there is no system" (Scholtes, 1999, S705).

Continual Learning

Link to Leadership Theory: Self-Leadership; Stewart (1982); Complexity Theory; Leadership Perspectives Model

As the human lifespan gets longer, the lifespan of knowledge gets increasingly shorter. "Because what we learn changes so rapidly, how we learn must change correspondingly" and become "a continuous, lifelong undertaking. Leadership, therefore, necessitates a commitment to learn. We must constantly learn by ourselves and with others," and "the need for learning must be continuous and concurrent with the need to get the work done"(Scholtes, 1999, S706). A leader's proclivity for continual learning ensures that he or she does not lose his/her effectiveness over time as a leader of a "learning organization" (Scholtes, 1999, S706). Continual learning starts with self-knowledge. At the heart of this competency lies information seeking.

Information Seeking

Bowman et al. (2010) distinguish between two types by which leaders can acquire information: inward- and outward looking. Inward-looking is equally important to all organizations, public and private, while outward-looking is especially relevant for the public sector "as federal, state, and local governments have introduced e-government initiatives to enhance communication between government and citizens, government and businesses, and different layers of government" (Bowman et al., 2010, 60).

Emotional Intelligence (EI)/ Maturity

Link to Leadership Theory: Kirkpatrick and Locke (1991); Self-Leadership; Resonant Leadership

This competency deals with emotional aspects of leadership and their paramount importance in determining leader effectiveness. Research shows that approximately 50 to 70 percent of how employees perceive their organization's climate can be directly linked to the actions of one person: the leader, who, more than anyone else, creates the conditions that affect employees' emotional state and, therefore, their ability to work well (Goleman, 2006). This means that how well leaders manage their moods and influence everybody else's moods is not just a private matter but a pivotal factor in organizational success.

The following characteristics make up this subgroup:

o *Accurate Self-Assessment*. Selznick (1957, 143) argues that self-knowledge is more than just the leader's understanding of his own weakness and potentialities; it is also the understanding of those same qualities in the enterprise itself:

> In statesmanship no less than in the search for personal wisdom, the Socratic dictum—know thyself—provides the ultimate guide (Selznick, 1957, 26).

o *Self-Awareness* hinges on understanding one's life story, the formative experiences, and especially some transformative experience associated with a loss or hardship, that shape us into who we are (George et. al, 2007, 131). Warren Bennis (2009) calls the experience that produces leaders *a crucible:*

> Some magic takes place in the crucible of leadership, whether the transformational experience is an ordeal like Mandela's years in prison or a relatively painless experience such as being mentored. The individual brings certain attributes into the crucible and emerges with new, improved leadership skills. Whatever is thrown at them, leaders emerge from their

crucibles stronger and unbroken. No matter how cruel the testing, they become more optimistic and more open to experience. They don't lose hope or succumb to bitterness (xxii).

- *Self-Control.* Luke (1998) writes about self-control in the context of collaborative leadership. He understands it as impulse control and defines it as "the practice of deferring gratification, of being more concerned with long-term impacts of conduct than with immediate pressures or enticements" (232).

- *Self-Esteem.* Not only self-esteem helps to give up power in the context of shared leadership, it is usually reinforced when a real public problem has been identified and successfully addressed. Therefore, according to Bryson et al. (1992, 287), "leaders who advocate and implement desired changes may well become more secure in their leadership positions."

- *Self-Confidence.* Goleman et al. (2002, 162) link self-confidence to the belief in one's abilities to bring about change. Self-confident leaders welcome and are energized by challenging tasks; they stand out in a group by a sense of presence and self-assurance (Goleman et al., 2002, 254).

- *Optimism.* Optimism about the future is a trait that has characterized "the best leaders from any era" (Bennis et al., 2004). Not only it can be acquired, it also can be lost—a state called "learned helplessness" (Bennis et al., 2004).

Need for Achievement

Link to Leadership Theory: Stogdill (1974); Kirkpatrick and Locke (1991); McClelland (1987); Self-Leadership

Rainey (2003) defines *need for achievement* as the need for a sense of mastery over one's environment and successful accomplishment through one's own abilities and

efforts; a preference for challenges involving moderate risk, clear feedback about success, and ability to sense personal responsibility for success (222).

Achievement motivation is so important that the entire nations or cultures that have it embedded in "cultural documents such as popular fiction or schoolchildren's readers are associated with subsequent [high] levels of economic performance and development" (Shira et al., 2004). In politics, however, the relationship between high achievement motivation and successful political leadership is negative, as the ability to compromise—the foundation of political skills—is alien to the notions of "being in control and achieving 'the best' outcomes" (Shira et al., 2004).

Need for achievement has been found to drive entrepreneurial leadership "in a variety of cultural settings and economic systems" (Shira et al., 2004).

Initiative

Link to Leadership Theory: Stogdill (1974); Kirkpatrick and Locke (1991)

Although initiative has been cited in seven out of eighteen models, public administration texts do not seem to pay much attention to this competency. Based on Spencer et al. (1993) and NCHL's definitions (See Appendix A), I define *initiative* as the ability to anticipate future challenges and being proactive in the present so as to avoid/ reduce negative impact of the problems or create favorable opportunities for one's organization/ unit. In Theodor Roosevelt's understanding, being proactive means "to be at the forefront of continuous change and reform" (Shafritz et al., 2005, 48).

Decisiveness

Link to Leadership Theory: Vroom's Normative Decision Theory (1973, 1988)

Once again, as with initiative, the dearth of public administration literature on decisiveness is quite noticeable and probably reflects the fact that this competency is in conflict with the public leader's need to be responsive to political power. However, Van Wart (2011, 2012) has described decisiveness rather exhaustively, and I fully accept his interpretation of the concept for my model (See pages 241-242 of this work and Appendix A).

Personal and Organizational Integrity

Link to Leadership Theory: Kirkpatrick and Locke (1991); Self-Leadership; Personal Integrity Model of the Virtuous Leader; Leadership Perspectives Model

All social interaction builds on trust, and there is no trust toward a person with whom we interact without that person being regarded as having integrity (Covey, 1992). With regard to leadership qualities, as Warren Bennis rightly pinpointed, "…integrity is the most important characteristic of a leader, and one that he or she must be prepared to demonstrate again and again." Ingraham et al. (1999, 226) provide a similar argument: "Trust in the executives is essential to navigating the turbulence effectively;" while Yukl et al. (2005, 371) link integrity with leadership theory: "Setting an example in one's own behavior is an important form of influence…"

According to Luke (1998), "Integrity requires the considered, consistent adherence to chosen core values, convictions, and commitments [commitments contributing to one's identity]" (231). He associates it with four elements: *inner compass*—"an ongoing set of internal imperatives and commitments, rather than a reliance on external rules and controls, that orients and guides one's actions;" *inner strength*—the will "to establish lines over which one will not step," which, in essence,

means "developing, pursuing, and holding core commitments toward principles, causes, ideas, and people;" *strength of conscience*—a demonstration of firm (but not rigid), internalized set of moral principles that guide one's behavior and action; and *moral courage* (230-233). As Bowman et al. (2010, 92) indicate, integrity is a life-long process of character formation that requires periodic "examination of the ethical impact of one's actions" and a continued "strife for excellence."

Bryson and Crosby (1992, 42) define organizational integrity as the leader's commitment to and acting upon ethical principles, involving the organization's stakeholders in ethical analysis and decision making, inculcating a sense of personal responsibility in followers, and rewarding ethical behavior.

Based on the absence of integrity from earlier taxonomies, I infer that its relevance to effective leadership was established only somewhere in the 1990s.

<u>Personal and Professional Ethics</u>

Link to Leadership Theory: Servant Leadership; Authentic Leadership; Spiritual Leadership; Leadership Perspectives Model

As Waldo observes, public servants often find themselves simultaneously facing a multitude of competing obligations that belong to different levels of ethics and types of morality, from obligations to the Constitution, law, country, and the public interest to organizational-bureaucratic norms and profession, to, finally, family, self, and God (in Stillman, 1996, 463-465). Therefore, according to Bowman et al. (2010), to assume that good character of a public servant ensures that s/he will "act honorably in professional situations" would make as little sense as to suggest that a physician does not require special training to practice medicine. That is why their "technical ability to analyze

problems… [must] be complemented by the capacity to grasp those problems in a manner consistent with professional rectitude" (Bowman et al., 2010, 71). Thus, ethics "is the foundation of everything a professional is or does" (Bowman et al., 2010, 69).

In public service there is a hierarchy of ethics, with each level having its own set of responsibilities as well as possibilities for complexities (Dutelle, 2011, 8). Thus, *personal morality*—an individual's concept of right and wrong—forms the base of the pyramid. It develops as a result of upbringing and environment. *Professional ethics* is located at the second level. It is comprised of rules/ guidelines typically codified within an organization or professional association relating to the organization or position. At the third level is *organizational ethics* expressed through "written policies and procedures that dictate organizational expectations relating to ethical decision making and behavior." Lastly, *social ethics,* typically found in enacted societal laws or reflected in individual's personal social conscience, tops the pyramid (Dutelle, 2011, 8).

When officials in government, nonprofit, or private sectors represent the state, they act as stewards of the common good (Bowman et al., 2010, 69). As Bowman et al. (2010) indicate, "The concern about ethical behavior, then, is founded upon the capacity of government (and its agents) to exercise power, a function that is moral in nature insofar as policy decisions are the authoritative allocation of societal values" (69). This is the realm of *administrative ethics* that focuses on "the rights and duties that individuals should respect when they act in ways that seriously affect the well-being of other individuals and society; and the conditions that collective practices and policies should satisfy when they similarly affect the well-being of individuals and society" (Thompson, 1985, in Holzer et al., 2011, 350).

For a leader to be ethically competent means being committed to professional standards of excellence, possessing ethical skills and relevant knowledge areas, having "knowledge of relevant ethical codes and laws, engaging in ethical reasoning, acting upon public service ethics and values, and promoting ethical behavior in organizations" (Bowman et al., 2010, 71).

Public Service Motivation

Link to Leadership Theory: Servant Leadership; Authentic Leadership; Spiritual Leadership

Despite axiomatic pronouncements about the self-interested nature of the human race, some evidence suggests to the contrary. A growing body of research on motivation indicates that "employees across sectors are strongly motivated to make a significant difference in the lives of others or to influence a cause to which they are strongly committed. Such other-regarding orientations are embodied in a broad range of concepts, such as altruism, affective organizational commitment, organizational citizenship behavior, and prosocial motivations, which cut across a variety of disciplines" (Paarlberg et al., 2010, 710) but nevertheless represent a common theme—serving the public good— and are united under one term—*public service motivation*. This broad understanding of public service motivation transcends the public sector and can be found in the public domain in general. Even broader, a global definition of public service motivation stipulates that the motives to do good for others are directed at serving the "interests of a community of people, a state, a nation or humankind" (Perry et al., 2008, 6).

It is, however, a more narrow definition of public service as "an individual's predisposition to respond to motives grounded primarily or uniquely in public institutions

and organizations" (Perry et al., 2008, 5) that is of particular interest in the context of public leadership competencies. An outgrowth of the Hawthorne experiments and the human relations approach, the concept of Public Service Motivation (PSM) builds on the assumption that people working in public agencies are motivated by different needs than those working in the private sector (Rosenbloom et al., 2009, 156) and that work in the public sector provides them with greater opportunity to satisfy those needs (Perry et al., 2008, 85). As Paarlberg et al. (2010) put it, "Public administration has a long tradition of recognizing the unique, other-regarding motivational bases of public service" (710).

Recent developments in public service motivation theory have highlighted its importance to high productivity, better management, improved accountability, and increased trust in government (Hamidullah, 2012, 33). It is argued that "public employees with higher public service motivation will exert greater effort in their work because they find the nature of work itself is rewarding" (Perry et al., 2008, 86). Similarly, a strong commitment to public service will motivate their desire to self-improvement and continual learning (Bowman et al., 2010, 7).

With the emergence of hybrid models of governance, the scope of public service motivation is expanding. At the same time, due to the market-type public management reforms, its relevance for the public sector is decreasing. As the concept has been shown to positively impact productivity, the loss of this competency may have detrimental effect on organizational effectiveness and the ability of government to attract talent. Therefore, it is leaders' responsibility not only to develop and sustain public sector motivation in themselves but to be able to recognize and develop it in others.

Cluster 2: Leading Change

This group of competencies "involves the ability to bring about strategic change, both within and outside the organization, to meet organizational goals." It focuses on the "ability to establish an organizational vision and to implement it in a continuously changing environment" (Based on ECQ *Leading Change*).

<u>Fostering Creativity and Innovation</u>

Link to Leadership Theory: Kirkpatrick and Locke (1991); Mintzberg (1973); Social Exchange Theory; Complexity Theory; Leadership Perspectives Model

To demonstrate this competency means to shatter one of the most persistent stereotypes about public bureaucracy as being stifling to creativity and alien to innovation.

Peter Drucker defines innovation as "change that creates a new dimension of performance" (Hesselbein, 2006, 6), while Fairholm (2011, 40) argues that leaders play a key role in fostering non-routine and innovative approaches to both routine and one-time group problems. As part of that role, leaders of today's highly interconnected global world must know how to assess their organizations in terms of their creative capability and flexibility (Fairholm, 2011, 40). They must be themselves innovative, realizing at the same time that those they lead may surpass them in creativity (Fairholm, 2011, 40). That's why they must be able to create a "climate conducive to self-directed, high-quality, creative work" (Fairholm, 2011, 40). Fairholm (2011) perceives a future "where workers in concert with their leaders are creating both the products produced and the methods of their production… The direction of the sea change sought is toward a more creative follower" (2011, 41).

Svara (2007, 93) stresses that willingness to innovate does not mean abandonment of or disloyalty to the organizational mission, as "commitment to enduring values" should not be equated with preserving the status quo. Public organizations must transform to "respond to new conditions that are changing the public sector," and the way to do it through "creating and sustaining a culture of innovation" by leaders (Svara, 2007, 93). According to Svara (2007, 93), "responsible" innovation includes "inventiveness and creativity, the ability to build support within and outside the organization," and the capability to incorporate the views of stakeholders and an objective evaluation how well the innovation is working.

Selznick (1957, p 152-153) said it best, "The art of the creative leader is the art of institution-building, the reworking of human and technological materials to fashion an organism that embodies new and enduring values."

<u>Possessing External Awareness</u>

Link to Leadership Theory: Stewart (1982); Mintzberg (1973); Complexity Theory

This leadership competency arises from the organizational need for external information. Possessing external awareness means having a clear understanding of, and keeping up-to-date on, external trends and local, national, and international events and policies that affect an organization's effectiveness and shape stakeholders' views. It also means understanding the "prior events and decisions that determine how the organization got to where it is now" (Yukl et al., 2005, 369-370) as well as the organization's impact on the external environment (OPM, 2006). External awareness also includes knowledge

of the context in which leadership is exercised. As Frederickson and Matkin (2007, 39-40) put it:

> …there can be no great leadership… without a deep substantive knowledge of the technological and bureaucratic characteristics of the specific setting in which leadership is expected. Context matters and the government context matters greatly…

Environmental Scanning

In this complex, politically-charged environment public-sector leaders must be able to collect, distill, critically assess, use, and release information that is vital for their agencies' survival. A behavioral tool enabling them to do just that is called "environmental scanning."It enables the leaders to be prepared for unexpected events, especially in times of rapid change, resource constraints, and paradigm shifts (Van Wart, 2008, 237).

Global Perspective

In the twenty-first century external awareness goes beyond the immediate environment of one's organization to include a *global perspective*—an understanding of deep interconnectedness that exists between traditional jurisdictions and identities and jurisdictions and identities around the globe—one unbreakable unit, of which we all are a part (Zaplin et al., 2008, 150).

Developing Resilience

Link to Leadership Theory: Stogdill (1974); Kirkpatrick and Locke (1991)

Cultivating resilience in oneself and others is an important leadership competency as well as responsibility that helps achieve long-term organizational goals.

Persistence is an especially valuable attribute to have when operating "in a volatile and highly competitive environment" (Blandin, 2007, 148).

Equally important for a leader is to be *stress tolerant*: to understand stress—both its mobilizing and destructive sides—and to be able to channel the positive energy created by stress into improving performance while curbing its negative effect. Similarly, a leader should be mindful of the signs of stress in subordinates and be able to offer coping mechanisms if needed. (For more detail, see my discussion of Van Wart's (2011, 2012) conception of resilience on p. 242 of this work and Appendix A).

Demonstrating Flexibility/ Adaptability

Link to Leadership Theory: Trait Approach, especially Stogdill (1974); Social Change Leadership Theory

According to Blandin (2007, 148), "Without these leadership attributes, a highly complex organization will simply not survive. Since things are always in flux, the ability to regroup, change directions, modify plans, and adjust thinking is absolutely vital." Here the distinction should be made between adaptation to routine changes and the ability to adapt to the changes caused by a crisis.

Adaptiveness (refers to top executives primarily)

A new angle offered by Svara (2007) on adaptability demonstrates how our understanding of competencies changes, and through it – how competencies themselves evolve over time, adjusting to changing circumstances and environments.

Thus, evoking what Ingraham et al. (2005) call "responsive competence," Svara (2007) argues that in response to the occurring changes "in the basic relationship with politicians as well as shifts in the way that top administrators relate to their organizations and to the community," public leaders of the twenty-first century will have to become even "more deft and flexible in the way they do it"—they will have to "become adapters

who continuously adjust in the fluid context in which they work in order to fill their

leadership responsibilities" (Svara, 2007, 69). Svara (2007, 69-70) stresses, "Although

administrators have always needed the capacity to change, Adaptiveness now becomes

their constant condition. The overriding challenge is finding ways to provide high-level

leadership and maintain commitment to core values in an uncertain environment."

Improvisation

According Denhardt and Denhardt (2006, 110), "Skilled improvisation on the part

of a leader provides an important source of inspiration, guidance and connection with

others."

Both Svara (2007) and Denhardt and Denhardt (2006) cite improvisation among

those leadership qualities that will only increase in importance with the flattening of

hierarchical structures and "fewer established authority relationships" resulting in "more

spontaneous interactions" (Svara, 2007, 93). Improvisation "refers to the general capacity

to relate to a particular audience in a particular situation in a way that is perfectly suited

for that moment…" (Svara, 2007, 93). It is the type of behavior that "draws on

established knowledge, experience, and skills but moves into unknown, unscripted areas"

(Svara, 2007, 93), thus involving "creativity within structure" (Denhardt et al., 2006,

115). Improvisation has an additional affective dimension: it "is essential to the process

of emotionally connecting with and energizing others" (Denhardt et al., 2006, 109).

Mobility

There is also some discernible pressure to make *mobility* a required leadership

competency (Winter, 1993; Strier, 2011). As envisaged by its proponents, this extreme

form of flexibility is defined as the ability to move between agencies and across sectors

(Strier, 2011, 7). The Intergovernmental Personnel Act (IPA) Mobility Program is designed to provide a venue for intra- or inter-agency rotations of managers seeking advancement in their home agency with a view "to learn how others lead and manage" (Morse et al., 2008, 7). If mobility is to become a full-fledged leadership competency, certain challenges will have to be faced. The most significant among them are those linked to the civil service value system, such as questions about how inter-sector mobility will impact public service motivation, organizational integrity, professional ethics, as well as creating and preserving what Mau (2009, 329) calls "a distinct public-sector leadership brand."

Exuding Energy

Link to Leadership Theory: Trait Approach

I accept Van Wart's interpretation of the concept for my model (See pages 242-243 of this work and Appendix A).

Strategic Thinking and Planning

Link to Leadership Theory: Yukl (1994); Strategic Contingencies Theory; Path-Goal Theory; Strategic Leadership Theory; Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership Perspectives Model

In a chaotic realm of leader decision-making, strategic thinking is a purposeful, goal-oriented mental activity that is realized in strategic planning. Considered to be more important for top executives than for lower-level managers, it is, nevertheless relevant at all levels" (Yukl, et al., 2005, 371). In recent years, the "notion that strategy is at the heart of the managerial function—particularly the top managerial function"—has been "increasingly reinforced" in political-science literature (Ellwood, 1996, 67).

Important in strategic planning is the leader's ability to establish clear goals, which, if done right, reinforces employees' public service motivations" (Paarlberg et al., 2010, 713). This ability is demonstrated in being able to explain "not only what employees should do, but also why they should do it" and "how their actions contribute to organizational goals and connect to the larger mission of the organization" (Paarlberg et al., 2010, 713).

The outcome of strategic planning is "strategic action [that] occurs at the nexus of politics and administration" (Frost-Kumpf et al, 1993, 152).

<u>Articulating the Mission and Vision</u>

Link to Leadership Theory: Kelman (1958); Path-Goal Theory (House, 1971); Transformational Leadership (Burns, 1978), Charismatic Leadership (House 1997); The Attribution Theory (Conger and Kanungo, 1987); Entrepreneurial Leadership; Strategic Leadership; Leadership Perspectives Model

According to Bennis and Nanus (2003, 82), a *vision* is "a target that beckons." It is a "mental image," a "view of a realistic, credible, attractive," and "desirable future state of the organization," "a condition that is better in some important ways than what now exists." It is the task of a leader—" the function of the leader-statesman"—" to define the ends of group existence, to design an enterprise distinctively adapted to these ends, and to see that that design becomes a living reality" (Selznick, 1957, 37). Zaleznik (1977, 71) describes the process how it is done:

> Leaders adopt a personal and active attitude toward goals. The influence a leaders exerts in altering moods, evoking images and expectations, and in establishing specific desires and objectives determines the direction the business takes. The net result of this influence is to change the way people think about what is desirable, possible, and necessary.

Having once been solely responsible for creating a vision for his organization, in today's world of much flatter organizations and shared responsibility the leader must create organizational vision jointly (Ingraham et al., 1999, 225). However, it is still the leader's responsibility to communicate it to followers and other stakeholders (Bennis et al., 2003, 82), which he/she can do in a number of ways, such as appeals to shared values, inspirational speeches, written messages, and above all—personally acting in a way consistent with the vision being "sold" (Kirkpatrick et al., 1991, 56). According to game theorists, effective leaders' role in communicating a vision is in giving members of their organizations "consistent expectations about each other's behavior" and thus increasing the effectiveness of coordination (Weimer et al., 1996, 110).

While *vision* is a compelling image of the organization in the future, a *mission statement* is a brief but succinct statement of the purpose and focus of organizational activity (Weiss, 1996, 121). It is a roadmap of sorts that moves the organization from its current state to the ideal it wants to become.

Selznick (1957, 67-68) argues that the task of defining organizational mission requires an "understanding of the organization's social structure," in particular, taking "account of (1) the internal state of the polity: the strivings, inhibitions, and competences that exist within the organization; and (2) the external expectations that determine what must be sought or achieved if the institution is to survive." He calls this task "hard intellectual labor," "a labor that often seems but to increase the burden of already onerous daily operations" (1957, 25, 26).

Weiss (1996, 121) asks how the leader's articulation of a mission translates into better performance. She reflects:

Some practitioners look at mission with considerable skepticism. After all, few employees are ignorant of the mission of the agency for which they work. Stating a mission does not change the resources available to the agency or the existence of external opponents or supporters. In the public sector, the legal mandate giving legitimacy (and resources) to the agency often includes rather detailed specification of mission. So what, if anything, does a public manager contribute by talking about mission?

In Weiss's (1996, 121) mind, clear mission articulation plays an important role in "framing and motivating the work of individuals within the agency." She describes the process as follows: in discussing the agency mission, managers communicate to employees a conceptual framework for thinking about the agency's work, its specific content, as well as the agency's explicit or implicit values. Employees "perceive the communication and make sense of it through the lens of their prior experience in the agency and their perception of the fit between the mission and other managerial action" (Weiss, 1996, 122). If they find it credible, it "may then influence the cognitive frameworks they use to understand subsequent events. It may become a factor in decisions they make about their work. It may influence their expectations of how other employees will carry out their work. It may affect their motivation to work. These potential effects may cumulate to raise (or lower) the level of effort employees put into their work. They may cumulate to direct effort toward some tasks and away from others. They may cumulate to strengthen coordination across employees and units of the agency. These outcomes in turn may help to improve (or lower) overall agency performance" (Weiss, 1996, 122).

Managing Organizational Change

Mintzberg (1973); Position Power; Social Exchange Theory (Hollander, 1958); Transformational Leadership (Burns, 1978), Charismatic Leadership (House 1997); The

Attribution Theory (Conger and Kanungo, 1987); Entrepreneurial Leadership (Tichy and Devanna, 1986); Strategic Leadership Theory; Leadership Perspectives Model

Leaders' ability to manage the change process—to act as a change agent—is crucial to the sustained health and success of the organization. It hinges on his/her keen understanding of what type of change is the right one for what situation.

According to Frederickson and Matkin's (2007, 35) "Mertonian Law of Public Sector Leadership," chances are at least 50 percent that in the public sector a proposed change will make things worse. Therefore, public leaders should eschew fundamental change as much as possible and pursue an incremental, step-by-step, change that increases the probability of success by leaving "open the possibility of a step back or a step to the side, should the evidence indicate that the direction of change is negative" (2007, 35).

Behn (1998, 213) offers a rather similar understanding of the right change for the public sector calling it "management by groping along"—a purposeful groping of an agency guided by a clear objective and the destination but without a clear notion of how to get there. This purposeful groping consists of a variety of strategies and tactics that the agency tries until it "discovers what works and what does not, cancels one's failures, and builds on its successes with new modifications." As Behn (1998, 213) explains, this strategy is "derived from the observation that you can never get it right the first time," therefore, from the beginning, it "consciously builds in flexibility—the capacity to make modifications in structures and systems as the organization learns." Behn (1998, 213) also warns that this process of adaptive groping "is neither natural nor automatic:"

> It requires people to accept that they are not brilliant—that they cannot predict perfectly how organizations will behave, how people will react to the incentives

created by different systems, or even how citizens will respond. To undertake this process of groping and adaptation, people must recognize *the fallacy of human prescience*. Indeed, our inherent human, analytical inadequacies make it impossible to design a public program and its implementation system perfectly from the very beginning [as Simon (1957) and Lindblom (1959) have taught us].

Selznick (1957) is more specific. He distinguishes between two types of change—*static adaptation* and *dynamic adaptation* (1957, 34, 35). Static adaptation concerns the changes that occur as part of the continuous solution to problems that arise during the day-to-day functioning of the organization. These changes have no significant influence on the nature of the organization or its leadership, and both formal and informal organizational structures can address them in a competent manner. Dynamic adaptation, on the other hand, "takes place in the shadowy area where administration and policy meet" (35), where organizational processes affect the kinds of policy that can be made and, in turn, policy "shapes the machinery of organization" in such a way that the resulting changes cannot be explained from the standpoint of efficiency. This is the area of "critical experience," according to Selznick (1957, 36)—where "leadership counts and where managerial *expertise* is of secondary importance."

Cluster 3: Leading People

This Cluster describes a group of the so-called "people-oriented" competencies—team building, managing conflict, leveraging diversity, motivating and developing others—which are so critical to successful leadership that sometimes they are considered synonymous with it. They can also be called culture-creating and maintaining competencies. With the workforces becoming more multi-cultural and multi-generational, leaders will have to focus more of their attention on organizational culture creation to "accommodate at least some of the essential values and expectations of these disparate

employee cultures along with their own" (Fairholm, 2011, 15). The essence of this cluster

of competencies is for a leader "to find ways to merge the age-old universal human drive

to maximize personal need satisfaction with the needs of the organization" (Fairholm,

2011, 24).

Team Building

Link to Leadership Theory: Ohio State Leadership Studies; The Michigan

Leadership Studies; Blake and Mouton (1964); Yukl (1994); Skills Approach; French and

Raven (1959); Personal and Position Power; Social Exchange Theory (Hollander, 1958);

Leader-Member Exchange Theory; Situational Leadership; Path-Goal Theory (House,

1971); Participative Leadership; Vroom's Normative Decision Theory; Transformational

Leadership (Burns, 1978), Charismatic Leadership (House 1997); Attribution Theory

(Conger and Kanungo, 1987); Team-Leadership; Empowered Team; Substitutes for

Leadership; Complexity Theory; Leadership Perspectives Model

The transformation of the public sector requires expanding leadership roles—an

impossible challenge for a single leader (Svara, 2007, 94) which becomes manageable in

team settings. Therefore, *team building* is one of the competencies identified by the

Winter Commission as being essential for performance and necessary for all public

employees (1993, 43). The Commission's report (1993, 43) states, in particular:

> The Commission believes that much of government's future work will be carried out by small teams, some of them led by executives and managers, some by front-line employees. To succeed, managers and employees alike need to know how team-building works and should be trained in the dynamics of goal-setting and conflict resolution.

Increasingly public executives and middle managers find themselves moving

away "from being primarily 'directors' or 'chiefs' to being primarily 'team leaders'"

(Ingraham et al., 1999, 222). As Ingraham et al. (1999, 224, 225) indicate, team building requires "the voluntary loosening" of traditional managerial authority, giving up power and control, "letting go of the previous hierarchical ways of doing business" and, at the same time, "creation of new, nonhierarchical patterns of communication." Leaders in possession of this competency are capable of putting together teams with the collective set of characteristics needed to address impending challenges; they are also capable of clearly communicating to the team members their expected contributions to decision-making and effectively facilitate the process; and finally, they are devoted to "developing skills, responsibilities, and motivations in others" (Svara, 2007, 94). The ability to think through task design issues in advance, to make sure that the task structure and team structure are aligned; providing clearly defined objectives, timeframe, and scope of authority; ensuring the appropriate mix of technical and interpersonal skills of team members and their sufficient number—all these are factors that facilitate team effectiveness (Van Wart, 2005, 217).

Team Leadership

Team leadership consists of two subelements: the intention (and ability) to lead a team and willingness to assume responsibility for one's decisions and actions (for more information on the latter see page 244 of this work and Appendix A).

Consulting

Consulting (see Appendix A) is solicitation of information for decision-making purposes that implies some involvement of the person being consulted in the process. On a decision-making continuum it falls between decisiveness (representing authoritarian

decision making) and delegation (or participative decision-making) (Van Wart, 2005, 193).

Delegating

Delegation is a leader's shifting authority and responsibility for accomplishing tasks and maintaining relationships from him-/herself to group/team members (Rainey, 1997, 33-34, 266). Implied in delegating is that the subordinate has a choice to accept or refuse the responsibility and that the leader retains interest in the assignment and expects feedback on it (Guy, 1992, 312).

Based on the above, the three components of delegation are responsibility, authority and accountability (Quinn et al., 1996, 242).

Quinn et al. (1996) suggest reconceptualizing delegation from "merely a vertical process" to "an omnidirectional one—delegation occurring downward, laterally… and upward… Delegation then becomes the entrusting of a particular …task… by one individual to another" (242).

The importance of this competency in the public-sector settings is made more pronounced by the traditional view of government executives as eschewing delegation of authority in favor of more "levels of review and formal regulations" (Rainey, 1997, 75).

Motivating

The ability to *motivate* is vital for successful team building. Leaders motivate, inspire, and energize people by "satisfying basic human needs for achievement, a sense of belonging, recognition, self-esteem, a feeling of control over one's life, and the ability to live up to one's ideals. Such feelings touch us deeply and elicit a powerful response" (Kotter, 1990, 107). To be successful in motivating, leaders must understand that

motivation is not something infused—"it is a relationship nurtured over time. There is no bartering for motivation, a quid pro quo, a carrot and stick" (Scholtes, 1999, S707). (2001, 310-311) have established a link between motivation and performance measurement. They argue, in particular: "Motivation is often a function of measurement. Setting reasonable, measurable goals can create an expectation that those goals can be reached," while the notion of moving in the "right" direction instills the feeling of pride in team members (Holzer et al., 2001, 311).

Empowering Others

Empowering team members, recognizing their contributions, and celebrating their successes are also powerful motivators leaders use to "kindle an atmosphere of teamwork and mutual support that aids in the formation of beneficial work interrelationships" (Fairholm, 2011, 38). It builds on trust and decentralization of authority/decision making (Kee et al., 2007, 163).

A concern that empowering employees might conflict with accountability is dispelled by the concept of tight/loose coupling that suggests that "within complex organizations, strong core ideologies allow employees to make decisions on their own while still acting consistently with organizational values" (Paarlberg et al., 2010, 715). Therefore, not only empowering employees promotes organizational goals, it also fosters public service motivation (Paarlberg et al., 2010, 715).

Moreover, empowering others is an important aspect within the public leadership as stewardship tradition, in particular, in transformational stewardship. Thus, according to Kee et al. (2007, 163): the process/act of empowering others (employees and citizens)

transforms them from followers into "co-leaders and stewards in fulfillment of the public interest."

<u>Leveraging Diversity</u>

> Link to Leadership Theory: The World Culture Approach; the Subculture and Diversity Approach; the Gender Approach; Leadership Perspectives Model

Traditionally, leveraging diversity has been understood as striving for heterogeneity of work units and their representativeness of the organization's client base. This reflects the general trend of an increased share of people of color in the U.S. as well as efforts to promote white women and ethnic minorities under affirmative action (Riccucci, 2012, 51). As stressed by Guy and Newman (2010, 150), the meaning of diversity has expanded in recent years to denote not only the "differentness" in terms of gender, race, ethnicity, and other demographic characteristics, but also the "differentness" that stems from the uniqueness of each worker in terms of his/her own strengths and perspectives that he/she brings to the workplace. More specifically, it has also been recast in terms of cultural competency as well as managing generations (Hamidullah, 2012) and sensitivities associated with disability and sexual orientation and gender identity of employees (Gossett, 2012).

Cultural competency is defined as "respect for, and understanding of, diverse ethnic and cultural groups, their histories, traditions, beliefs, and value systems in the provision and delivery of services" (Bailey, 2010; in Riccucci, 2012, 50). It consists of "possession of cultural knowledge," "respect for different cultural perspectives," as well as possession of skills and the ability to "use them effectively in cross-cultural situations" (Brach et al., 2000; in Riccucci, 2012, 54). Riccucci (2012, 54) indicates that cultural

competency also has an ethical component. She explains, "If public servants are to genuinely serve the needs and interests of their clients, they have an ethical obligation to effectively interact and communicate with them" and take their specific needs into account, as "there is a 'compelling moral salience of attending to and meeting the needs of the particular others for whom we take responsibility'" (2012, 54).

With regard to the group dynamics within organizations, cultural competency means meeting the needs and interests of all the workers as well as the ability to interact and engage with people from all cultural backgrounds (Riccucci, 2012, 55). The importance of this competency in influencing performance and worker productivity is expected to continue to increase. According to Riccucci (2012, 55),

> Organizations that accommodate the needs and interests of all workers, male and female of all races and ethnicities, and celebrate differences, rather than eschew them are more likely to value the contributions diverse groups can make at the upper levels of organizations.

Values-Based Leadership

Leadership is becoming multicultural (Fairholm, 2011, 13). Fairholm (2011, 4) argues that the forces of globalization have heightened academic and practitioner interest in cultural interdependence, when the economy, politics, and culture of one entity—be it a country or work unit—affects other entities. As a result, organizational life "is characterized by diversity of values and traditions and unique ways of interacting with others" (2011, 4). Individual group members with different sets of values vie for their acceptance in the group. They also measure their own and others' performance against the standards based on their own value sets and not on externally imposed ones (2011, 4). "Leaders must learn to cope with people from diverse, sometimes antagonistic, cultures" (Fairholm, 2011, 14-15). Managing the continual collision of cultural values, customs,

norms, and patterns of action requires sensitivity to each other's values at all levels of the organization (Fairholm, 2011, 5), but most and foremost it requires culturally competent leaders.

Managing Conflict

Link to Leadership Theory: Network Leadership; Team-Leadership; Resonant Leadership; Social Change Leadership Theory; Complexity Theory

According to Selznick (1957, 58), conflicts in organizations are normal rather than pathological, given that the organizational loyalty of the parties is intact. They are not routine (and, by default, a leadership, not managerial competency), however, as they "reflect the open-endedness of institutional life." "Conceiving ingenious solutions to conflicting interests" so as to mobilize a team to "work together rather than engage in fight or flight behavior" (Luke, 1998, 216) is the essence of this leadership competency. At its core are *mediation, arbitration,* and *negotiation skills*.

Developing Others

Link to Leadership Theory: Stogdill (1974); Ohio State Leadership Studies; the Michigan Leadership Studies; Skills Approach; Transformational Leadership; Superleadership; Leadership Perspectives Model

Writing in the second decade of the last century, Mary Parker Follett argued that the job of a leader was "not to make decisions for his subordinates but to teach them how to handle their problems themselves, teach them how to make their own decisions" (in Kee et al., 2007, 163). She stressed: "The best leader does not persuade men to follow his will. He shows them what is necessary for them to do in order to meet their responsibilities… the best leaders try to train their followers to become leaders" (in Kee

et al., 2007, 163). Her insight in this regard preceded Burns' (1978) transforming

leadership by more than fifty years.

According to Fairholm (2011, 38-39), "Leading is creatively learning to

understand and then respond to the needs of others and create a growth environment for

followers... Leadership is teaching, coaching, and empowering followers… Leadership is

nurturing others to help them become their best selves."

Public sector managers of all levels are increasingly finding themselves in a new

role of coaches and mentors to their subordinates. As Ingraham and Jones (1999, 226)

indicate,

> Because workplaces are enveloped in change and there is enormous uncertainty—
> as well as considerable fear—executives need to provide coaching and mentoring
> to middle managers. Likewise, middle managers are called on to coach and
> mentor employees who work for them. There is little in the traditional civil
> service backgrounds of most of these managers and executives that allows them to
> be comfortable in these roles.

Hence the need and importance of this emerging competency.

Promoting Health and Physical Well-Being

Link to Leadership Theory: Spiritual Leadership; Leadership Perspectives Model

Gone is the time when we used to work to live. A consequence of globalization,

in the twenty-first century we live to work. Increasingly, in addition to what we are, our

work also defines who we are. That is why many of us are looking to our "workplaces to

find nurturance" for our diverse human needs (Fairholm, 2011, 22)—to "foster

friendships and participate in recreation activities" (Fairholm, 2011, 18). Other

expectations include medical care and mental counseling and, recently, spiritual support

(Fairholm, 2011, 18). Since "leadership is about actualizing the whole person of each

follower" (Fairholm, 2011, 151), present-day, and especially future, leaders "face

unprecedented professional challenges and increased responsibility for the general well-being of their followers, not just their economic well-being. For, as the workforce continues to become more diverse, it also appears to become more mindful of its full—body, mind, and spirit—self" (Fairholm, 2011, 22).

Creating Organizational Culture

Link to Leadership Theory: Strategic Leadership Theory; Informal Leadership; Leadership Perspectives Model

Administrative culture as a "pattern of beliefs, values, and behaviors in public agencies about the agency's role and relationship with the public" (Anerchiarico, 1998, in Frederickson et al., 2007, 37) is a product of historical trends, social attitudes, and political factors that have to be taken into account for a meaningful change to happen. Typically values are communicated directly and clearly through mission, vision, and goal statements, but also they are imparted by leaders through such informal means, as organizational stories, myths, and symbols (Paarlberg et al., 2010, 712). The greater the congruence between employees' values and the organization's the better the employees' performance (Paarlberg et al., 2010, 713).

In today's environment of multicultural workforces, leaders must communicate with employees for whom English is not the first language and who cannot fully grasp all its jargon and idiomatic subtleties, as they must motivate and inspire followers with unfamiliar cultural norms and values (Fairholm, 2011, 15). In this environment, traditional management control renders itself ineffective and is increasingly replaced by a combination of several approaches, central among which is culture creation and maintenance, which, according to Fairholm (2011, 15) is becoming a "primary and a very

difficult" leadership role, requiring of leaders mastery in negotiation, persuasion, and even manipulation skills.

Planning and Organizing Personnel

Link to Leadership Theory: Behavior Approach, in particular Page (1987); Skills Approach; Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership Perspectives Model

Put simply, this competency means matching people, their talents, interests, preferences, and abilities, to schedules and jobs, and "making the appropriate changes as work and personnel needs change" (Van Wart, 2005, 197-198) (See also Appendix A for more information).

Using Different Leader Styles

Link to Leadership Theory: Situational Leadership and Contingency Theory; Path-Goal Theory; Participative Leadership; Transformational Leadership; Superleadership; Substitutes for Leadership

Leadership styles are tools leaders use depending on the requirements of the situation or such contingency factors as leader characteristics, task characteristics, subordinate characteristics, organizational characteristics, and other characteristics, the two most important of which are ethics and gender (Van Wart, 2005, 277, 282-283) (For more information on leader styles, see pages 75, 78, 93, 230, 236-240).

Cluster 4: Results Driven

This group of competencies involves the ability to meet organizational goals of high performance and customer satisfaction (Based in part on ECQ Results Driven).

Customer Service Orientation

George Frederickson argues, "To be fully in the spirit of public administration, we must genuinely care for and work with the citizens… with benevolence, our field has meaning and purpose" (1997, 234). Improvement of public-sector performance only makes sense if it leads to, and is aimed at, the increased satisfaction of the citizens with the services they receive from their government. As the ultimate measure of government performance, customer service makes it possible to see the results of government actions in light of their impact on the recipients of services. Moreover, it promotes the idea that citizens as customers should play a role in the assessment of performance and operations management of public agencies.

Under the influence of NPM, customer service and customer satisfaction for the first time in modern history have been included in the definition of government performance. The customer service focus is meant to show that "governmental action is most tangibly represented for the citizen through the quality of services received from the public sector. In this sense, putting the customer first… is a different type of a social contract with the citizen, one that ought to complement, rather than replace, more traditional ideas of the relationship between the government and its citizens" (Liou, 2001, p 454-455).

Performance Management

Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership
Perspectives Model

According to Shafritz et al. (2005), performance management is what
organizational leaders do, indeed, their primary responsibility understood as systematic
integration of an organization's efforts to achieve its objectives through the
comprehensive control, audit, and evaluation of all aspects of organizational
performance. It is this emphasis on systematic integration that sets apart performance
management from management (Shafritz et al., 2005, 313). Highlighting the positive
contribution of the performance management movement to the organizational
effectiveness, Shafritz et al. (2005, 316) indicate that it forestalls or prevents
incompetence by aligning stakeholders' goals and bringing them to the forefront, and
thus creating an equilibrium between the needs of the organization and the needs of its
employees; it also identifies vital components of the management process—budgeting,
staffing, performance measurement, and individual performance appraisal systems—and
connects them in an integrative framework that produces results.

Performance management, however, stops being an abstract concept and becomes
an important management tool only if it is expressed through performance measurement
(Hatry, 2006, xiii).

Performance Measurement

The reinventing government movement has changed the way of how public
agencies do business. New emphasis on performance improvement has prompted all
levels of governments to adopt numerous tools and policies directed at assessing their
performance and reporting it to the public (Rosenbloom et al., 36). Performance

measurement—one of the major trends transforming public administration—is used by public sector leaders to demonstrate both to politicians and citizens that they achieve results (Svara, 2007, 93). Conceived in the early twentieth century as a mechanism of accountability, performance measurement has experienced a rebirth since the 1990s, mainly due to Osborne and Gaebler's *Reinventing Government* (1992) and the agenda of National Performance Review chaired by Vice President Al Gore that "called for a more results-oriented government" (Holzer et al., 2011, 453) (See also discussion on pages 26-27 of this work).

Entrepreneurship and Calculated Risk Taking

Link to Leadership Theory: McClelland (1987); Mintzberg (1973); Transformational Leadership (Burns, 1978), Charismatic Leadership (House 1997); The Attribution Theory (Conger and Kanungo, 1987); Entrepreneurial Leadership (Tichy and Devanna, 1986)

Under the pressure on government to do more with less—a reflection of the trend where the public demand for government services grows faster than government's resources—a new type of public servant has emerged—that of a public sector entrepreneur, who constantly seeks new, bold and innovative solutions to problems and new ways of looking at things and doing business.

Entrepreneurship (also referred to as *entrepreneurialism*) is a key concept embedded in the definition of the effective public-sector leader. It means a call "for managers to become transformational leaders, change agents, who strive to change organizational culture" through developing a new vision for their organizations and then converting that vision into reality (Shafritz et al., 2005, 308). As with other concepts

borne out of the reform efforts and coming from the private sector, the term is not without inherent contradictions. In general, its adoption in the public sector rests on three assumptions: that competitiveness can be infused in the public sector, that private-sector practices can be transferred to the public sector, and that government organizations can be managed as businesses (LeMay, 2002, 166).

In the public administration literature that accepts the idea of public entrepreneurship, public-sector leader- entrepreneur is depicted as a person that "takes risks to ensure that government programs succeed and that the public reaps the benefits of that success," in contrast to a business entrepreneur whose image is associated with a risk-taker "seeking personal or corporate financial profit" (Cohen, 2008, 34). (See also discussions on pages 19-23 and 122-126.)

Being Accountable

Link to Leadership Theory: Stewart (1982); Superleadership; Self-Managed Teams; Entrepreneurial Leadership; public-sector leadership literature in general

Accountability in the public sector has a much broader meaning than it has in the private sector, where it is primarily understood as financial accountability. In the public sector it also includes a democratic component of serving the citizenry. As the accountability demands will only increase, understanding the relationship between leadership and accountability becomes key in public agencies' efforts to achieve true excellence. Accountability serves as a constraint that safeguards against inappropriate use of administrative power. Denoting that in the changed context of "no one in charge" managers and career executives still continue to be solely accountable for the operations

of their departments and programs, Ingraham et al. (1999, 225) comment on the absence of new accountability mechanisms that would be appropriate in team settings.

The accountability as answerability interpretation is evident in the sweeping reforms of recent years. The entire new public management movement is "an effort to make government deliver on what it promises" (Frederickson et al., 2002, 215). According to a more complex notion of accountability that considers numerical performance measures alone to be its insufficient indicators and has at its core Aristotle's idea of a "government of laws, and not of men," administrative accountability is defined as "that aspect of administrative responsibility by which officials are held answerable for general notions of democracy and morality as well as for specific legal mandates" (Shafritz et al., 2005, 191). It means that in a democracy public administrators work "within the rule of law—a governing system in which the highest authority is a body of law that applies equally to all" (Shafritz et al., 2005, 192).

Conceived as information-driven accountability for complex, blended networks, *aggregate accountability* (the term is coined by Kettl, 2009) is a "system capable of assembling the various accountability tactics into an approach that serves the public interest" (Kettl, 2009, 221). Aggregate accountability relies on tools that, taken individually, would have been deficient but, taken together, "offer a transparent window into governance and how it can better achieve results" (Kettl, 2009, 234).

Cluster 5: Process Driven

This Cluster focuses on a group of competencies comprising the "task" domain of leadership, competencies considered fundamental in managing day-to-day operations of public agencies. These competencies include: decision-making, problem solving,

application of technical knowledge, program/project management. By providing public-sector leaders with the ability to apply technical knowledge and problem analysis, this Cluster enables them to make decisions that produce high-quality results (Based in part on ECQ Results Driven).

Problem Solving

Link to Leadership Theory: Mintzberg (1973); Ohio State Leadership Studies; the Michigan Leadership Studies; Stewart (1982); Critical Incident Research; Skills Approach

Operating in "constant white waters," public managers dedicate much of their time to solving problems. As seen from the collaborative leadership perspective, "focusing attention and mobilizing or catalyzing a diverse set of individuals and agencies to address a public problem" constitutes the essence of public leadership (Luke, 1998, 33).

Being a major responsibility of management, problem solving is one of the most important competencies determining managerial success.

Problem-solving has a short-term focus and is reactive in nature (Van Wart, 2005, 176). However, it can be made a part of proactive management, which requires a holistic approach to problem solving. Captured in this approach is "frame-breaking" thinking, or thinking "outside the box," that characterizes the so-called "double-loop learning" (Guy, 1992, 317). It focuses not only on what is wrong but also on what is right, its underlying assumption being "That which is wrong must be corrected, but that which is right must be reinforced and rewarded to prevent problems from receiving too much attention at the expense of the strengths" (Guy, 1992, 317).

Being on the same plane with decision-making, problem solving differs from the latter by being very specific—addressing problems on a case-by-case basis—and production oriented, while decision-making is concerned more with policy and setting direction and typically has organization-wide focus (Van Wart, 2005, 177) (See also Appendix A).

Decision Making

Link to Leadership Theory: The Michigan Leadership Studies; Vroom' Normative-Decision Theory (1988); Participative Leadership; Strategic Leadership

As Herbert Simon once said, "Decision-making processes hold the key to understanding organizations" (Holzer et al., 2011, 137). Based on a substantial thought process, decision making involves "the generation of alternatives and the selection of the most favorable one, generally affecting policy or substantial numbers of people" (Van Wart, 2005, 257) (See also Appendix A).

As a competency, decision making requires mastery of the entire decision-making continuum, from autocratic to democratic, and the knowledge of what decision framework to use in what situation (Van Wart, 2005, 257). Implied here is the range of options available to a leader concerning the degree of employees' involvement in decisions (Quinn et al., 1996, 82).

Characterized by the highest degree of involvement, participative decision making is "meaningful employee participation in organizational decision making wherein there is an operative, formal vehicle for the exercise of employee voice and where employee views and decisions are given serious consideration" (Kearney, 2001, 226). Studies have linked this type of decision making to improved employee productivity as well as ability

to perform technical tasks and respond positively to a rapidly changing environment (Kearney, 2001, 227).

According to Bryson et al. (1992, 9, 8) in a shared power world, the political decision-making model articulated by Lindblom in the 1950s and 1960s makes the most sense. As they pinpoint (1992, 9), "A particular advantage of the model is that it does not presume consensus where consensus does not exist, yet it can illuminate the contours of consensus or agreement as it develops."

<u>Having Technical Credibility</u>

Link to Leadership Theory: Kirkpatrick and Locke (1991); Power-Influence Approach; Max Weber (1921)

Comprising a leader's technical credibility are the following elements:

o *Professional Expertise/ Judgment.* Public sector leaders derive their power from two sources: from their hierarchical position (a managerial source of power) and their technical expertise—specialized knowledge and skills related to their area of work (a professional source of power) (Steen et al., 2009, 95). It is referring to their professional knowledge and skills that Behn (1998, 221) stated, "Public managers have expertise, and we should not ask them to wait quietly and politely until they are formally asked for their judgments." Also expressed here is the value statement about the judgment of a public leader as a technical expert. Gianakis (2001, 152) denotes "an emerging and increasingly salient issue in the public policy-making process" that has to do with the shift of power "from the formal political and electoral institutions to the professional bureaucracies at all levels of government." He indicates that "this growing reliance on professional

expertise is rooted in the complexity of public issues and the increased demands for collective action in specific policy areas (2001, 152).

- o *Knowledge of Formal Organizational Structure,* which encompasses the knowledge of formally established procedures, written rules, relevant policies and regulations, organization charts, rule manuals (Rainey, 1997, 175). According to Rainey (1997, 189), "public sector status influences an organization's structure…particularly regarding rules and structural arrangements over which external oversight agencies have authority." These are personnel, purchasing, budgeting and accounting procedures (Rainey, 1997, 190). Similarly, "…the internal structures of public agencies reflect, in part, the jurisdictional structures of the government body under which they operate. Legislatures, oversight agencies, and other governmental institutions impose systemwide rules and configurations on all the agencies within their jurisdiction" (Rainey, 1997, 192).

- o *Legal Knowledge.* According to Jreisat (2001, 552), "the legal context of contemporary public administration demarcates the mission, structure, resources, power of decision making, and overall practices of public agencies." Underlying public leaders' need for legal knowledge are the legal constraints imposed on public agencies in order to protect the rights of individuals from administrative discretion. This puts public leaders under pressure to be able to justify legal validity of their decisions with the knowledge of the laws that "specify standards of operation as well as methods of challenging" administrative decisions (Jreisat, 2001, 551-552).

Managing Quality and Improving Process

Link to Leadership Theory: Ohio State Leadership Studies; the Michigan Leadership Studies; Yukl (1994); Participative Leadership; Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership Perspectives Model

The U.S. Government Accounting Office defines *quality management* as "a leadership philosophy that demands a relentless pursuit of quality and the stamina for continuous improvement in all aspects of operations: product, service, processes, and communications" and is shaped by four notions: leadership, a customer focus, continuous improvement, and employee empowerment (Shafritz et al., 2005, 320). By including both employees and customers in an assessment of the entire process of work and management systems, from inputs to processes to outputs, quality management, also known as Total Quality Management (TQM), seeks to identify better ways of structuring organizational operations (Cohen et al., 2008, 149).

TQM is a reform effort aimed at reducing the size and cost of government while, at the same time, making it more responsive to the citizenry through devolution of authority. This major quality initiative launched in the early 1990s embraces a participative decision-making strategy that focuses on continuous product and service improvement, prevention of errors, and customer satisfaction (Cohen et al., 2008, 149).

Total quality management—a management approach based on participation of all employees—from top leaders to line workers—in quality improvement activities of their organization—was developed by W. Edward Deming and consists of fourteen principles TQM "requires that organizations constantly analyze and change work processes. Continuous improvement requires continuous modification of standard operating

procedures and the communication of those new processes throughout the organization"
(Cohen, et al., 2008, 150-151).

Clarifying Roles

Link to Leadership Theory: Ohio State Leadership Studies; the Michigan
Leadership Studies; Skills Approach

The need to clarify roles stems from role ambiguity—"a lack of necessary
information at a given organizational position"—and role conflict—"the incompatibility
of different role requirements" (Rainey, 1997, 248). At the same time, for a subordinate
to achieve high levels of performance, it is necessary to know exactly "what duties,
functions, and activities are required in the job and what results are expected" (Yukl,
2010, 73) (See also Appendix A).

Monitoring and Assessing Work

Link to Leadership Theory: Mintzberg (1974); Ohio State Leadership Studies; the
Michigan Leadership Studies; Skills Approach; Yukl (1994); Leadership Perspectives
Model

Defined as gathering and critically assessing information pertaining to the
progress of the work, the quality of the product or service, individual subordinate
performance or the performance of the entire organization as well as the success of a
project or program (Yukl, 2010, 74; Van Wart, 2005, 160), monitoring behavior is
important for managerial effectiveness as a means of supplying information required by a
manager for planning and problem solving (Yukl, 2010, 74). Van Wart (2005, 160-161)
distinguishes three aspects to be adhered to in monitoring: establishing what it is that

should be monitored, "consistent and disciplined review of the information," and the incorporation of qualitative data.

<u>Program/Project Management</u>

Link to Leadership Theory: Mintzberg (1974); Ohio State Leadership Studies; the Michigan Leadership Studies; Skills Approach; Leadership Perspectives Model

While monitoring work refers to an ongoing, recurring activity, program/project management refers to a one-of-a-kind, one-time, nonrepetitive activity with set start and end dates, specific objectives to be completed within the timeframe predetermined by those dates, and limited funding and other resources (Quinn et al., 1996, 171).

As any work process activity, project management involves planning and monitoring phases and requires of a manager using many of the same competencies associated with routine managerial activities, especially pertaining to the "human side" of the enterprise. As Quinn et al. (1996, 183) indicate, the importance of these competencies, especially of interpersonal and conflict managing skills, may even be greater for the successful management of projects due to their often cross-functional character.

Evaluation

In managing a program or project, two types of evaluation can be used: formative (directed at facilitating learning and improving a program during its implementation) and summative (that assesses the program's outcomes after its implementation (Bryson et al., 1992, 74).

<u>Managing Time</u>

Quinn et al. (1996) advocate a more fluid approach to time that would focus time management on the quality, rather than the quantity, of accomplished managerial tasks. This implies identifying long-term priorities rooted in one's governing values and first and foremost concentrating on the critical tasks that are aligned with those priorities (281-282).

Cluster 6: Resource Acumen

This group of competencies is required to carry out structural responsibilities related to the organization—budgeting and financial management, human resources management, as well as information technology management (Van Wart, 2005, 410). As underscored by Van Wart (2005, 254), this group of competencies embodies the ability of the public-sector leader "to build and maintain the management infrastructure and coordinate the various systems of the organization." He also indicated that, perceived as purely management functions, these competencies are typically missing from discussions of leadership while at the same time playing a critical role in highly regulated public bureaucracies (2005, 254-255).

<u>Budgeting and Financial Management</u>

Link to Leadership Theory: Gulick and Urwick (1937); Stewart (1982); Ohio State Leadership Studies; the Michigan Leadership Studies; Mintzberg (1973); Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership Perspectives Model

Critical for understanding budgeting as a public-sector leadership competency is its being not only a vital planning device "used to translate presently scarce fiscal and

human resources in the public sector into future governmental goals and programs," and not only a "technical managerial document" "imposing control, economy, and efficiency in government," but a political tool "governed by considerations of compromise, strategy, and bargaining" (Stillman, 1996, 348-349).

Due to chronic fiscal stress of recent years, the focus of financial management has been on seeking ways of doing more with less. By handling resource ambiguity, both in terms of sources and amounts, financial management occupies a strategically important place in public organizations. Mikesell (2010, 2) underscores three important ways in which public finance differ from private finance: by the government's ability to tax, by unclear "ownership" of government due to the presence of many stakeholders sharing a legitimate interest in its decisions, and by the collective nature of the value of government services making it hard to quantify. Understanding these nuances, on top of the mastery of financial management elements, is the essence of this competency.

Human Capital Management

Link to Leadership Theory: Mintzberg (1973); Ohio State Leadership Studies; the Michigan Leadership Studies; Position Power; Social Exchange Theory (Hollander, 1958); Path-Goal Theory; Bass (1985); Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership Perspectives Model

The recognition of the crucial role of employees in improving performance has led to systematic involvement of senior management and executive leadership with the functions traditionally carried out by human resources departments. Thus, according to Bennis et al. (2001, 52), "Recruiting will have to become a full-time, continual process for most managers. Instead of beginning to look for a knowledge worker when there's an

opening, it will become important to look all the time." Strategic planning and strategic human resources management have provided the structure within which this involvement takes place.

According to Ingraham et al. (1999, 224), both government executives and middle managers feel that human resources management is steadily increasing in importance for their positions, while, at the same time, technical expertise is becoming less important.

Support for Equal Employment Opportunity and Merit Principles

Based on the 2003 U.S. Supreme Court's ruling, public agencies must "rely on affirmative action policies in order to redress past discrimination as well as to promote or enhance diversity in… the workplace" (Riccucci, 2012, 39). In a similar vein, merit principles ensure the merit basis of the civil service. Effective public leaders must not only know these policies and principles but also be able to act in accordance with them.

Talent Acquisition and Development

The purpose of talent management is to address "competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent" (OPM in Condrey, 2010, 34).

Considerable currency of the word *talent* notwithstanding, there is no universally agreed-upon definition of the term as applied to human capital. Most commonly it is used to indicate high-potential individuals, although their share in the total human capital is very small. An important implication of this interpretation of talent is that talent management should be different from human capital management; otherwise it won't make sense (Mayo, 2012, 52).

Thompsen (2010, 1) argues that there is a direct correlation between highly talented people and organizational success. At the same time, the market for talent has narrowed and become more competitive. Therefore, talent acquisition and development should be approached as a part of a two-pronged strategy focusing, on the one hand, on "building, deploying, and retaining highly talented performers and leadership bench strength" and on "ensuring that the right people with the right skills are in the right place at the right time," (Thompsen, 2010, 5), on the other. Finding the right people, nurturing and motivating them is the essence of an effective human capital strategy (Cohen, 2008, 45). In the public sector, however, this strategy is made more challenging by the fact that attracting the right—top-notch, talented, high performing, creating value—people is more difficult as compared to the private sector (Cohen, 2008, 45). Therefore, according to OPM (2008b, 5), the task of effectively attracting and evaluating candidates should drive the hiring process, with the ultimate goal of attracting sufficient number of qualified job candidates so that the most appropriate people be selected to fill the organization's job needs.

Appraising Performance

A part of a performance management framework, performance appraisal focuses on individual employee performance and the means to improve it (Kellough, 2012, 175). It is a managerial tool for directing "individual behavior within organizations into productive channels" (Kellough, 2012, 183). It requires of a public sector leader the application of two types of assessment criteria: one based on critical work outputs derived from the job content and his/her ability to conduct systematic job analysis (Kellough, 2012, 174) and another based on certain employee behaviors and traits

believed to be necessary for effective performance, such as timeliness and thoroughness of task completion, (Kellough, 2012, 175). In addition to criteria, it is also necessary to determine performance standards for each specified task based on reasonable expectations of what the employee can accomplish in terms of task quality and complexity, which requires an understanding on behalf of the leader of the nature and context of the job performed (Kellough, 2012, 174). Finally, the leader should be able to use, during the evaluation, a rating scale for documenting the observed level of subordinate performance and to substantiate it with accompanying narrative descriptions (Kellough, 2012, 176), as well be aware of obstacles, such as personal bias and error or insufficient timeframe, to effective performance appraisal (Kellough, 2012, 179).

Managing Personnel Change

Reflected in the "Flexible Governance" model, the public sector is undergoing dramatic changes in its workforce. These changes are not only numeric but also qualitative, such as telework and part-time employment. Therefore, it is important that public leaders be able to act in a way that assuages their employees' transition through the change process. Public managers' preparedness for, and effectively dealing with, resistance to change by employing strategies designed to minimize it is especially crucial (Van Wart, 2005, 226).

Managing Volunteers

The tradition of volunteerism has been well-established in this country. At its core—provision of free services that otherwise would be performed by paid employees or not offered at all, as, for example, participation in a community crime watch program (Lynn et al., 2010, 57). As defined by Brudney (2010, 235), "Volunteer programs in the

public sector constitute examples of coproduction: the active involvement of lay citizens with paid service agents in the planning and especially the delivery of publicly supported goods and services." The government's rationale for encouraging volunteerism being the saving of taxpayers' money (Brudney, 2010, 255), "engaging volunteers in the front lines of public service delivery or in support roles is" a form of governance "in which government organizations grant authority to citizens to assist in carrying out the public business" (Brudney, 2010, 243).

Volunteer activities in the U.S. are stipulated by the Volunteer Protection Act (VPA) of 1997 that provides a normative framework for volunteer activities, rights and responsibilities, offers protection of volunteers from lawsuits, and creates incentives for people to volunteer (Brudney, 2010, 249). Public sector leaders should have the knowledge of policies that concern the running of a volunteer program, from public-sector norms to reimbursement of expenses and other issues.

Managing Resources

Link to Leadership Theory: Gulick and Urwick (1937); Mintzberg (1973); Ohio State Leadership Studies; the Michigan Leadership Studies; Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership Perspectives Model

In conditions of resource scarcity, managing resources efficiently is an important competency. It requires of public sector leaders to constantly seek or develop new coordination and sharing strategies to ensure that "the workers or units have the tools, equipment, personnel, facilities, and funds to accomplish work" (Van Wart, 2005, 61).

Asset Management

Asset Management is defined as "an approach to government planning for the maintenance of public assets throughout their life cycle that (1) views the assets in terms of their return on investment and (2) establishes asset-disposal programs" (LeMay, 2002, 297). There are several types of assets that governments maintain: commercial enterprises, such as utilities or railroads; public assets with intrinsic value, e.g., parks or art collections; as well as facilities that keep producing income after the liquidation of the associated debt (LeMay, 2002, 297). Public managers should not only distinguish among different types of assets but know how to professionally value them and be able to make an informed decision which of the assets to privatize or dispose of when facing fiscal crisis (LeMay, 2002, 297).

Resource Allocation

Resource allocator is one of the ten major roles that Mintzberg ascribed to the manager. Requiring a degree of planning and constant fine-tuning, resource allocation, according to Van Wart (2005, 43), is not simply an issue of getting more; considering less—resource reallocation for optimal use or fungibility (resource conversion from one type into another or making choices among different resource needs, such as salary increases versus creating new positions)—is also a part of it. Most importantly, public managers should always tie resource needs to work needs and, in turn, to "the service and product standard levels desired by the law and clients, and by employee needs. The interplay of these factors—legal mandates, client demands, and employee needs—is complex and ever changing, which is why resource allocation is a critical part of all types of planning" (Van Wart, 2005, 43).

Risk Management

Risk management refers to the process of identifying, evaluating, addressing, and monitoring risk (Drennan et al., 11) with a view to prevent losses and reduce costs (Fone et al., 2000).

Fone et al. (2000) see in managing risk "a fundamental purpose of government." They (2000) argue, "Whether risks arise from the physical environment, the economic environment, or even from changes in voter preferences, public institutions have a broad responsibility to assess and address the risks that impact the community they serve."

Fone et al. (2000) also propose a broad definition of risk management as the coordinated management of all risks. Known as "organization risk management," it views risk management as a "general management function that permeates an organization, is linked to the organization's overall strategic plan, and serves to enable the operational achievement of organizational goals and objectives. Under this frame of reference, risk management is … an organizational value that informs and supports all managers' and employees' duties and activities" (Fone et al., 2000).

Public managers should possess the knowledge and skills necessary to distinguish between the two main types of risk—strategic and operational—and their many subtypes and be able to critically assess the changing nature of the risks we face today and might potentially face in the future (Drennan et al., 8). Additionally, an important element of managing organizational risk is ensuring compliance with legislation and regulation (Drennan et al., 14). By minimizing "surprises," it "enables the organization to run more smoothly and deliver its services more efficiently and effectively" (Drennan et al., 14). On the other hand, public-private partnerships and outsourcing of traditionally public-

sector services increase environmental exposure of the agencies involved, thus making controlling the cost of risk a priority (Fone et al., 2000). From the collaborative leadership perspective, Bryson et al. (1992, 17) describe how public managers can reduce individual risk by sharing responsibility, in particular: "Like most risk-reducing strategies—such as investing in blue-chip rather than high-growth stocks—this one precludes experiencing the lows by forsaking opportunities for the highs."

Information Technology Management

Link to Leadership Theory: Mintzberg (1973); Multiple-Organizational Level Leadership Theory (Hunt's Synthesis); Leadership Perspectives Model

As a resource, information differs from resources that are finite by the ubiquitousness of its sources (Jorgensen et al., 2001, 89). In this regard many believe that information technology, as a "powerful force for change," opens new opportunities for direct democracy" (Jorgensen et al., 2001, 90). As Holzer et al. (2011, 381) put it, inescapably technology is being integrated in every aspect of a public administrator's job. Moreover, public administrators, according to Jorgensen et al. (2001, 90), "are active participants in deciding how [this] highly malleable technology is developed and put to use." Therefore, in developing or applying new technologies, it is important for them to be aware of the impacts of their actions on people within their organizations and in society at large (Jorgensen et al., 2001, 90).

According to Holzer et al. (2011, 380), properly used technology applications dramatically save time and money and improve the decision-making process, as well as the speed of collecting, analyzing, and processing data. At the same time, improper use of technology results in exposure and compromise of sensitive data and the consequent

identity theft, fraud, and the disruption of vital services to citizens (Holzer et al., 2011, 380). This all makes "understanding how technology is organized within government" extremely important, especially "because what were once considered stand-alone systems are converging or being consolidated into shared databases and support systems" (Holzer et al., 2011, 380).

Underlying this competency is the commitment of public-sector leaders to learn "how technology can be better applied through various tools, applications, and solutions in the workplace, as well as how policy drives technology and vice versa" (Holzer et al., 2011, 381).

Knowledge Capture and Sharing

As Warren Bennis (2008 p. xi) put it, "The days when a company's most important assets are buildings and equipment are gone forever. Ideas are now the acknowledged engine and currency of the global economy. For leaders, and would-be leaders, the take-home lesson of the New Economy is that power follows ideas, not position."

Knowledge management is the practice of optimizing the acquisition, dissemination, and practical application of critical knowledge needed in today's work world" (Fairholm, 2011, 51). It is carried out on two levels: involving basic internal administrative procedures, such as those having to do with the logistics involved in an employee's departure, and those focusing on more comprehensive, organization-wide policies and procedures, such as safeguarding critical documents, contacts, and records (Holzer et al., 2011, 388). Similarly, leadership knowledge management focuses on maintaining "continuity of leadership by identifying and addressing potential gaps in

effective leadership" and "fostering 'programs that capture organizational knowledge and promote learning'" (Battaglio et al., 2010, 33).

Interestingly, Peter Drucker (1946) foresaw this trend over six decades ago, when he predicted the future when we would live in a knowledge economy and managers would manage information (Fairholm, 2011, 51).

Cluster 7: Building Coalitions

This cluster includes a group of competencies that address internal and external cooperation and coalition building necessary to achieve common goals. Rooted in the notions of shared values and responsibility, these are the competencies that relate to what Luke (1998) calls inter-sectoral management or what today becomes known as collaborative leadership.

<u>Networking and Partnering</u>

Link to Leadership Theory: McClelland (1987); The Michigan Leadership Studies; Yukl (1994); Skills Approach; Personal Power; Position Power; Social Exchange Theory (Hollander, 1958); Situational Leadership; Strategic Contingencies Theory; Transformational Leadership (Burns, 1978), Charismatic Leadership (House 1997); The Attribution Theory (Conger and Kanungo, 1987); Social Change Theory; Network Leadership; Complexity Theory; Leadership as Gardening Model

In Fairholm's (2011, 16) view,

> Client systems, whether they are customers, constituency groups, special interests, or the general public are increasingly asking for… a role in leadership… Leaders of our institutions will find that they must include representatives of these groups in their decision councils. And they will have to develop systems of joint leadership.

Identified by the OPM in 1998 as an "emerging competency," *networking and partnering* describes a leader that "develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries and finds common ground with a widening range of stakeholders, [and lastly] utilizes contacts to build and strengthen internal support bases" (U.S. OPM, 1999; in Van Wart, 2011, 408).

Given that networks are here to stay, "concerns with the management and leadership of such arrangements for optimal outcomes are increasingly relevant," especially considering the fact that public sector leaders are more "used to working in a top-down, hierarchical manner" (Mandell et al., 2009, 163).

Boundary-Crossing Leadership

The concept of boundaries is very important for the American democratic tradition. It underlies the notion of American individualism and the debate on the proper role of government in society, as well as the balance of powers doctrine and American federalism (Kettl, 2009, 32). As Kettl (2009, 32) put it, "Boundaries… are about the identity of government itself and how government relates to its citizens."

The developments, and reforms, of recent years, however, made the issue of boundaries even more critical, as "the connections between programs and problems have increased in range and scope" (Kettl, 2009, 32) to the point where "*it is no longer possible to assign responsibility for any fundamental problem to a single government agency—and no single agency can control or manage any problem that matters*" (Kettl, 2009, 34). Such "twenty-first-century public issues" that "do not operate within hierarchies" range "from health care to homeland security" (Kettl, 2009, 178). Addressing them requires what Kettl (2009, 178) calls "a leveraged government across

complex networks: government leaders who can effectively align public, private, nonprofit, American, and global players across the messy boundaries of action" and, most importantly, hold these actors accountable. DiIulio et al. (1993, in Radin, 1996, 145-146) sums up:

> Serving citizens today means finding ways to cross jurisdictional boundaries, which requires a more determined effort at all levels of the federal bureaucracy to cultivate government managers who are boundary spanners, managers who reach out to find colleagues in other agencies with whom they can solve problems. The need is to find ways to span multiple and cross-cutting boundaries, thereby improving government performance and responsiveness, but without sacrificing the core values that lie behind government's very existence.

Radin (1996, 159) denotes that boundary-spanning responsibilities are not a separate function but are "included among an array of tasks assigned a senior careerist." Radin (1996, 159) underscores, "The role, thus, becomes one that is integral to a manager's competencies. It reinforces… [the] view that administration is a process flowing through the actions of various people who span and link units both within and outside the organization."

Personal characteristics of boundary spanners not only provide their collective portrait but also demonstrate links with other competencies, such as "flexibility, extroversion, tolerance of ambiguity, self-assurance,… savoir faire," likability, achievement orientation, and good verbal skills. (Radin, 1996, 159-160). Radin (1996, 160) indicates that "they do not demonstrate a personal need for visibility. Rather, they find meaning in the challenge of trying something new in an environment where career bureaucrats are thought to be resistant to change."

Partnering

Partnerships as joint problem-solving efforts can be formed "between the workforce and management; between levels of government and between neighboring local governments; and between government and citizens, government and corporations, government and not-for-profits" (Holzer et al., 2001, 306); and finally, U.S. government organizations and international/foreign entities. As effective means of improving public service via cutting cost and reducing fragmentation and duplication of functions, they are believed to "be essential for pooling resources and improving productivity in an increasingly resource-scarce atmosphere" (Holzer et al., 2001, 306) and, therefore, should be a part of the public-sector leader repertoire of competencies.

Collaborating/Networking

While partnerships are independent organizations working together, *networks* are effective policy implementation tools built on interdependencies between public agencies and a "host of third-party actors" (Newbold et al., 2008, 40). Distinguishing features of collaborative networks include the "absence of a 'leader' in charge [as well as followers]… and the network's purpose of creating new infrastructures and environments needed to deal with complex problems (rather than the efficient delivery of services)" (Raffel et al., 2009, 22). In collaborative networks everybody is a partner and the ability to establish and maintain productive relationships among partners—to tap into "the relational power of networks, with its emphasis on trust, reciprocity and mutuality" (Mandell et al., 2009, 163)—determines the network's success (Mandell et al., 2009, 166) by providing the "mechanism to integrate previously dispersed and even competitive entities into a collective venture" (Mandell et al., 2009, 163).

The downside of networks (their "dark side") is that network settings do not eliminate political dynamics; if anything, they increase them (Newbold et al., 2008, 41). The requisite skills for effective networking pertain to "initiating, facilitating, and minding the processes for collaboration" (Raffel et al., 2009, 22). "A key skill involves driving the collective action toward better or more innovative outcomes" (Raffel et al., 2009, 22).

Stakeholder Relations

When a public problem arises, the first step in successfully addressing it is raising the issue in such a way as to get different key players interested (Luke, 1998, 67).

Stakeholder relations start with stakeholder identification—a function usually performed by a visionary leader who can negotiate with those "critical constituencies" and convince them in the importance of the proposed effort by outlining what "stakes" they have in the issue (Bryson et al., 1992, 67, 144).

The identification process of the core group of stakeholders consists of four steps: generating a comprehensive list of all potential stakeholders; identifying the so-called knowledgeholders—academic researchers, think-tank analysts and institutional planners—who hold critical knowledge or technical expertise on the issue needed to inform and guide the problem-solving process; selecting a core working group based on the resources, perspectives, and power needed to get things started; and finally, inviting more people to the table after the "core" group has been able to agree on key outcomes or desired results (Luke, 1998, 69, 70).

Convening Working Groups

Having identifies "people to invite 'to the table'," convening a working group is the second step. Here Cleveland's motto "getting everyone in on the act and still getting some action" (in Luke, 1998, 73) is the driving principle requiring a balance of people who can "make things happen" by committing resources and "those with a broader, systemic, and long-term perspective" "that can initiate what is called 'frame-breaking'" (Luke 1998, 73, 75).The task here is to motivate a "diverse set of people, agencies, and interests" "to join the effort, given competing time pressures" (Luke 1998, 67). Much thought should be put into this phase "because the norms and procedures established during the first set of meetings have significant and lasting influence over whether people commit their energy and time to an urgent public problem" (Luke 1998, 67-68) or not. According to Luke (1998, 77), convening a working group is driven by a person or a few individuals called "the catalyst" "who feel compelled to stimulate action" and also possesses a keen sense of connectedness and relatedness (Luke 1998, 225) or what Morse (2008) calls a collaborative mindset (see pages 265-266 of this work). The catalyst works toward helping the initial core group to overcome mistrust and skepticism by providing a safe or neutral space for meetings and developing "a credible process for proceedings based on a shared sense of purpose with clear roles and norms" (Luke 1998, 81). The tasks of the core working group include gathering relevant information from various sources, generating and analyzing alternatives, and developing recommendations or reaching agreements on specific directions for action (Luke 1998, 77).

Facilitating Mutual Learning Processes

Underlying *facilitating mutual learning processes* is the need for the members of a newly formed network to learn how to behave and deal with each other (Mandell et al., 2009, 166). It means creating structures that facilitate the network members' long-term communication consisting of sharing stories, vocabularies, and interaction patterns of the organizations they come from, which provides a means to first understand deeper mental models" prevalent in those organizations and then to "begin to construct a common set of models that will structure future interaction" (Never, 2007, 258). This, according to Mandel et al. (2009, 166), "requires a high level of trust among participants and takes much time and effort to develop."

Recognizing mutual interdependency, all network participants learn new ways of behaving by "focusing on the process of building a new whole" (Mandell et al., 2009, 166). "Reciprocity, relationship learning and creativity and shifting mindsets" are the qualities needed to move a network forward (Mandell et al., 2009, 167).

Facilitating Skills

According to Luke (1998, 186) facilitation is being "increasingly recognized as the preeminent skill of public leaders." It "requires skillful, direct, and strategic interventions in the working group's process" (1998, 186). Luke (1998, 143) describes network facilitators as "catalysts with a unique vantage point to stimulate an ongoing process of action, reflection, and spiraling back."

The presence of a "driver" of the relational process—"one or more individuals who can push the relationships beyond conventional levels," help participants to stay on track and work collaboratively (Mandell et al., 2009, 172).

Passion toward Outcomes

As I mention on page 267 of this work, I understand passion toward outcomes as a collaborative network's variant of organizational vision, with even stronger emotional component. A more neutral name for this element would be *drive for outcomes*. It focuses on articulating desired results and the reasons why they are desired (Luke, 1998, 223). In doing so, according to Luke (1998), it employs feelings to "arouse attention when dry logic does not work" and to "sustain efforts in the face of conflict and barriers" (202). Similarly, "Because the outcome will make the world a better place, it… becomes a continuous and passionate focus that involves an intellectual and emotional intensity.. [it] becomes the overarching purpose or goal that energizes and guides one's behavior over time" (223).

At the same time, it has a downside, as "strong emotions can override complex issues and can undermine sensitive network relationships" (Luke, 1998,   202).

Political Savvy

Link to Leadership Theory: Power-Influence Approach, especially Social Exchange Theory (Hollander, 1958); Strategic Leadership Theory; Complexity Theory

"Public administration cannot exist outside of its political context. It is this context that makes it public—that makes it different from private or business administration" (Shafritz et al., 2005, p. 6).

This competency refers to the ability of public managers to carry out their functions under conditions shaped by constraints of and interventions from the political environment (Rainey, 1997, 285), the two most prominent features of which are turbulence and interconnectedness (Rainey, 1997, 82). "The power of legislators, media,

and interest groups" and formal meetings with controlling groups are but few examples of public managers' exposure to the political process (Rainey, 1997, 285) (See also J.Q. Wilson's comment on political skills on page 17 and the discussion on page 414 of this work).

Influencing/Negotiating

Link to Leadership Theory: Stogdill; Kirkpatrick and Locke (1991); McClelland (1987); Mintzberg (1973); French and Raven (1959); Kelman (1958); Personal and Positional Power; Leader-Member Exchange Theory; Path-Goal Theory; Transformational Leadership (Burns, 1978), Charismatic Leadership (House 1997); The Attribution Theory (Conger and Kanungo, 1987); Complexity Theory; Leadership Perspectives Model

Over time, as reflected in the literature on leadership in general, the views on influence have changed from seeing it as a unidirectional process of "binding the wills of men to the accomplishment of purposes" intended by leaders (Barnard in Luke, 1998, 30) to conceptualizing it as a multidirectional process reflective of the interconnected world where no one is in charge. In this world, according to Luke (1998, 32), "public leadership shifts, changes, and is shared at different times by different people in different organization."

In public administration, however, the discussion of influence or, more specifically, bureaucratic power, has been framed by two contrasting viewpoints: one emphasizing the independence and influence of bureaucrats, alleging their excessive power, and another portraying them as being deprived of the necessary authority to carry out their jobs as well as being frustrated professionally (Rainey, 1997, 97). While both

views have merit, proactive behaviors of public-sector leaders, including the instances of "bottom-up" policy initiations by federal agencies, are well documented in scholarly literature (Rainey, 1997, 97).

Being aware of power dynamics pertaining to public-sector leadership, various conditions on which it depends, constraints that limit it, external actors that try to curtail it, and other factors that play an "essential role in the fundamental organizational process of gaining [human, financial, material, and technological] resources from the environment" (Rainey, 1997, 97-98) is what defines this competency.

As Lax and Sebenius (in Garvey, 1997, 469) put it, in the present-day interconnected world, in which managerial jobs are more defined by "the required network of agreements than by organizational boundaries," "negotiating is a way of life for managers:" "Interests conflict. People disagree. And they negotiate to find a form of joint action that seems better to each than the alternatives." Lax and Sebenius also argue that

> With the rise of complexity and interdependence, with increasing professionalization, with heavier emphasis on the role of information, with new organizational forms, and with the continuing decline in the automatic acceptance of formal authority, indirect managerial skills [such as negotiating] promise to be ever more necessary (in Garvey, 1997, 469),

which makes it even more paramount to include these skills into a future-oriented model of public-sector leadership.

Chapter Eight – Summary of Results

My intent in constructing the integrated competency model has been to provide a more comprehensive picture and clear-cut links between leadership theories and concepts and their application through competencies in everyday practice of leadership and management.

As organizational conditions are constantly changing, so should the competencies of public leaders. Competencies developed several years ago may not be as effective today as they used to be. According to Fairholm (2011, 15), in the twenty-first century, the capacity of public managers "to control their workforce, allocate resources equitably, or provide a uniform level of service in the face of multiple workers, customers, and other stakeholders" and in conditions of shared responsibility requires new competencies that are at odds with traditional theory and practice. A regular synthesis of public administration and organizational literature is helpful in identifying new trends and challenges as well as gaps in leadership competencies needed to effectively address these emerging challenges.

In comparing it with other competency models, the integrated competency model can be used as a benchmark for assessing what competencies have remained constant and constitute the "core" of leadership and managerial competencies, what competencies became obsolete, and what new competencies have appeared or are emerging because of environmental and contextual shifts. Thus, comparing Spencer and Spencer's (1993) model with the list of most frequently encountered competencies in the integrated model allows to see that such competencies as *personal and organizational integrity, continual learning, human capital, financial,* and *IT management, managing organizational*

change, decision making, managing conflict, program and project management, personal and organizational ethics, fostering creativity and innovation, and the *negotiating* part of the *influencing/negotiating* competency are missing from this undoubtedly older framework. Moreover, *visioning* and *written communication skills* appear as unique, rarely encountered competencies that were not even included in their main model and received only cursory mention in the book (1993). Similarly, *flexibility* was included into their (1993) bigger model but did not make it into their generic management model. On the other hand, Spencer and Spencer considered *technical credibility* to be a threshold competency necessary for, but not differentiating between average and effective, leadership performance. Kelp's (2001) comment a decade later about this competency, called *technical functional knowledge* in his classification, as not listed among the top twenty leadership attributes seems to confirm its irrelevance for superior performance. However, an alternative explanation, based on Peter Drucker's theory of the "manager's new role" in the "knowledge economy" (see page 33 of this work), linking a manager's professional expertise as a factor in effective leading to worker respect, recasts it as a discriminating competency. This explanation is supported by the competency's rather high frequency in the integrated model.

By contrast, Van Wart's *Leadership Action Cycle* (2008) looks rather advantageously, missing only *initiative* and *ethics skills*[43] from the integrated model-based list of competencies with the highest frequency (Table 14).

A comparison of OPM's ECQs with the contents of the integrated model also helps shed light on what is missing from this probably most emulated public-sector competency model. Thus, the following competencies are not represented in ECQs:

cognitive attributes, emotional intelligence, initiative, need for achievement, ethics,

energy, physical well-being, organizational culture, managing performance, planning

and organizing personnel, monitoring and assessing work, or *project and program*

management, time management, etc. While the absence of some competencies, such as

attributed to middle management, e.g., *planning and organizing personnel*, *monitoring*

and assessing work, or *project and program management*, to name a few, is to some

extent expected, considering that ECQs targets primarily prospective and aspiring senior

executives and is an applied model (and therefore should strive to relative parsimony),

the lack of other competencies raises issues.

It is hard to overlook in this regard the total absence of the *emotional intelligence*

competencies, especially striking in the sector heavily engaged in emotional labor. While

emotional labor is prevalent at the street-level of bureaucracy, the argument that EI

competencies are not relevant for the SES level would not hold, as scholarly research

shows that the importance of emotional intelligence is in direct proportion to the level of

management or leadership position. In OPM's model, *managing change* has received a

broad treatment as a core qualification *leading change* but not as a more narrowly

focused competency. Furthermore, the OPM model does not include *ethical skills*,

although it does mention ethical behavior as part of integrity. However, with ethics in

government being such a big, enduring, and often quite justifiable concern, I don't think

this is sufficient. Moral obligations of public officials and anti-corruption mechanisms

should not be left out from the leadership arsenal of competencies. Additionally, the

ethics/integrity conflation severely narrows and simplifies integrity as competency,

linking it to only three values—honesty, fairness, and consistency, and leaving other

values, such as trustworthiness, and other characteristics, such as moral courage, outside of its scope. Also, no differentiation has been made between personal and organizational integrity or personal, professional, and organizational ethics. Also missing from the ECQs is a competency that signifies a more holistic approach to work and life, as represented in *promoting health and physical well-being*.

Narrowness of scope of many ECQ competencies is another issue the comparison with the integrated model revealed. Thus, in defining communication skills, nothing is said about *communicating with the media and public relations*. Attributes of global leadership, such as *global perspective* as a subelement of *external awareness* or *foreign language skills*, or a *global understanding* of *public service motivation*, are similarly absent.

Finally, while the ECQ *building coalitions*, in particular *partnering*, represents the trend toward collaborative leadership, the boundary spanning competencies required to succeed within the inter-sectoral management framework are rooted in different assumptions about the nature of public problems or leadership, demand new approaches to both, are not limited to just one competency category or cluster and, therefore, could benefit from a more detailed representation of competencies pertaining to the process of collaboration and what it takes to move it forward to successful completion. The comparison between the ECQs and the integrated model shows that new subelements of boundary crossing competencies could be added to *interpersonal skills* (e.g., *sense of mutuality and connectedness*) and especially to *partnering*, focusing on *stakeholder relations*, *convening working groups*, *facilitating skills*, and *the drive for outcomes*, to name a few.

Reiteration of Propositions and Gained Insights

Based on the research questions and the three streams of literature reviewed, the following propositions have been formulated:

P1: Leadership competency models can effectively capture and help institutionalize new and emerging competencies through periodic revisions and adjustments of their content.

The above discussion, as well as the overview of the ECQs revisions on pages 288-289 of this work, shows that competency models can be, and in fact are, periodically, and with relative ease, updated to shed outdated competencies and, more importantly, add the new ones. Such competencies as *continual learning*, *systems thinking, self-awareness*, and *creativity and innovation*, to name a few, have been definitely captured and institutionalized in a number of existing competency models. At the same time, the integrated model has also captured a number of emerging competencies, mostly, but not exclusively, linked to collaborative leadership, such as *boundary-crossing leadership*, *passion toward outcomes, health and physical well-being*, and some others. And although, presently, it is too early to determine whether or not they will become firmly established in public leadership competency models, their capture in the integrated model supports proposition one.

P2: The appeal of competency-based leadership/management models, stemming from their philosophical straightforwardness and simplicity and from their practitioner- and action-orientation, positions them as a strong contender to fill the void in the current reform movement in terms of leader selection, promotion, and development.

The discussion on an enduring or passing nature of the competency-based

approach provided on pages 179-181 of this work, and the fact that the arguments found

in the literature are in favor of the former, seems to support proposition two.

P3:   Existing public-sector competency models will have competencies

representing all five models of governance, with fewer competencies

pertaining to the traditional bureaucratic model.

Table16: Leadership Competencies by Model of Governance

Model of Governance	Leadership Competencies
Market	Cognitive Attributes; Need for Achievement; Energy; Stamina; Persistence; Information Seeking; Team Leadership; Customer Service Orientation; Organizational Effectiveness and Process Improvement; Performance Management/Measurement; Entrepreneurship and Risk-Taking
Participatory State	Interpersonal Skills (Empathy, Trust Building); Listening; Nonverbal Communication; Public Outreach; Emotional Intelligence; Continual Learning; Integrity; Public Service Motivation; Health and Physical Well-being; Team Building; Empowering; Delegating; Developing Others; Leveraging Diversity; Decision-Making; Influencing/ Negotiating
"Flexible Government"	Spontaneity/Improvisation; Creativity and Innovation; External Awareness; Flexibility/Adaptability; Conflict Management; Facilitation Skills; Program/Project Management; Planning and Organizing Personnel; Partnering/ Networking
"Deregulating" or "Reinventing Government"	Tact/Diplomacy; Information Sharing; Systems Thinking; Initiative; Resilience; Strategic Thinking and Planning; Articulating the Mission and Vision; Managing Organizational Change; Organizational Culture;
Bureaucracy	Written Communication; Decisiveness; Ethics; Directiveness; Supervising; Informing; Accountability; Problem Solving; Technical Credibility; Monitoring and Assessing Work; Political Savvy

In assessing the soundness of proposition three, I use a table format (See Table

16) to establish links between existing leadership competencies and the five models of

governance. Although the same competency can represent two or more models, each

competency is placed it in the table only once, opposite that model I think it represents

the best. As the criterion to guide the placement of competencies, I use the descriptions of the five models of governance provided on pages 19-27. The distribution of competencies does seem to be in favor of the models linked to NPM; nevertheless, both the participatory governance model, representing the shift to NDG, and the bureaucratic model (to somewhat lesser degree) are also represented.

P4: **Existing public-sector competency models will have competencies emphasizing professional expertise and other competencies associated with the manager's new role.**

Such competencies as *workplace perceptiveness, listening; continual learning/ information seeking; systems thinking; team building; developing others; leveraging diversity, IT management* and especially *knowledge capture and sharing* represent the manager's new role. Therefore, proposition four has been confirmed.

P5: **The linkages between competency-based models and leadership theory go well beyond trait and skills approaches with which they are typically associated, to include all major approaches.**

Some critics of competency models, accusing them of their narrow focus, do not see other linkages with leadership theory beyond traits and a great man approaches, while the analysis, in fact, shows the existence of linkages with all major approaches. I have been able to match the competencies from the integrated model with all major theories discussed in the literature overview.

P6: **Coming from disparate fields, competency understandings are too divergent for a common definition and /or overarching theory of competency to emerge.**

I believe that a great deal of confusion notwithstanding, the literature review indicates that there is movement toward the merging of the approaches, which, at this point, only adds to the confusion, however. Nevertheless, the movement toward convergence is evident both inside the performance-based approaches as well as between the organizational capacity and the behavioral approaches, Chen and Naquin's (2006) "overarching perspective" cited earlier being the example of the latter.

On the other hand, an applied leadership competency model that is prevalent in public agencies is called core competency model. Ross et al. (2002) provide a definition of the so-called c*ore competencies*, referring to a set of *interrelated identifiable and categorizable skills that can "transcend unique organizational settings" and be "applicable across the environment"* (in Beinecke et al., 2009, 344). The "transcending" nature of core competencies in this definition is the direct opposite to the uniqueness of the strategic "core competence of organization". Therefore, whether the term *core competency* has been borrowed from the organizational capacity paradigm, as similarities in assumptions seem to indicate, conceptually, the two notions are different. However, because of the different orientation of the public sector, as the above definition of core competencies helps to pinpoint, the private sector's organizational capacity approach may be the case when private sector mechanisms cannot be expected to be fully transplanted into the public sector, no matter what the NPM protagonists argue. Therefore, I conclude that proposition six require further consideration.

P7: **Vagueness of the term *competency* complicates the emergence of an overarching theory of competency.**

The cross-pollination occurring across approaches indicates that inter-discipline dialogue is taking place. However, the amount of confusion associated with the definitions of competency seems to significantly slow it down.

Underlying Assumptions of the Integrated Model of Public-Sector Leadership Competencies

The integrated model of public leadership competencies is a theoretical construct, not an applied action model. It has been created for exploratory, descriptive, and educational/training purposes. Nevertheless, the process of its construction has provided me with insights that can be illuminating in developing applied, action-oriented competency models. In my opinion, the following are the most essential principles on which an applied model of public-sector leadership competencies should be built:

❑ *Both leadership and management competencies should be included in the model*. A core model of competencies, permeated with public institutional values, can become an important vehicle to increasing leadership effectiveness of public managers. As I see it, and as Behn (1998) argues, the exercise of leadership should be an explicit part of the public manager's job. "Public managers should take initiative to correct the current failures of our system of governance— particularly those failures that impinge on the ability of the manager's agency to pursue its mission effectively" (Behn, 1998, 221).

❑ *The model should be future-oriented*. It should contain both "enduring" and emerging competencies. Currently the emerging competencies have been linked to global leadership attributes, cultural diversity, wholeness and spirituality, and collaborative leadership and NDG models. Periodic reviews based on the latest

research and theory development should serve as a foundation for constantly updating the targeted group of competencies. The findings of Treverton's (2005, 289) research on the current availability of the leadership competencies of the future have revealed that, of the three sectors, the public sector was experiencing the most acute shortage of "desired competencies in future leaders" despite the greater number of mid-career development opportunities available to its employees.

❑ *The model should be parsimonious*. Referring to the existing competency models containing two to three dozens of competencies, Ingraham et al. (2005) observe that the notions of competencies they are built on—"for the political appointees; the leadership echelons of the career service; the rest of the career service; the entire government; central agencies; individual agencies; and badly needed future leaders—not only suggest superhuman abilities, but also contain seriously conflicting expectations" (801-802).

❑ *The model should be based on the principle of equality/nondiscrimination.* McClelland's (1973) idea of nondiscrimination that guided him in suggesting "testing for competence rather than intelligence" should be preserved. Therefore, leadership research on gender, race, and diversity should be considered in the initial and consequent model building.

❑ Most *competencies* comprising the model *should be* highly *learnable* and, therefore, carefully chosen and precisely defined. The so-called role models, such as NASA's or the State Department's, or the ones with behavioral scales, such as the ECQs, have utilized this principle rather fully.

❑ Finally, and in my view most importantly, to be a truly *public leadership core competency model*, it *should contribute to*, as well as embody, what Mau (2009) calls *a distinct public-sector leadership brand*—"the unique values and ethics that sustain the public sector" (329, 332).

I'd like to elaborate on this last point. Researchers (Treverton, 2005; Mau, 2009) denote the existence of "an integrated cluster of competencies, including substantive knowledge, managerial ability, strategic vision, and experience at operating across cultures" common for all three sectors" (Treverton, 2005, 289). For Mau (2009), the existence of commonalities with the private sector indicates that the present-day core competencies models—he speaks about the ECQs model in particular—do not appear to be exclusively geared toward public-sector leaders, which, for him, is not "completely unexpected given that" the competencies comprising them "were typically identified on the basis of extensive research on the successful attributes of leaders in both the public and private sectors" (330), and, besides, as seen from the review of leadership literature, there has been from the beginning some degree of commonality between the sectors expressed in the generic management functions. Mau (2009, 330) refers to them as "relevant points of convergence between the prerequisites for effective leadership" in both sectors. In particular,

> [L]eaders in both arenas need to be adept at "big picture" or strategic thinking; they are also skilled at aligning people, work and systems in pursuit of that strategy; and they have mastered the art of effecting real change that maximizes results. Ultimately leaders in both sectors are striving to achieve management excellence for their respective organizations. Given these commonalities one would expect to see some overlap in the leadership competencies identified for senior executives (Mau, 2009, 330).

Historic trends of recent decades have also contributed to the convergence of public and private leadership competencies. These trends concern the shift in "the locus and composition of public service" (Bowman et al., 2010, 16) as well as significant changes in how public service is conceived. As the boundaries among the public, private and nonprofit sectors have become increasingly blurred, public service has taken on a broader meaning. According to Bowman et al. (2010), "Public service no longer refers exclusively to tasks performed by government; it now involves work with nonprofit organizations and private firms. Thus, multisectored service providers, mobility or sector switching among employers, and the commitment of individuals to make a difference all animate the tectonic shift occurring in public service" (9).

That said, however, the primary purpose of the public service has not changed and "continues to be the improvement of civic well-being" (Bowman et al., 2010, 16). That is why many believe that "there are real and important differences between public and private sector leadership" (Mau, 2009, 330). A much stronger emphasis on public sector motivation, integrity, and ethics has always distinguished the former from the latter. As Mau (2009) aptly notices, "To some extent shared values and ethics as a means of building organizational commitment represent a competency that outstanding public and private sector leaders have in common" (332-333), however, in the public sector "shared values and ethics" embody institutional integrity that preserves and conserves "constitutional tradition, which is not only an essential element of U.S. governance but also, to borrow from Selznick, an important aspect of 'political statesmanship'" (Newbold et al., 2008, 43).

Political skills embodied in the competency *political savvy* represent another such "real and important difference." Ellwood (1996, 53) contends that having these skills is a "necessary condition for effective public management, while "for superior management, the private-sector-sufficient management skills have to be present as well… [as] the public manager also has to be able to motivate people, structure organizations and processes, effectively use financial resources, and (in many cases) create production processes to deliver goods and services" (Ellwood, 1996, 53). Not only political skill is a uniquely public-management characteristic—the one that distinguishes it from its private counterpart; framed in terms of competencies as *political savvy,* following Ellwood's (1996) logic, it also becomes a threshold competency, with generic management skills serving as differentiating competencies (the ones that contribute to superior performance).

Finally, as The Commonwealth Association for Public Administration and Management (2005) indicates, not only the two sectors differ in terms of the sets of competencies, but they also differ in terms of the competencies' breadth: "Specifically, public servants require more than technical skills; they require a broad spectrum of knowledge, skills and abilities, plus a firm grounding in public sector values and ethics" (cited in Mau, 2009, 330).

Perry and Wise (1990) thus summarize the shortfalls inherent in "the current trend of treating the public service like private enterprise:"

> [I]t fails to acknowledge unique motives underlying public sector employment and the critical linkage between the way a bureaucracy operates in an administrative state and the advancement of social and democratic values. Current crises of ethics and accountability among politically appointed senior managers in government may be an outgrowth of the idea that management in the public sector is not unique. At the same time, declines in the advancement of social goals may

be linked to the emphasis on business management techniques in government (371).

Echoing views of many in public administration (Ingraham et al., 2005; Newbold et al., 2008; Frederickson et al., 2007), Mau (2009) thinks it "absolutely critical for leadership in the public sector as a whole to have a distinct brand when compared with private sector organizations" (p 329-330), as it is critical for scholars and practitioners alike not to lose sight of this fact (314). He argues:

> To be truly effective, competency models must actually serve to develop a distinctive public sector leadership brand. Relying on generic competencies that seemingly capture the essence of leading in both the public and private sector is misguided. Irrespective of the trend toward managerialism in the public sector, neither public sector management nor public sector leadership is completely analogous to that which is found in the private sector. Public sector leadership is distinct; it is imperative that we remain cognizant of its uniqueness and recruit and develop our leadership cadre accordingly (2009, 335).

For this to happen, the content of the integrity competency should be redefined from the point of view of public-sector specific values; the values part of the mission and/ or organizational culture competencies should be broadened; decision-making skills should include ethical decision making; and the ethics competency (once again, tailored to the public sector) added to those models that don't have it.

There is also a discussion of the need to introduce a new, purely public-sector, leadership competency that, reinforced by the oath of office, would epitomize public servants' unique role as guardians of "the nation's constitutional tradition" and protectors of the "normative and constitutional values embedded in the state's governance structure" (Newbold et al., 2008, 45) —what Rosenbloom et al. (2000, in Newbold et al., 2008, 43) call "constitutional competence," and what Selznick (1957) called "statesmanship."

Conclusions

Contribution

I believe that the heuristic exercise in constructing an integrated model of public-sector leadership competencies undertaken on these pages allowed me to contribute to the development of the competency-based approach in a number of ways:

The resulting model has established the need in new leadership competencies in the public sector, especially those pertaining to emotional intelligence, the collaborative and global leadership models, transition to New Democratic Governance, and the movement toward wholeness and spirituality at workplace and in life. It has also reiterated the importance of preserving, through competencies, uniquely public-sector values and "what is truly public about government management" (Kettl, 1999, 131) and developing a distinctive public-sector leadership brand. In doing so, it highlighted the major shortcomings of the OPM's core competencies model as well as suggested ways and direction for its improvement and updating.

I also hope that the integrated model brings the disparate and disjointed language of competency modeling one step closer to a common denominator, thus deepening our understanding of this phenomenon, and that it also contributes, through the advancement of the topic, to the improvement of our civil service and its leadership cadre's training and development.

Limitations of the Integrated Competency Model

❑ The model is not parsimonious. A number of researchers (Mau, 2009; Ingraham et al., 2005) indicate that a core competency model must be comprised of no more than 6 to 8 competencies to be meaningfully utilized in hiring, compensation and

promotion decisions, and "each competency must clearly distinguish expectations according to the demands of the various roles in the organization" (Mau, 2009, 331). Since the model has been created as a study of competencies, not as an applied model, its parsimony has not been my intent.

❑ The model does not differentiate between levels of leadership involved, although it is clear that competencies needed at the top of the organization are quite different from those required at the supervisory level, as it is understandable that the competencies of a team leader differ from those of a middle manager. Having said that, however, my reasons for not following such a differentiation are rooted in the recent trends of flattening the organizational structure and decentralizing many of the organizational functions that have "pushed the importance" of many competencies "down to levels lower than those of the past" (Van Wart, 2011, 392) and created "the need for effective leadership at the lower levels of the hierarchy" (Kotter, 1988).

❑ Gender-, race-, age-, and culture-related differences have not been addressed as well, even though it is logical to assume that there will be differences in terms of competency sets.

❑ Links with other competencies have not been discussed in a systematic manner. This has been intentionally omitted so as to delimit the scope of the project and also because this subject has received substantial treatment elsewhere (Van Wart, 2011).

❑ Model selection criteria has not been clearly stated or carefully chosen.

❑ Relatively small pool of models representing all three sectors has been used. In view of the discussion on creating a distinct public-sector leadership brand, focusing on public-sector models would probably be more informative.

❑ There are also conceptual and methodological limitations inherent in the competency model as a type of research that the model inherited. For example, Yukl (1994, 76) points to the lack of attention to situational variables. I believe that to some extent, at least in those competencies that were identified through behavioral event interviewing, situational component is present implicitly. Linking competencies to the five models of governance also helped enhance situational aspects of the model. Another methodological weakness of competency models is the narrow application range of competencies: they are applied to one individual at a time. One should also remember that individual effectiveness is a product of a range of interactions of a person's competencies with situational variables, including other people and organizational environment. Among the limitations listed by Van Wart (2012) are "excessively universalistic" tendency of overarching explanatory models and theoretically problematic multiple sourcing methodology (Van Wart, 2012, 163).

It is because of these limitations Mau (2009), not trying to undermine the usefulness of the competency model, cautions,

> Governments that have embraced the use of competency models must be realistic in terms of what they can accomplish with respect to public sector renewal and leadership development. They are not the holy grail of public sector leadership development; at the end of the day, they are but one tool available to governments for addressing the significant human resources challenges that they face. Governments need to spend as much time implementing, utilizing and supporting the competency models as is spent to develop them in the first place. Furthermore they need to be evaluated so as to be able to determine whether or not they are

actually working because "despite significant investments made by organizations in competency frameworks, they have not always produced the expected outcomes…"

Possible "New Horizons" in Competency Research

1. Application of game theory to the study of competencies—those referred to as "soft skills" and EI. Koremenos and Lynn (1996, 215) explored the value of game theory in analyzing the success of one leader. They argue that game theory "establishes an analytical framework for evaluating the significance of the kinds of nonalgorithmic, intuitive, "soft" behaviors most of us believe are central to managerial practice."

2. Research on and creation of gender-differentiated competency frameworks. Such research is already underway. Worth mentioning in this regard is a research endeavor by Poole et al. (1998) directed at discovering gender-differentiated competency sets and paths of their acquisition, including comparisons of constraints both genders face, uses of power, and perceptions as to which competencies are important.

3. Evaluation Research of competency-based approaches.

Practical Application of the Integrated Competency Model

This dissertation research as it is summed up in the "at-a-glance" table will be applied to the development of the contents of a competency-based online certificate program for top management and executive leadership in state and local governments of NJ as well as in the state's nonprofit sector, at which time the model will be further refined and individual competencies further developed.

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APPENDIX A: Dictionary of Competencies

A

Ability to Change = Adaptability; Flexibility; Resilience; Stamina and Adaptability. Spencer et al., 1993, 84.

Ability to Establish Rapport = Concern for Customer Relationships; Develops Contacts; Networking; Personal Contacts; Relationship Building; and Use of Resources. Spencer et al., 1993, 51.

Ability to Generate Theories = Conceptual Thinking; Critical Thinking; Insight; Pattern Recognition; Problem Definition; Use of Concepts. Spencer et al., 1993, 70.

Accountability—Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules. Part of the Results Driven cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp

Accountability—"the ability to hold people accountable to standards of performance or ensure compliance using the power of one's position or force of personality appropriately and effectively, with the long-term good of the organization in mind." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Accurate Self-Assessment (1)—"a competency in which people have a realistic or grounded view of themselves." A <u>threshold competency</u>. Part of the human resource management cluster. Boyatzis, 1982, 134-137. See below.

Accurate Self-Assessment (2)—"knowing one's own strengths and weaknesses and using the strengths effectively while compensating for weaknesses." Part of the "unique" competency group. Spencer et al., 1993, 88. See above.

Accurate Self-Assessment (3)—"Leaders with high self-awareness typically know their limitations and strengths, and exhibit a sense of humor about themselves. They exhibit a gracefulness in learning where they need to improve, and welcome constructive criticism and feedback. Accurate self-assessment lets a leader know when to ask for help and where to focus in cultivating new leadership strengths." Part of the self-awareness domain. Goleman et al., 2002, 253.

Achievement—"Leaders with strength in achievement have high personal standards that drive them to constantly seek performance improvements—both for themselves and those they lead. They are pragmatic, setting measurable but challenging goals, and are able to calculate risk so that their goals are worthy but attainable. A hallmark of achievement is

in continually learning—and teaching—ways to do better." Part of the self-management domain. Goleman et.al., 2002, 254.

Achievement Orientation (ACH)—a concern for working well or for competing against a standard of excellence, which may be: the individual's own past performance—striving for improvement; an objective measure—results orientation; the performance of others—competitiveness; challenging goals set by the individual him-/herself; or what anyone has ever done—innovation. Part of the achievement and action cluster. Spencer et al., 1993, 25. See also Efficiency Orientation.

Achievement Orientation—"a concern for surpassing a standard of excellence. The standard may be one's own past performance (striving for improvement); an objective measure (results orientation); outperforming others (competitiveness); challenging goals, or something that has not been done previously (innovation)." Part of the Transformation Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Adaptability = Ability to Change; Flexibility; Resilience; Stamina and Adaptability. Spencer et al., 1993, 84.

Adaptability— "Leaders who are adaptable can juggle multiple demands without losing their focus or energy, and are comfortable with the inevitable ambiguities of organizational life." Part of the self-management domain. Goleman et al., 2002, 254.

Affiliative Interest—"building friendly relationships purely for their own sake;" "genuine interest in and enjoyment of other people (found in good teachers and client-relationship managers)" (not included in the Competency Dictionary). Spencer et al., 1993, 51, 88. See also Concern with Close Relationships.

Analytic Skills—"the ability to remember, make distinctions, and deal with complexity and ambiguity." Part of the Skills cluster. Van Wart, 2011, 305.

Analytical Thinking (AT)—an understanding of a "situation by breaking it apart into smaller pieces, or tracing the implications of a situation in a step-by-step causal way." "Includes organizing the parts of a problem or situation in a systemic way; making systematic comparisons of different features or aspects; setting priorities on a rational basis; identifying time sequences, causal relationships or If⟶ Then relationships." Part of the cognitive cluster. Spencer et al., 1993, 68.

Analytical Thinking—"the ability to understand a situation, issue, or problem by breaking it into smaller pieces or tracing its implications in a step-by-step way. It includes organizing the parts of a situation, issue, or problem systematically; making systematic comparisons of different features or aspects; setting priorities on a rational basis; and identifying time sequences, causal relationships, or if-then relationships." Part of the Transformation Cluster, NCHL Health Leadership

Competency Model, 2006,
http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Analyzing Problems = Analytical Thinking; Planning Skill; Practical Intelligence; Reasoning; Thinking for Yourself. Spencer et al., 1993, 68.

Articulating the Mission and Vision—"defining and expressing an organization's purpose, aspirations, and values." Part of Organization-Oriented Behaviors cluster. Van Wart, 2011, 401.

Assuring Subordinates' Growth and Development = Coaching Others; Developing Others; Providing Support; Realistic Positive Regard; Teaching and Training. Spencer et al., 1993, 54-55.

Attention to Patient Satisfaction = Customer Service Orientation; End-User Focus; Focus on the Client's Needs; Helping and Service Orientation; and Partnering the Client. Spencer et al., 1993, 40.

Awareness of Client Organizations = Bringing Others Along; Organizational Awareness; Playing the Organization; Political Astuteness; Using the Chain of Command. Spencer et al., 1993, 48-49.

Awareness and Use of Information Technology—Is aware of information technologies available at NASA. Selects and uses those appropriate for managing work. Includes Skill: Leads Use of Information Technology. NASA Leadership Model, 2008.

B

Being in Charge = Building a Sense of Group Purpose; Genuine Concern for Subordinates; Group Management and Motivation; Taking Command; Team Leadership; Vision. Spencer et al., 1993, 64.

Being not Easily Provoked = Resistance to Stress; Self-Control; Stamina; Staying Calm. Spencer et al., 1993, 79.

Being Proactive = Bias for Action; Initiative; Proactivity; Seizing Opportunities; and Strategic Future Orientation. Boyatzis, 1982, p. 71; Spencer et al., 1993, 31.

Bias for Action = Being Proactive; Initiative; Proactivity; Seizing Opportunities; and Strategic Future Orientation. Boyatzis, 1982, p. 71; Spencer et al., 1993, 31.

Bringing Others Along = Awareness of Client Organizations; Organizational Awareness; Playing the Organization; Political Astuteness; Using the Chain of Command. Spencer et al., 1993, 48-49.

Building and Managing Teams—"involves creating and supporting "true" teams in addition to traditional work units, and team building involves enhancing identification with the work, intranet beer cooperation, and esprit de corps of both work groups and teams." Part of the People-Oriented Behaviors, Van Wart, 2011, 375.

Building a Sense of Group Purpose = Being in Charge; Genuine Concern for Subordinates; Group Management and Motivation; Taking Command; Team Leadership; Vision. Spencer et al., 1993, 64.

Building Bonds—"cultivating and maintaining a web of relationships." Part of the Relationship Management Domain. Goleman et al., 2002, 39.

Businessmindedness = Commitment to the Command's Mission; Mission Orientation; Organizational Commitment; Vision. Spencer et al., 1993, 86.

Business Development—Anticipates and fulfills the needs of customers and stakeholders. Includes Skill: Business Development Leadership. NASA Leadership Model, 2008.

Business Management—Ensures the efficient allocation and management of NASA human, financial, physical and administrative resources. Includes Skills: Asset Management, Financial management, Risk Management, Human Capital Management. NASA Leadership Model, 2008.

C

Change catalyst—"initiating, managing, and leading in a new direction." Such leaders can recognize the need for the change, challenge the status quo, and champion the new order. They advocate the change with compelling arguments, even in the face of strong opposition. They also offer practical solutions to overcome barriers to change. Part of the Relationship Management Domain. Goleman et al., 2002, 39, 256.

Change Leadership—"the ability to energize stakeholders and sustain their commitment to changes in approaches, processes, and strategies. Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Change Leadership—Acting as a change agent; initiating and supporting change within the organization by implementing strategies to help others adapt to changes in the work environment, including personal reactions to change; emphasizing and fostering creativity and innovation; being proactive. National Consortium CPM Competencies.

Clarifying Roles and Objectives—Assigning tasks, providing direction in how to do the work, and communicating a clear understanding of job responsibilities, task objectives,

deadlines. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Clarifying Roles and Objectives—"refers to working with subordinates to guide and direct behavior by communicating about plans, policies, and specific expectations." Part of the Task-Oriented Behaviors. Van Wart, 2011, 329.

Classroom Control and Discipline = Directiveness: Assertiveness and Use of Positional Power; Firmness in Enforcing Standards; Taking Charge; Use of Aggressive Influence; Use of Power. Spencer et al., 1993, 58.

Coaching Others = Assuring Subordinates' Growth and Development; Developing Others; Providing Support; Realistic Positive Regard; Teaching and Training. Spencer et al., 1993, 54-55.

Cognitive Skills—Applies critical and appropriate judgment, decision-making and thinking strategies to organizational, interpersonal and competitive issues. Includes Skills: Decision Making, Strategic Thinking, Creativity and Innovation. NASA Leadership Model, 2008.

Collaboration—"the ability to work cooperatively with others as part of a team or group, including demonstrating positive attitudes about the team, its members, and its ability to get its mission accomplished." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006,
http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Collaborative Influence = Impact and Influence; Impression Management; Showmanship; Strategic Influence; Targeted Persuasion. Spencer et al., 1993, 45.

Commitment to Learning = Diagnostic Skill; Expert-Helper Image; Legal Awareness; Product Knowledge; Technical/Professional/Managerial Expertise. Spencer et al., 1993, 73.

Commitment to the Command's Mission = Businessmindedness; Mission Orientation; Organizational Commitment; Vision. Spencer et al., 1993, p. 86.

Communication, defined broadly, is "the ability to effectively exchange information through active and passive means." Part of the Skills cluster. Van Wart, 2011, 293.

Communication—"the ability to speak and write in a clear, logical, and grammatical manner in formal and informal situations, to prepare cogent business presentations, and to facilitate a group." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006,
http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Communication and Advocacy—Communicates and advocates discipline-related knowledge. Includes Skill: Organizational Advocacy. NASA Leadership Model, 2008.

Community Orientation—"the ability to align one's own and the organization's priorities with the needs and values of the community, including its cultural and ethnocentric values and to move health forward in line with population- based wellness needs and national health agenda." Part of the Transformation Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Conceptual Thinking (CT)—a way of "understanding a situation or problem by putting the pieces together, seeing the large picture. It includes identifying patterns or connections between situations that are not obviously related; identifying key or underlying issues in complex situations." It uses "creative, conceptual, or inductive reasoning to apply existing concepts or to define novel concepts." Part of the cognitive cluster. Spencer et al., 1993, 70. See also Conceptualization.

Conceptualization—"a thought process in which the person identifies or recognizes patterns in an assortment of information; that is, the individual develops a concept that describes a pattern or structure perceived in a set of facts. The concept seems to emerge from the information. Boyatzis, 1982, pp. See also Conceptual Thinking.

Concern for Order, Quality, and Accuracy (CO)—"reflects an underlying drive to reduce uncertainty in the surrounding environment." Part of the achievement and action cluster. Spencer et al., 1993, 29.

Concern for Standards = Achievement Orientation; Efficiency Orientation; Entrepreneurship; Focus on Improvement; Optimizing Use of Resources; and Results Orientation. Spencer et al., 25.

Concern with Clarity = Concern for Order, Quality, and Accuracy; Desire to Reduce Uncertainty; Keeping Track; and Monitoring. Spencer et al., 1993, 27-28.

Concern with Close Relationships—"a competency that people care about and build close relationships with individuals." At the motive level = n Affiliation. Excluded from a generic model of management due to irrelevancy. Boyatzis, 1982.

Concern with Impact—"a concern with symbols of power to have impact on others." At the motive level = n Power. Part of the goal and action management cluster. Boyatzis, 1982, 85-93.

Concrete Style of Learning and Communicating—"learning by direct hands-on experience, communicating by provision of direct experience, demonstrations, and so on"

(not included in the Competency Dictionary). Part of the "unique" competency group. Spencer et al., 1993, 88.

Conflict Management—Resolution of disagreements. Leaders who excel in managing conflicts "are able to draw out all parties, understand the differing perspectives, and then find a common ideal that everyone can endorse. They surface the conflict, acknowledge the feelings and views of all sides, and then redirect the energy toward a shared ideal." Part of the Relationship Management Domain. Goleman et al., 2002, 39, 256.

Conflict Management—Encourages creative tension and differences of opinions. Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner. Part of the Leading People cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Conflict Resolution = Group Facilitation; Managing Branch Climate; Motivating Others; Teamwork and Cooperation. Spencer et al., 1993, 61.

Consulting—Checking with people before making changes that affect them, encouraging suggestions for improvement, inviting participation in decision making, incorporating ideas/suggestions of others in. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Consulting—"involves checking with people on work-related matters and involving people in decision-making processes." Part of the People-Oriented Behaviors, Van Wart, 2011, 353.

Continual Learning—Assesses and recognizes own strengths and weaknesses; pursues self-development. Part of the Fundamental Competencies cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Continual Learning, broadly defined, **"**means taking responsibility for acquiring new information, looking at old information in new ways, and finding ways to use new and old information creatively." Part of the Skills cluster. Van Wart, 2011, 311.

Creativity and Innovation—Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes. Part of the Leading Change cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Critical Thinking = Ability to Generate Theories; Conceptual Thinking; Insight; Pattern Recognition; Problem Definition; Use of Concepts. Spencer et al., 1993, 70.

Cross-Cultural Relationships—Understands the important aspects of language, behaviors, beliefs and environment that comprise the culture of the international partner. Includes Skill: Cross-Cultural Leadership. NASA Leadership Model, 2008.

Cross-Cultural Sensitivity—not an independent competency; part—a special case--of Interpersonal Understanding, across cultural divides. Spencer et al., 1993, 37. See also Leveraging Diversity.

Customer/Market Sensitivity = Diagnostic Focus; Information Seeking; Looking Deeper; Problem Definition. Spencer et al., 1993, 34.

Customer, Stakeholder and Partner Relationships—Builds and maintains relationships with internal and external customers and stakeholders including other NASA organizations, industry, not-for-profit organizations, academia, trade associations and other government organizations. Includes Skill: Customer, Stakeholder and Partner Leadership. NASA Leadership Model, 2008.

Customer Service—Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services; is committed to continuous improvement. Part of the Results Driven cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Customer Service Orientation (CSO)—discovering and meeting the customer or client's needs. Implies wanting to help/serve others and to meet their needs. The "customer" may = an actual customer/group of customers, end-user within the same organization; several groups of customers (i.e., students and their parents for school teachers). Part of the helping and human service cluster. Spencer et al.,1993, 40.

D

Decision Making—"making major organizational choices by understanding the fundamental values and factors involved and by structuring an appropriate decision framework". Part of Organizational-Oriented Behaviors, Van Wart, 2011, 413.

Decisiveness = Ego Strength; Independence; Presence; Self Confidence; Strong Self-Concept. Boyatzis, 1982, p. 101; Spencer et al., 1993, 81.

Decisiveness—Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions. Part of the Results Driven cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Decisiveness—"the ability to act relatively quickly depending on circumstances without excessively damaging decision quality." Part of the Traits cluster. Van Wart, 2011, 262.

Deductive Thinking = Diagnostic Use of Concepts. Boyatzis, 1982, 79.

Desire to Reduce Uncertainty = Concern for Order, Quality, and Accuracy; Concern with Clarity; Keeping Track; and Monitoring. Spencer et al., 1993, 27-28.

Delegating—Allowing subordinates to have substantial responsibility and discretion in carrying out work activities, handling problems, and making important decisions. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Delegating—"is a type of power sharing in which subordinates are given substantial responsibilities and/or authority." Part of the Task-Oriented Behaviors. Van Wart, 2011, 335.

Developing and Mentoring—Providing coaching and helpful career advice, and doing things to facilitate a person's skill acquisition, professional development, and career advancement. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Developing Others —"a competency with which managers specifically help someone to do" their job. Part of the directing subordinates cluster. Boyatzis, 1982, 143-148.

Developing Others (DEV)—contains a "genuine intent to foster the learning and development of the others." Implied is a requirement for an appropriate level of need analysis. "The essence of this competency lies in the developmental intent and effect rather than in a formal role. Sending people to routine training programs to meet statutory or corporate requirements… does not express the intent to develop others…" Part of the managerial cluster. Spencer et al., 1993, 54. See also the previous entry.

Developing Others—"bolstering others' abilities through feedback and guidance." "Leaders who are adept in cultivating people's abilities show a genuine interest in those they are helping along, understanding their goals, strengths, and weaknesses. Such leaders can give a timely and constructive feedback and are natural mentors and coaches." Part of the Relationship Management Domain. Goleman et al., 2002, 39, 256.

Developing Others – Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and by providing opportunities to learn through formal and informal methods. Part of the Leading People cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Developing Self—Demonstrating commitment to continuous learning, self-awareness and individual performance planning through feedback, study and analysis. National Consortium CPM Competencies.

Developing Staff— "involves improving subordinates' effectiveness in their current position and preparing them for their next position or step." Part of the People-Oriented Behaviors, Van Wart, 2011, 361.

Diagnostic Focus = Customer/Market Sensitivity; Information Seeking; Looking Deeper; Problem Definition. Spencer et al., 1993, 34.

Diagnostic Use of Concepts—"a way of thinking in which the person identifies or recognizes patterns from an assortment of information, by bringing the concept to the situation and attempting to interpret events through that concept; that is, the person has a framework or concept of how an event should transpire." Also = Deductive Thinking. Part of the goal and action management cluster. Boyatzis, 1982, 79-85.

Directiveness: Assertiveness and Use of Positional Power (DIR)—"expresses the individuals' intent to make others comply with his or her wishes." While the tone of "telling people what to do" can range from firm and directive (positive) to demanding or even threatening (negative), only that use of power, personal or positional, comprises this competency that is directed at the long-term good of the organization. Part of the managerial cluster. Spencer et al., 1993, 57-58. See also Use of Unilateral Power.

E

Efficiency Orientation—a concern with doing something better. At the motive level = n Achievement. Part of the goal and action management cluster. Boyatzis, 1982, 62-71.

Ego Strength = Decisiveness; Independence; Presence; Self Confidence; Strong Self-Concept. Boyatzis, 1982, p. 101; Spencer et al., 1993, 81.

Emotional maturity—"a conglomerate of characteristics that indicate a person is well balanced in a number of psychological and behavioral dimensions." Part of the Traits cluster. Van Wart, 2011, 284.

Emotional Self-Awareness— "leaders high in emotional self-awareness are attuned to their inner signals, recognizing how their feelings affect them and their job performance. They are attuned to their guiding values and can often intuit the best course of action, seeing the big picture in a complex situation, Emotionally self-aware leaders can be candid and authentic, able to speak openly about their emotions or with conviction about their guiding vision." Part of the self-awareness domain. Goleman et al., 2002, 253.

Empathy—sensing emotions of other people, understanding their point of view, and taking active interest in their concerns. "Leaders with empathy are able to attune to a wide range of emotional signals, letting them sense the felt, but unspoken, emotions in a person or group. Such leaders listen attentively and can grasp the other person's perspective. Empathy makes a leader to get along well with people of diverse backgrounds or from other cultures." Part of the Social Awareness Domain. Goleman et al., 2002, 39, 255.

End-User Focus = Attention to Patient Satisfaction; Customer Service Orientation; Focus on the Client's Needs; Helping and Service Orientation; and Partnering the Client. Spencer et al., 1993, 40.

Energy—means having "the physical and psychological ability to perform." Part of the Traits cluster. Van Wart, 2011, 267.

Entrepreneurship = Achievement Orientation; Concern for Standards; Efficiency Orientation; Focus on Improvement; Optimizing Use of Resources; and Results Orientation. Spencer et al., 25.

Entrepreneurship – Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives. Part of the Results Driven cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

External Awareness – Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment. Part of the Leading Change cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

F

Financial Management – Understands the organization's financial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities. Part of the Business Acumen cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Financial Skills—"the ability to understand and explain financial and accounting information, prepare and manage budgets, and make sound long- term investment decisions." Part of the Transformation Cluster, NCHL Health Leadership Competency Model, 2006,http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Firmness in Enforcing Standards = Classroom Control and Discipline; Directiveness: Assertiveness and Use of Positional Power; Taking Charge; Use of Aggressive Influence; Use of Power. Spencer et al., 1993, 58.

Flexibility (FLX)—"the ability to adapt to and work effectively with a variety of situations, individuals, or groups. It is the ability to understand and appreciate different and opposing perspectives on an issue, to adapt an approach as the requirements of the situation change, and to change and easily accept changes in one's own organization or job requirements." Part of the personal effectiveness cluster. Spencer et al., 1993, pp. 83-84. See also Stamina and Adaptability.

Flexibility—Is open to change and new information; rapidly adapts to new information, changing conditions, or unexpected obstacles. Part of the Leading Change cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Flexibility—"the ability to bend without breaking and to be adjustable to change or capable of modification." Part of the Traits cluster. Van Wart, 2011, 275.

Focus on the Client's Needs = Attention to Patient Satisfaction; Customer Service Orientation; End-User Focus; Helping and Service Orientation; and Partnering the Client. Spencer et al., 1993, 40.

Focus on Improvement = Achievement Orientation; Concern for Standards; Efficiency Orientation; Entrepreneurship; Optimizing Use of Resources; and Results Orientation. Spencer et al., 25.

G

Group Management and Motivation; Taking Command; Team Leadership; Vision. Spencer et al., 1993, 64.

Group Facilitation = Conflict Resolution; Managing Branch Climate; Motivating Others; **Teamwork and Cooperation**. Spencer et al., 1993, 61.

Group Management and Motivation = Being in Charge; Building a Sense of Group Purpose; Genuine Concern for Subordinates; Taking Command; Team Leadership; Vision. Spencer et al., 1993, 64.

H

Helping and Service Orientation = Attention to Patient Satisfaction; Customer Service Orientation; End-User Focus; Focus on the Client's Needs; and Partnering the Client. Spencer et al., 1993, 40.

Human Capital Management – Builds and manages the workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance problems. Manages a multi-sector workforce and a variety of work situations. Part of the Business Acumen cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Human Resources Management—"the ability to implement staff development and other management practices that represent contemporary best practices, comply with legal and regulatory requirements, and optimize the performance of the workforce, including performance assessments, alternative compensation and benefit methods, and the alignment of human resource practices and processes to meet the strategic goals of the organization." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

I

Impact and Influence (IMP)—"intention to persuade, convince, influence, or impress others, in order to get them to support the speaker's agenda; or the desire to have a specific impact or effect on others." Having an agenda (directed toward the good of others) is a distinguishing feature of this competency. Part of the impact and influence cluster. Spencer et al., 1993, 44. See also Concern with Impact.

Impact and Influence—"the ability to persuade and convince others (individuals or groups) to support a point of view, position, or recommendation." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Impression Management = Collaborative Influence; Impact and Influence; Showmanship; Strategic Influence; Targeted Persuasion. Spencer et al., 1993, 45.

Independence = Decisiveness; Ego Strength; Presence; Self Confidence; Strong Self-Concept. Boyatzis, 1982, 101; Spencer et al., 1993, 81.

Influence—"wielding a range of tactics for persuasion." "Indicators of a leader's powers of influence range from finding just the right appeal for a given listener to knowing how to build buy-in from key people and a network of support for an initiative. Leaders adept in influence are persuasive and engaging when they address a group." Part of the Relationship Management Domain. Goleman et al., 2002, 39, 255.

Influence skills—"the actual use of sources of power through concrete behavioral strategies." Part of the Skills cluster. Van Wart, 2011, 300.

Influencing/Negotiating—Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals (OPM, June 2010, pp. 32-34). Part of the Building Coalition cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Information Seeking (INFO)—"an underlying curiosity, a desire to know more about things, people, or issues." Implies "making an effort to get more information, not accepting situations 'at face value'." Part of the achievement and action cluster. Spencer et al., 1993, 34.

Information Seeking—"An underlying curiosity and desire to know more about things, people, or issues, including the desire for knowledge and staying current with health, organizational, industry, and professional trends and developments." Part of the Transformation Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Information Technology Management—"the ability to see the potential in and understand the use of administrative and clinical information technology and decision support tools in process and performance improvement. Actively sponsors their utilization and the continuous upgrading of information management capabilities." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Informing—Disseminating relevant information about decisions, plans, activities to people that need it to do work, providing written materials and documents, answering requests for technical information. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Informing—"provides business-related information to subordinates, superiors, peers, or people outside the organization." Part of the Task-Oriented Behaviors. Van Wart, 2011, 333.

Initiative—"a preference for taking action; doing more that is required or expected in the job, doing things that no one has requested, which will improve or enhance job results and avoid problems, or finding or creating new opportunities." As applied to management positions, initiative means taking action now to avoid problems or create opportunities at some point in the future. Part of the achievement and action cluster. Spencer et al., 1993, 31, 33. See also Proactivity.

Initiative—"the ability to anticipate obstacles, developments, and problems by looking ahead several months to over a year." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Initiative is stronger in those leaders who have a sense of efficacy—that they have what it takes to control their own destiny—excel in initiative. They seize opportunities—or create them—rather than simply waiting. Such a leader does not hesitate to cut through red tape, or even bend the rules, when necessary to create better possibilities for the future." Part of the self-management domain, (Goleman et al., 2002, 255).

Innovative Thinking—"the ability to apply complex concepts, develop creative solutions, or adapt previous solutions in new ways for breakthrough thinking in the field." Part of the Transformation Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Insight = Ability to Generate Theories; Conceptual Thinking; Critical Thinking; Pattern Recognition; Problem Definition; Use of Concepts. Spencer et al., 1993, 70.

Inspiration—"guiding and motivating with a compelling vision." Leaders who inspire move their followers with a compelling vision and shared mission as well as create resonance. They are able to convey a sense of common purpose beyond the day-to-day tasks, making work exciting. They also embody what they ask of others. Part of the Relationship Management Domain. Goleman et al., 2002, 39, 255.

Integrity/Honesty – Behaves in an honest, fair, and ethical manner. Shows consistency in words and actions. Models high standards of ethics. Part of the Fundamental Competencies cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Internal and External Awareness—Understands and responds to internal and external policies and regulations that impact NASA. Can identify and leverage critical relationships in the Agency and at their center. Includes Skills: Policies and Regulations, External Awareness, Formal Organizational Structure. NASA Leadership Model, 2008.

International—Familiar with policies that regulate or dictate how to work with an international partner. Includes Skills: Policy/Partnering/Alliances. NASA Leadership Model, 2008.

Interpersonal Skills—Treats others with courtesy, sensitivity, and respect. Considers and responds appropriately to the needs and feelings of different people in different situations. Part of the Fundamental Competencies cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Interpersonal Understanding—"the ability to hear accurately and understand the unspoken or partly expressed thoughts, feelings and concerns of others," where "others" can equally refer to individuals or "classes of individuals in which all members are assumed to have much the same feelings and concerns." Implies the desire to understand other people. Part of the helping and human service cluster. Spencer et al., 1993, 37.

Interpersonal Understanding—"the ability to accurately hear and understand the unspoken or partly expressed thoughts, feelings, and concerns of others." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

K

Keeping Track = Concern for Order, Quality, and Accuracy; Concern with Clarity; Desire to Reduce Uncertainty; and Monitoring. Spencer et al., 1993, 27-28.

Knowledge Management—Captures and shares knowledge for NASA and public learning. Includes Skill: Leads Knowledge Capture and Sharing. NASA Leadership Model, 2008.

L

Leading and Managing Change—Actively leads and manages organizational change that integrates key stakeholder, customer and organizational and programmatic goals and values. Includes Skills: Vision for Change, Change Process. NASA Leadership Model, 2008.

Leading People—Inspiring others to positive action through a clear vision; promotes a diverse workforce. Encouraging and facilitating cooperation, pride, trust and group identity; fostering commitment and team spirit. Articulating a vision, ideas and facts in a clear and organized way; effectively managing emotions and impulses. National Consortium CPM Competencies.

Leading Teams and Organizations—Maximizes NASA's human capital and people's commitment to achieving organizational and programmatic goals. Includes Skills: Teamwork and Collaboration, Performance Management, Conflict Management, Diversity with Inclusion, Values-Based Leadership. NASA Leadership Model, 2008.

Leveraging Diversity – Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization. Part of the Leading People cluster. SES ECQs, OPM, www.opm.gov/ses/recruitment/competencies.asp

Logical Thought—"a thought process in which the person places events in a causal sequence" that is based on the perception of a series of cause-and –effect events. That is, "the person views certain events as preceding or causing other events, which in turn precede or cause other events." A threshold competency. Part of the leadership cluster. Boyatzis, 1982, 109-111. See also Analytical Thinking.

Looking Deeper = Customer/Market Sensitivity; Diagnostic Focus; Information Seeking; Problem Definition. Spencer et al., 1993, 34.

Low Fear of Rejection—"not feeling concern if others dislike him/her" (not included in the Competency Dictionary). Part of the "unique" competency group. Spencer et al., 1993, 89.

M

Maintain Credibility—Sustains and grows the capability of the organization to advance excellence. Includes Skill: Talent Acquisition/Development. NASA Leadership Model, 2008.

Managing Branch Climate = Conflict Resolution; Group Facilitation; Motivating Others; Teamwork and Cooperation. Spencer et al., 1993, 61.

Managing Conflict—involves the ability "to handle various types of interpersonal disagreements, to build cooperative interpersonal relationship, and to harness the positive effects of conflicts." Part of the People-Oriented Behaviors, Van Wart, 2011, p. 380.

Managing Group Process—"a competency in which people can stimulate others to work together effectively in group settings." Part of the human resource management cluster. Boyatzis, 1982, 129-134.

Managing Organizational Change—" is the broadest level of change. It involves large scale, change in the direction, structure, major processes, or culture of the organization." Part of Organizational-Oriented Behaviors, Van Wart, 2011, 418.

Managing Personnel Change—"involves establishing an environment that provides the emotional support and motivation for change." Part of the People-Oriented Behaviors, Van Wart, 2011, 384.

Managing Technical Innovation and Creativity—"involves establishing an environment that encourages and provides the tools for learning, flexibility, and change, and that also provides implementation support for new or cutting-edge programs/processes." Part of the Task-Oriented Behaviors. Van Wart, 2011, 342.

Managing Work—Meeting organizational goals through effective planning, prioritizing, organizing and aligning human, financial, material and information resources. Empowering others by delegating clear job expectations; providing meaningful feedback and coaching; creating a motivational environment and measuring performance. Monitoring workloads and documenting performance. Dealing effectively with performance problems. National Consortium CPM Competencies.

Memory—"the accurate, appropriate, and rapid recall of certain events or information." Excluded from a generic management model. Boyatzis, 1982, 189-190.

Mission Orientation = Businessmindedness; Commitment to the Command's Mission; Organizational Commitment; Vision. Spencer et al., 1993, 86.

Monitoring = Concern for Order, Quality, and Accuracy; Concern with Clarity; Desire to Reduce Uncertainty; and Keeping Track. Spencer et al., 1993, 27-28.

Monitoring—Gathering information about work activities and external conditions affecting the work, checking on the progress and quality of the work, evaluating the performance of individuals and the organizational unit, analyzing trends, and forecasting external events. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Monitoring and Assessing Work—"involves gathering and critically evaluating data related to subordinate performance, service or project qualities, and overall unit or organizational performance." Part of the Task-Oriented Behaviors. Van Wart, 2011, 321.

Motivating—"refers to enhancing the inner drives and positive intentions to subordinates (or others) to perform well through incentives, disincentives, and inspiration." Part of the People-Oriented Behaviors, Van Wart, 2011, 366.

Motivating and Inspiring—Using influence techniques that appeal to emotion or logic to generate enthusiasm for the work, commitment to task objectives, and compliance with requests for cooperation, assistance, support, or resources; setting an example of appropriate behavior. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Motivating Others = Conflict Resolution; Group Facilitation; Managing Branch Climate; Teamwork and Cooperation. Spencer et al., 1993, 61.

N

Need for Achievement—"a strong drive to accomplish things and generally to be recognized for doing so." Part of the Traits cluster. VanWart, 2011, 269.

Networking—Socializing informally, developing contacts with people who are a source of information and support, and maintaining contacts through periodic interaction, including visits, telephone calls, correspondence, and attendance at meetings and social events. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Networking and Partnering—"These two concepts are commonly used as synonyms. Networking means developing useful contacts outside the leader's direct subordinate-superiors chain of command. Networking occurs through scheduled and unscheduled meetings (E.g., a "courtesy call" to a counterpart, or the numerous informal contacts that occur at conferences or regional meetings), telephone calls, observational tours, and written messages. Partnering means developing working relationships that are voluntary but substantive outside the organization or within the organization but outside the normal chain of command". Part of Organizational-Oriented Behaviors, Van Wart, 2011, 406.

O

Operations Planning—"focuses on coordinating tactical issues into a detailed blueprint." Part of the Task-Oriented Behaviors. Van Wart, 2011, 325.

Optimizing Use of Resources = Achievement Orientation; Concern for Standards; Efficiency Orientation; Entrepreneurship; Focus on Improvement; and Results Orientation. Spencer et al., 25.

Optimism—"a strong expectation that, in general, things will turn out all right in life, despite setbacks and frustrations. From the standpoint of emotional intelligence, optimism is an attitude that buffers people against falling into apathy, hopelessness, or

depression in the face of tough going." Part of the self-management domain. Goleman, 1995, 88.

Oral Communication—Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed. Part of the Fundamental Competencies cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Organizational Awareness (OA)—"the individual's ability to understand the power relationships in his or her own organization or in other organizations (customers, suppliers, etc.), and at the higher levels, the position of the organization in the larger world. Implies the ability to identify decision-makers as well as those individuals who can influence them. Also means being able to predict the impact of new events or situations on individuals and groups within the organization, and on the organization's position vis-à-vis national or international markets, organizations, or politics. Part of the impact and influence cluster. Spencer et al., 1993, 48.

Organizational Awareness—"reading the currents, decision networks, and politics at the organizational level. Such leaders are politically savvy, "able to detect crucial social networks and read key power relationships." They "understand the political forces at work in an organization, as well as the guiding values and unspoken rules that operate among people there." Part of the Social Awareness Domain. Goleman et al., 2002, 39, 255.

Organizational Awareness—"the ability to understand and learn the formal and informal decision- making structures and power relationships in an organization or industry (e.g., stakeholders, suppliers). This includes the ability to identify who the real decision makers are and the individuals who can influence them, and to predict how new events will affect individuals and groups within the organization." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Organizational Commitment (OC)—"the individual's ability and willingness to align his or her own behavior with the needs, priorities, and goals of the organization, to act in ways that promote organizational goals or meet organizational needs. It may appear as putting organizational mission before own preferences, or before professional role priorities." Part of the personal effectiveness cluster. Spencer et al., 1993, 86.

Organizational Culture—Understands and leverages the impact of the informal organization and NASA's culture. Includes Skill: Organizational Culture. NASA Leadership Model, 2008.

Organizational Strategy—Ensures that processes are put in place to achieve what is outlined in the NASA Strategy. Includes Skills: Strategic Planning and Implementation. NASA Leadership Model, 2008.

P

Partnering – Develops networks and builds alliances, collaborates across boundaries to build strategic relationships and achieve common goals. Part of the Buildimg Coalition cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Partnering the Client = Attention to Patient Satisfaction; Customer Service Orientation; End-User Focus; Focus on the Client's Needs; and Helping and Service Orientation. Spencer et al., 1993, 40.

Pattern Recognition = Ability to Generate Theories; Conceptual Thinking; Critical Thinking; Insight; Problem Definition; Use of Concepts. Spencer et al., 1993, 70.

Perceptual Objectivity—"a competency with which people can be relatively objective and not limited in view by excessive subjectivity or personal biases, prejudices, or perspectives." Also: Social Objectivity; Sensitivity to Others. Part of the focus on others cluster. Boyatzis, 1982, 165-169.

Performance Measurement—"the ability to understand and use statistical and financial methods and metrics to set goals and measure clinical as well as organizational performance; commitment to and employment of evidence- based techniques." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Performing General Management Functions—"means carrying out structural responsibilities related to the organization-human resource management, budgetary and financial management, and technology management are key among them". Part of Organizational-Oriented Behaviors, Van Wart, 2011, 410.

Personal Capabilities and Characteristics—Manages self in a manner that fosters learning and high performance. Includes Skills: Adaptability/Flexibility; Integrity and Honesty; Resiliency; Self-Development; Public Service Motivation. NASA Leadership Model, 2008.

Personal and Organizational Integrity—Increasing awareness, building skills and modeling behaviors related to identifying potential ethical problems and conflicts of interest; appropriate workplace behavior; and legal and policy compliance. National Consortium CPM Competencies.

Personal integrity—"the state of being whole and/or connected with oneself, one's profession, and the society of which one is a member, as well as being incorruptible." Part of the Traits cluster. Van Wart, 2011, 280.

Planning and Organizing—Determining long-term objectives/strategies, allocating resources according to priorities, determining how to use personnel/resources to

accomplish a task efficiently, and determining how to improve coordination, productivity, and the effectiveness of the organizational unit. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Planning and Organizing Personnel—"involves coordinating people and operations, and ensuring that the competencies necessary to do the work are, or will be, available. It also involves self-planning." Part of the People-Oriented Behaviors, Van Wart, 2011, 357.

Planning Skill = Analytical Thinking; Analyzing Problems; Practical Intelligence; Reasoning; Thinking for Yourself. Spencer et al., 1993, 68.

Playing the Organization = Awareness of Client Organizations; Bringing Others Along; Organizational Awareness; Political Astuteness; Using the Chain of Command. Spencer et al., 1993, 48-49.

Political Astuteness = Awareness of Client Organizations; Bringing Others Along; Organizational Awareness; Playing the Organization; Using the Chain of Command. Spencer et al., 1993, 48-49.

Political Savvy—Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly. Part of the Building Coalition cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Positive Regard—"a competency in which people believe in others." A threshold competency. Part of the human resource management cluster. Boyatzis, 1982, 127-129.

Practical Intelligence = Analytical Thinking; Analyzing Problems; Planning Skill; Reasoning; Thinking for Yourself. Spencer et al., 1993, 68.

Presence = Decisiveness; Ego Strength; Independence; Self Confidence; Strong Self-Concept. Boyatzis, 1982, p. 101; Spencer et al., 1993, 81.

Proactivity—"a disposition toward taking action to accomplish something." The opposite of being reactive or guarding the status quo. At the trait level = a sense of efficacy. Part of the goal and action management cluster. Boyatzis, 1982, 71-79.

Problem Definition = Customer/Market Sensitivity; Diagnostic Focus; Information Seeking; and Looking Deeper. Spencer et al., 1993, 34.

Problem Definition = Ability to Generate Theories; Conceptual Thinking; Critical Thinking; Insight; Pattern Recognition; Use of Concepts. Spencer et al., 1993, 70.

Problem Solving—Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations. Part

of the Results Driven cluster. SES ECQs,
OPM,http://www.opm.gov/ses/recruitment/competencies.asp.

Problem Solving—Identifying work-related problems, analyzing problems in a timely but systematic manner to identify causes and find solutions, and acting decisively to implement solutions to resolve important problems or crises. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Problem Solving—"involves the identification, analysis, and handling of work-related problems." Part of the Task-Oriented Behaviors. Van Wart, 2011, 338.

Process Management and Organizational Design—"the ability to analyze and design or improve an organizational process, including incorporating the principles of quality management as well as customer satisfaction." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Professionalism—"the demonstration of ethics and professional practices, as well as stimulating social accountability and community stewardship. The desire to act in a way that is consistent with one's values and what one says is important." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Project Management—"the ability to plan, execute, and oversee a multi- year, large- scale project involving significant resources, scope, and impact. Examples include the construction of a major building, implementation of an enterprise- wide system (patient tracking, SAP), or development of a new service line." Part of the Execution Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Providing Support = Assuring Subordinates' Growth and Development; Coaching Others; Developing Others; Realistic Positive Regard; Teaching and Training. Spencer et al., 1993, 54-55.

Public Service Focus—Delivering superior services to the public and internal and external recipients; including customer/client identification, expectations, needs and developing and implementing paradigms, processes and procedures that exude positive spirit and climate; demonstrating agency and personal commitment to quality service. National Consortium CPM Competencies.

Public Service Motivation – Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public

interests. Part of the Fundamental Competencies cluster. SES ECQs, OPM,http://www.opm.gov/ses/recruitment/competencies.asp.

R

Realistic Positive Regard = Assuring Subordinates' Growth and Development; Coaching Others; Developing Others; Providing Support; Teaching and Training. Spencer et al., 1993, 54-55.

Reasoning = Analytical Thinking; Analyzing Problems; Planning Skill; Practical Intelligence; Thinking for Yourself. Spencer et al., 1993, 68.

Recognizing—Providing praise and recognition for effective performance, significant achievements, and special contributions, expressing appreciation for someone's contributions and special efforts. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Relating to Others—Works to build trust and supportive relationships. Includes Skills: Influence and Negotiation, Communication, Listening, Trust Building. NASA Leadership Model, 2008.

Relationship Building (RB)—"working to build or maintain friendly, warm relationships or networks of contacts with people who are, or might someday be, useful in achieving work-related goals." Always includes a work-related purpose, implicit or explicit, possibly long-term. Part of the impact and influence cluster. Spencer et al., 1993, pp. 50-51. See also Use of Socialized Power.

Relationship Building—"the ability to establish, build, and sustain professional contacts for the purpose of building networks of people with similar goals and that support similar interests." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006,
http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Resilience—Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Part of the Leading Change cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Resilience—"the ability to spring back into shape, position, or direction after being pressed or stretched." Part of the Traits cluster. Van Wart, 2011, 265.

Resistance to Stress = Being not Easily Provoked; Self-Control; Stamina; Staying Calm. Spencer et al., 1993, 79.

Results Driven—Assures that the work unit's goals and objectives are achieved in a timely and effective manner. Includes Skills: Organizational Effectiveness, Accountability. NASA Leadership Model, 2008.

Results Orientation = Achievement Orientation; Concern for Standards; Efficiency Orientation; Entrepreneurship; Focus on Improvement; and Optimizing Use of Resources. Spencer et al., 25.

Rewarding—Providing or recommending tangible rewards such as a pay increase or promotion for effective performance, significant achievements, and demonstrated competence. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

S

Safety—Provides leadership in safety. Keeps safety top of mind. Include Skills: Safety leadership. NASA Leadership Model, 2008.

Scanning the Environment—"also known as environmental scanning and external monitoring, involves gathering and critically evaluating data related to external trends, opportunities, and threats on an ongoing and relatively informal basis." Part of Organizational-Oriented Behaviors, Van Wart, 2011, 393.

Seizing Opportunities = Being Proactive; Bias for Action; Initiative; Proactivity; and Strategic Future Orientation. Boyatzis, 1982, p. 71; Spencer et al., 1993, 31.

Self-Confidence—a feeling of knowing what one is doing and that one is doing it well. Also = Decisiveness; Presence. Part of the leadership cluster. Boyatzis, 1982, 101-105.

Self –Confidence —"Knowing their abilities with accuracy allows leaders to play to their strengths. Self-confident leaders can welcome a difficult assignment. Such leaders often have a sense of presence, a self-assurance that lets them stand out in a group." Part of the self-awareness domain. Goleman et al., 2002, 254.

Self-Confidence (SCF)—"a person's belief in his or her own capability to accomplish a task. This includes the person's expressing confidence in dealing with increasingly challenging circumstances, in reaching decisions or forming opinions, and in handling failures constructively." Part of the personal efficiency cluster. Spencer et al., 1993, 80. See the entry above.

Self-Confidence—"a general (positive) sense about one's ability to accomplish what needs to be accomplished." Part of the Traits cluster. Van Wart, 2011, 260.

Self-Confidence— "a belief and conviction in one's own ability, success, and decisions or opinions when executing plans and addressing challenges." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006,

http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Self-Control—"a competency with which people inhibit personal needs or desires in service of organizational needs." At the trait level = impulse control. Part of the focus on others cluster. Boyatzis, 1982, 161-165.

Self-Control—"Leaders with emotional self-control find ways to manage their disturbing emotions and impulses, and even to channel them in useful ways. A hallmark of self-control is the leader who stays calm and clear-headed under high stress or during a crisis – or who remains unflappable even when confronted by a trying situation. Part of the self-management domain." Goleman et al., 2002, 254.

Self-Control (SCT)—"the ability to keep emotions under control and to restrain negative actions when tempted, when faced with opposition or hostility from others, or when working under conditions of stress." Part of the personal effectiveness cluster. Spencer et al., 1993, 78.

Self-Development—"the ability to see an accurate view of one's own strengths and development needs, including one's impact on others. A willingness to address needs through reflective, self- directed learning and trying new leadership approaches." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Sensitivity to Others = Perceptual Objectivity; Social Objectivity. Boyatzis, 1982, 165.

Service—"recognizing and meeting follower, client, and customer needs." "Leaders high in the service competence foster an emotional climate so that people directly in touch with the customer or client will keep the relationship on the right track. Such leaders monitor customer or client satisfaction carefully to ensure they are getting what they need. They also make themselves available as needed." Part of the Social Awareness Domain. Goleman et al., 2002, 39, 255.

Service mentality—"an ethic of considering others' interests, perspectives, and concerns." Part of the Traits cluster. Van Wart, 2011, 277.

Showmanship = Collaborative Influence; Impact and Influence; Impression Management; Strategic Influence; Targeted Persuasion. Spencer et al., 1993, 45.

Social Objectivity = Perceptual Objectivity; Sensitivity to Others. Boyatzis, 1982, 165.

Social Skills—"the ability to interact effectively in social settings and to understand and productively harness one's own and others' personality structures." Part of the Skills cluster. Van Wart, 2011, 297.

Specialized Knowledge—refers to *usable* "facts, principles, theories, frameworks, or models." A <u>threshold competency</u>. Boyatzis, 1982, 183-190.

Spontaneity—"a competency with which people can express themselves freely or easily." A <u>threshold competency</u>. Part of the directing subordinates cluster. Boyatzis, 1982, 152-155.

Stamina = Being not Easily Provoked; Self-Control; Resistance to Stress; Staying Calm. Spencer et al., 1993, 79.

Stamina and Adaptability—"a competency with which people have the energy to sustain long hours of work and have the flexibility and orientation to adapt to changes in life and the organizational environment. Part of the focus on others cluster. Boyatzis, 1982, 169-175.

Staying Calm = Being not Easily Provoked; Self-Control; Resistance to Stress; Stamina. Spencer et al., 1993, 79.

Strategic Future Orientation = Being Proactive; Bias for Action; Initiative; Proactivity; and Seizing Opportunities. Boyatzis, 1982, p. 71; Spencer et al., 1993, 31.

Strategic Influence = Collaborative Influence; Impact and Influence; Impression Management; Showmanship; Targeted Persuasion. Spencer et al., 1993, 45.

Strategic Orientation—"the ability to draw implications and conclusions in light of the business, economic, demographic, ethno- cultural, political, and regulatory trends and developments, and to use these insights to develop an evolving vision for the organization and the health industry that results in long- term success and viability." Part of the Transformation Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Strategic Planning—"is a disciplined effort to produce fundamental decisions and actions that shape and guide organizations (Byron and Crosby 1992)". Part of Organizational-Oriented Behaviors, Van Wart, 2011, 397.

Strategic Thinking—Formulates objectives and priorities, and implements plans consistent with long-term interests of the organization in a global environment. Capitalizes on opportunities and manages risks. Part of the Leading Change cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Strong Self-Concept = Decisiveness; Ego Strength; Independence; Presence; Self Confidence. Boyatzis, 1982, p. 101; Spencer et al., 1993, 81.

Supporting—Acting friendly, considerate, being patient, helpful, showing sympathy and support when someone is upset or anxious, listening to complaints and problems, looking

out for someone's interests. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Systemic Integration—Approaching planning, decision-making and implementation from an enterprise perspective; understanding internal and external relationships that impact the organization. National Consortium CPM Competencies.

T

Taking Charge = Classroom Control and Discipline; Directiveness: Assertiveness and Use of Positional Power; Firmness in Enforcing Standards; Use of Aggressive Influence; Use of Power. Spencer et al., 1993, 58.

Taking Command = Being in Charge; Building a Sense of Group Purpose; Genuine Concern for Subordinates; Group Management and Motivation; Team Leadership; Vision. Spencer et al., 1993, 64.

Talent Development—"the drive to build the breadth and depth of the organization's human capability, including supporting top- performing people and taking a personal interest in coaching and mentoring high- potential leaders." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Targeted Persuasion = Collaborative Influence; Impact and Influence; Impression Management; Showmanship; Strategic Influence. Spencer et al., 1993, 45.

Teaching and Training = Assuring Subordinates' Growth and Development; Coaching Others; Developing Others; Providing Support; Realistic Positive Regard. Spencer et al., 1993, 54-55.

Team Building—Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals. Part of the Leading People cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Team Building and Conflict Management—Facilitating the constructive resolution of conflict, and encouraging cooperation, teamwork, and identification with the work unit. Yukl, Gary A. Leadership in Organizations (Englewood Cliffs, NJ: Prentice Hall, 1994), 65.

Team Leadership (TL)—"the intention to take a role as leader of a team or other group. It implies a desire to lead others." Generally is "shown from a position of formal authority." Part of the managerial cluster. Spencer et al., 1993, 64. See also Managing Group Process.

Team Leadership—"the ability to see oneself as a leader of others, from forming a top team that possesses balanced capabilities to setting the mission, values, and norms, as well as holding the team members accountable individually and as a group for results." Part of the People Cluster, NCHL Health Leadership Competency Model, 2006, http://www.nchl.org/Documents/NavLink/Competency_Model-summary_uid31020101024281.pdf

Teamwork and Cooperation (TW)—"implies a genuine intention to work cooperatively with others, to be part of a team, to work together as opposed to working separately or competitively. Part of the managerial cluster. Spencer et al., 1993, 61.

Teamwork and Collaboration—"cooperation and team-building." "Leaders who are able team players generate an atmosphere of friendly collegiality and are themselves models of respect, helpfulness, and cooperation. They draw others into active, enthusiastic commitment to the collective effort, and build spirit and identity. They spend time forging and cementing close relationships beyond mere work obligations." Part of the Relationship Management Domain. Goleman et al., 2002, 39, 256.

Technical Credibility – Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise. Part of the Results Driven cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Technical/Professional/Managerial Expertise (EXP)—"includes both the mastery of a body of job-related knowledge (which can be technical, professional, or managerial), and also the motivation to expand, use, and distribute work-related knowledge to others." Part of the cognitive cluster. Spencer et al., 1993, 73. See also Specialized Knowledge.

Technical Skill—entails for leaders "the professional and organizational knowledge and practice associated with an area of work." Part of the Skills cluster. Van Wart, 2011, 309.

Technology Management—Keeps up-to-date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems. Part of the Business Acumen cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Thinking for Yourself = Analytical Thinking; Analyzing Problems; Planning Skill; Practical Intelligence; Reasoning. Spencer et al., 1993, 68.

Thoroughness—"showing completeness and attention to detail" (not included in the Competency Dictionary). Part of the "unique" competency group. Spencer et al., 1993, 89.

Transparency—"Leaders who are transparent live their values. Transparency – an authentic openness to others about one's feelings, beliefs, and actions – allows integrity. Such leaders openly admit mistakes or faults, and confront unethical behavior in others

rather than turn a blind eye." Part of the self-management domain. Goleman et al., 2002, 254.

U

Understanding of Discipline—Maintains high-level competency in functional discipline (e.g., science, engineering, professional or administrative). Includes Skill: Discipline Leadership. NASA Leadership Model, 2008.

Upward Communications—"keeping one's boss informed of all important developments, bad as well as good news" (not included in the Competency Dictionary). Part of the "unique" competency group. Spencer et al., 1993, 88.

Use of Aggressive Influence = Classroom Control and Discipline; Directiveness: Assertiveness and Use of Positional Power; Firmness in Enforcing Standards; Taking Charge; Use of Power. Spencer et al., 1993, 58.

Use of Concepts = Ability to Generate Theories; Conceptual Thinking; Critical Thinking; Insight; Pattern Recognition; Problem Definition. Spencer et al., 1993, 70.

Use of Oral Presentations—"a competency with which people make effective verbal presentations, whether these presentations be in one-on-one meetings or an address to an audience of several hundred people." Role of communicator. Verbal presentation skills. Part of the leadership cluster. Boyatzis, 1982, 105-109.

Use of Power = Classroom Control and Discipline; Directiveness: Assertiveness and Use of Positional Power; Firmness in Enforcing Standards; Taking Charge; Use of Aggressive Influence. Spencer et al., 1993, 58.

Use of Socialized Power—"a competency in which the person uses forms of influence to build alliances, networks, coalitions, or teams." Part of the human resource management cluster. Boyatzis, 1982, 122-127. See also Relationship Building.

Use of Unilateral Power—"a competency with which people use forms of influence to obtain compliance; that is, managers act to stimulate subordinates, or others, to go along with their direction, wishes, commands, policies, or procedures." A threshold competency. Part of the directing subordinates cluster. Boyatzis, 1982, 148-152. See also Directiveness: Assertiveness and Use of Positional Power.

Using the Chain of Command = Awareness of Client Organizations; Bringing Others Along; Organizational Awareness; Playing the Organization; Political Astuteness. Spencer et al., 1993, 48-49.

V

Vision = Being in Charge; Building a Sense of Group Purpose; Genuine Concern for Subordinates; Group Management and Motivation; Taking Command; Team Leadership. Spencer et al., 1993, 64.

Vision = Businessmindedness; Commitment to the Command's Mission; Organizational Commitment; Mission Orientation. Spencer et al., 1993, 86.

Vision—Takes a long-term view and builds a shared vision with others; acts as a catalyst for organizational change. Influences others to translate vision into action. Part of the Leading Change cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

Visioning—"ability to create a new understanding of an organization's mission, think up a new vision for a group" (not included in the Competency Dictionary). Part of the "unique" competency group. Spencer et al., 1993, 88.

W

"A willingness to assume responsibility means that individuals will take positions requiring broader decision-making duties and greater authority." Part of the Traits cluster. Van Wart, 2011, 272.

Writing Skills—"ability to write well" (not included in the Competency Dictionary). Part of the "unique" competency group. Spencer et al., 1993, 88.

Written Communication—Writes in a clear, concise, organized, and convincing manner for the intended audience. Part of the Fundamental Competencies cluster. SES ECQs, OPM, http://www.opm.gov/ses/recruitment/competencies.asp.

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Education

HS   Public Secondary School No: 92
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Diploma   Kyiv State University, Ukraine
            Department of Romance & Germanic Philology
            Field of Study: English Language and Literature, 1987

MPA   Rutgers, the State University of New Jersey
            Department of Public Administration, 1998
            Newark, NJ
            Field of Study: Policy Analysis
            Thesis: *The Clinton Health Security Plan vs. the U.S. and Canadian Health Systems: Policy Analysis*

Ph.D.   Rutgers, the State University of New Jersey
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Academic Positions

Adjunct Lecturer, MPA/EMPA Programs, Rutgers, Newark, NJ	2005-2006
Teaching Assistant, MPH Program, Rutgers, Newark, NJ	2003
Teaching Assistant, Department of Economics, Rutgers, Newark, NJ	2000-2001
Adjunct Lecturer, Department of Romance & Germanic Philology Kyiv State University, Ukraine	1993-1994
Adjunct Lecturer, Department of English, Kyiv State Institute of Foreign Languages, Ukraine	1991-1992

Professional Experience

Part-Time Research Assistant, SPAA, Rutgers, Newark, NJ	2007-2012
Faculty Liaison, CASE, Newark Center for Families and Communities (NCFC), Rutgers, Newark, NJ	1998-1999
Administrative Assistant, Sloan Project, National Center for	

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Administrative & Financial Officer, West-NIS Regional Office
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Research Assistant, Institute of Ukrainian Studies, Kyiv University,
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Courses Taught

Analytical Methods
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English; Practical and Business English; Communicative Competence

Awards

2001-2002 Dissertation Research Fellow, Rutgers, Newark, NJ
1996-1998 Edmund S. Muskie/Freedom Support Act Graduate Fellowship

Professional Affiliations

American Society for Public Administration (ASPA)
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Public Service

Managing Editor, *Public Voices,* NCPP, Rutgers, Newark, NJ   2002-Present
Associate Editor, *Public Voices,* NCPP, Rutgers, Newark, NJ   2001-2002
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Advisory Board Member, ASPA's Section on Historical, Artistic
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Publications

Co-author (with Gerald Miller), Budgeting for Nonconventional Expenditures. In Miller,
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Make Sense of Ambiguity*. Taylor & Francis Group, Inc, 2011.
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References

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Endnotes

[1] Thompson (1993, 9) indicates that "frictions fueled by the separation of powers" affect the federal and state governments to a much greater extent than they affect local governments.

[2] *"Power is a relationship wherein certain people control other people by rewards and/or punishments"* (Rost, 1991, 106).

[3] *"Authority is a contractual (written, spoken, or implied) relationship wherein people accept superordinate or subordinate responsibilities in an organization"* (Rost, 1991, 106).

[4] Authority and power can be coercive as well as noncoercive. If they are coercive, "people can be forced to behave in certain ways if they want to remain in the relationship. Coercion is not only an acceptable behavior in authority and power relationships, it is often essential if the relationship is going to be productive or effective" (Rost, 1991, 106). Obeying the traffic laws is an example of a coercive relationship (106). An extreme form of coercion is *dictatorial relationships*, or "*power wielding*," as Burns (1978) termed them. They "rely on physical and psychological abuse that one person or several persons use to control other people absolutely" (Rost, 1991, 106).

[5] As Rost (1991, 118) indicates, the *intention* to bring about real change is what defines the relationship between leaders and followers as leadership: "Leadership can still be leadership when the relationship fails to produce results."

[6] They are "narrower in meaning than traits and involve specific capacities for action such as decision-making, problem solving, and performance appraisal" (Kirkpatrick et al., 1991, 56-57).

[7] This is a concept of what the organization should be" (Kirkpatrick et al., 1991, 56-57).

[8] There was a fourth motive system—the avoidance motive, which is not discussed here.

[9] The anagram stands for planning, organizing, staffing, directing, coordinating, reporting, and budgeting.

[10] They are measured by a questionnaire called the Managerial Practices Survey.

[11] *Persuasion "amounts to more than the charm of reasoned argument"* (Neustadt, 1980, in Rost, 1991, 105). Influence as persuasion involves what Rost (1991) calls "*power resources*:" rational discourse, "reputation, prestige, personality, purpose, status, content of the message, interpersonal and group skills, give-and-take behaviors, authority or lack of it, symbolic interaction, perception, motivation, gender, race, religion, and choices" (105). In a relationship based on persuasion, anyone can freely agree or disagree as well as drop into or out of the relationship (Rost, 1991, 107).

[12] There was an earlier version proposed by Evans in 1970, but it did not incorporate situational variables (Yukl, 1994, 285).

[13] This aspect of leadership behavior was recognized in the Michigan leadership studies but not in the Ohio studies, which ascribed consultation to consideration and autocratic decision making to initiating structure (Yukl, 1994, 157).

[14] Which is also the title of his book.

[15] It is important to remember here that, "while this is an instructive perspective, it certainly does not represent the entire leadership process" (Van Wart, 2012, 123).

[16] "It should be noted that there is a good deal of overlap in distributed-leadership models and theories" (Van Wart, 2012, 124).

[17] This is especially relevant for the public sector, where "distributed leadership is occasionally attacked with accusations that bureaucracy will run amok or that unelected bureaucrats will make important public decisions. Although these are real concerns, it has not been clearly established that they are more likely to occur because of distributed leadership" (Van Wart, 2012, 182).

[18] The ideas about servant and transformational leadership respectively resonated big, and continue to resonate, in the public sector leadership literature. In 1996, the *International Journal of Public Administration* sponsored a symposium on transformational leadership guest-edited by Bass (Van Wart, 2005, 13), while in 2002 *Public Voices* hosted a symposium on servant leadership.

[19] There is actually a third argument stating that "the empirical claim that public sector managers are more risk averse than private managers has not been conclusively determined," to the contrary, evidence indicates that public managers differ little from private-sector managers in their risk orientations, but red tape and external influence of elected officials have a dampening effect on risk" (Bozeman et al., 1998, 109, 117). This argument, however, is irrelevant for this discussion.

[20] Selznick also groups the leadership functions of top executives into a separate category. According to Selznick (1957, 37), their basic contribution "to the enterprise" consists of no more than two or three critical decisions per year. He also believes that neither the personality traits associated with leadership, such as aggressive self-confidence, intuitive sureness, or ability to inspire (38), nor "mere speed, frequency, and vigor in coming to decisions" aid in or are relevant to this contribution.

[21] I believe this is similar to what Behn (1998) describes as "management by grouping along."

[22] Because of its focus on performance outcomes (which is important for developing job standards) and its disregard of performance inputs—what abilities and attributes an individual can bring to the performance of the task, this approach received more criticism than the behavioral approach (Carblis, 2008, 33).

[23] The article was based on the research McBer and Company, a consulting firm of which McClelland was a co-founder, conducted in the 1970s for the American Management Association (AMA) with the purpose of identifying clusters of underlying characteristics that distinguish high performers. An unexpected, although consistent, finding of that pioneering research was that "the amount of knowledge one acquires of a content area is generally unrelated to superior performance in an occupation and is often unrelated even to marginally acceptable performance" (Kline, 1982, 124).

[24] McClelland's idea to introduce a written alternative to IQ testing "never got off the ground," mainly because the tests had low credibility among McBer's clients. McClelland found it regrettable that well-researched, low-cost, and reliable tests that could make possible screening large numbers of people at once did not generate demand (Adams, 1997).

[25] Later it became known as *Behavioral Event Interviewing* (BEI).

[26] In this regard, to train for this competency, a test requiring listening to "content-filtered" speech in order to identify the emotions being expressed was proposed. Despite the test's moderate success, it did not appeal to the client (Adams, 1997).

[27] Taylorism continued to be influential throughout the last century and even underwent "something of a revival in the rise of total quality management (TQM)" (Carblis, 2008, 30).

[28] Boyatzis excludes the concept of attitudes from his competency model. He argues that, as expressions of feelings or statements for or against something, they can be reduced to values, which "are part of self-image and social role," and it makes more sense "to work with values directly than with the attitudes that result from them" (Boyatzis, 1982, 34).

[29] "Although it is possible that effective performance may result when only two of the components are congruent, or fit, it is less likely that *consistent* effective performance will occur" (Boyatzis, 1982, 15).

[30] For his book, Boyatzis reanalyzed all the available information in its raw form. That information came from 12 organizations and more than 2,000 people in 41 management jobs. Out of 12 organizations, four were in the public sector—either representing federal departments or agencies within the U.S. government in the areas of foreign relations, international trade, domestic trade and also a branch of the military. These four agencies supplied 21 management jobs (out of 41 total) for the study (Boyatzis, 1982, 40).

[31] It is implied in all competencies that the "desired effect should be for the general good, or at least not harmful" (Spencer et al., 1993, 44).

[32] Change of the organization's direction is not a part of this competency (Spencer et al., 1993, 86).

[33] Locke (2005; in Fambrough et al., 2008, 751) argues that EI seems to be redefining "what it means to be intelligent so that everyone will, in some form, be equal in intelligence to everyone else."

[34] This point was further developed in *Primal Leadership*.

[35] According to a 1991 study of 10,000 managers and lead workers conducted by the U.S. Office of Personnel Management (OPM), "traits and skills crowded out work behaviors as most important by dominating more than 80 percent of the top competencies investigated" (Van Wart, 2011, 259).

[36] "It is important to note that although advanced learning is often founded on basic learning, the utility and viability of basic and advanced learning modes are generally situationally determined, and advanced learning is not always the better of the two modes. However, it is generally the case that advanced learning takes more resources and is less practiced, or practiced more poorly than basic learning. In addition, all high-performing organizations have cultures that promote advanced learning. Therefore, wise leaders enthusiastically engage in and encourage advanced learning practices" (Van Wart, 2011, 313-314).

[37] Morse (2008, 85) prefers the word *attribute* to *trait*, as for him, *trait* connotes a fixed, inborn, characteristic while *attribute* seems to be less restrictive and connotes something that can be changed.

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[38] The other three agencies are the Merit Systems Protection Board, the Equal Employment Opportunity Commission, and the Federal Labor Relations Authority.

[39] Svara (2007, 79) indicates that Republicans tend to interpret SES's responsiveness as the loyalty to the President and his administration, while Democrats primarily understand it as openness to new ideas.

[40] Although there have been no more ECQ revisions, OPM is focusing on the SES selection process. Thus, in 2008, it piloted two new methods for entering the SES—the Accomplishment Record and Resume-based method. Both of these methods continue to be ECQ-based. However, those applying under the Accomplishment Record are not required to address the five broad ECQs anymore but rather must demonstrate their proficiency on a select number of the 28 executive competencies underlying them. The Resume-based method is even simpler: it requires that an aspiring entrant show possession of the ECQs in a standard resume format (OPM, June 2010).

[41] They are now considered threshold competencies.

[42] Two competencies, *international* and *cross-cultural relationships*, are not included in the model for team leaders, bringing down the total number of competencies for that role to 18. At the skill level, however, international policy and cross-cultural relationships are a part of the *customer, stakeholder and partner relationships* competency. Similarly, the total number of competencies in the 1st supervisor model is 19, minus as cross-cultural relationships. The skill cross-cultural relations though is present as part of the international competency.

[43] However, ethics constraints are discussed.