

APPENDIX

Annotated Bibliography on Leadership

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Appendix.2 Annotated Bibliography on Leadership

SECTION A: The Four Clusters of Leadership Theory

This section of the bibliography is organized around four clusters of leadership theory. Our view is that most theories of leadership fit primarily into one of these clusters, each of which has strengths and limits. However, an optimal approach to leadership would draw on all four clusters.

The Four Clusters of Leadership Theory

		IMPLEMENTATION	
		Universal	Situational
APPROACH	Qualities	Lead by Embodying the Right Personal Qualities	Lead by Selecting/Adapting the Situation to Fit You
	Behavior	Lead by Doing the Right Things	Lead by Adapting What You Do to Fit the Situation

Adapted from Jago, Arthur. G. (1982). "Leadership: Perspectives in Theory and Research." *Management Science* 28(3): 315-336.

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Most Theories Fit Primarily into One Cluster

		IMPLEMENTATION	
		Universal	Situational
APPROACH	Qualities	<ul style="list-style-type: none"> ■ Early Trait Theories ■ Transformational Leadership (Burns) ■ Emotional Intelligence (Goleman) ■ Level 5 Leadership (Collins) ■ Presence (Senge et al) 	<ul style="list-style-type: none"> ■ Contingency Model (Fiedler) ■ Gallup Org. (Buckingham, Clifton) ■ Servant Leadership (Greenleaf, Jaworski)
	Behavior	<ul style="list-style-type: none"> ■ Managerial Grid (Mouton-Blake) ■ Kouzes & Posner ■ Stewardship (Block) ■ Principled Leadership (Covey) ■ Adaptive Leadership (Heifetz, Linsky) 	<ul style="list-style-type: none"> ■ Situational Leadership (Hersey-Blanchard) ■ Normative Leadership Theory (Vroom & Yetton; Vroom & Jago) ■ Primal Leadership (Goleman et al)

Adapted from Jago, Arthur. G. (1982). "Leadership: Perspectives in Theory and Research." *Management Science* 28(3): 315-336.

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Annotated Bibliography on Leadership **Appendix.3**

SECTION A: The Four Clusters of Leadership Theory

1. Lead by Embodying the Right Personal Qualities.

Overview

The upper left Cluster focuses on the qualities that are thought to universally contribute to leadership. It suggests that leadership requires being the right kind of person, or at least having particular personal qualities.

An early example is the "Great Man" theory of leadership, which was popular at a time when only men were thought to be leaders. This was followed by a wave of "trait" theories that tried to specify the particular qualities that accounted for leadership. An assumption in these earlier theories was that leaders are born, not made.

Interest in these early theories waned in 1930's and 1940's, as researchers were unable to agree on which qualities accounted for leadership. However, the notion that the personal qualities of a leader are important has proved to have enduring value.

There was a resurgence of theories emphasizing character in the 1980's. You began to hear talk of "transformational" leadership (e.g., Burns) and then "charismatic" leadership (e.g., Conger). In this approach the leader's role is to help followers reach their full potential, raising their motivation and even their morality. The classic examples here are Mahatma Gandhi and Martin Luther King. Nelson Mandela would be another natural addition to the list.

More recent versions of these theories place less emphasis on leaders being born and some assume that the desired qualities can be learned. But they tend to emphasize the "larger than life" character of leaders. This has a downside. While it may be inspirational to review the contribution of people like political leaders like Gandhi, or corporate leaders such as Jack Welch, it could just as easily be disheartening. Such an emphasis implicitly discourages "ordinary" people from believing that they can rise to the leadership challenge. A subtler limit is that even if one did find a correlation between leadership and particular traits, it doesn't follow that having those traits leads to leadership.

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Nonetheless, the emphasis on a leader's character continues to attract rich contributions to advice on leadership, and is the source of some of the most interesting recent contributions (e.g., Senge et al).

The value of this cluster for leadership development is that it:

- Reinforces the importance of recognizing that your most valuable tool as a leader is yourself.
- Calls attention to the critical role of self knowledge, knowing your strengths and your limits.
- Makes clear the importance of developing yourself fully as a person (i.e., developing your emotional intelligence, your "whole self").

Following are brief descriptions of some of the major examples of this approach.¹

¹ We are indebted to Arthur Jago for the basic idea of dividing leadership theory into four parts, which we have adapted and extended ("Leadership: Perspectives in Theory and Research." *Management Science* 1982, 28(3): 315-336.)

SECTION A: The Four Clusters of Leadership Theory

1. Lead by Embodying the Right Personal Qualities.

Selected Examples

Berens, Linda (2000).
Understanding Yourself and Others: An Introduction to Temperament.
Huntington Beach, Calif.:
Telos Publications.

In this very useful booklet Berens provides a concise overview of temperament theory—its history, nature and applications. This theory, created by David Keirsey (see below), provides a simple though not simplistic four-fold typology for understanding the ways in which people differ. Along with the MBTI, temperament offers one of the most useful of the many frameworks for understanding individual differences. Berens is a protégé of Keirsey and with him has been a strong advocate. She believes that leadership style is directly related to “who you are,” which makes this work a good fit with the upper left cluster of theory. However, unlike Keirsey, she does not believe that Temperament directly predicts one’s approach to leadership. Instead, it is a powerful way of understanding the differing basic orientations, including needs and values, that people typically bring to their leadership roles.

Boyatzis, Richard and Annie McKee (2005).
Resonant Leadership: Renewing Yourself and Others with Mindfulness, Hope and Compassion.
Cambridge, Mass.: Harvard Business School Press.

This book reflects a trend in leadership theory that points to the importance of developing one’s character as a person in order to be an effective leader. As Daniel Goleman writes in the foreword, “the first task in management...poses the challenge of knowing and managing oneself” so that one can “act in accord with...inner barometers” This means connecting to one’s values, aligning emotions with goals, and cultivating compassion as a way of lifting oneself out of self-preoccupation. The authors provide suggestions for how to follow the advice of Gandhi to “be the change you wish to see in the world.” In doing so, they build on their previous work with Goleman, *Primal Leadership*, which underscored the importance of emotional intelligence as a foundation for leadership. A new dimension in this work is attention to how leaders lose resonance through the “sacrifice syndrome,” which results from an inability to manage prolonged stress, and results in dissonance rather than resonance. They offer an approach to coping with stress—the “cycle of sacrifice and renewal”—that is grounded in a recent research on brain chemistry, physiology, and positive psychology. It is a holistic approach, involving body, heart, mind and spirit. It requires intentional self development to cultivate mindfulness (aware of ourselves and the world around us), hope (belief that the future we envision is attainable) and compassion (understanding others’ wants and needs and feeling motivated to respond).

Appendix.6 Annotated Bibliography on Leadership

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Brill, Pam (2004). *The Winner's Way: A Proven Method for Achieving Your Personal Best in Any Situation*. New York: McGraw Hill.

Psychologist Bill has created an original and illuminating synthesis of research and practice on how to be your best self. She organizes the book around a simple but compelling framework, the "Three A's": Activation (the physical/physiological aspect of experience); attention (where you choose to focus); and attitude (guiding values, beliefs, and assumptions). Proper alignment of all three offers a path for staying "in the zone," where peak performance is possible. The book has a self-promotional tone, and using language with a good deal of "hype." However, readers who are not put off by these stylistic features will be rewarded with a substantive and useful treatment of a proposition that is increasingly prominent in leadership theory: the foundation for effective behavior (including leadership) is management of one's own consciousness. Discussion of "Activation" integrates what has been learned about how athletes achieve superior performance. Brill encourages people to become aware of and manage their level of activation. Discussion of "Attention" highlights on patterns of individual difference in where we focus our attention, and the consequences of these choices, which are often tacit. And discussion of "Attitude" makes accessible key findings from psychology and cognitive therapy about the underlying assumptions that shape our perception and experience, and how to become aware of them. In all these areas she provides practical tips.

Burns, James McGregor (1979). *Leadership*. New York: Harper Torchbooks.

This classic work on leadership offers a scholarly and subtle discussion of varied leadership styles, distinguishing between "transforming" and "transactional" leadership. Burns' notion of "transforming" leadership has had enormous influence, and is the foundation for what has become better known as "charismatic" leadership. Five hundred pages in length, the book poses a substantial but rewarding challenge.

Collins, Jim (2002). *Good to Great: Why Some Companies Make the Leap and Others Don't*. New York: Harper Collins.

Challenging the conventional wisdom, Collins argues that transforming a company from merely good to truly great does not require a larger-than-life personality. Rather the essential ingredient is having a "level 5" leader who blends personal humility with intense professional will. The common characteristics of such leaders are humility, will, ferocious resolve, and the tendency to give credit to others while assigning blame to themselves. He contrasts the turn-around successes of outwardly humble executives like Gillette's Colman Mockler and Kimberly-Clark's Darwin Smith with those of larger-than-life leaders like Al ("chainsaw") Dunlap and Lee Iacocca,

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who courted personal celebrity. Collins is not clear whether these traits can be learned. His argument is summarized in "Level 5 Leadership: The Triumph of Humility and Fierce Resolve." (*Harvard Business Review*, January 2001, pp. 67-76).

Covey, Stephen (1990). *Principle-Centered Leadership*. New York: Simon and Schuster.

Covey does much better than most writers on leadership in going beyond the limits of a single cluster. His "principle-centered leadership" is concerned both with who we are and what we do. In Covey's view, leaders should be guided by principles, which like a compass, always point the way. The principles he advocates fall into four domains: security, guidance, wisdom and power. Covey seems most concerned with character. For example, he lists the characteristics of principle-centered leaders (e.g., continually learning, service oriented, radiate positive energy). But he often pays attention to both character and behavior—e.g., "Trustworthiness is based on character, what you are as a person, and competence, what you can do." And at times he turns his attention fully to what leaders should do, listing thirty "methods of influence" (ranging from the moralistic—"refrain from saying the unkind or negative thing"—to the more operational and practical—"delegate effectively"). In this vein, he devotes a chapter to how to get "completed staff work." Covey even shows some sensitivity to the need to adjust one's behavior to the situation, distinguishing between four levels of application of leadership: personal, interpersonal, managerial, and organizational. But at heart he seems most concerned with the kind of people we are. When the four areas of principle are harmonized, "they create the great force of a noble personality, a balanced character, a beautifully interfaced individual." Covey is most compelling as a preacher, extolling the virtues of good character.

Csikszmentmihalyi, Mihaly (1990). *Flow: The Psychology of Optimal Experience*. New York: Harper & Row.

This rigorously researched work describes a high performance state of mind that is accessible to many people under certain conditions and shows up in activities as diverse as chess, rock climbing, creative acts and states of rapture. By "flow" the author means "the holistic sensation present when we act with total involvement." It is characterized by the merging of acting and awareness. In this sense "flow" has similarity with "presencing." Citing Maslow, the author reports that people describing this state often use terms like "loss of ego," "loss of self-consciousness," and even "fusion with the world." It is a state of mind that is very pleasurable and that also generates very effective outcomes. Csikszmentmihalyi describes the conditions that appear to be required by a flow state. But

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the larger point is that effective engagement in work or play is often directly related to the quality of the consciousness of the performer.

Erikson, Erik (1993). *Gandhi's Truth: On the Origins of Militant Non-violence*. New York: Norton & Co.

This is a complex portrait of one of the 20th century's greatest leaders, written by one of its most gifted psychologists.

George, Bill with Peter Sims (2007). *True North: Discover Your Authentic Leadership*. San Francisco, Calif.: Jossey-Bass

This book is one of several recent sources of validation for the basic assumption underlying the ARYLS seminar: that leadership is personally distinctive. Harvard Business School Professor Bill George and co-writer Peter Sims interviewed 125 executives, aged 23 to 93, who had been identified as "authentic" leaders. The result is a book which, as Presidential adviser David Gergen writes in a foreword, provides powerful testimony to the idea that "what ultimately distinguishes the great leaders from the mediocre are the personal, inner qualities." More specifically, a common theme in those interviewed was that the power and authenticity of their leadership came from their ability to draw positive lessons from their interpretation of their life stories. Their ability to lead grew out of their life struggles and challenges and the meaning they made from those experiences, not from being born with extraordinary talents or by imitating others. The congruence between their personal story and their approach to leadership is the source of their authenticity. The lesson for leaders is that if you want to become authentic, know your own life story.

George reports his own experience in learning from personal life challenges to become CEO and then Chairman of Medtronic, a global medical technology company. He also tells the story of many others, from Oprah Winfrey—who went from an abused childhood to build a media empire—to Starbucks' founder Howard Schultz, who resolved to build a company that would protect people like his father who lost his job to an accident. Under his leadership Starbucks became the first U.S. company to provide health insurance for every employee, including part-time workers. A key dimension of authenticity, the authors found, was a transformation in thinking from "I" to "we." Only when leaders stop focusing on their personal ego needs are they able to become fully authentic

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and develop other leaders.

Are authentic leaders more effective than those that are not? The authors believe so, as do the people they interview, though no evidence is offered. However, the book explores particular ways to optimize your leadership effectiveness, which include using a style that fits the situation you are facing, and being versatile enough to adapt.

Goleman, Daniel. (1996). *Emotional Intelligence: Why It Can Matter More than IQ*. London: Bloomsbury.

In what has become one of the greatest selling books on management, Goleman identifies five components of emotional intelligence: self awareness, self regulation, motivation, empathy, and social skill. Such intelligence is partly genetic, but Goleman concludes that it is to some extent learnable. However, the learning needs to address the limbic part of the brain, which governs feelings, impulses and drives, rather than the neo-cortex, which governs analytical and technical ability. The limbic system learns best through motivation, extended practice, and feedback. For a summary focused on leadership, see "What Makes a Leader?" (*Harvard Business Review*, Nov.–Dec., 1998, pp. 94-102). Goleman is concerned with behavior, and not just underlying character or "intelligence," so this work is relevant to the next cluster as well (which is where Goleman himself might place it). However, the work has an emphasis on underlying capacity that we believe gives him the highest affinity with those theorists who emphasize character above all else.

Goleman, Daniel (1998). *Working with Emotional Intelligence*. New York: Bantam Books.

Following up his earlier widely read work, *Emotional Intelligence*, Goleman offers evidence that success in the workplace is associated with a core set of emotional competencies. Goleman grounds his observations in summaries of the latest research on human behavior and the brain, pointing to the possibility—and difficulty—of changing one's behavior to increase emotional intelligence.

Helgesen, Sally (1985). *The Female Advantage: Women's Ways of Leadership*. New York: Doubleday.

Helgesen argues that gender differences make for fundamental differences in approach to leadership. For example, the emphasis on vision reflects a bias toward the masculine tendency to step back and view things objectively, which is reflected in the Western view of science. By contrast, the more subjective female approach, which appreciates context and the interdependence of the observer and the observed, emphasizes voice rather than vision. She uses the metaphor of the "web of inclusion" to characterize the female

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approach that follows from this difference, contrasted with the male tendency toward hierarchy. Providing case studies of four women, Helgesen contrasts her findings with Henry Mintzberg's portrait of five male leaders (Mintzberg, *The Nature of Managerial Work* [1973], New York: Harper Row). Among other differences she found that women paid more attention to relationships, shared information rather than hoarded it, and saw their jobs as just one element of who they were (versus the male tendency to identify with their job).

Joiner Bill and Steve Josephs (2007). *Leadership Agility: Five Levels of Mastery for Anticipating and Initiating Change*. San Francisco, Calif.: Jossey-Bass.

Joiner and Josephs have contributed one of the most thoughtful and useful books on leadership to appear in recent years, which has the additional virtue of being clearly written. It offers a thorough and useful application to leadership of a powerful body of literature on developmental psychology. Building on the work of his teacher Bill Torbert (*Action Inquiry*, 2005) and other developmental theorists, Joiner and co-author Josephs do a masterful job of demonstrating how differences in the quality of thinking make a difference in how leaders approach challenging situations and the results they get. For example, a fascinating chapter ("The Five Eds") imagines how a composite character with 5 different levels of "mastery" of leadership agility would approach the same situation. The book also lays out four core competencies that further define leadership agility, pertaining to context setting, dealing with stakeholders, being creative, and self-leadership. Other nuggets include descriptions of the differing ways in which leaders at the 5 levels of mastery reflect.

The authors devote some attention to how to assess leadership agility and how to develop it. The rub—and the opportunity—is that attaining higher levels of mastery is not simply a matter of skill acquisition. It involves development in one's overall level of consciousness—the way we see the world. In theory we are all capable of development to levels of mastery that go beyond even the 5 described by the authors. And there is strong incentive for us to do so, as the increasing complexity of the situations leaders encounter calls out for leadership at the highest levels of mastery. Unfortunately, most of us get stuck far short of our highest potential, and as a result are "in over our heads" (the title of a book by another of the thinkers who has influenced the authors, Robert Kegan).

Kabat-Zinn, Jon (2005).

Mindfulness meditation is among the most powerful tools for sharp-

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***Coming to Our Senses: Healing Ourselves and the World through Mindfulness.* New York: Hyperion.**

ening a leader's perceptions. This is the most recent of several good books on this practice by the physician who revolutionized the practice of stress reduction through use of mindfulness meditation. "Applying mindfulness in the moment of contact...we can rest in the openness of pure seeing, without getting caught up in our highly conditioned, reactive, and habitual thinking or in a stream of disturbance from the feeling realm, which of course only leads to more disturbance and turbulence of mind, and carries us away from any chance of appreciating the bare actuality of what is." Seeing in this way is good for us and good for the world, as we are more likely to be able to "respond in an effective and authentic way." Kabat-Zinn quotes Proust, "The true journey of discovery consists not in seeking new landscapes but in having fresh eyes." His book makes an eloquent case for one way of developing fresh eyes. Increasingly one finds evidence that this perspective is finding its way into leadership development programs.

Kegan, Robert (1994). *In Over Our Heads: The Mental Demands of Modern Life.* Cambridge, Mass.: Harvard University Press.

Kegan, a developmental psychologist, offers one of the more intriguing of a number of current "stage" models of adult development. Extending the work of Piaget, who has shown that children evolve through relatively well defined stages in which their ability to reason expands, Kegan argues that adults have similar potential to continue to evolve to higher states of consciousness. Unfortunately, the kinds of challenges that we face in modern Western life—at work, in marriage, and in parenting—require us to have developed further than most of us do: thus we are "in over our heads." To effectively deal with these challenges, we will be best served by leaders who have succeeded in attaining higher stages of development.

Keirsey, David (1998). *Please Understand Me II: Temperament, Character, Intelligence.* Del Mar, Calif.: Prometheus Nemesis Book Company.

Keirsey is the creator of temperament theory, for which he and his student Linda Berens (see above) have been the principal advocates. His basic premise is that people are different from one another and that this determines their approach to life, including the way they exercise leadership. Like the Myers-Briggs Type Indicator, with which it has high correlation, temperament theory takes the view that we all have a valuable contribution to make, but we make it in different ways. Being effective in dealing with others is enhanced by understanding the nature of our own contribution and how it differs from that of others. The four temperaments (Guardian, Rational, Artisan, Idealist) each have a close correlation with four of the 16 types of the Myers-Briggs Type Indicator (SJs, NTs, SPs, and NFs). Subcategories of the four tem-

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peraments correlate directly with the 16 MBTI types. Although the emphasis on “who you are” as the basis for approach to leadership places Keirse’s work most directly in this cluster, it does have direct implications for adjusting one’s approach to suit others’ styles, and therefore makes a contribution to the third (lower left) cluster as well.

Keirse, David and Ray Choinere (1992). *Presidential Temperament*. Del Mar, Calif.: Prometheus Nemesis Book Company.

This work, based on Keirse’s temperament theory (see above), reviews the approach to leadership of all the U.S. presidents through George H. Bush and assesses their temperament. The authors provide a rationale for their judgments that is always interesting and informative, even though other advocates of the MBTI and temperament theory might quarrel with some of their conclusions.

Klein, Gary (2003). *Intuition at Work: Why Developing Your Gut Instincts Will Make You Better at What You Do*. New York: Currency/Doubleday.

The author is a respected practitioner who has trained Marines, among other professionals, to increase their intuition. Klein offers a pragmatic definition of intuition: “the way we translate our experience into action.” In his model, situations generate cues that enable people to recognize patterns that trigger action scripts. The action scripts are tested by mental simulations using relevant mental models. All this is done tacitly, drawing on experience. Klein’s work has helped build appreciation for a kind of knowing that goes beyond logic and analysis. At the same time, his notion of intuition is quite limited in comparison with “primary knowing” as described by Eleanor Rosch (annotation below), that is also advocated in the book *Presence* (also annotated below).

Quinn, Robert E. (2004). *Building the Bridge as You Walk on It: A Guide for Leading Change*. San Francisco, Jossey-Bass.

This is the third in a trilogy in which Quinn offers his understanding of the inner state that corresponds to leadership. In *Change the World* (2000), he presented eight principles inspired by the example of three transformational leaders: Jesus, Gandhi, and Martin Luther King. Despite reliance on these larger than life exemplars, his emphasis there was on how ordinary people can embody transformational qualities. In his latest work, Quinn has strengthened his conviction that “the foundation of leadership is not thinking, behavior, competencies, techniques, or position. The foundation of leadership is who we are.” He identifies four characteristics of the “fundamental state of leadership:” being 1) externally open (as opposed to blocking out signals for change to stay focused on existing tasks); 2) focused on others and the common good (vs. ego-driven); 3) internally directed (instead of defining oneself by

how one is judged by others); and 4) purpose-centered (instead of seeking comfort by sticking with the familiar). He goes on to describe eight “creative states” for entering the state of fundamental leadership, each of which represents a paradoxical embrace of polarities. The second half of the book describes practices corresponding to each of these 8 states that can be used to cultivate the fundamental state of leadership. Quinn’s case studies lack quantitative indicators of the impact of leaders that he believes have attained the “fundamental state.” Nonetheless he makes a compelling case for the importance of the leader’s inner state and provides useful tools for accessing it. An article in the July-August 2005 *Harvard Business Review* (“Moments of Greatness: Entering the Fundamental State of Leadership”) summarizes key parts of the book.

Rosch, Eleanor (1999).
Primary Knowing: When Perception Happens from the Whole Field: An Interview with Professor Eleanor Rosch.
www.dialogonleadership.org/interviewRosch.html.

How does a leader know what to do? U. Berkeley professor Rosch uses the term “primary knowing” to describe a kind of knowing that does not depend directly on sensory data or even past experience. “Intention, body, and mind come together” to enable access to a field of consciousness in which the knower tunes into a storehouse of knowledge going beyond the individual’s prior experience. She has combined scientific rigor to arrive at conclusions that appear radical but which are quite consistent with ancient wisdom traditions: “The body is a kind of energy system that can actually serve as a bridge to wisdom knowing. The heart may be the best access through the physical system to this kind of wisdom.” The basis for effective action, then, is a quality of consciousness that has cultivated this way of knowing. This interview with Rosch was one of the strong contribution influences to the U-Theory articulated in *Presence* (2004), by Senge et al (see annotation below).

Scharmer, C. Otto (2007).
Theory U. Cambridge, Mass.: Society for Organizational Learning.

This book represents a major, path-breaking contribution to leadership theory and practice. It develops in much greater depth the “U Theory” that is described by Scharmer and co-authors Peter Senge, Joseph Jaworski and Betty Sue Flower in *Presence* (2004), annotated below. Both works resulted from research undertaken by Jaworski and Scharmer to understand how to help leaders learn how to better sense what was needed in the world and bring it forth—i.e., how to “learn from the future.” They interviewed over 150 thought leaders from around the world, including economists, entrepreneurs, cognitive scientists, educators, and Eastern gurus in the areas of creativity, high performance, and leadership. These interviews persuaded them that leaders will have to address a

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"blind spot" in our understanding of leadership. Leaders need to develop a new cognitive capacity that involves "primary knowing," or knowing in a more holistic and intuitive way. From this perspective, "the most important tool for leading 21st century change is the leader's self." The higher one's self development, the greater one's potential impact as a leader. This philosophy is captured in a quotation from former Hanover Insurance Company CEO Bill O'Brien: "The success of an intervention depends on the interior condition of the inter-vener." *Theory U* is Scharmer's fuller articulation of the process whereby leaders can move from taking in new information to accessing their capacity for make deeper sense of that information, to envisioning and prototyping new innovations. The theory depicts three spaces that are envisioned in the form of a "U": sensing (seeing current reality), presencing (reflecting deeply), and realizing (acting). The book's description of the "U" is scholarly but with many concrete illustrations. It elaborates a point of view developed in a series of articles and interviews, many of which are available at www.dialogonleadership.org.

Seligman, Martin (2002).
Authentic Happiness.
New York: Free Press.

In light of evidence that a leader's mood can have a dramatic impact on the surrounding organization (See Goleman and Boyatzis in the next section), it's worth exploring whether leaders can enhance their basic happiness. Seligman believes that the answer is "yes," and we agree. Seligman is a student of cognitive therapist Aaron Beck, is a co-founder of the "positive psychology" movement. In an earlier work (*Learned Optimism*), he brings a rational/empirical lens to the concepts of pessimism and optimism, showing the latter to be a critical success factor in many professions and something which—as the title suggests—can be learned. In this book he offers a rational deconstruction of the elements of happiness. Happiness = S + C + V, where S = your "set range" (a genetically determined disposition toward happiness), C = circumstances, and V = factors under your voluntary control—I.e., attitudes. (E.g., regarding past, the key is a combination of forgiveness and gratitude; regarding the present, it's pleasures (savoring, mindfulness) and—better yet—gratifications, which consist of doing the things that you are especially good at; regarding the future it's "hope" and "optimism.")

**Senge, Peter, Joseph
Jaworski, Otto Scharmer,
and Betty Sue Flowers.**

This book resulted from research undertaken by Jaworski and Scharmer to understand how to help leaders learn how to better sense what was needed in the world and bring it forth—i.e., how to

Presence (2004).
Cambridge, MA: Society
for Organizational
Learning.

"learn from the future" in order to address the clashing forces that confront leaders in a world of increasing change and uncertainty. They interviewed over 150 thought leaders from around the world, including economists, entrepreneurs, cognitive scientists, educators, and Eastern gurus in the areas of creativity, high performance, and leadership. The authors believe that learning from the past to face such unknowns is not adequate. Rather, "the new leadership challenge is to sense and actualize emerging opportunities." These interviews persuaded them that leaders will have to address a "blind spot" in our understanding of leadership. Leaders need to develop a new cognitive capacity that involves "primary knowing," or knowing in a more holistic and intuitive way. This leads the authors to the view that "the most important tool for leading 21st century change is the leader's self." The higher one's self development, the greater one's potential impact as a leader. This philosophy is captured in a quotation from former Hanover Insurance Company CEO Bill O'Brien: "The success of an intervention depends on the interior condition of the intervener." To render such abstract propositions more accessible, the authors put forth a "U model" for how leaders can move from taking in new information to accessing their capacity for make deeper sense of that information, to envisioning and prototyping new innovations. To make this philosophy more accessible, the authors put forth the "U-Process," consisting of three spaces that are envisioned in the form of a "U": sensing (seeing current reality), presencing (reflecting deeply), and realizing (acting). The title derives from the notion of "presencing"—which means both "pre-sensing" and "being present." Both meanings underlie the capacity to bring future possibilities into the present. The book elaborates a point of view presented in a series of articles and interviews, many of which are available at www.dialogonleadership.org. A recent book by Otto Scharmer elaborates on the underlying theory (*Theory U*, 2007, Cambridge, Mass. Society for Organizational Learning), annotated above.

Sternberg, Robert and
Victor Vroom (2002). "The
Person vs. the Situation in
Leadership," *Leadership*
Quarterly, 13, 301-323.

In this obscure but fascinating journal article, two heavy-weight thinkers on leadership debate the importance of the person (Sternberg, defending Cluster #1) vs. the situation (Vroom, on behalf of Cluster #3). Each succeeds in persuading the other to some degree of the importance of his perspective, resulting in agreement on appreciation of both viewpoints. For example, Vroom admits to an "obviously incorrect assumption" in believing that leaders have the skills necessary to executive each of his leadership styles and the flexibility to move from one to another with ease, and resolves to

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see that he and his colleagues will pay more attention to individual differences.” For his part Sternberg acknowledges the impact of situational variables in recent world events on George W. Bush and Putin. The resulting convergence of perspectives would allow us to place this writing in either of the two Clusters. It is a good example of a dialogue that would ideally take place among all four Clusters.

Torbert, Bill and Associates (2004). *Action Inquiry—The Secret of Timely and Transformational Leadership*. San Francisco: Berrett-Koehler.

Like Kegan (see the annotation above), the authors believe that people evolve through discrete stages of consciousness that create implicit “frames” for organizing reality and taking action. These frames—to which Torbert has given names such as “Opportunist, Diplomat, Expert, Achiever”—are a quality of consciousness that characterize a person’s overall approach to leadership. Growth as a leader requires commitment to evolving through successive frames, each of which includes the capacities of the former. Torbert and colleagues build on this perspective and integrate it with Torbert’s previous work to offer a version of the Action Science advocated by Argyris and Schön (see the second cluster). This emphasis on the consciousness underlying effective action greatly enriches that framework, resulting in a powerful synthesis. This work is summarized in a recent article by David Rook and William Torbert, titled “Transformations of Leadership,” *Harvard Business Review*, April, 2005: 66-77.

Wilber, Ken (2000). *A Brief History of Everything*. Boston, Mass.: Shambhala.

Wilber has written over a dozen books in the past 30 years, which together have articulated a compelling new paradigm—Integral Theory. This paradigm is attracting a growing following and is having increasing influence on a number of fields, although it has been largely ignored by the academic world. It offers a particularly powerful and holistic way of thinking about leadership. *A Brief History of Everything* is a good summary of this theory. As the title suggests, it constitutes a hugely ambitious intellectual synthesis of an astonishing volume of knowledge from many disciplines, eras, and cultures. It also has a strong spiritual flavor. Proceeding on the assumption that no one is dumb (or smart) enough to be 100% wrong, Wilber believes that all schools of thought in all domains offer some truth but only a partial truth. The challenge is to find out the limit of each. He constructs a meta-theory that makes right as much possible of as many as possible other theories. This theory is graphically represented by a two-by-two matrix along the dimensions of Objective/Subjective and Individual/Collective, creating four quadrants—I, We, It, and Its—into one of which he places all theories. Cutting across all quadrants are the various dimensions of the “Great Chain of Being,” which in Wilber’s version consists of matter, body, mind, soul, spirit. He holds a

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developmental view of both individuals and society as a whole, seeing an evolution of consciousness in both. The resulting integral perspective brings a consideration of “all quadrants, all levels” to any given topic, whereas most theories address just one. Wilber, a practicing Buddhist, has developed an integral psychology that includes but goes beyond Western models of development (e.g., those of Kohlberg, Kegan, Gilligan) to add several stages corresponding to spiritual development. He links this development to the “perennial philosophy” that he finds in all religions.

Wilber, Ken, Terry Patten, Adam Leonard and Marco Morelli (2008). *Integral Life Practice: A 21st-Century Blueprint for Physical Health, Emotional Balance, Mental Clarity, and Spiritual Awakening*. Boston: Integral Books.

In this book Ken Wilber and two colleagues offer a practical program for self-development based on Wilber’s “integral theory” (see preceding review). While the work does not address leadership directly, it speaks to the foundation of self-development which is the heart of this quadrant of leadership theory. The book is a handbook of tips, organized around a conceptual framework described in very accessible ways. The core modules are: Shadow, Mind, Body, and Spirit. In each the authors provide a concise rationale, followed by a description of practices that will foster that dimension of development. The power of the perspective offered is its “integral” nature, addressing multiple dimensions of development which have the potential to reinforce one another as they lay the foundation for extraordinary performance in any field of endeavor.

Zander, Rosamand S. and Benjamin Zander (2000). *The Art of Possibility: Transforming Professional and Personal Life*. Cambridge, Mass.: Harvard Business School Press.

Although this book is not explicitly about leadership, it offers insights drawn from Benjamin Zander’s experience as an orchestra conductor—along with his wife Rosamund Zander’s experience in her professional practice of psychotherapy—that are highly relevant to leadership. The book is about ways of thinking about one’s approach to interactions with others that opens up possibilities. The aim is to step into the “universe of possibility” and out of the conventional world, governed by limiting mindsets such as scarcity, competition, and measurement. One does this through a set of practices, or habits of mind. For example, “giving an A” is the practice of focusing on what is of value in a person rather than measuring the person with respect to others or some abstract standard. Another is “being the board,” which means identifying not with your particular piece in the chess game of life, but rather taking a broader perspective and defining oneself in relation to the board, the context, in which the game takes place. And then there’s “Rule Number 6”: “Don’t take yourself so goddamned seriously” (there are no other rules). The ten practices are illustrated with poignant and often humorous examples from the world of orchestras and the world of therapy. The book is a refreshing and inspirational read.

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Zichy, Shoya (2000).
***Women and Leadership Q:
Revealing the Four Paths
to Influence and Power.***
New York: McGraw-Hill.]

Zichy uses a leadership questionnaire based on the Myers-Briggs Type Indicator to study whether accomplished women share any similar traits. She finds common traits (including optimism in the face of setbacks) but also points to differing styles of leadership. The aim of the book is to help women assess their strengths and develop them. The book contains a self-scoring version of the leadership questionnaire. An additional virtue of the book is profiles of 36 of the women interviewed.

SECTION A: The Four Clusters of Leadership Theory

2. Lead by Doing the Right Things.

Overview

The lower left Cluster calls attention to what leaders actually do without emphasizing their underlying character. One leads by doing the right things, and those things are the same, regardless of the particular situation. This perspective began to emerge in the 1940s and 50s and was the beginning of attention to leadership “style.” Many of the behavioral frameworks pointed to two behaviors, relating to tasks and to relationships. A popular example was the Blake-Mouton Managerial Grid, which appeared in about 1960 and was widely used in management training. The Grid implied that there is one best style, which should always be used—one combining high emphasis on both task and relationship behavior—an appealing notion unsupported by research.

Clearly there is some wisdom in the perspective of this cluster. It seems common sense to assume that it’s not enough just to show up and flex your qualities; it matters what a leader does. And certain behaviors tend to get mentioned again and again (e.g., creating a vision, walking the talk). So it seems reasonable to suppose that, on average, some actions are better than others. And, taking an inclusive view of “behavior,” this cluster invites attention to how leaders think about their role, suggesting that some conceptions of leadership are consistently more potent than others (see Heifetz for a thoughtful definition of leadership).

But although this cluster adds value by calling attention to what leaders actually do, most of its proponents tend to neglect the importance of the person undertaking the action. This is unfortunate. Can anyone just pick up a practice and use it effectively? Presumably not. Underlying intention may be decisive, as may skill. And despite the intuitive appeal of the notion that some actions are consistently the right thing to do, no agreement on what those actions are has emerged. Indeed, observing truly extraordinary leaders suggests that their behavior often has a paradoxical quality that is not easily summarized in a “to do” list. Still, this cluster

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continues to attract many new and valuable contributions, of which the entries below are illustrative.

Our view is that the best way to leverage this Cluster is to begin to be clear on your High Performance Leadership Pattern. From that foundation, you can draw upon this literature to

- Increase your awareness of how your behavior changes at different points in the leadership cycle.
- Enrich your fundamental leadership approach by identifying patterns of thought and behavior that strengthen your basic tendencies or that fill in missing gaps.

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SECTION A: The Four Clusters of Leadership Theory

2. Lead by Doing the Right Things.

Selected Examples

Argyris, Chris and Donald Schön (1975). *Theory In Practice: Increasing Professional Effectiveness*. San Francisco: Jossey Bass.

Although they do not present their work as a leadership theory per se, Argyris and Schön's "Action Science" contains a strong set of both warnings and recommendations for leaders. In this, the first of many books together that have had significant influence on organizational consulting and leadership development, they make the case that although most leaders advocate approaches that are collaborative and inquiring, almost all unwittingly behave in ways that are in fact competitive and unilaterally controlling. The reasons for this awareness gap lie in the underlying mindsets that guide their behavior, which lead to actions that are discrepant with espoused intentions. For example, most of us operate according to tacit beliefs in the importance of winning, being rational, and avoiding embarrassment to self and others. These "governing variables" lead us to behave in ways that are competitive and limit our learning, while being unaware of how our actions are experienced by others. As a result we contribute to misunderstanding and conflicts in ways to which we are blind and therefore unfairly blame others and do not learn from our experience. Argyris and Schön identify an alternative set of governing variables and associated actions that are more consistent with what leaders commonly espouse. The recommended mindsets and skills are not easy to acquire, but for those willing to make the effort, they constitute a powerful leverage point for not only increasing individual effectiveness, but also creating organizations that are capable of learning from their mistakes and creatively adapting to changing realities. For those interested in pursuing these ideas in depth, see *Action Science* (Chris Argyris, Robert Putnam and Diana Smith [1985]. San Francisco: Jossey-Bass).

Badaracco, Joseph Jr. (2002). *Leading Quietly: An Unorthodox Guide to Doing the Right Thing*. Boston, Mass.: Harvard Business School Press.

This book lends support to the common-sense notion that not all leaders are heroic figures acting out highly visible dramas. What makes the world work consists less of the larger-than-life accomplishments of charismatic personalities than the sum of millions of small yet consequential decisions that people out of the limelight make every day, such as how a line worker for a pharmaceutical company responds when he discovers a defect in a product's safety seal, or how a trader handles a transaction error that will cost a

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client money. Mindful that most people will want to minimize risk while doing the right thing, Badaracco offers a set of realistic and pragmatic guidelines for acting responsibly while surviving, drawn from 150 case studies (including some drawn from fiction). In so doing he hopes to correct the over-emphasis in business schools and executive development programs (like those at the Harvard Business School, where he teaches) on the "great man" theory of leadership implicit in most classroom teaching. He offers four rules: "put things off until tomorrow" (to let things calm down); "pick your battles;" "Bend the rules, don't break them;" and "find a compromise" (avoid seeing situations as polarized tests of ethical principles). Key points of the book are summarized in "We Don't Need Another Hero" (*Harvard Business Review*, September 2001, pp. 121-126).

Bennis, Warren and Nanus, Burt (1997). *Leaders: The Strategies for Taking Charge*. New York: Harper Business.

On the basis of interviews with 60 business and 30 public-sector leaders, the authors find two common attributes: providing organizational vision, and being able to translate those visions into reality.

Bennis, Warren (1997). *On Becoming a Leader*. Perseus Press.

In support of the well known conclusion that "Managers do things right, leaders do the right things," Bennis articulates four key strategies to help leaders do the right things. The first is to focus people's attention on a common vision. Second, leaders need to create a sense of meaning about work through extensive communication. Third, leaders build a genuine trust through tireless advocacy of a set of principles and values. Finally, a leader holds a strong belief in and awareness of him/herself, which naturally disposes others to follow.

Bennis, Warren and Robert J. Thomas (2002). "Crucibles of Leadership." *Harvard Business Review*: 39-45.

The authors argue that one of the most reliable indicators of leadership is the ability to learn from even the most negative experiences. Interviews with more than 40 leaders in business and government revealed that all of them had endured traumatic experiences ("crucibles") that transformed them by forcing them to question who they were and what was important or gave them new insight into the people and organizations they were trying to lead. The authors identify four essential skills associated with this capacity to learn from experience: 1) ability to engage others in shared meaning; 2) a distinctive and compelling voice; 3) a sense of integrity; and 4) adaptive capacity.

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Block, Peter (1987). *The Empowered Manager: Positive Political Skills at Work*. San Francisco: Jossey-Bass.

Managers, especially those in the middle, often feel powerless to control their own lives or shape their organizations. Block argues that with "positive" political skills, which avoid manipulation and subterfuge, managers can empower themselves and others. By acting with courage, authenticity and integrity they avoid falling victim to the bureaucratic mentality. The chapter on "creating a vision of greatness" is an excellent description of an approach to vision development.

Bolman, Lee and Terrence Deal (2000). *Reframing Organizations: Artistry, Choice, and Leadership*. San Francisco: Jossey Bass.

The authors describe four perspectives or "frames" that offer different vantage points for making sense of organizations. The structural frame focuses on formal roles and relationships; the human resource frame speaks to the need to motivate, enable and develop people to get maximum benefit from their ideas, energy and skills; the political frame illuminates the inevitable competition for resources and power; and the symbolic frame calls attention to the myths and rituals that provide meaning. Together these lenses provide a full appreciation of multiple organizational "realities, awareness of which enables leaders to develop more strategies for leadership. To the extent that the relative power of each of these frames may vary by situation, this book can be seen as a contribution to the third Cluster as well. However, the fundamental recommendation is to consider the view from each of the four frames in any situation.

Bradford, David and Allan Cohen (1990). *Influence Without Authority*. New York: John Wiley & Sons.

The authors make a very strong case—with good examples—for the importance of being authentic and maintaining integrity in interpersonal interactions, as a means to building trust.

Covey, Stephen (2004). *The 8th Habit: From Effectiveness to Greatness*. New York: Free Press.

Adding another dimension to his previous works (*The Seven Habits of Highly Effective People* and *Principle-Centered Leadership*), Covey has added an "8th habit:" to find your voice and inspire others to find theirs. For him this habit adds the possibility of greatness to the foundation of effectiveness, increasingly critical to coping with today's challenges. Voice lies at the nexus of our things: talent, passion, need, and conscience. Covey cites the example of Nobel Prize winner Muhammad Yunus, the founder of the Grameen Bank, to illustrate what he means by finding one's voice. Yunus reports that he didn't start with a vision. He simply

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saw people in need and tried to fill it, from which the vision evolved. He sensed a need and responded to his conscience by applying his talent and passion. In 400 pages Covey elaborates on how you can follow the example of Yunus and others. Readers expecting a simple "habit," similar to the "seven" that preceded it will be disappointed. To describe this "habit" Covey offers a somewhat intimidating array of concepts and practices: modeling and pathfinding; aligning and empowering; focus and execution. However, he has a knack for articulating wisdom by weaving together principles and anecdotes, making the book worth reading.

Drath, Wilfred and Charles Palus (1994). *Making Common Sense: Leadership as Meaning-making in a Community of Practice*. Greensboro, N.C.: Center for Creative Leadership.

This highly original and provocative essay was inspired by the realization that prevailing views of leadership see it in terms of dominance and influence. The authors propose a different way of thinking, reflected in a "new view" of five concepts: "from social influence to social meaning making;" "from dominant individual leader acting on followers to people participating in a shared process;" "from authority figure as de facto leader to the authority figure as a participant in a process of leadership;" "from 'how do I take charge and make things happen?' to 'how do I participate in an effective process of leadership?'" Thus leadership is not so much a characteristics of leaders, but a process that arises in a community when people work together. For the authors, leadership development is not a matter of developing the ability of managers to lead, but rather improving everyone's ability to participate in the process of working together.

Greenstein, Fred (1994). *The Hidden-Hand Presidency: Eisenhower as Leader*. Baltimore, Md.: Johns Hopkins University Press.

This book offers praise for Eisenhower's behind-the-scenes leadership on several national issues, including some (civil rights, the anti-Communist campaign) of those he is accused of neglecting. (Cited by Badaracco as helpful in his study of "quiet leadership.")

Fisher, Dalmar, David Rooke and Bill Torbert (2001). *Personal and Organizational Transformations Through Action Inquiry*. Boston: Edge\Work Press.

The authors build on Torbert's previous work to offer a version of the Action Science advocated by Argyris and Schön (see above). The term "action inquiry" reflects an emphasis on taking action in ways that are informed by inquiry and continuously open to learning. The approach is grounded in a set of skills and underlying mindsets that have their roots in the idea—to be found in Argyris and Schön and made more popular by Senge (below) of combining

an emphasis on “advocacy” and a balancing emphasis on “inquiry.” The distinctiveness of Torbert’s approach lies in integration of this idea with work on human development. Like Kegan (see Cluster #1), he believes that people evolve through discrete stages of consciousness, which create implicit “frames” for organizing reality and taking action. These frames—to which he gives names such as “Opportunist, Diplomat, Expert, Achiever”—characterize a person’s overall approach to leadership and are therefore the greatest limit to a leader’s effectiveness. Growth as a leader requires commitment to evolving through successive frames, each of which includes all the possibilities of the prior frame and a whole new set of alternatives as well. This emphasis on the consciousness underlying effective action greatly enriches the framework, which provides a powerful synthesis. This could also argue for classifying Torbert’s work in Cluster #1. However, the overriding emphasis on action makes it a better fit with theories that stress the actions that consistently produce the best results.

Fisher, Roger, William Ury, and Bruce Patton (1991). *Getting to Yes: Negotiating Agreement Without Giving In.* London: Hutchinson Business.

The authors, associated with the Harvard Negotiation Project at the Harvard Law School, offer four helpful ways of approaching negotiations that are also useful in other challenging interpersonal interactions: separate the people from the problem; focus on interests, not positions; invent options for mutual gain; insist on using objective criteria. This “mutual gains” approach has had wide influence on approaches to negotiation and mediation, even though (or perhaps because) it is vulnerable to the charge of being a bit overly idealistic in its assumption that underlying interests can always be identified that will help defuse competitive, partisan bargaining.

Fletcher, Jerry (1993). *Patterns of High Performance: Discovering the Ways People Work Best.* San Francisco: Berrett-Koehler.

Based on work with over 5,000 individuals, Fletcher argues that each person has a unique “high performance pattern” that underlies his or her most dramatic successes. He describes a procedure for helping people identify their own pattern, which enables them to more consistently behave “on pattern,” to better choose the situations in which they strive to achieve something, and to focus on creating conditions more supportive of their pattern in whatever situation they find themselves in. Fletcher believes that by acting in these ways on awareness of the high performance pattern, a person can achieve outstanding results. This workshop builds on Fletcher’s research and connects it specifically to leadership.

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Gallwey, Timothy (2000).
The Inner Game of Work.
New York: Random House
Trade Paperbacks.

Gallwey's *Inner Game of Tennis* made a stir when it came out in the 1970s, showing how high performance in tennis was better served by a quality of consciousness of the tennis player—the quality of attention to playing—than by a focus on winning, which was in fact counterproductive. In this book he applies the same principle to the workplace, arguing that the key to the “game of work” is valuing awareness, consciousness, paying close attention to what is happening within and around us. In work, as in tennis, there is a higher game than simply winning. At the same time, by his emphasis on creating conditions in organizations that are conducive to learning, Gallwey points in a direction that has the potential to unite the inner game of satisfying oneself and the outer game of achievement by creating organizations that are both effective and satisfying for their members. As Peter Block writes in the preface, “...learning and performing are one and the same thing. High performers are people who simply learn faster. We learn faster when we pay attention and see the world the way it is...” Thus leaders do well to cultivate the consciousness that enables them to pay attention and to foster that quality in others.

Goldsmith, Marshall, B. L. Kaye, et al. (2000).
Learning Journeys: Top Management Experts Share Hard-Earned Lessons on Becoming Great Mentors and Leaders.
Palo Alto, Calif.:
Davies Black.

This edited volume contains personal stories from prominent management thinkers and change agents, offering lessons reflecting key learning moments in their lives. The thirty-seven essays are rich in reflections on learning to lead, overcoming setbacks, becoming open to change, mentoring, and developing self-awareness. Each essay includes questions for reflection to help readers apply the lessons learned to their own lives and careers. The book also offers suggestions for using the stories in training workshops and ideas for making more effective use of your own and others' stories in mentoring and leading.

Hamel, Gary (2000).
Leading the Revolution.
Cambridge, Mass.: Harvard
Business School Press.

Well known strategy consultant Hamel argues that in the current age of revolutionary change, companies must continually reinvent themselves, adopting radical new agendas of innovation. He aims to offer a blueprint for how managers can get a revolution started in their company, articulating a number of “design rules” in various areas (e.g., to “start an insurrection” he describes rules such as “write a manifesto,” “create a coalition,” “pick your targets and pick your moments”) for innovation, the rules include “elastic business definition,” “new voices,” “an open market of talent,” “low-risk experimentation”). Hamel studies a number of “gray-haired revolutionaries”—companies that have managed to reinvent themselves

and their industry more than once. Examples include Charles Schwab, BE Capital, Cisco, and (alas) Enron. Hamel draw on lessons from social activists such as Saul Alinsky as well as on business leaders. Though focusing on companies, the recommended strategies can be adopted by individual leadership as well.

Heifetz, Ronald (1994). *Leadership Without Easy Answers.* Cambridge, Mass.: Belknap Press of Harvard Univ. Press.

In one of the most original and thoughtful works on leadership, Heifetz defines leadership as mobilizing people to tackle tough problems ("adaptive" as opposed to "technical" work). This approach contrasts with the notion that leaders should have a vision and align people with it. Solutions lie in collective wisdom, not in leaders' minds. Heifetz frames leadership as an activity, not a position. We are leaders only to the extent that we act, and this can be done from any organizational (or societal) role. He describes the widespread and "maladaptive" tendency to seek solutions from people in authority. Heifetz draws examples widely from politics, business, and medical practice. In a related article ("The Work of Leadership" (*Harvard Business Review*, December 2001, pp. 131-140) Heifetz and Donald Laurie offer six principles: "get on the balcony" (step back from the field of action to see the context); "identify the adaptive challenges" (pinpoint how an organization's value systems or methods of collaboration need to change); "regulate the inevitable distress" (contain anxiety); "maintain disciplined attention" (address differences in employee habits and beliefs); "give the work back to people" (let employees take initiative); and "protect the voices of leadership" (encourage the voices from below).

Heifetz, Ronald and Marty Linsky (2002). *Leadership on the Line: Staying Alive through the Dangers of Leading.* Cambridge, Mass.: Harvard University Press.

This work, by two professors at Harvard's Kennedy School of Government, stresses the dangers of leadership, offering practical advice on how to survive. For example, they recommend "cooking the conflict" by creating a secure place where conflicts can freely bubble up and controlling the temperature to ensure that the conflict doesn't boil over. It also calls attention to "the dangers within"—stressing the need to manage needs such as the desire for control and to be important. The authors reiterate Heifetz' metaphor of "going to the balcony" to highlight the importance of stepping back and maintaining perspective. Key points of this work are summarized in "A Survival Guide for Leaders" (*Harvard Business Review*, June 2002, pp. 65-75).

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Isaacs, William (1999).
Dialogue and the Art of Thinking Together: A Pioneering Approach to Communicating in Business and in Life. New York: Currency.

The capacity to foster group dialogue is an essential tool for leadership. Building on the work of physicist David Bohm, Isaacs defines dialogue as "a conversation with a center, not sides." Bohm offers the metaphor of a river flowing between two banks. The result of this flow is the generation of ideas that no one party could have imagined on their own. The atmosphere of such dialogue is a "field" from which new ideas can be brought forth. To enable this field, it is necessary to create a safe setting for the participants, a "container" that can be created by practicing four key behaviors: genuine listening, respecting one another, suspending judgment, and speaking with one's own voice. When we greet opinions that are different from our own with questions rather than rebuttals, we encourage the "free flow of meaning" that constitutes dialogue. While including many inspiring case studies, the book stops short of being a practicum for implementing dialogue sessions. For practical dialogue exercises, Isaacs was the primary contributor of the "Team Learning" chapter of *The Fifth Discipline Fieldbook* by Peter Senge et al (New York: Currency Doubleday, 1994).

Johnson, Barry (1996).
Polarity Management: Identifying and Managing Unsolvable Problems. Amherst, Mass.: HRD Press.

Leaders often treat situations as problems to be solved. This default thinking traps them into "either/or" thinking. They tend to find one solution as being the "right" way to go, having been taught that problems can only have one right answer. But some situations require a new set of tools and a different thinking style. Paradoxes or polarities, as Barry Johnson calls them, can never be solved, they have to be managed. They require a "both/and" solution. When we try to solve a polarity as we would a problem the results are usually worse. Polarities have two or more "right" answers that are interdependent. Typical polarities that leaders face are: cost vs. quality, individual vs. team, focus vs. flexibility, planning vs. action, idealistic vs. pragmatic, action vs. reflection, effective vs. efficient, stability vs. change, centralized vs. decentralized. In this illuminating book Johnson provides a highly useful tool, the polarity map, to describe the pros and cons of each side of a polarity and illuminate how it can be managed. To effectively manage the polarity requires us to see the whole picture, to understand the dynamics that creates the tension, and to accept that the tension inherent within the polarity needs to be managed over time.

Kahane, Adam (2004). *Solving Tough Problems: An Open Way of Talking, Listening, and Creating New Realities.* San Francisco: Berrett-Koehler.

Adam Kahane recounts the evolution of his thinking about how to bring leadership to tough problems over a 25-year professional career. He began with an expert/analytic approach, grounded in his training in physics and economics, which evolved to a facilitative approach, bringing together multiple stakeholders on difficult organizational and societal issues. A central conclusion underlying the methods that Kahane came to appreciate is that "our talking and listening often fails to solve complex problems because of the way that most of us talk and listen most of the time." Beginning with his work with Joseph Jaworski at Royal Dutch Shell, he discovered ways of bringing together people who were part of a "stuck" problem to engage in reflective and generative dialogue to co-create new realities. An endorsement on the book's cover from Nelson Mandela is appropriate, in that one of the interventions described in the book is the Mont Fleur Scenario Project, which is credited with influencing the economic policies of the first post-Apartheid South African government. The description of this and other interventions in enormously contentious political situations throughout the world (Argentina, Columbia, Guatemala) provide moving accounts of how facilitated dialogue can shift people's ability to understand and empathize with those who were once regarded as enemies.

Kegan, Robert and Lisa Lahey (2009). *Immunity to Change.* Cambridge, Mass. Harvard Business Press.

The authors devote this book to presenting a fuller explanation of the rationale for and implications of the "immunity to change" exercise described in earlier works. The result is a rich resource for both understanding and overcoming our "resistance" to behavior change. They borrow from Ronald Heifetz (1994) to argue that the problem is that we tend to view such changes as "technical" (solved through known techniques) rather than "adaptive" (requiring a transformation of understanding). Thus we are vulnerable to the New Year's Resolution syndrome. We set goals for change that fail. And we attribute the failure to a lack of will power. Kegan and Lahey suggest a more powerful (and self-forgiving) possibility: efforts to change fail because the behavior we are trying to change is not something "bad" that can simply be eliminated. Rather the behavior serves a very useful purpose: protecting us from fears of what we think will happen if we don't follow the familiar path. The "bad" behavior is in fact purposeful, but it serves a self-protective purpose. The key to change is to identify the assumptions that underlie the fear and see if they make sense. Often they do not. We learned lessons that are no longer relevant, which evolved at earlier stages of our life when we were less powerful and resourceful. But our reliance on these assumptions has become

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automatic and unconscious, forming a defense system against the fears resulting from the assumptions. Once we have identified irrational or limiting mindsets that block the changes we want to make, we can modify them to preserve whatever truth they contain while allowing the change we seek. We learned lessons that are no longer relevant. This perspective is summarized in "The Real Reason People Won't Change" (*Harvard Business Review*, November 2001, pp. 84-93).

Kotter, John (1990). *A Force for Change: How Leadership Differs from Management*. New York: The Free Press.

Kotter offers one of the more useful frameworks for distinguishing leadership from management. He observes that while leaders and managers perform similar functions (setting an agenda, creating a network for implementation), they do different things (e.g., establishing a direction vs. planning and budgeting; aligning people vs. organization and staffing). This viewpoint is summarized succinctly in "What Leaders Really Do" (*Harvard Business Review*, December 2001, pp. 85-97). In this book and earlier works (*The General Managers*; *The Leadership Factor*) Kotter describes how successful managers utilize informal networks. His work shows the degree to which leadership matters at every level of the organization. (Kotter is cited by Badaracco as helpful in his study of "quiet leadership.")

Kouzes, James and Barry Posner (2002). *The Leadership Challenge*. San Francisco: Jossey-Bass.

Examining leadership as a relationship between leaders and followers, Kouzes and Posner have a database of nearly 50,000 individual records to support their leadership theory. This has become one of the more widely read books on leadership, partly through its associated 360 degree feedback tool, the Leadership Practices Inventory. It recommends five sets of behaviors, all of which the authors believe contribute to effective leadership in most situations: modeling the way, inspiring a shared vision, challenging the process, enabling others to act, and encouraging the heart.

Kouzes, James and Barry Posner (1995). *Credibility: How Leaders Gain and Lose It, Why People Demand It*. San Francisco: Jossey-Bass.

The authors of *The Leadership Challenge* identify the cornerstone of effective leadership as credibility. The six personal disciplines for attaining and maintaining one's credibility are: personal awareness, appreciation of one's constituents, affirming shared values, developing the capacity of others, leading in the service of others, and keeping people's hopes alive.

McGregor, Douglas (1960). *The Human Side*

A former President of Antioch College, McGregor made a contribution to leadership by positing two approaches, each making very

of Enterprise. New York: McGraw Hill.

different assumptions about human nature: "Theory X" assumed that people do not like to work, seek security rather than responsibility and need to be directed and controlled through external rewards and sanctions. By contrast, "Theory Y," which assumed that people are motivated from within, encourages an approach that allows room for individual initiative and assumes that commitment and responsibility will emerge if work conditions are satisfactory. Not surprisingly, McGregor advocates Theory Y, at least for managers and professionals.

Messick, David and Max Bazerman. "Ethical Leadership and the Psychology of Decision Making." *Sloan Management Review* (Winter 1996): 9-22.

The authors argue that leaders can improve the ethical quality of their decisions by becoming more aware of the three kinds of theories that underlie their decisions: theories they hold about the world, about other people, and about themselves. The article is a good summary of common fallacies in reasoning in each of these areas. E.g., regarding "Theories about the world," we often overestimate the risk of low probability events and underestimate the importance of chance. Regarding theories of other people, we typically view those who are like us more favorably than those who are not. And regarding theories of ourselves, we tend to take more responsibility than is justified for our successes and less for our failures. We also tend to be unrealistically optimistic about our future relative to others, seeing ourselves as immune to common risks. From this article it is easy to conclude not only that holding more accurate theories in these domains can improve the quality of decision-making in ethical matters, but of decision-making in general.

Meyerson, Debra (2001). *Tempered Radicals: How People Use Difference to Inspire Change at Work*. Boston, Mass.: Harvard Business School Press.

The "tempered radicals" in Meyerson's work are people who successfully walk the tightrope between conformity and rebellion. Her work has parallels with that of Badaracco (see above), emphasizing use of incremental means rather than heroic and dramatic approaches. Meyerson studies doctors and teachers as well as CEOs and entrepreneurs to illustrate the ways in which everyday leaders maintain their values and assert their agendas without jeopardizing their careers. Meyerson pays particular attention to people who embody a "difference" (e.g., women and minorities) that creates tension between themselves and the organization.

Phillips, Donald (1992). *Lincoln on Leadership: Executive Strategies for*

This is a highly accessible treatment of the person that many regard as the best American President. See in particular Chapter 14 ("Influence People Through Conversation and Storytelling"), which

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- Tough Times. New York: Warner.** gives examples of Lincoln's masterful use of storytelling, and Chapter 7 ("Be a Master of Paradox"), which captures Lincoln's paradoxical qualities, not uncommon among great leaders.
- Schein, Edgar (1992). *Organizational Culture and Leadership*. San Francisco, Jossey-Bass.** Schein describes how leaders transmit organizational culture, arguing that an understanding of culture is crucial to leadership. To manage culture, leaders must help decipher the assumptions on which it is based. Ideally, leaders will create a learning organization capable of managing its culture.
- Schein, Edgar (2002). "The Anxiety of Learning." *Harvard Business Review*: 100-106.** Learning is critical to renewal and change, yet few companies master the art of transformational learning, which requires challenging deeply held assumptions about a company's processes and altering thoughts and actions in response. In this interview Schein argues that recognizing and managing the anxiety created by learning is important to fostering this capacity. He draws on his research on the brainwashing of prisoners of war to draw lessons for leaders on how to best manage learning anxiety. Most companies, he feels, rely too heavily on appeals to survival anxiety by using the stick over the carrot. By contrast, when leaders become genuine learners themselves they set a good example and help to create a psychologically safe environment for others. He stresses that unless leaders become learners—acknowledging their own vulnerabilities and uncertainties—transformational learning will never take place.
- Senge, Peter (1990). *The Fifth Discipline: The Art and Practice of the Learning Organization*. New York: Doubleday.** Senge describes five "disciplines" that contribute to building learning organizations—i.e., organizations that support individuals and groups in undertaking the kinds of conversation and reflection that enable learning from experience and creatively adapting to new challenges. The five disciplines are: personal mastery, mental models, shared vision, team learning, and systems dynamics. This is an excellent book for appreciating the complexities and subtleties of systemic forces in organizations and avoiding some of the traps that leaders tend to fall into (e.g., failure to see causal connections and focusing on blaming rather than learning).
- Senge, Peter, Art Kleiner, Richard Ross, Charlotte Roberts and Bryan Smith (1994). *The Fifth Disci-*** As a companion volume to Senge's popular *The Fifth Discipline*, the Fieldbook offers further insights and practical suggestions for transforming organizations.

pline Fieldbook: Strategies and Tools for Building a Learning Organization.
New York: Doubleday.

Schön, Donald (1983). *The Reflective Practitioner: How Professionals Think in Action.* New York: Basic Books.

Schön, co-developer with Argyris of the powerful Action Science paradigm, provides case studies of how professionals in a variety of areas think and act, dispelling the myth that they operate according to “technical rationality.” Instead, he makes the case that they decide to act through a process of “reflection-in-action.” Yet few professionals reflect on this process or make it transparent to others, which inhibits their capacity for leadership, collaboration with colleagues and clients, and coaching others to develop.

Stone, Douglas, Bruce Patton, and Sheila Heen (1999). *Difficult Conversations: How to Discuss What Matters Most.* New York: Viking Press.

This is a very insightful and readable book on the interpersonal skills that are critical to leadership, written by a team that includes one of the authors of *Getting to Yes*. It identifies the skills and attitudes that enable a “learning conversation” in which people move beyond blame to identify and explore differing perspectives. It offers helpful hints for avoiding common pitfalls, such as assuming that one can infer what someone intended by an action from the impact that it had.

Tichy, Noel and Mary Anne Devanna (1986/1990). *The Transformational Leader.* New York: John Wiley & Sons.

Building on Burns’ distinction between transactional and transformational leaders, Tichy and Devanna argue that needed innovation and entrepreneurship will come only from the latter, who are leaders rather than managers. But rather than attribute the capacity for transformational leadership to individual character, they see it as “a behavioral process capable of being learned and managed...a discipline with a set of predictable steps.” At the highest level there are three steps: revitalization (recognizing the need for change), creating a new vision, and institutionalizing change.

Torbert, Bill and Associates (2004). *Action Inquiry—The Secret of Timely and Transformational Leadership.* San Francisco: Berrett-Koehler.

This work is annotated in the first cluster, but merits mention here because—like many of the most interesting theories—it bridges more than one cluster. While its primary emphasis is on the quality of consciousness that underlies effective action, the book also describes the skills needed to translate this consciousness into effective action. The book builds on Torbert’s previous work to offer a version of the Action Science advocated by Argyris and Schön (see the annotation in this cluster). The term “action inquiry”

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reflects an emphasis on taking action in ways that are informed by inquiry and continuously open to learning. The approach is grounded in a set of skills and underlying mindsets that have their roots in the idea—to be found in Argyris and Schön and made more popular by Senge's Fifth Discipline (see annotation in the second cluster)—of combining an emphasis on "advocacy" with a balanced emphasis on "inquiry," which provides a powerful synthesis. This work is summarized in a recent article by David Rook and William Torbert, titled "Transformations of Leadership," *Harvard Business Review*, April, 2005: 66-77.

Wheatley, Margaret (1992). *Leadership and the New Science: Learning About Organization from an Orderly Universe*. San Francisco, Berrett Koehler.

Wheatley suggests that emerging lessons from science can help leaders make sense of the apparent chaos that they face. Drawing on readings in a wide range of scientific disciplines, she uncovers a number of principles that point to an orderly world underlying all the flux and change. E.g., autopoiesis, "the characteristic of living systems to continuously renew themselves and to regulate this process in such a way that the integrity of their structure is maintained." Disorder can be a source of order, since growth is found in equilibrium, not balance. Leaders are vulnerable to confusing control with order. Control would be appropriate if organizations were machines, but they are not. Instead they are dynamic systems, obeying forces that reflect an underlying coherence. Wheatley sees such underlying principles reflected in the growing support for things like participative management and worker autonomy, which mirror the "focus on relationships" and "local autonomy" to be found in science. Seeing in the new science a reason to have confidence in the capacity of systems to renew themselves through self-organization, Wheatley offers few specific recommendations, but instead encourages leaders to trust in the unfolding "dance of order and chaos."

Zenger, John and Joseph Folkman (2002). *The Extraordinary Leader: Turning Good Managers into Great Leaders*. New York: McGraw Hill.

The authors aim to "solve the mystery of leadership" through analysis of 200,000 responses to 360 degree feedback questionnaires to understand what people see as "great leaders." They offer evidence that leadership makes a difference in bottom line results and that the impact of great leaders is dramatically higher than that of good ones, justifying substantial investment in helping managers make this transition. Their research leads them to identify five core competencies for successful leadership: character, personal capability, interpersonal skills, focus on results, and leading organizational change.

SECTION A: The Four Clusters of Leadership Theory

3. Lead by Adapting What You Do to Fit the Situation.

Overview

Many of the theories that emphasize behavior also take the view that leaders should adapt their behavior to the situation. Situational leadership, which became very popular in the 1960s and is still a visible force, illustrates this approach. Rather than assuming that “one size fits all,” leaders adjust their approach to take into account various realities of the particular situation.

This reasoning is quite compelling. And some of these theories, like Situational Leadership, are able to offer simple, actionable advice (i.e., adjust the degree of direction and support you offer your subordinates to take into account their level of commitment and skill). To be sure, not all of these theories are so simple and readily usable (e.g., Vroom and Jago).

Most theories of this kind suffer to some degree from an assumption that we believe is fundamentally flawed. They imply that a leader can select a style as if it were one of a set of golf clubs with which the leader is equally skilled. But there is good reason to doubt that is true. Everyone has strengths and limits that suit them for some situations more than others. Trying to use a style that does not come naturally simply may not work. The theories that claim the most general usefulness (such as the menu of six styles recommended by Primal Leadership) are the most vulnerable to the limits of this assumption. How many leaders can readily switch from a “commanding” to a “coaching” style?

Another limit of this Cluster is that there is no theory that covers all situations. Each one tends to have a particular emphasis that ignores others. And so there’s no map to guide a leader in judging whether it’s more important to focus on the nature of your subordinates, as recommended by Situational Leadership, pay attention to the nature of the decision being made, as in Normative Theory, or attend to the overall character of the situation, as recommended in Primal Leadership.

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It's also the case that one of the situational factors that is usually overlooked in these theories is time. Most do not take into account the need for leaders to do different things at different stages of a leadership initiative (Kotter's work is one of several exceptions.)

Nonetheless, this Cluster contains very substantial contributions, and continues to attract more.

The usefulness of this Cluster as a resource for leadership development is that it provides suggestions on where it could make sense to supplement/adapt your High Performance Leadership Pattern in order to be more fully responsive to the particular situation (e.g., the situation of taking on a new leadership role).

SECTION A: The Four Clusters of Leadership Theory

3. Lead by Adapting What You Do to Fit the Situation.

Selected Examples

Blanchard, Kenneth, Patricia Zigarni, and Drea Zigarni (1985). *Leadership and the One Minute Manager*. New York: William Morrow.

Building on earlier work by Reddin, Hersey and Blanchard have developed the approach known as “situational leadership,” which has become one of the more widely known approaches to leadership development. One of the first of many theories based on the notion that different situations require different kinds of leadership, Hersey and Blanchard (and several collaborators) focus on two particular dimensions of difference that can vary by situation: the level of competence and the level of commitment of a leader’s subordinates. In response to the four general combinations of these qualities, leaders are encouraged to choose from a menu of four styles, that combine varying degrees of director and supportive behavior: Directing (for low skill and will), Coaching (low skill, high will), Supporting (high skill, low will), and Delegating (high skill and will). The approach is simple, based on common sense, and is relatively easy to put into action, which no doubt accounts for its popularity. However, by focusing primarily on supervision, the “situational” approach takes a rather narrow approach to leadership. For example, it does not address group leadership. And, despite its success as a training paradigm, the approach also has relatively little empirical validation.

Goleman, Daniel, Richard Boyatzis and Annie McKee (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence*. Boston, Mass.: Harvard University Press.

This book links Daniel Goleman’s earlier work on “emotional intelligence” (see the section on “Leadership and Learning,” below) with an approach to leadership. The first book suggested that although leaders can be effective by using different styles, effective leaders are alike in having a high degree of emotional intelligence—without which a high IQ or high expertise are insufficient. Goleman identified five components of emotional intelligence: self awareness, self regulation, motivation, empathy, and social skill. (“motivation” and “empathy” have since been collapsed into “social awareness”). This book goes on to argue that a leader’s moods have enormous power and should be consciously managed to establish a positive environment. Therefore a top executive’s primal task is emotional leadership. The authors recommend a five-step process of self-reflection and planning designed to help them determine how their leadership is driving the moods of their organization and how to adjust their behavior accordingly. They also recommend a leader-

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ship framework that offers six styles: visionary, coaching, affiliative, democratic, pacesetter, and commanding. Each of the styles works best in particular situations, but the last two are less frequently useful and can be destructive. These styles are summarized in Goleman's "Leadership That Gets Results" (*Harvard Business Review*, March-April, 2000, pp. 78-90.) The key points of the book concerning emotional leadership are summarized in "Primal Leadership: The Hidden Driver of Great Performance" *Harvard Business Review* (December, 2001, pp. 42-53).

Oshry, Barry (1995). *Seeing Systems: Unlocking the Mysteries of Organizational Life.* San Francisco: Berrett-Koehler.

Oshry vividly depicts the organizational worlds of "tops," "middles," "bottoms," and "customers," arguing persuasively that people in those roles experience different realities. These realities lead most people to resort to a "reflex response" to survive. For example, "Bottoms" reflexively feel oppressed and blame "Them." The reflex responses vary by world, but they have in common the fact that they don't work very well for the people who use them or for the system as a whole. Oshry recommends an alternative set of "leadership stances" for each world that carry with them a corresponding set of "strategies." The emphasis on patterns of thought and behavior that vary by organizational role places Oshry's work in the third Cluster.

Oshry, Barry (2002). *In the Middle.* Boston, Mass.: Power & Systems, Inc.

Oshry (see above) has done more than anyone else to illuminate the dilemmas of being "in the middle." This classic work depicts how as individuals and as groups we people in middle roles (or anyone caught in between the conflicting goals of other players) can fall prey to psychologically "sliding into the middle" (i.e. taking on others' problems as if they were one's own), thereby losing their capacity for strategic judgment and action. He recommends a robust set of leadership strategies for both individuals and groups as an antidote to this pattern. It is available only through Oshry's company, Power & Systems, Inc. online (<http://www.powerandsystems.com>).

Schaeffer, Leonard (2002). "The Leadership Journey." *Harvard Business Review*: 42-48.

Schaeffer described how he consciously adopted three very different styles of leadership in the evolution of his role as Chair and CEO of a managed care company. When he took over Blue Cross of California he was initially an autocratic leader, acting like an emergency room physician. As the company rebounded he became a participative, hands-off leader. Finally, he turned into a reformer, focused externally to address changes in health care and society.

Tannenbaum, Robert and Warren Schmidt (1973). "How to Choose a Leadership Pattern." *Harvard Business Review* (May-June).

In this classic article on leadership style, the first version of which was published in 1958, the authors address the question: "Should a manager be democratic or autocratic—or somewhere in between?" Their answer takes the form of identifying a range of behaviors from one extreme to the other, each of which could represent a good choice depending on the situation. They conclude that "the successful manager can be primarily characterized neither as a strong leader nor as a permissive one. Rather he (sic) is one who maintains a high batting average in accurately assessing the forces that determine what his most appropriate behavior at any given time should be and in actually being able to behave accordingly."

Useem, Michael. (2001). *Leading Up: How to Lead Your Boss So You Both Win*. New York: Crown Publishing.

Useem presents eight intriguing case studies in support of his thesis that "more upward leadership is essential." His cases provide examples of leaders who took the risk of delivering difficult messages upward (such as Civil War General Robert E. Lee), those who did not (such as Generals Johnston and McClellan), and assesses the often dramatic consequences. Upward leadership requires not only risk but also skill. Useem speculates that a more forceful effort on the part of a U.N. official could have saved 800,000 lives in Rwanda. The author combines the ability to write highly readable stories with a more fervor, urging his readers to consider that although "we might fear how our superior will responds...we all carry a responsibility to do what we can when it will make a difference."

Vroom, Victor and Arthur Jago (1988). *The New Leadership: Managing Participation in Organizations*. Englewood Cliffs, New Jersey, Prentice Hall.

With the help of Jago, Vroom extends his earlier work (Vroom and Yetton, *Leadership and Decision Making*, 1973), which offered a "contingency" or situational approach to leadership, encouraging differing degrees of employee participation in accordance with the nature of decisions that leaders make. It criticizes the "simple nostrums" of some of the Cluster #3 theories, such as Blake and Mouton's 9-9 Leadership and McGregor's Theory Y, in which the same approach is advocated for all situations. But it also summarizes the criticisms that have been made of the earlier Vroom/Yetton model (including, ironically, the criticisms that it is both too complex and too simple), and strives to offer significant revisions to the model to increase its validity and usefulness. Reflecting their academic orientation, the authors are more concerned to address the criticism of the model being too simple than concern about its complexity. Leaders are now encouraged to choose among five degrees of participation on the basis of an assessment of twelve situational variables. The resulting model reflects very sophisticated

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thinking about the conditions under which participatory leadership styles are to be recommended, yet it requires a degree of systematic analysis that is likely to discourage many potential users. This is regrettable, as Vroom and Jago are among the more thoughtful contributors to leadership theory. Their model has much to offer to those willing to make the investment.

SECTION A: The Four Clusters of Leadership Theory

4. Lead by Selecting/Adapting the Situation to Fit You.

Overview

The last Cluster calls attention to the power of matching a leader's qualities to the situation. The basic idea is to choose situations in which you can succeed. This notion makes a lot of sense. We all have a different combination of strengths and limits and it stands to reason that we'll be more effective in some situations than others. Yet for many years there was only one well known theory of this type (Fiedler's) and it's more well known to researchers than to managers. The reason may be the implication that, since traits are not easily changed, some people are not suited for some leadership situations.

In the last few years there have been some additions to this Cluster. The approach taken by the Gallup Organization (described in Buckingham and Clifton, below) fits here. They emphasize identifying your strengths and building on them. There is not a heavy emphasis on adapting to the situation, but they do acknowledge that you may not succeed in some situations and should avoid them.

A related idea is that there is limited value in focusing leadership development on deficiencies. A person could spend a long time trying to get better in an area of weakness and never become more than mediocre. Therefore leaders may get higher leverage in further developing their strengths than from trying to shore up areas of mediocrity.

One risk of this cluster is that it could tacitly encourage leaders to ignore the areas where they are not strong. Great strengths are often accompanied by great weaknesses and ignoring them is risky. Most of these theories acknowledge that risk, and some point in particular to addressing "fatal flaws," but these caveats could easily be overlooked by leaders who are eager to avoid any areas of vulnerability.

Another limitation of this perspective is that leaders can't always choose their situation. You may not be in control of your destiny. So you may just have to do as well as you can where you happen to be. Still, the notion of being mindful of

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where you are likely to be most successful, and factoring that into your career moves, makes enormous sense. And by keeping the conditions that work best for them in mind, leaders who find themselves in situations that don't suit their styles can take steps to compensate, an area where some of these theories offer useful advice.

It is important to acknowledge two dimensions to "fit." One—to which we have given the most emphasis in this seminar—is how well the situation suits your high performance leadership style and the personal preferences that are related to your Type of Temperament. However, a viewpoint that is receiving increasing attention is important dimension calls attention to alignment with your "calling" as the foundation for both an authentic life and effective leadership. From this perspective a leader would ask whether a particular situation poses an opportunity to address the values to which he or she is committed.

These two dimensions can easily conflict. You may choose to put yourself in a situation that is not optimal for you from a style perspective because you want to take action to solve a problem that you care about. We include references that address both of these perspectives. A more pragmatic strand of writing on the value of defining your "life brand" combines these two perspectives.

The works in this cluster make a contribution to leadership development in one or more of the following ways. They:

- Offer tools for increasing your awareness of your strengths (e.g., Buckingham, et al).
- Increase your ability to manage your career by being clear on your strengths (and your values) and making sure that to the extent possible you choose situations in which there is a good match (e.g., Drucker).
- Invite you to look and listen deeply within yourself to uncover the "calling" that will most fully enable you to express your values and talents and make a contribution.
- Encourage you to find ways to modify situations that are not a good fit for you, in order to compensate as much as possible for the mismatch.

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SECTION A: The Four Clusters of Leadership Theory

4. Lead by Selecting/Adapting the Situation to Fit You.

Selected Examples

Buckingham, Marcus and Donald Clifton (2001). *Now Discover Your Strengths.* New York: The Free Press.

Based on a Gallup data base of interviews with two million people, the authors emphasize the importance of utilizing and building on one's strengths. They strongly criticize what they see as the widespread tendency to focus on developmental weaknesses. By contrast, they advocate two contrasting assumptions that they believe guide the best managers: each person's talents are enduring and unique (a view highly consistent with our notion of a "high performance leadership pattern"); each person's greatest room for growth is in the areas of his or her greatest strength. From the interviews they cull 34 "prevalent themes of human talent" that account for excellent performance. They encourage people to focus on their top 5 "signature themes" as a means of capitalizing on their strengths. Weaknesses should only be addressed in areas requiring minimal competence, the absence of which can mean failure. However, weaknesses can be addressed by "managing" them as well as by overcoming them. The book gives advice on how to manage people strong in the 34 themes. And, noting that only 20% of people report that they have the opportunity to do what they are best at every day and it offers four tips on how to build a "strengths-based" organization: spend a great deal of time and money on selecting people; focus on outcomes rather than legislating style; focus training on building strengths; and help people grow without necessarily promoting up the corporate ladders and out of areas of strength.

Ciampa, Dan and Michael Watkins (1999). *Right from the Start: Taking Charge in a New Leadership Role.* Boston, Mass.: Harvard Business School Press.

Reviewed in Cluster #3, this work also has relevance here because of its emphasis on leaders basing their approach on knowledge of their style.

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Drucker, Peter. "Managing Oneself." *Harvard Business Review*: Cambridge, Mass.: March-April, 1999.

Management guru Drucker offers this article as a career counseling resource, but it is equally relevant to leadership. And he offers a perspective that is highly consistent with our approach. He advises people to get to know themselves by answering questions in five key areas: What are your strengths? How do you perform? What are your values? Where do you belong? And what should I contribute? These questions effectively cover the four clusters (with the first cluster being honored by two questions). We classify him in the fourth cluster because there are so few contributions in this area.

Fiedler, F. (1967). *A Theory of Leadership Effectiveness*. New York: McGraw-Hill.

Fiedler is known as the author of "contingency" theory—the idea that a leader's effectiveness depends on how well the leader's style fits the context. In assessing the quality of fit, he looks at three variables: leaders-member relations (whether they are good or bad), task structure (high or low structure), and position power (strong or weak). Fiedler's work belongs in this cluster more than the preceding one because he tends to view a leader's style as being something that is enduring, not readily subject to change. This theory is supported by a strong body of research. It helped correct the earlier emphasis on "Traits" as the source of a single best style.

Greenleaf, Robert (1977/1991). *Servant Leadership*. New York: Paulist Press.

Greenleaf believes that great leaders are primarily servants who are attuned to the needs and voices of those to be served. To the extent that this perspective puts great emphasis on developing the leader's personal qualities (e.g., the mindsets and skills that enable receptive listening and empathy), Greenleaf is a contributor to the first cluster of leadership theory. However, we locate servant leadership primarily in this quadrant because of its emphasis on the responsibility of leaders to discover and pursue their calling in the world, wherever it takes them. Thus the situation follows from the who the leader is, or discovers him/herself to be. This theme is elaborated by Jaworski (see reviews below), who was heavily influenced by Greenleaf.

Hillman, James (1996). *The Soul's Code: In Search of Character and Calling*. New York: Random House.

Hillman is a well-known advocate of the psychological theories of Carl Jung. In this book he offers the view that each human being has a special purpose in life that is given before birth and is to be discovered. Hillman calls this the "acorn theory," which he sees reflected in mythology and in ancient philosophers such as Plato. The basic idea is that each of us comes into the world with a "calling"—something to do and to be. How does one discover one's

calling? In an interview, Hillman suggests asking the questions: "How am I useful to others? What do people want from me?" But his approach does not offer specific techniques. Rather he suggests the acorn theory as an idea which, if kept in mind and thought about and then used for looking at your past, may enable you to begin to see things that you didn't see before. Hillman has clarified that this is not a theory in the strict sense. He sees it as a myth, not a truth. It doesn't have to be believed. It's a way of thinking or reflecting about life—something you entertain to see what the story does for you. This qualification is helpful, for if you are not already convinced of this view, then Hillman's book is unlikely to persuade you. It is based on a questionable methodology: using the lives of extraordinary people as evidence. One could believe that the acorn theory is true of the geniuses that Hillman describes, while doubting that the proposition generalizes to all humanity. Nonetheless, Hillman writes well and parts of the book are of interest regardless of whether one agrees with the thesis. His observations on "intuition" are insightful. His discussion of "fate" is original and illuminating. And his comments on the lack of "beauty" in most psychological theory also hit the mark.

Jackson, Phil. (1995).
***Sacred Hoops: Spiritual Lessons of a Hardwood Warrior.* New York: Hyperion.**

Jackson led the Chicago Bulls and the Los Angeles Lakers to a series of championships that they had both been unable to achieve previously despite having strong talent. He attributes the success to his ability to help them create a collective intelligence based on setting aside individual egos. The resulting group mind enabled them to act "as if they were totally connected to one another," a phenomenon that has often been reported by athletes.

Jaworski, Joseph (1996).
***Synchronicity: The Inner Path of Leadership.* San Francisco: Berrett-Koehler.**

Jaworski puts forth a vision of leadership that evolved from his journey of personal transformation, which began when he made a decision to follow a personal dream. From that moment, he began to experience extraordinary coincidences that served to support him on his path. This led him to the conviction that such "synchronicity" (meaningful coincidence) is the natural consequence of clarifying one's intention, owing to an underlying "unfolding creative order." The journey that began with commitment to his vision led him to leave his law firm, found the American Leadership Forum, and head global scenario planning for Royal Dutch/Shell. In his role as planner, Jaworski realized the power of an approach that assumed that the future could be shaped, rather than merely reacted to. The capacity to shape the future follows from a commitment to follow one's inner voice and then let the journey unfold.

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Jaworski, Joseph (1998). "Destiny and the Leader," in Larry Spears, ed., *Insights on Leadership: Service, Stewardship, and Servant Leadership*. New York: John Wiley and Sons.

This article provides a nice summary of Robert Greenleaf's view of "servant leadership," enriched by examples from Jaworski's own personal experience. Echoing themes articulated in his book *Synchronicity* (see annotation immediately above), Jaworski attests to the power of heeding one's calling. He cites Herman Hesse from *Demian*: "Each man has only one genuine vocation—to find the way to himself. His task is to discover his own destiny—not an arbitrary one—and live it out wholly and resolutely within himself." In Jaworski's view, alignment with a deep sense of purpose is the wellspring of any true leadership. From this "inner path of leadership" the steps to take in bringing one's purpose into the world naturally emerge. By surrendering to one's destiny, and putting one's leadership in service of that calling, "we find ourselves in a coherent field of others who share our sense of purpose. We begin to see that with very small movements, at just the right time and place, all sorts of consequent actions are brought into being." The servant leader is "helped by "invisible hands."

Pearson, Carolyn (1991). *Awakening The Heroes Within: Twelve Archetypes to Help Us Find Ourselves and Transform Our World*. San Francisco, Harper.

Like Hillman, Pearson is guided by the work of Carl Jung. She focuses in particular on his notion of "archetypes," which—depending on one's philosophical or spiritual orientation—can be seen variously as metaphors or paradigms that govern how we experience the world, images of divinity, or guides for a person's journey. Pearson offers 12 archetypes, suggesting that each corresponds to one of three stages of development. Innocent, Orphan, Warrior and Caregiver help us prepare for our life's journey. Seeker, Lover, Destroyer, and Creator, support of while on the journey. Finally, we draw upon Ruler, Magician, Sage and Fool when we "return" from our heroic journey and stake out a life as rulers of our own kingdom. The book offers a self-assessment tool which enables the reader to determine his/her degree of affinity for these archetypes. At a minimum the archetypes provide a useful vocabulary for reflecting on different dimensions of one's self and identifying areas that have been neglected. Pearson hopes that readers will be able to use the archetypes "claim your life myth"—i.e., find the great story that informs your life, which usually features one or two dominant archetypes. Although she does not explicitly address leadership, being aware of one's dominant archetypes would presumably serve to clarify the kind of contribution one would wish to make, and then—by extension—the kinds of situations in which one might make that contribution.

SECTION B: Other Leadership Themes

Overview

Following is a sorting of selected references on leadership theory according other specific themes. In most cases where the reference is reviewed in one of the four clusters, the title alone is given, along with a reference to the Cluster where the full description can be found. In other cases we provide additional annotation. And some references are reviewed only in this section.

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SECTION B: Other Leadership Themes

1. Managing Your Shadow

Overview

While we believe that understanding and leveraging your strengths is a critical foundation for effective leadership, we also believe that it is important to be mindful of your “shadow,” and manage it to ensure that it does not compromise your leadership. We like the term “shadow” because of its metaphorical quality, which evokes the contrasting images of darkness and light. We define it quite broadly, as “anything you do that gets in the way of what you intend to do without your being aware of it or in control of it.” This contrasts with some powerful but more restricted uses of the term (e.g., by Carl Jung, as described below).

There is little theory dealing directly with the shadow side of leadership. Therefore, most of the entries in this section have to do with how anyone, including people interested in developing their leadership, can understand and work with their shadow. The emphasis is on personal growth and transformation. The selections reflect our bias toward views of the shadow that emphasize the role of how people think and the influence of their underlying beliefs on how they see the world and take action in it.

Selected Examples

Arbinger Institute (editors), *Leadership and Self Deception: Getting Out of the Box* (2000). San Francisco: Berret Koehler.

This book highlights self-deception as a widespread ingrained habit among humans, and therefore among leaders. It is difficult to become aware of this habit and not easy to break free, but the authors argue that doing so is essential to effectively interacting with others. In their view we put ourselves “in a box” by seeing ourselves as victims of others, blaming them for whatever is going wrong, and then—feeling justified by our judgment—acting in ways that are contrary to our values. We find ways to justify our behavior, which lures us “into the box.” Because while in the box we act in ways that provoke others to enter the box as well, we creating a self-sealing loop. Focusing on how the process of self-deception works and how to sidestep it, the book is narrated in a rather pedantic story form through the eyes of a newly hired leader who is

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coached by two senior colleagues. They show him how he limits himself as a leader in ways he's not aware of and what he can do to get out of this box. The book seems overly simple at times but it is quite insightful and based on a very thoughtful perspective on human nature and behavior. This perspective is elaborated in a more straightforward form in Terry Warner's *Bonds That Make Us Free: Healing Our Relationships, Coming to Ourselves* (2001).

Auletta, Ken (Dec. 16, 2002). "Beauty and the Beast." *The New Yorker*.

Auletta provides a dramatic illustration of how an unexamined shadow can become a "fatal flaw," undermining the positive qualities of a leader. This article is a compelling and chilling portrait of Harvey Weinstein, the entrepreneurial co-founder of Miramax films. As abusive and abrasive as he is creative, Weinstein seems as inclined to engage adversaries in a headlock as to engage them in dialogue. The consequence is that many business partners come away feeling "raped." It is clear that the shadow side of his style is undermining his otherwise extraordinary accomplishments.

Argyris, Chris and Donald Schön (1975). *Theory In Practice: Increasing Professional Effectiveness*. San Francisco: Jossey-Bass.

Reviewed in Cluster #2, the work of Argyris and Schön offers one of the most powerful approaches to thinking about a leader's shadow. From their perspective, we all have a shadow in the form of a "theory-in-use," which typically differs from our "espoused theory" for how we behave. The consequence is that there is a discrepancy between what we say and what we do, to which we are blind. Bringing the theory-in-use more in line with the espoused theory involves becoming aware of and shifting the underlying mindsets ("governing variables" in their language). The authors recommend learning a set of skills ("Model II," in contrast to "Model I") that enable ongoing inquiry into the mindsets that shape our and others' actions.

Bennett-Goleman, Tara (2001). *Emotional Alchemy: How the Mind Can Heal the Heart*. New York: Harmony Books.

The author, writing in a tradition that goes back to Albert Ellis (see below), believes that our behavior is driven by our thoughts and that one can identify and change the thoughts that drive dysfunctional behavior. Bennett-Goleman combines a long-standing practice of Buddhist meditation with training as a cognitive therapist. The book describes the relationship between these two influences on her practice. She argues that Buddhism is a form of cognitive therapy in that it attributes all suffering to flawed thinking, albeit of a particular kind. Both Buddhism and cognitive therapy encourage a self-conscious scrutiny of one's thoughts as a way of understanding and gaining control over one's emotions. She espouses mindfulness

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as a means to bring to consciousness the “schemas” that underlie counter-productive behavioral patterns, reducing their influence in the moment and eventually sapping them of power. Bennet-Goleman draws on a particular school of cognitive therapy represented by Jeffrey Young (see below).

Chapman, Gary and Jennifer Thomas (2006).
The Five Languages of Apology. New York: Chicago, Ill.: Northfield Publishing.

Unmanaged shadows make leaders vulnerable to acting in ways they regret, for which the skill of apology is a useful antidote. Chapman and Thomas provide insight into why apologies are important: they represent “an innate desire to reconcile damaged relationships...[which]...hinders the build up of anger and violence.” The book offers an illuminating distinction among five types of apology: expressing regret, accepting responsibility, making restitution, genuinely repenting, and requesting forgiveness.

Ekman, Paul (2003).
Emotions Revealed: Recognizing Faces and Feelings to Improve Communication and Emotional Life. New York: Henry Holt & Co.

This work provides a good summary of the life’s work of one of the foremost researchers on emotions, who has also created powerful training tools to increase emotional awareness. Ekman identifies and describes the seven emotions that research has shown to be universal—anger, sadness, fear, disgust, contempt, surprise and happiness. He also describes the sensations and facial expressions that accompany emotions (including some that are not possible to hide). Of greatest value is his account of the sources of emotional reactions and how they operate within the brain. Ekman identifies the leverage points in controlling one’s emotions, emphasizing in particular to the ability to become aware of emotional impulses before they are acted upon and the ability to be “attentive” to emotions while experiencing them, thereby allowing a person to attenuate the expression. He also underscores the value of reflecting on emotional episodes after they are over to identify personal hot buttons. Ekman provides compelling examples, including some from his own life (he is a self-described “angry” person). Training CDs that depict the facial expressions corresponding to a range of subtle emotions are available through Ekman’s website (<http://www.paulekman.com>)

Ellis, Albert (2001).
Overcoming Destructive Beliefs, Feelings, and Behaviors. Amherst: Prometheus Books.

Ellis was a pioneer in exploring how consciousness affects behavior. In this recent book he presents his most recent conception a theory he introduced 50 years ago, which he now calls Rational Emotive Behavior Therapy. From this perspective, thoughts are the cause of feelings and moods. And flawed thinking leads to negative moods that are unnecessary. There are various kinds of flawed thinking:

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black/white thinking, overgeneralization, selective perception and so on. By subjecting one's thinking to rigorous analysis and reflection, one can reduce unproductive negative emotions. Ellis' approach, along with the closely related cognitive-behavior therapy (see Young, below) is complementary to Argyris and Schön's Action Inquiry in that it looks closely at reasoning processes that govern ineffective behavior, and at the underlying mindsets, offering prescriptions for change.

Engler, Jack (2003). "Being Somebody and Being Nobody: A Reexamination of the Understanding of the Self in Psychoanalysis and Buddhism," in Saran, Jeremy, ed., *Psychoanalysis and Buddhism*, pp. 35-100. Boston: Wisdom Publications.

Engler became well known twenty years ago for his controversial assertion "you have to be somebody before you can be nobody," which aimed to reconcile Buddhist teaching about the "no-self" and Western psychotherapeutic thinking about the importance of self development. In this article Engler clarifies and revises his thinking by pointing to two kinds of self. On the one hand there are certain "ego" capacities that are essential to basic functioning—which include the ability to think, plan, self reflect, and exercise voluntary control over impulses. The development of this psychological "self" is critical to being effective as a leader. On the other hand there is the ontological self: the "belief that there is an inherent, ontological core at the center of our experience that is separate, substantial, enduring." This sense of self has been reinforced by the emphasis in Western civilization in the last several hundred years on the value of an autonomous individual with its own ambitions, goals, and destiny. Such a sense of self is taken by Buddhist perspective as the source of all suffering. Leaders that have developed this aspect of their self are at risk of putting self interest above the interests of others and the organization, or even above their own enlightened self interest. The antidote is a concentrated effort to deconstruct the ontological self, for which the Buddhist remedy is meditation.

Engler's views have shaped our own thinking about the simultaneous importance of developing your individual approach to leadership, while not being bound by a narrow sense of your "self" as defined by your personality type or other limiting conceptions of who you are. We believe it makes sense to develop your distinctive approach to leadership while at the same time letting go of your need to protect and promote your "self" in a narrower sense. Paradoxically, we find that the more you become yourself, the more you are able to lose yourself. Holding this as a conscious goal facilitates the process.

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Goleman, Daniel (1996). *Emotional Intelligence: Why It Can Matter More Than IQ.* London: Bloomsbury and (1998). *Working with Emotional Intelligence.* New York: Bantam Books.

Both of these works are reviewed in Cluster #1. They are relevant here because lack of awareness of "emotional intelligence" is a shadow for many leaders.

Goleman, Daniel, Richard Boyatzis and Annie McKee (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence.* Boston, Mass.: Harvard University Press.

Reviewed in Cluster #3, this book is relevant to the shadow because of its emphasis on the importance of emotional leadership. Many leaders are unaware of their moods and the impact their moods have on the overall climate of an organization. The authors recommend a five-step process of self-reflection and planning designed to help them determine how their leadership is driving the moods of their organization and how to adjust their behavior accordingly. The key points of the book concerning emotional leadership are summarized in "Primal Leadership: The Hidden Driver of Great Performance" *Harvard Business Review* (December, 2001, pp. 42-53).

Goleman, Daniel (2003). *Destructive Emotions: How Can We Overcome Them?* New York: Bantam.

Goleman extends his work on emotional intelligence by providing a narrated account of the eighth meeting of the Mind and Life Institute, which has convened dialogues among Western scientists and the Dalai Lama since 1987. This meeting explored common ground between scientific and Buddhist understandings of destructive emotions, focusing in particular on whether and how they can be managed. Goleman's book provides both provides a summary of and commentary on the presentations and discussion. In his account, the new fields of cognitive and affective neuroscience provide remarkable confirmation of fundamental features of Buddhist psychology as it has evolved over 2500 years. The book offers highly optimistic conclusions, reporting research that demonstrates the power of even modest amounts of meditation not only to reduce stress, but also to reduce the prevalence of emotions such as anger and fear while increasing the frequency of emotions such as hope, compassion, and happiness. Research findings presented also suggest that meditation can increase a person's ability to accurately observe others' emotions.

Goss, Tracy (1996). *The Last Word on Power: Executive Re-invention for Leaders Who Must Make the Impossible Happen*. New York: Currency/Doubleday.

According to Goss, the source of both our success and limitation is our "winning strategy," a notion that combines the idea of a high performance pattern with the notion of a shadow. Freedom from the past becomes possible through recognition of this strategy, which can be diagnosed by asking the questions: What do I listen for? From what actions do I expect power? What is the desired outcome of my life? In Goss' view, the behavior that results from our answers to these questions represents our solution to a "survival game" that is learned in childhood and hamstrings us in fundamental ways that affect our ability to "create the impossible." One frees oneself from these limitations by claiming the power to say what is possible and adopting a stance based on this new belief. From this stance one makes a series of declarations that can "re-invent" a future that contains possibilities one would have otherwise thought beyond reach. Goss's views were influenced by Werner Erhard and by her association with Landmark Training. A version of this view is available in "The Re-invention Roller Coaster: Risking the Present for a Powerful Future" (*Harvard Business Review* 71(6), November-December 1993, written with Richard Pascale and Tony Athos).

Jung, Carl, Herbert Read, et al (1953). *The Collected Works of C.G. Jung*. New York: Pantheon Books.

The Swiss psychiatrist and pupil of Freud Carl Jung offers the most rigorous application of the metaphor of "shadow" to human behavior. His approach is similar to the one adopted in this workshop in that he sees the shadow as a less attractive part of ourselves that we prefer to keep out of sight. However, in his approach, the shadow is not simply something that gets in our way, but rather an image of all the things we would rather not acknowledge about ourselves: fears, shameful wishes, lapses in morality. We ruthlessly suppress this shadow in order to promote the illusion that we consist only of our positive qualities. The shadow is an "archetype," an innate mode of responding to universal psychological realities. Jung suggests that we may actually project our unwanted shadow onto others, seeing in them the qualities that we would like to deny in ourselves. We believe Jung's approach has great power; we do not embrace it for purposes of this workshop primarily because we lack the time to pursue it in adequate depth. However, those interested in pursuing Jung's notion will find a fruitful beginning in "Archetypes of the Collective Unconscious" (Collected Works, volume 9, part I, pp. 2-41) and "The Problems of Modern Psychotherapy" (Collected Works, volume 16, pp. 53-75).

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Katie, Byron (2002).
Loving What Is: Four
Questions that Can Change
Your Life. New York:
 Harmony Books.

Katie's work (which she calls "The Work") is one of the most popular current variations on the cognitive/rational approaches to therapy pioneered by Albert Ellis (see above entry in this section). She offers a particular procedure for examining and changing beliefs underlying counterproductive attitudes and behavior, presenting four questions that can be applied to such beliefs to highlight their limits. The questions are: 1) Is it true? 2) Can I absolutely know that it is true? 2) How do I react when I have that thought? And 4) What would I be without the thought? The book contains a number of transcripts of interactions between Katie and participants in her workshops, in which she applies the four questions to areas of distress in their lives with results that appear to represent dramatic breakthroughs for the individuals. Her website contains other tools and resources (www.thework.com)

Kegan, Robert and Lisa
Lahey (2009). *Immunity*
to Change. Cambridge,
 Mass. Harvard Business
 Press.

(Reviewed in Cluster #1.)The authors devote this book to presenting a fuller explanation of the rational for and implications of the "immunity to change" exercise described in earlier works (2001a and 2001b) and described above. The result is a rich resource for both understanding and overcoming our "resistance" to behavior change. They borrow from Ronald Heifetz (1994) to argue that the problem is that we tend to view such changes as "technical" (solved through known techniques) rather than "adaptive" (requiring a transformation of understanding). Thus we are vulnerable to the New Year's Resolution syndrome. We set goals for change that fail. And we attribute the failure to a lack of will power. Kegan and Lahey suggest a more powerful (and self-forgiving) possibility: efforts to change fail because the behavior we are trying to change is not something "bad" that can simply be eliminated. Rather the behavior serves a very useful purpose: protecting us from fears of what we think will happen if we don't follow the familiar path. The "bad" behavior is in fact purposeful, but it serves a self-protective purpose. The key to change is to identify the assumptions that underlie the fear and see if they make sense. Often they do not. They evolved at earlier stages of our life when we were less powerful and resourceful. We learned lessons that are no longer relevant. But our reliance on these assumptions has become automatic and unconscious, forming a defense system against the fears resulting from the assumptions. Once we have identified irrational or limiting mindsets that block the changes we want to make, we can modify them to preserve whatever truth they contain while allowing the change we seek.

McLeod, Ken (2001). *Wake Up to Your Life: Discovering the Path of Buddhist Attention.* New York: Harper San Francisco.

McLeod offers a rich synthesis of Buddhist thinking based on his own intense and varied exposure to a number of teachers. He provides a highly detailed account from a Buddhist perspective of how "reactive" behavioral patterns form and how they can be dismantled. This account is congruent with Ekman's more Western psychological viewpoint (see above). Like Ekman, McLeod believes that transformation in behavior results from bringing attention to reactive patterns, thus becoming aware of such patterns and noticing the ways in which they operate to channel one's emotions and shape one's behavior. The book offers specific meditation techniques for doing so. However, it is aimed toward an audience that already takes for granted the value of meditation.

Quenk, Naomi (1996). *In the Grip: Our Hidden Personality.* Palo Alto, Calif.: Consulting Psychologists Press.

In this short, practical booklet Quenk explores an aspect of Jung's theory of personality types, the inferior function, which is the undeveloped component of a person's basic character. The inferior function consists of the tendencies we least prefer and therefore have least developed. It is largely unconscious. This hidden aspect of our character can take over when we have low energy, such as when we are fatigued, ill, or under stress. When it does take over, we may display a caricatured version of our opposite tendencies. However, falling "into the grip" of one's inferior function can also be an opportunity for growth. Inferior function experiences often accompany midlife, when we become interested in activities that held little interest for us in earlier times of life. Quenk argues that knowledge of one's inferior function can reduce one's vulnerability to falling fully into the grip of it.

Quenk observes that the notion of an inferior function is related to but distinct from the notion of a shadow: "One's shadow supplies the personal contents that appear when the inferior function is evoked." She develops these ideas in greater depth in *Beside Ourselves: Our Hidden Personalities in Everyday Life* (1993). Palo Alto, Calif. Davies-Black Publishing.

Riso, Don Richard and Russ Hudson (2000). *Understanding the Enneagram.* Boston: Houghton Mifflin.

The Enneagram is one of many tools for understanding personality "type." As such it fits neatly in Cluster #1. However, we review it here because the Enneagram is probably the most potent of the type theories in terms of illuminating the shadow. Riso and Hudson realize this potential more than some authors on the Enneagram by offering a model of "levels of development" for each of the Enneagram types. The lowest 3 ("unhealthy") of their 9 levels describe the shadow tendencies of each type. So, for example, Type Two, the Helper, is capable of altruism, empathy, and generosity when

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operating at their most healthy level, but when unhealthy tends toward manipulation, coercion, and feeling victimized. Becoming aware of the shadow potential of one's type can be helpful in unconsciously falling into that pattern.

Seligman, Martin (2002). *Authentic Happiness*. New York: Free Press.

Reviewed in cluster #1, this work suggests how leaders can enhance their own happiness, thereby reducing the shadow of negative emotions.

Wilber, Ken, Terry Patten, Adam Leonard and Marco Morelli (2008). *Integral Life Practice: A 21st-Century Blueprint for Physical Health, Emotional Balance, Mental Clarity, and Spiritual Awakening*. Boston: Integral Books.

Reviewed in Cluster #1, this book contains a very powerful and useful "shadow module" (pp. 41-66). It describes an original "3-2-1" exercise that enables a person to start with something that is irritating or upsetting in the behavior of another person and work with it to uncover the aspects of it that represent a projection of disowned parts of oneself onto another. In the exercise one starts by adopting a 3rd person perspective by describing the behavior or quality (corresponding to the "3" in the exercise), then shifts to a second-person perspective ("2") by addressing that person or quality directly, and finally taking an "I" (or "1") perspective, owning up to that quality in oneself.

Zweig, Connie and Jeremiah Abrams, editors, (1991). *Meeting the Shadow: The Hidden Power of the Dark Side of Human Nature*. New York: Penguin Putnam.

This anthology of over 60 articles on the shadow covers a wide spectrum of perspectives, from authors as diverse as Robert Bly, Joseph Campbell and Ken Wilber. The pieces cover historical, psychological, sociological, religious, and even literary angles.

SECTION B: Other Leadership Themes

2. Leadership by Phase of Engagement

Overview

The overwhelming majority of leadership theories pay no explicit attention to the obvious reality that what leaders are called upon to do differs depending on whether they are at an early, middle, or late stage of a leadership engagement. Our belief, grounded in Jerry Fletcher's work on high performance patterns (see Cluster #2, on "Lead by Doing the Right Things" as well as the entry below), is that attending to what it takes to be effective during differing phases of an activity can highlight the importance of actions that might otherwise be overlooked. Moreover, most people tend to be stronger at the activities that are characteristic of at most two of the phases, which highlights the value of focusing on what they might do differently during those phases where their natural strengths are less useful, or where their shadow side makes them particularly vulnerable.

Apart from Fletcher's work, which was not originally focused on leadership, there is little literature in this area. Most of what is there focuses on what leaders can most effectively do when they step into a new role.

Selected Examples

Ciampa, Dan and Michael Watkins (1999). *Right from the Start: Taking Charge in a New Leadership Role*. Boston, Mass.: Harvard Business School Press.

This book, which has a companion workbook, offers advice on what a new manager can do in the first few months on the job, when laying the foundation for leadership and making initial moves. It calls attention to issues of strategy, politics and culture. The book contains tactical advice as well as profiles of leaders who successfully and unsuccessfully struggle with transitions into a new role. Advice includes: actively plan your approach, leveraging the time prior to entry; pursue early successes; identify your stylistic preferences and analyze how to make those preferences work most effectively; and create a network of advisors and counselors. Chapter 9, on "Self-Awareness and Style," argues that leaders who are aware of their style and its limitations will be better at using it effectively. It describes how successful leaders used private reflection and talking to others as a way of maintaining self awareness.

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Fletcher, Jerry (1993). *Patterns of High Performance: Discovering the Ways People Work Best.* San Francisco: Berrett-Koehler.

Reviewed in Cluster #2, Fletcher's work also forms the basis for our appreciation of the ways in which leadership behavior changes during different phases of a particular leadership engagement. Fletcher found that the specific behaviors that comprise the high performance patterns of the over 5,000 thousand people with whom he has worked can be grouped into four phases: Getting Drawn In, Getting it Rolling, Keeping It Rolling, and Bringing to Completion.

Gabarro, Jack (1987). *The Dynamics of Taking Charge.* Cambridge, Mass.: Harvard Business School Press.

Gabarro studied seventeen successful and unsuccessful transitions by division presidents, general managers and functional managers, searching for the factors that account for success. He has created a model of five predictable stages that new managers go through: taking hold, immersion, reshaping, consolidation, and refinement—each of which has characteristic challenges. The book is particularly helpful in highlighting the "taking hold" stage (the first 3-6 months in the new role) and "reshaping" stage (about 9-15 months into the role) as the two prime opportunities for making an impact. Several cases of failure also illustrate the cost of a mismatch between a leader's preferred style, which often had led to success in a previous job, and the expectations and requirements of a new situation.

Jentz, Barry et al (1982). *Entry: The Hiring, Start-Up and Supervision of Administrators.* New York: McGraw Hill.

Although this book covers the hiring and supervision of principals and school superintendents, the section relevant here concerns how school administrators get started in their roles. It offers two case studies and a series of exercises that place heavy emphasis on the value of inquiry at the outset in order to understand the new situation and the perspectives of the people in it. One case shows what can happen when an administrator believes he knows what a system needs and is wrong. A second case shows, by contrast, the benefits of not assuming that one knows what is needed and systematically setting out to collect information.

Kotter, John (1990). *A Force for Change: How Leadership Differs from Management.* New York: The Free Press.

Reviewed in Cluster #2, this work also makes a contribution to leadership by phase by distinguishing among three critical dimensions of organizational change that are semi-sequential. These are: setting direction, aligning people, and motivating and inspiring. Although these can and do overlap, each has a distinctive emphasis that corresponds to succeeding phases of a timeline.

SECTION B: Other Leadership Themes

3. Interpersonal/Influence/Negotiation Skills for Leadership

Selected Examples

Bradford, David and Allan Cohen (1990). *Influence Without Authority.* New York: John Wiley & Sons. (See Cluster #2)

Fisher, Roger, William Ury, and Bruce Patton (1991). *Getting to Yes: Negotiating Agreement Without Giving In.* London: Hutchinson Business. (See Cluster #2)

Goleman, Daniel (1998). *Working with Emotional Intelligence.* New York: Bantam Books. (See Cluster #1)

Stone, Douglas, Bruce Patton, and Sheila Heen (1999). *Difficult Conversations: How to Discuss What Matters Most.* New York: Viking Press. (See Cluster #2)

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SECTION B: Other Leadership Themes

4. Leadership in the Middle Role

Selected Examples

Oshry, Barry (1995). *Seeing Systems: Unlocking the Mysteries of Organizational Life.* San Francisco: Berrett-Koehler 1995. (See Cluster #3)

Oshry, Barry (2002). *In the Middle.* Boston, Mass.: Power & Systems, Inc. (See Cluster #3)

Useem, Michael. (2001). *Leading Up: How to Lead Your Boss So You Both Win.* New York: Crown Publishing. (See Cluster #3)

SECTION B: Other Leadership Themes

5. Leading Organizational Change

Selected Examples

Oshry, Barry (1995). (See Cluster #2)
Seeing Systems: Unlocking the Mysteries of Organizational Life. San Francisco: Berrett-Koehler.

Schein, Edgar (1992). (See Cluster #2)
Organizational Culture and Leadership. San Francisco, Jossey-Bass.

Senge, Peter (1990). *The Fifth Discipline: The Art and Practice of the Learning Organization.* New York: Doubleday. (See Cluster #2)

Senge, Peter, Art Kleiner, Richard Ross, Charlotte Roberts and Bryan Smith (1994). *The Fifth Discipline Fieldbook: Strategies and Tools for Building a Learning Organization.* New York: Doubleday. (See Cluster #2)

Tichy, Noel and Mary Anne Devanna (1986/1990). *The Transformational Leader.* New York: John Wiley & Sons. (See Cluster #2)

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SECTION B: Other Leadership Themes

6. Portraits of Effective Leaders

Selected Examples

- Erikson, Erik (1993).** (See Cluster #1)
Gandhi's Truth: On the Origins of Militant Non-violence. New York: Norton & Co.
- Greenstein, Fred (1994).** (See Cluster #2)
The Hidden-Hand Presidency: Eisenhower as Leader. Baltimore, Md.: Johns Hopkins University Press.
- Keirsey, David and Ray Choinere (1992).** (See Cluster #1)
Presidential Temperament. Del Mar, Calif.: Prometheus Nemesis Book Company.
- Phillips, Donald (1992).** (See Cluster #2)
Lincoln on Leadership: Executive Strategies for Tough Times. New York: Warner.
- Goodwin, Doris Kearns (2005).** A great book about the President that many regard as the greatest of all. Annotation to come.
Team of Rivals: The Political Genius of Abraham Lincoln. New York: Simon & Schuster.

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7. Women and Leadership

Selected Examples

Helgesen, Sally (1985). (See Cluster #1)
The Female Advantage: Women's Ways of Leadership. New York: Doubleday.

Meyerson, Debra (2001). (See Cluster #2)
Tempered Radicals: How People Use Difference to Inspire Change at Work. Boston, Mass.: Harvard Business School Press.

Zichy, Shoya (2000). (See Cluster #1)
Women and Leadership Q: Revealing the Four Paths to Influence and Power. New York: McGraw-Hill.]

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8. Neuroscience and Leadership

Doidge, Norman (2007). *The Brain that Changes Itself: Stories of Personal Triumph from the Frontiers of Brain Science.* New York: Penguin Books.

Psychiatrist and psychoanalyst Doidge draws on the latest findings from brain science to tell a number of compelling stories about how people have been able to bring about significant personal change in areas where change was once thought impossible. These changes are examples of what is now known to be possible because of the "neuroplasticity" or malleable nature of the brain, even into advanced age. Doidge's account explains the paradox of how such malleability is consistent with the rigidity that sets in when we reinforce neural pathways by "choosing" to do the same thing over and over again. Learning new behavior is hard because it involves "unlearning" what we want to stop doing, which is actually harder than learning. The stories in the book include instances of sharpening perception and memory, learning to stop compulsive worrying and bad habits, and recovery through psychoanalysis from early childhood trauma. It also describes how imagining doing something (like exercising or playing a musical instrument) can effectively substitute for actual practice. These stories provide inspiration for leaders struggling to change themselves in ways that involve learning new behavior and letting go of deeply ingrained habits.

Rock, David and Jeffrey Schwartz (2006). *The Neuroscience of Leadership.* *Strategy + Business*, issue 43, Summer 2006).

A coach (Rock) and a research psychiatrist (Schwartz) have teamed up to explain how "breakthroughs in brain research...make organizational transformation succeed." They make six key points in support of their argument that managers generally underestimate the challenge of implementing change:

- *Change is pain* (change is difficult because it requires disrupting the neural pathways built by habit, which requires energy and provokes discomfort)
- *Behaviorism doesn't work* (change efforts based on a carrot/stick approach rarely succeed)
- *Humanism is overrated* (the conventional "empathic approach of connection and persuasion" doesn't work that well either)
- *Focus is power* (simply paying attention to something creates chemical and physical changes in the brain that support learning and change)
- *Expectation shape reality* (our preconceptions have a significant impact on what we perceive)
- *Attention density shapes identity* (repeated, purposeful, focused attention can lead to long-lasting change)

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So what can leaders do to take advantage of this new knowledge from brain science? Of the four conclusions, one is long familiar:

- *Reinforce new behaviors that work* (by giving positive feedback, which focuses attention—an apparent exception to the general rule that behaviorism doesn't work)

Another two are no surprise:

- *Let people come to their own conclusions* (by painting a broad view of an objective rather than spelling out what's needed, so they can picture the new behaviors in their own mind)
- *Focus on creating new behaviors* (ask questions of subordinates that invite reflection on how to solve problems rather than defend their behavior)

Only the fourth seems to offer a reasonably new insight

- *Focus attention on the desired change* (by facilitating discussions and activities of the desired change, along with gentle reminders, so that the new mental maps become the dominant pathways along which information flows)

A PDF of the article can be downloaded from <http://www.strategy-business.com/press/freeararticle/06207>.

Siegel, D. J. (2007). *The Mindful Brain: Reflection and Attunement in the Cultivation of Well-being* (1st ed.). New York: W.W. Norton.

This book, authored by the co-director of the U.C.L.A. Mindful Awareness Research Center, builds on the emerging empirical evidence that "mindful awareness" can enhance physical, mental and social well-being. It explains the brain research underlying these findings, while offering insight into the actual experience of mindfulness through supportive practices. Siegel argues that awareness of ongoing experience creates an attunement, or resonance, within ourselves that stimulates growth in emotional and social circuits in the brain. This growth transforms moment-to-moment awareness into a long-term state of resilience and increased emotional intelligence. He makes the case that cultivation of such awareness, and the resulting emotional intelligence, can not only improve the quality of one's personal life, but to professional life as well, citing examples from education and psychotherapy. We believe that mindful awareness also contributes directly to self-leadership, the cornerstone of effective leadership.

Appendix.66 Annotated Bibliography on Leadership

McGonagill Associates ■ www.yourleadershipstyle.com ■ www.reflectivepractitioner.com

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9. Ethics of Leadership

Greenleaf, Robert (1977/1991). *Servant Leadership*. New York: Paulist Press.

Greenleaf was among the first writers on leadership to call attention to its ethical dimensions. He called for leaders to see themselves as servants, attuned to the needs and voices of those to be served. (See Cluster #1.)

Jaworski, Joseph (1996). *Synchronicity: The Inner Path of Leadership*. San Francisco: Berrett-Koehler.

Reviewed in Cluster #1, this book is Joseph Jaworski's memoir of a personal journey. It led him to leave his law firm and found the American Leadership Forum in order to contribute to more ethical leadership in America in the post-Watergate era. Jaworski went on to found Generon Consulting, a pioneering consulting firm in bringing the latest theory and practice of change (i.e., Theory U) to bear on pressing societal challenges.

Kellerman, Barbara (2004). *Bad Leadership: What It Is, How It Happens, Why It Matters* (Cambridge, MA: Harvard Business School Press).

Books about leadership are almost entirely about good leadership. But Kellerman makes a powerful case that we pay a high price for this. Looking at bad leadership can illuminate the character of good leadership. Doing so also has the potential to reduce its prevalence. The author distinguishes between two kinds of bad leadership: ineffective and unethical. And she highlights the seven most common forms: incompetent, rigid, intemperate, callous, corrupt, insular and evil. To illustrate these types Kellerman draws upon compelling examples, including Bill Clinton's neglect of genocide in Rwanda (insular leadership), D.C. Marion Barry's drug abuse (intemperate), and Radovan Karadzic's orchestration of ethnic cleansing (evil). This book makes a very useful corrective contribution to leadership theory, and is a fascinating read.

Scharmer, C. Otto (2007). *Theory U*. Cambridge, Mass.: Society for Organizational Learning.

This book is reviewed in Cluster #1. It articulates the theory at the heart of *Presence* (2004), of which Scharmer was a co-author. Theory U offers an essentially moral vision of leadership in which leaders come to recognize their inner wisdom, use it to sense deeply what the world needs, and act. The higher one's self development, the greater one's potential impact as a leader. And it offers a well-developed "social technology" for bringing about needed change based on this theory.

Senge, Peter, Joseph Jaworski, Otto Scharmer,

Reviewed in Cluster #1, this book is an earlier articulation of "Theory U" (see above). It calls attention to the need for leaders to

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**and Betty Sue Flowers.
Presence (2004).
Cambridge, MA: Society
for Organizational
Learning.**

“learn from the future” in order to address the increasingly complex challenges emerging in a world of increasing change and uncertainty. From this perspective leaders have a moral obligation to develop their own highest capacities in order to respond effectively to these challenges. The book is a conversation among the four authors, containing rich anecdotes.

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10. Leadership and Sustainability

Senge, P., Smith, B., Kruschwitz, Laur, J., & Schley, S. (2008). *The Necessary Revolution: How Individuals and Organizations Are Working Together to Create a Sustainable World*. New York: Double Day.

This excellent book is far from the first to make a case that the individual and societal patterns that emerged as a result of the industrial age are not sustainable. But it is among the first—and quite possibly the best—at pointing to a path forward. Senge et al. argue that it's a choice between "lose/lose" (if we ignore the self-destructive path we are on) and "win/win" (if we follow the path-setting example of those who show that environmental responsibility is synergistic with good economics). A "regenerative" economy that provides us with what we need and is sustainable is quite feasible. The solutions lie in the developing leaders who who possess three capabilities: 1) "seeing systems" (seeing and taking into account the larger forces that operate out of sight); 2) "collaborating across boundaries" (getting the "system in the room" by convening key actors in the systems that need examination and change); and moving "from problem solving to creating" (moving from a reactive, crisis oriented mode to a proactive stance driven by inspiration from nature, in which there is no such thing as "waste"). The authors demonstrate the viability of leadership of this kind through compelling examples from Sweden and elsewhere.

SECTION C. Approaches to Leadership Development

Overview

Many of the listings in the Leadership Theory section have implications for Leadership Development. This section is devoted to an additional body of work that focuses explicitly on leadership development. We have divided the literature into three sections.

Private Sector (and generic)

Bennis, Warren and Joan Goldsmith (1997). *Learning to Lead: A Workbook on Becoming a Leader*. Reading, Mass.: Perseus.

A prominent writer on leadership has combined forces with a well-known trainer to provide a practical set of tools for developing one's leadership. It offers a variety of exercises and tools that are predicated on a set of leadership qualities, including: knowing yourself and finding your own voice, taking risks and continuing to learn, being able to create trust by acting with integrity, and the importance of being able to create and communicate a vision that inspires others.

Carter, Louis, David Ulrich and Marshall Goldsmith, eds. (2005). *Best Practices in Leadership Development and Organizational Change: How the Best Companies Ensure Meaningful Change and Sustainable Leadership*. (San Francisco: Pfeiffer).

Readers with the patience to absorb 400 pages of description of eighteen cases will be rewarded. There is much richness in the cases. But those who expect the authors to provide help in making sense of the cases will be disappointed. There is surprisingly little analysis of patterns and trends, which raises the question of whether the book is worth the \$90 price tag.

Cashman, Kevin (1998). *Leadership from the Inside Out: Becoming a Leader for Life*. Minneapolis, Minn.: TCLG IIc.

There is much wisdom in Kevin Cashman's book. Its basic premise—that effectiveness as a leader requires doing the inner work to lead oneself—has been affirmed by a swelling chorus of works written since its publication in 1998. Even for those who are familiar with similar contributions, this book adds value by integrating a comprehensive range of perspectives attesting to the importance of self awareness, authenticity, and a sense of purpose. It is readable and offers a comprehensive menu of practical suggestions for how to develop oneself as a leader. Cashman makes a simple but useful

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distinction between leading from one's character—one's true self—as opposed to one's persona—the mask we develop to protect ourselves. He offers suggestions for being connected with one's character which, while practical, do not offer a quick fix. Among the strategies recommended are meditation and journaling, critical tools in the ongoing—and never-ending—quest for the self-knowledge that is at the heart of authentic and effective leadership. Such tools are necessary to reveal, for example, "shadow beliefs"—the unconsciously held limiting assumptions that can undermine a leader's conscious principles.

Conger, Jay (1992). *Learning to Lead: The Art of Transforming Managers into Leaders.* San Francisco, Jossey-Bass.

This pioneering book on leadership development provides an overview of how it is taught and practiced. It features a typology of four approaches: personal growth, conceptual understanding, feedback, and skill building. It then describes five programs on the basis of the author's observations from a participant perspective and offers an assessment of the strengths and weaknesses of each. Conger concludes that the best programs incorporate elements of all four approaches. The research finds that certain leadership skills are indeed learnable, for example "rewarding." At the same time, it points out that some skills, like vision, are not likely to be learned in a day's exposure to visioning skills. Generally, Conger reaches sobering conclusions as to what one may expect from even a well-designed program: "1) no behavior change and little enhanced awareness for perhaps 10-20 percent of participants, 2) an expanded conceptual understanding of leadership for another 30-40 percent, 3) some positive though incremental behavioral change (in addition to conceptual understanding) for an additional 25-30 percent, and 4) significant positive behavioral change for 10 percent." (p. 181) This is a very useful guide to current leadership programs.

Conger, Jay and Beth Benjamin (1999). *Building Leaders: How Successful Companies Develop the Next Generation.* San Francisco, California, Jossey-Bass.

Conger's second book on leadership development draws on research in a dozen organizations to identify three principal approaches to leadership education: individual skill development, instilling organizational values that promote leadership, and strategic interventions. Conger and Benjamin assess the strength and weakness of each, and provide case studies illustrating best practices. The authors note a trend toward using "action learning" for leadership development, in which work-related projects serve as the principal vehicle for learning. They endorse this trend, identifying features of successful programs, while pointing out some problems and pitfalls with the approach.

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Fitzgerald, Catherine and Linda Kirby, editors (1997). *Developing Leaders: Research and Applications in Psychological Type and Leadership Development*. Palo Alto, Calif.: Davies Black.

This edited volume provides 17 chapters that offer an overview of the implications of the MBTI for leadership and explore a number of more specific areas. For example, it considers the relationship between the MBTI and other instruments, such as the FIRO B and various tools for 360 degree feedback. It is particularly helpful in understanding subtleties such as how type dynamics (the interplay of the MBTI functions within each type) and type development (the pattern of development of the MBTI functions across the life span) affect leadership development.

Giber, David, Louis Carter and Marshall Goldsmith, editors (2000). *Linkage Inc.'s Best Practices in Leadership Development Handbook: Case studies, Instruments, Training* (San Francisco: Jossey-Bass/Pfeiffer and Linkage, Inc.).

This is a useful book. It resulted from collaboration between the authors and Warren Bennis in 1998, when they conducted a survey of 350 companies on their leadership development practices. They later identified fifteen companies for in-depth profiles. One useful feature is a report results from a survey of the 350 companies on the most critical factors in their leadership development programs. The top three were builds teamwork (73%), understands the business, (60%) and conceptual thinking (53%). The case profiles are informative. Many of them end with a "lessons learned" section, which assesses the value of particular features programs. Companies often weighted very differently the value of different components. For example, Motorola ranked senior management involvement as the #1 factor, consistent with many other companies, but it also included "best in class faculty" among the 6 lessons learned, giving it a much higher evaluation than average. Findings such as these reinforce the general point that programs must be tailored to the particular situation, and what works in one place may not work as well elsewhere.

McCauley, C. D. (2006). *Developmental assignments: Creating Learning Experiences without Changing Jobs*. Greensboro, N.C.: Center for Creative Leadership Press.

Studies of leadership development show that the most powerful lever is learning on the job. This slim but very useful book shows how jobs can be enriched to support learning without resorting to job rotation of other more complicated strategies. On-the-job challenges can be built into a person's job by creating the following conditions (pp. 7-8):

- Unfamiliar responsibilities
- New directions
- Inherited problems
- Problems with employees
- High stakes

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- Scope and scale
- External pressure
- Influence without authority
- Work across cultures
- Work group diversity

The book lists a number of possibilities for experiencing each of these challenges in three ways:

- reshaping your job
- temporary assignments
- outside the workshop

McCauley, Cynthia, Russ Moxley, and Ellen Van Velsor, editors (1998). *The Center for Creative Leadership Handbook of Leadership Development*. San Francisco, Calif.: Jossey-Bass.

Aimed primarily at professionals in leadership development, this edited volume describes the approaches for which the Center for Creative Leadership is well known (such as 360 degree feedback and feedback-intensive programs), offers perspective on the evolving views of leadership evident in organizations (e.g., a shift from seeing development as an event to supporting it as a process over time) and addresses a range of topical issues (e.g., cross-cultural issues). It concludes with a provocative essay the future of leadership development by William Drath that is reviewed in Cluster #3.

Tichy, Noel with Eli Cohen (1999). *The Leadership Engine: How Winning Companies Build Leaders at Every Level*. New York: HarperBusiness.

Tichy has been a leading influence in the recognition of the importance of leadership development and a pioneer in shaping new practice. As a consultant to GE since the early 1980s, he helped design and run GE's renowned Crotonville executive development center. In this book, rich with anecdotes, he makes the case the leaders in winning organizations have four things in common: 1) a proven track record take responsibility for the development of other leaders; 2) a "teachable point of view" that they can articulate and teach to others about how to make the organization successful and teach other leaders; 3) they embody their point of view in stories; 4) they have well-developed methods of coaching, teaching and mentoring, including being good role models. The book profiles a number of leaders to show how they develop others, including some of the usual suspects (Jack Welch) as well as others less well known (General Downing, head of U.S. military's Special Operations Forces and a member of G.H.W. Bush's National Security Advisory). A concluding chapter on "storytelling" vividly illustrates the third factor.

Schön, Donald (1987).
Educating the Reflective Practitioner: Toward a New Design for Teaching and Learning in the Professions. San Francisco, Calif.: Jossey-Bass.

Schön follows up his earlier work on the “reflective practitioner” (see Cluster #2) with an effort to describe an approach to professional development that takes into account the “reflection-in-action” that professionals actually use when solving problems on the job—in contrast to the “technical rationality” school of thought that currently dominates university-based professional education. He encourages drawing on the traditions evident in conservatories of music and dance, athletics coaching, and craft apprenticeship, which all emphasize coaching and learning by doing. He provides detailed case studies of a “reflective practicum”—a master class in musical performance, psychoanalytic supervision, and a seminar that he co-taught with Chris Argyris. The book concludes with implications for the redesign of professional education. Schön is an original and provocative thinker. This book is a rewarding read for those with interest in understanding the subtleties of how leaders make choices in the moment, drawing on a combination of training, previous experience, and intuition.

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Public Sector

Blunt, R. (2004). Growing Leaders for Public Service: IBM Center for the Business of Government.

Ray Blunt, who worked in the Department of Veterans Affairs, is the most prolific contributor to studies of public sector leadership. In addition to this study, he was the principal author of the NAPA study reviewed below and has contributed many insightful blogs to www.GovLeader.org. Among other things this very useful study:

- Gives an overview of the factors that shape leadership, offering a summary of principles and best practices in the private and public sector;
- Profiles three public sector leaders who have been instrumental in their organizations in growing leaders;
- Reviews the “how to’s” of becoming more aware of your own example as a leader through mentoring, coaching, and teaching;
- Features five case studies of exemplary public sector organizations and lessons learned from their example (Pension Benefit Guarantee Corporation, U.S. Coast Guard, Western Area Power Administration, Veteran Benefits Administration, Social Security Administration)

The study can be downloaded from the website of the IBM Center for the Business of Government

National Academy of Public Administration (1997). *Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders*. Washington, D.C.: National Academy of Public Administration.

This study would be valuable under any conditions but in light of the scarcity of descriptions and analysis of public sector leadership development, it is a treasure. It documents the gap in public sector leadership development, identifying barriers. It goes on to offer eight “benchmark principles” for managing a succession/leadership program, along with case studies from both the private and public sector. The study also proposes three “pillars of leadership development: Varied job assignments, education and training, and self-development. And again it offers case examples of best practice for each, including an in-depth profile of the approach of the U.S. Army. The study examines the processes of succession and leadership, reviews examples of using leader competencies based on organizational goals, and explores how to build a leadership culture by applying these practices. Finally, it assesses existing processes in government with respect to benchmark principles derived from the private sector. The study contains an excellent 22-page annotated bibliography, now a bit out of date.

Non-Profit Sector

Enright, K. P. (2006).
Investing in Leadership
Volume 2: Inspiration
and Ideas from
Philanthropy's Latest
Frontier. Washington,
D.C.: Grantmakers for
Effective Organizations.

This report, along with its companion volume (below) are highly useful. Together they give a clear overview of trends in leadership development in the non-profit sector in the past two decades, illustrated with in-depth profiles. This volume contains a set of case studies woven together by a larger narrative summarizing particular lessons learned about leadership development in the past 10 years. The report concludes that the approaches holding the most promise have three things in common. They are 1) focused on collective leadership development (within or across organizations); 2) contextual (embodying action learning or other experiential approaches); and continuous (going beyond one-shot training).

Hubbard, B. (2005).
Investing in Leadership
Volume 1: A
Grantmaker's Framework
for Understanding
Nonprofit Leadership
Development.
Washington, D.C.:
Grantmakers for Effective
Organizations.

This is the first of two volumes of a highly useful report (see above reference) on trends in leadership development in the non-profit sector. Together they give a clear overview of trends in leadership development in the non-profit sector in the past two decades, illustrated with in-depth profiles. This volume reviews current thinking on leadership development, identifying many lessons learned. In particular it traces the rise of emphasis on collective leadership. The report recommends that grantmakers articulate the assumptions underlying their approach to change and offers a template for assisting them in doing so. And it offers a very helpful 3x3 matrix that provides a map of alternative ways of investing in leadership development, depending on the objectives of the program (capacity building for individuals, organizations, or for the collective) and the level of the system addressed (individuals, organizations, or geographic communities).

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SECTION D. General References on Leadership

Jago, Arthur G. (1982). "Leadership: Perspectives in Theory and Research." *Management Science* 28(3): 315-336.

We are indebted to Arthur Jago for the idea of dividing leadership theories into four clusters, which he introduced in this little known article two decades ago. His matrix uses the axes "universal" vs. "contingent" and "traits" vs. "behaviors."

Northouse, Peter G. (2001). *Leadership: Theory and Practice*. Thousand Oaks, Calif.: Sage Publications.

This textbook is frequently used in undergraduate and business school classes on leadership. It offers a comprehensive and objective summary of the historical trends in leadership theory, providing an assessment of the strengths and weaknesses of various approaches.

Rost, Joseph (1991). *Leadership for the 21st Century*. Westport, CT: Praeger.

In preparing to write this book, Joseph Rost claims to have read everything written about leadership in the 75 years prior to 1990. In so doing, he discovered that despite the apparent contradictions in leadership theory, all approaches could be summarized by a common Industrial era definition: "Leadership is great men and women with certain preferred traits influencing followers to do what the leaders wish in order to achieve group/organizational goals that reflect excellence." What was most striking to Rost about this common definition is that it was essentially about good management, not leadership. Rost devotes the first part of the book to making this case, which he believes shatters the conventional wisdom that it was impossible to make sense of leadership studies. The second part—of greater interest to Rost—focuses on leadership should look like in the 21st century. In his view the leadership required by the future is "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes." This definition underscores the importance of change, which is a key difference between the goals of leadership and those of management. It also points to the mutual influence between leaders and followers, and implies that collaboration is critical. Rost also believes that it is important to move beyond the model of one top person doing the leadership. He discourages equating leadership with leaders and argues that anyone at any level of an organization can exercise leadership. In an interview in 2007, Rost confessed that he was "more optimistic in 1990 than I had a right to be," acknowledging that approaches to leadership have not changed as quickly as he hoped and imagined they would.

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Index of Books by Author

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Auletta, Ken (Dec. 16, 2002). "Beauty and the Beast." <i>The New Yorker</i>	50
Badaracco, Joseph Jr. (2002). <i>Leading Quietly: An Unorthodox Guide to Doing the Right Thing</i>	22
Bennett-Goleman, Tara (2001). <i>Emotional Alchemy: How the Mind Can Heal the Heart</i>	50
Bennis, Warren (1997). <i>On Becoming a Leader</i>	23
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Bennis, Warren and Robert J. Thomas (2002). "Crucibles of Leadership."	23
Berens, Linda (2000). <i>Understanding Yourself and Others: An Introduction to Temperament</i>	6
Blanchard, Kenneth, Patricia Zigarni, and Drea Zigarni (1985). <i>Leadership and the One Minute Manager</i>	38
Block, Peter (1987). <i>The Empowered Manager: Positive Political Skills at Work</i>	24
Blunt, R. (2004). <i>Growing Leaders for Public Service</i>	75
Bolman, Lee and Terrence Deal (2000). <i>Reframing Organizations: Artistry, Choice, and Leadership</i>	24
Boyatzis, Richard and Annie McKee (2005). <i>Resonant Leadership: Renewing Yourself and Others with Mindfulness, Hope and Compassion</i>	6

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Buckingham, Marcus and Donald Clifton (2001). <i>Now Discover Your Strengths</i> .	44
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Drath, Wilfred and Charles Palus (1994). <i>Making Common Sense: Leadership as Meaning-making in a Community of Practice</i>	25
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Giber, David, Louis Carter and Marshall Goldsmith, editors (2000). <i>Linkage Inc.'s Best Practices in Leadership Development Handbook: Case studies, Instruments, Training</i>	72
Goldsmith, Marshall, B. L. Kaye, et al. (2000). <i>Learning Journeys: Top Management Experts Share Hard-Earned Lessons on Becoming Great Mentors and Leaders</i>	27
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