Values Based Leadership and Public Accountability
2016 City Summit

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Kevin Kearns is Professor of Public and Nonprofit Management in the Graduate School of Public and International Affairs (GSPIA), University of Pittsburgh. He is also the founding Director of the Johnson Institute for Responsible Leadership, a program that promotes ethical leadership in public and nonprofit institutions.

Kearns has published books and articles in leading research journals on topics of interest to government and nonprofit leaders including strategic management, nonprofit governance, revenue strategies, administrative ethics and accountability, and general management. His articles have appeared in journals such as Public Administration Review, Nonprofit Management and Leadership, Nonprofit Policy Forum, and Nonprofit and Voluntary Sector Quarterly. His third book, Private Sector Strategies for Public Sector Success, was honored with the Terry McAdam Best Book Award by the Alliance for Nonprofit Management. In 2007 Dr. Kearns held a Fulbright Fellowship to teach nonprofit management in the Czech Republic. He has lectured on public and nonprofit management in Taiwan, Indonesia, Macedonia, Slovakia and Brazil.

Dr. Kearns has won many awards for outstanding teaching, including the 2005 Chancellor’s Award for Distinguished Teaching at the University of Pittsburgh. On six occasions, most recently in 2016, the students in GSPIA recognized him with the Donald Goldstein Teacher of the Year Award. In 2015 Kearns received the Martin Luther King Leadership Award from the Coro Center for Civic Leadership in Pittsburgh and the Wangari Maathai Humanitarian Award from Workforce Development Global Alliance.

Dr. Kearns has held a variety of leadership positions in higher education and philanthropy. While on leave from the University of Pittsburgh he served as President of The Forbes Funds, a supporting organization of the Pittsburgh Foundation devoted to capacity-building in nonprofit organizations. In that role he designed a new grant making and capacity-building strategy and launched the Alfred Wishart Award for Nonprofit Excellence. Dr. Kearns has served on the boards of directors of many nonprofit organizations. He is actively engaged in national speaking and service to professional societies that are advancing the art and science of nonprofit management.

He completed his undergraduate studies at the University of Dayton and his master’s and doctoral degrees from the University of Pittsburgh. He is married with two young adult children. In his free time he enjoys long-distance cycling and sailing small boats.
Managers vs. Leaders

By James Colvard

We often talk of management and leadership as if they are the same thing. They are not.

The two are related, but their central functions are different. Managers provide leadership, and leaders perform management functions. But managers don't perform the unique functions of leaders.

Here are some key differences:

- A manager takes care of where you are; a leader takes you to a new place.
- A manager deals with complexity; a leader deals with uncertainty.
- A manager is concerned with finding the facts; a leader makes decisions.
- A manager is concerned with doing things right; a leader is concerned with doing the right things.
- A manager's critical concern is efficiency; a leader focuses on effectiveness.
- A manager creates policies; a leader establishes principles.
- A manager sees and hears what is going on; a leader hears when there is no sound and sees when there is no light.
- A manager finds answers and solutions; a leader formulates the questions and identifies the problems.
- A manager looks for similarities between current and previous problems; a leader looks for differences.
- A manager thinks that a successful solution to a management problem can be used again; a leader wonders whether the problem in a new environment might require a different solution.

Multiple functions, limited resources and conflicting demands for time and resources, require management. It involves setting priorities, establishing processes, overseeing the execution of tasks and measuring progress against expectations. Management is focused on the short term, ensuring that resources are expended and progress is made within time frames of days, weeks and months. Leadership, which deals with uncertainty, is focused on the long term. The effects of a policy decision to invest in staff development, for example, might never be objectively determined or, at best, might only be seen after many years.

Management involves looking at the facts and assessing status, which can be aided by technical tools, such as spreadsheets, PERT (program evaluation and review technique) charts, and the like. Leadership involves looking at inadequate or nonexistent information and then making a decision. Leaders must have the courage to act and the humility to listen. They must be open to new data, but at some point act with the data available.
Management's concern with efficiency means doing things right to conserve resources. Leadership is focused on effectiveness - doing the right thing. For example, the military must manage its resources well to maximize efficiency. But in waging war, the military's critical responsibility is to be effective and win the war regardless of the resources required. Getting a bargain does not reflect effective leadership if it means losing the war. Good management is important, but good leadership is essential.

The public sector develops a lot of good managers, but very few leaders. Government focuses too much on abstract or formal education, rather than experience. The Senior Executive Service has provisions for mobility and development through experience, but they are rarely used.

**Developing Leaders**

Developing managers and leaders involves stages of understanding, not prescriptively, but conceptually.

Phase 1 is higher education or academic training that focuses on abstract learning, in which solutions to problems are provided in textbooks.

Phase 2 applies that abstract process to the actual workplace, in which there are often no right or wrong answers. This is the critical phase in which a future manager or leader develops the confidence to make decisions without knowing the right answers. This requires attempting tasks that are challenging, so that success will demonstrate competence.

Phase 3 involves social and political dimensions, as a performer moves from working independently to working with others as a supervisor or member of a product or process team. It is no longer enough to simply know the facts, since the process now includes others and involves subjectivity.

Phase 4 replaces simpler tasks that involve teams or small groups with complex tasks that involve independent, but often interrelated, large groups. In this pivotal stage, managers accept responsibility for things outside their expertise and rely on someone else to provide the facts. The manager may have more authority, but has become more dependent upon others. This might be the time to get more formal training, such as seminars or academic programs in management, to develop skills that weren't addressed in earlier education. There is no turning back after this transition from performing objective tasks to subjective decision-making and problem solving.

Phase 5 separates leaders from managers. The management role changes from maintaining an organization's values to creating them. Leaders establish the principles upon which their subordinates formulate policies.

**Building on Strengths**

Becoming a leader requires understanding oneself. There are many tools available, such
as the Meyers Briggs profile, to help with that assessment. Recognizing personal characteristics is important in learning how to deal with others, recognizing strengths and weaknesses, and adopting an appropriate leadership style. An extrovert must learn to listen more and talk less. An introvert must speak up more and get heard. A manager who is more comfortable knowing all the details and giving explicit orders should not adopt a participative management style, but rather recognize the limitations of an authoritative style. Adopting a style that is inconsistent with one's personality not only creates stress but it often leads to failure.

Leaders also must understand their professional traits. One useful tool is the 360-degree feedback survey, which allows managers to get the perspectives of their bosses, peers and subordinates. Such a total view is valuable because managers tend to assess their behavior in terms of their intent, not the effect.

Today the federal system, both its structure and processes, is changing. New agencies, such as the Homeland Security Department, are being formed. The federal personnel system is being modified significantly. Outsourcing has become a household word in the government. Civil servants are going to a new place, and it will take leaders - not just managers - to get them there.

James Colvard, deputy director of the Office of Personnel Management under President Reagan, later was associate director of the Johns Hopkins University Applied Physics Laboratory. He teaches at Indiana University.
Note: This case is courtesy of Dr. Peter Madsen, Carnegie Mellon University

NIMBY

Council members in the municipality of Hillcrest have been called upon to consider a petition granting a zoning variance to Joyful Homes. The petition asks permission for Joyful Homes to operate a group home for the mentally and physically challenged persons within the municipality. The municipality currently has no such facility of its kind operating within its boundaries.

The Council members have received public testimony and a recommendation for approval from both the Planning Development Commission and the Department of Planning. Joyful Homes intends to provide a small community residence for five mentally retarded young adults between the ages of 16 and 18. These people -- some of whom are Hillcrest citizens, some of whom are not -- have graduated to a program such as this which will provide a family-oriented life style to further their development as young adults. A staff of five persons will supervise the program.

The planning Department recommends approval of this zoning petition for the following reasons:

1. The proposed use would not alter or detract from the character of the neighborhood

2. The proposed use would be beneficial to the community as a whole by providing a needed public service

3. It is important to promote the development of all types of housing within the municipality and to uphold the municipality's fair housing policy

Although some citizens have responded favorably to the proposal, opposition far outweighs support. Petitions from a substantial part of the community against the proposal have been presented. The majority of citizens are clearly opposed to Joyful Homes being located in Hillcrest.

How do you, as a Council member, vote on the Joyful Homes proposal? What aspects of Moral Pluralism would be useful to you in justifying your position?
Moral Pluralism

Moral Pluralism is a general theory about ethics and ethical analysis. We can define it as a useful framework within which one can make ethical decisions. It is comprised of a number of distinct elements – ethical concepts, principles and theories. Each one of them has a unique history in our Western tradition.

**Deontology**: From Greek “deon” meaning duty. Act within certain set of principles and rules, regardless of outcome.

**Values**: Personal beliefs that govern actions. What is right and wrong. Religious beliefs.

**Utilitarianism**: Follow whatever action achieves the most positive outcome or consequence. But do positive ends always justify the means?

**Contractarianism**: Social contract. People sacrifice some rights to yield to authority.

**Virtue Ethics**: What would a virtuous person do?

**Justice**: Fairness to all involved.

**Rights**: Human rights established by society.

**Public Scrutiny**: Public opinion.
Choosing Lots

You are the members of the board of the regional transit authority. Your jurisdiction covers five counties, four of which are mostly suburban, and one county that is urban. The authority badly needs a new bus terminal with bus garage, since the population has grown in both the city and the suburbs. There are new jobs in the city as well as in the suburbs, and the authority wants to provide transportation, especially so people from poorer neighborhoods can get to the new jobs in the suburbs by public transit.

The authority has the power, as a government agency, to take property by "eminent domain." This means that the owner is required to sell the property to the government, but the owner is paid fair market value.

Lot A, the first lot could be purchased for $1000 an acre. Lot B, the second lot, would probably go for $5000 an acre. Lot C, the last lot, would go for $10,000 an acre.

The people near Lot A (inner city) claim that they are being discriminated against because they are poor, and they are tired of the city dumping bus garages, sewage plants and trash disposal plants in their neighborhood. The people living near Lot A include many recent immigrants.

The people near Lot B (edge of city) say that they have worked hard over the past decades to revitalize their neighborhood and turn it into a family-oriented, middle class area. Crime is down, home ownership and property values are up, and they want only clean businesses in the area. There are also many small businesses that have been here for decades that could not successfully re-locate elsewhere.

The people near Lot C (suburbs) said that they paid good money to invest in homes in a wealthy area with little pollution, traffic and noise. There are some office parks nearby in which the companies need more clerical and custodial workers. The people near Lot C have hired an expensive law firm and said they'll take this to court for years. They stalled a freeway bypass for fifteen years this way.

There are no other possible lots. Which one should the authority choose to take by eminent domain and why?
NLCU: Values Based Leadership and Public Accountability

November 16, 2016

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Graduate School of Public and International Affairs--The University of Pittsburgh

#NLCU
Objectives for Today

- Explore 5 key attributes and actions of effective leaders
- Reflect on your own leadership attributes and strengths
- Identify ways to build on your leadership strengths
The ability to engage others and to maximize their efforts toward the achievement of a noble goal
Opening Exercise

• Write down a brief summary of a situation in which you were most satisfied with the way you exercised leadership
  • What did you do (or not do) that contributed to the positive outcome?

• Now write down a brief summary of a situation in which you were least satisfied with the way you exercised leadership
  • What did you do (or not do) that contributed to the negative outcome?
Is leadership a *trait* or a *skill*? Something we are born with -- for which we are “destined”? Or is leadership something that can be taught?

Harold Geneen: Learning to be a leader is like learning to throw a curveball – it can be taught (in theory) but it must be learned (with practice)
Fist Attribute of Leaders: Self-Awareness

- Effective leaders are aware of their inclinations, predispositions, “style”, and strengths and weaknesses
- Committed to continuous process of self-reflection and discovery
- Surround themselves with staff who challenge as well as support
- Comfortable with subordinates who contribute to this learning process
- Blend of confidence and humility
- Committed to diversity of all types in the workplace and in the executive team
- Often seek the counsel of a mentor, coach, or trusted colleague
The concept of “emotional intelligence” – Daniel Goleman

- **Self-awareness**: knowing one’s strengths, weaknesses, drives, values, predispositions, biases.

- **Self-regulation**: controlling or channeling disruptive impulses; engaging in self-reflection; commitment to continuous growth and learning of yourself and others.

- **Motivation**: striving for achievement for its own sake, not for derivative rewards (money, prestige, ego); driven toward goals (primarily organizational, not just personal).

- **Empathy**: Understanding other people’s emotional make-up; concern for their needs; sensitive to their perceptions; curious about their motives.

- **Social skill**: building rapport with others to move them in the desired direction; tailoring communication to their needs; active listening; mediation and facilitation.
What are Your Predispositions, Preferences, Style?

• In what form do you prefer information?
• How do you typically “frame” problems?
• To what extent do you prefer to work alone or with others?
• Are you comfortable with conflict or do you seek harmony and consensus?
• Are you highly structured in organizing your tasks or are you more fluid and spontaneous?
• **Favorite world:** Are you outgoing and do you prefer engagement with all types of people or are you more comfortable in your own inner world of ideas and concepts? This is called Extroversion (E) or Introversion (I)

• **Information:** Do you prefer to focus on factual information, events, and clear evidence or do you trust your observations, interpretations, and ability to read between the lines? This is called Sensing (S) or Intuition (N)

• **Decisions:** When making decisions, do you prefer to first look at logic and consistency or do you first look at how to engage people, seek harmony, and consider special circumstances? This is called Thinking (T) or Feeling (F)

• **Structure:** In dealing with the outside world, are you task oriented and highly organized or do you prefer to stay open to new information and options? This is called Judging (J) or Perceiving (P)
Kevin’s Type INFP

Idealistic, loyal to their values and to people who are important to them. Want an external life that is congruent with their values. Curious, quick to see possibilities, can be catalysts for implementing ideas. Seek to understand people and to help them fulfill their potential. Adaptable, flexible, and accepting unless a value is threatened.
Might be Helpful for me to Work With

ENTJ: Frank, decisive, assume leadership readily. Quickly see illogical and inefficient procedures and policies, develop and implement comprehensive systems to solve organizational problems. Enjoy long-term planning and goal setting. Usually well informed, well read, enjoy expanding their knowledge and passing it on to others. Forceful in presenting their ideas.
• Dominance: Accomplishment, bottom line, confidence
• Influence: Persuasion, openness, collaboration
• Steadiness: Cooperation, sincerity, dependability
• Conscientiousness: Accuracy, competence, reliability
Strengthsfinder
http://www.strengthsfinder.com/home.aspx

Helps you identify your top five strengths from list of 34 themes:

• Achiever
• Activator
• Developer
• Learner
• Strategic
• Etc.
Bruce Bickel – Four “P’s”

Persistence
Precision
Planning
Persuasion
• How do you personally engage in “self-discovery”?
• Is there anything you regularly do to bring into focus your strengths and your weaknesses as a leader?
• Is there a technique, an exercise, a reading that you would recommend to others?
Second Attribute of Leaders: System-wide Perspective

- Effective leaders look beyond the boundaries of the group, the organization, and the task at hand
- Curious about how the entire organization works, interdependence of the parts
- See their role and tasks as part of a system of interacting parts – internal and external supply chains
- Keep an eye on the external environment (“PESTs”) for emerging opportunities and challenges
- Cultivate a network of relationships inside and outside the organization
- Understand “ripple effects” of their actions and their words
- Understand stakeholders
Every Organization is a System of Interacting Components
McKinsey “7-S” Framework
The “Helium Stick” Exercise

- Two rows face each other, arms out, point index finger
- Everyone’s index finger MUST touch the stick
- Lower stick to the ground
- Index finger must be in contact at all times, no pinching or grabbing. Must rest on top of fingers
Lessons

• What was the initial reaction of your group?
• What inhibited success?
• What skills did it take for your group to be successful?
• What actual events in your work are like the Helium Stick?
Some Tips to Cultivate A Systems Perspective

- Concentrate on the whole, and the interconnections between the parts
- Focus on the system’s overall purpose not just its processes and procedures
- See what is actually happening not what needs to happen or what you want to happen
- Personally observe (MBWA)
- Make continuous improvement the goal
- Consider all players and actors in the supply chain
- Don’t isolate strategy makers and leaders from the front line
# Impact Assessment Matrix

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<thead>
<tr>
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<th>Low Probability of Occurrence</th>
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<td>Highest Strategic Priority</td>
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<td>Lower “Strategic” Priority but potential for “Tactical” or “Operational” Adjustments</td>
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## SWOT Analysis

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<td>Invest, Divest, Collaborate</td>
<td>Damage Control</td>
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Discussion

• To what extent do you feel you have a systems view of your jurisdiction – a really firm grasp on how the parts work in concert or in discord?
• What barriers or challenges do you face in developing a deeper understanding of your system?
• As the leader, do you sometimes feel “isolated” from ground-level activities and processes?
• How might you overcome these challenges?
Third Attribute of Leaders: Stewardship

- Effective leaders understand that their tenure as leader is limited
- Will eventually turn over public assets to a successor
- Committed to strengthening the organization during their tenure, not creating dependence
- Have a long-term perspective on what is best for the enterprise (not necessarily for them)
- Build capacity in the organization – develop potential leaders beneath them (mentor/coach)
- Empower employees and invest in training
- Seek lessons from mistakes – “organizational learning”
- Not threatened by next generation
At its most basic level, stewardship is acting upon the understanding that leadership is a temporary role which is outlasted by the lifespan of an organization. A leader is performing the act of stewardship whenever he or she is actively preparing for an organization’s future vitality. This act of stewardship takes form at different organizational levels.
Discussion

• The concept of Stewardship is appealing in theory, but why is it difficult to follow in practice?
• Is it particularly difficult in a political context?
• Self-reflection: What can I do to promote the idea of Stewardship throughout my municipal government?
Fourth Attribute of Leaders: Accountability

- Set high standards for others and themselves
- More than just vague “vision”
- Insist on evidence-based programs
- Transparent with the public about process and results
- Willing to teach but will not tolerate consistent sub-par performance that is detrimental to the group
Accountability to Stakeholders

- **Superiors (Administrative / Elected):** The “authorizing environment”
- **Peers (other community leaders), other jurisdictions that are part of your “supply chain”**
- **Team members**
- **Citizens**
- **Media**
- **Advocacy groups**
- **Independent “experts”**
- **Benchmark organizations**
Key Choices in Accountability: What do I need from these stakeholders?

- Their consent or authorization?
- Keep them informed?
- Consult with them?
- Collaborate with them?
- Empower them?
A Strategic Approach to Accountability

- Accountability is a dynamic concept, not static.
- The accountability environment contains both explicit and implicit expectations of how the leader and the organization should behave.
- The leader can respond to these expectations with either tactical or strategic actions.
# Accountability Matrix

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Four Types of Accountability

- **Compliance Accountability**: Obedience to the law regarding procurement, treatment of citizens and employees, restrictions on executive authority, periodic reports of performance, reporting of gifts, proper use of intergovernmental grant or transfer, contract administration, nondiscrimination.

- **Negotiated Accountability**: Responding to the demands of powerful stakeholders (e.g., neighborhood groups, vendors) for more openness, transparency, and accountability. Negotiating PILOTs with nonprofit organizations.

- **Discretionary Accountability**: Proactive establishment of accountability standards by adherence to best practices in management and governance. Doing the right thing even when it is technically unenforceable.

- **Anticipatory Accountability**: Advocacy to set accountability standards for your organization. Can come with risks – Robert Citron and Orange County Bankruptcy.
Self-reflection

• What are my accountabilities in order of importance?
  • To whom am I accountable?
  • For what am I accountable?
  • What are my personal metrics of success / failure?

• Does this ordering change from time to time?

• What mechanisms might help me and my government “stay ahead” of the accountability curve – anticipate and be proactive rather than reactive?
Fifth Attribute of Leaders: Ethical Framework

• Core values that guide them
• Some are universal values
• Some are personal
• Choose the harder right over the easier wrong
Short Case Studies

- “Choosing Lots”

- “NIMBY”
A Checklist of Moral Principles

- What responsibilities (duties) need to be fulfilled? Have any gone unfulfilled?
- What consequences might be predicted as the result of a given action? Are these harmful or beneficial?
- Are there situational variables or contingencies that should be considered?
- Whose values need to be considered in the decision? Individual? Organizational? Societal? Cultural? Spiritual? All?
- What legal liabilities are at stake? Implicit contract (promise) versus legal contract?
Moral Principles (cont.)

• What *character traits / virtues* might guide the decision?

• How *fair and just* is the decision being contemplated? How can justice be achieved?

• Is there a *universal code* of conduct that can be extracted from precedent or comparable circumstances?

• How will the *public scrutinize* the decision? Will you want to read about this in the newspaper tomorrow?
In the positive leadership experience that you wrote down, which (if any) of these emotional intelligence traits were most dominant?

- **Self-awareness**: knowing one’s strengths, weaknesses, drives, values, predispositions, biases. Understanding other people’s emotional make-up; concern for their needs; sensitive to their perceptions; curious about their motives. controlling or channeling disruptive impulses; engaging in self-reflection; commitment to continuous growth and learning of yourself and others.

- **Systemic Perspective**: Ability to see the big picture, understand how your unit contributes to broader mission and how it supports and in turn relies on others. External perspective on trends and opportunities in the market, among consumers, key stakeholders.

- **Stewardship**: Continuously building the capacity of the organization for the long run, invest in the future, not concerned with legacy, motivated by what is best for the organization; learn from mistakes, empower others, leadership development.

- **Accountability**: Holding yourself and others to clear and high standards of performance, relying on metrics that are replicable and objective.

- **Ethical Framework**: Adherence to a code of moral reasoning, clarity about that code.
Leaders versus Managers
John Gardner

- **Horizon**: Leaders think in longer term, beyond today’s problems and challenges, beyond the horizon.

- **Perspective**: With respect to the unit they lead, leaders think of it in larger perspective, as part of a larger enterprise, in relationship to external conditions, and even in relation to global events and trends.

- **External Constituencies**: Leaders try to reach and influence constituents beyond their jurisdiction, beyond the boundaries of the organization itself.

- **Intangibles**: Leaders put heavy emphasis on intangible aspects of influence such as vision, values, and motivation.

- **Political Skill**: Leaders have political skills to cope with the conflicting demands of multiple constituencies.

- **Renewal**: Leaders think in terms of renewal, change, and helping the organization to adapt to emerging opportunities and challenges in the world outside.
Some references

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