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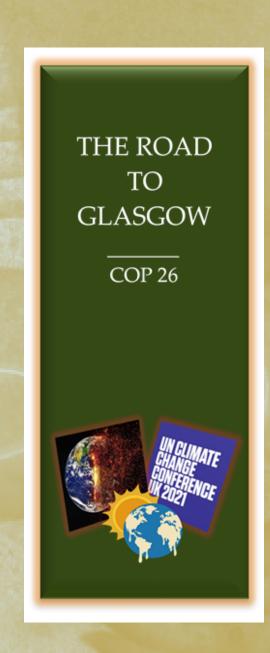
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TO
GLASGOW

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The mission of the *JVBL* is to promote ethical and moral leadership and behavior by serving as a forum for ideas and the sharing of "best practices." It serves as a resource for business and institutional leaders, educators, and students concerned about values-based leadership. The *JVBL* defines values-based leadership to include topics involving ethics in leadership, moral considerations in business decision-making, stewardship of our natural environment, and spirituality as a source of motivation. The *JVBL* strives to publish articles that are intellectually rigorous yet of practical use to leaders, teachers, and entrepreneurs. In this way, the *JVBL* serves as a high quality, international journal focused on converging the practical, theoretical, and applicable ideas and experiences of scholars and practitioners. The *JVBL* provides leaders with a tool of ongoing self-critique and development, teachers with a resource of pedagogical support in instructing values-based leadership to their students, and entrepreneurs with examples of conscientious decision-making to be emulated within their own business environs.

Submission Guidelines for the *JVBL*

The *JVBL* invites you to submit manuscripts for review and possible publication. The *JVBL* is dedicated to supporting people who seek to create more ethically- and socially-responsive organizations through leadership and education. The Journal publishes articles that provide knowledge that is intellectually well-developed and useful in practice. The *JVBL* is a peer-reviewed journal available in both electronic and print fora (fully digital with print-on-demand options). The readership includes business leaders, government representatives, academics, and students interested in the study and analysis of critical issues affecting the practice of values-based leadership. The *JVBL* is dedicated to publishing articles related to:

1. Leading with integrity, credibility, and morality;
2. Creating ethical, values-based organizations;
3. Balancing the concerns of stakeholders, consumers, labor and management, and the environment; and
4. Teaching students how to understand their personal core values and how such values impact organizational performance.

In addition to articles that bridge theory and practice, the *JVBL* is interested in book reviews, case studies, personal experience articles, and pedagogical papers. If you have a manuscript idea that addresses facets of principled or values-based leadership, but you are uncertain as to its propriety to the mission of the *JVBL,* please contact its editor. While manuscript length is not a major consideration in electronic publication, we encourage contributions of less than 20 pages of double-spaced narrative. As the *JVBL* is in electronic format, we especially encourage the submission of manuscripts which utilize visual text.

Manuscripts will be acknowledged immediately upon receipt. All efforts will be made to complete the review process within 4-6 weeks.

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1) The editor and/or his or her representative will conduct a cursory review to determine if the manuscript is appropriate for inclusion in the *JVBL* by examining the relevance of the topic and its appeal to the Journal's target readership. The editor may: a) reject the manuscript outright, b) request submission of a revised manuscript which will then be subject to a comprehensive in-house review, or c) forward the manuscript for review pursuant to the provisions of the following paragraph.

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the worker, no injustice has taken place. This is the basic law of a capitalist economy in which work is simply a factor of production. However, moving from theory into reality, this is not so simple from a moral point of view.

Case Studies

The story of Hartmann's career, however, is not a war story about combat heroes, at least in my mind, but rather a story about what leadership experts Warren Bennis and Robert Thomas call "crucibles of leadership." Real leaders often find meaning through difficult, trying, or negative events. Battling through adversity, their values are often strengthened and clarified. Robert T. Hartmann was no exception.

Book Reviews

Interview

Decarbonizing the World

COP 26: GLASGOW "Our Last Hope"

In my lifetime, I've witnessed a terrible decline. In yours, you could and should witness a wonderful recovery. That desperate hope, ladies and gentlemen, is why the world is looking to you and why you are you.
— Sir David Attenborough

The battle against global imperative is a moral imperative. But also offers incredible opportunities for world economies.
— Joseph R. Biden, Jr. President, US

We are digging our own graves. –António Guterres, UN Secretary-General

This is our last chance to save the planet from irreversible harm. Today there is more CO2 in our atmosphere than at any other time in the last 2 million years. We are on a bullet train and the bullet train is heading to destruction.
— Shahzad Qureshi, Entrepreneur, Karachi, Pakistan

There are no compelling excuses for procrastination...we are all seeing first-hand the devastation that climate change causes. The science is clear that we need to act now.
— Boris Johnson, Prime Minister, UK

> *This is not a political issue.*
> *There is no democratic air; there is no liberal air. There is no conservative air or republican air. We all breathe the same air; we all drink the same water.*
> *We all have to work together...that is the bottom line...We have to save the world.*
> — Arnold Schwarzenegger, former Governor of California

The 26th meeting of the United Nations Conference of Parties (COP 26) in Glasgow, Scotland over the first 2 weeks of November, 2021, again directed attention to the existential threat of the climate crisis and the urgent need for countries, businesses, and consumers to change forms of governance, business stratagem, and consumption habits to check the destruction of the planet. Already, global temperatures have risen since the Paris conference in 2015 where prescribed limits were originally adopted. Two of the world's top carbon emitters, the Russian Federation and China, failed to show up at all to the conference.

COP26 produced the Glasgow Pact which calls for all countries to strengthen their respective emissions-cutting plans in a year's time in an attempt to keep the goal to limit warming to 1.5C within reach. The agreement also signals more expeditious phasing out of coal as well as terminating subsidies for fossil fuel industries — a feat never entertained previously by the United Nations. This last provision moved to shaky ground, however, as fuel-producing nations registered their disagreement to its full implementation (UN COP 26 Report, 2021).

Several other noteworthy achievements of this conference point to participant pledges to cut methane emissions (the deadliest of the GHGs), to scale back coal production, and to reverse deforestation. With the United States delegation leading the way, curtailing methane emissions was directly addressed resulting in an agreement - the *Global Methane Pledge.* Executed by over 100 countries, participants agreed to cut all methane emissions by 30% on or before 2030. All recognized that methane emissions — currently pumped at a rate not recorded in at least 800,000 years — were predominantly generated through anthropogenic (human-made) activities, including livestock farming, oil and natural gas systems, landfill waste decomposition, certain industrial processes, coal mining, and wastewater treatment. Approximately one-half of the world's top methane emitters including the US, the EU, Canada, Mexico, and Argentina, joined the pledge (UN COP 26 Report, 2021).

With respect to transitioning from coal, at least 23 countries fully pledged to phase out coal production and use as well as end financial support for the construction of new, coal-

fired power plants. These signatories included Indonesia, Poland, Ukraine, Chile, and Singapore. This pledge is regarded as one of the most challenging commitments as about 37% of the world's electricity needs were furnished by coal only 2 years ago (UN COP 26 Report, 2021).

Concerning deforestation, over 100 world leaders promised to end forest and jungle loss and begin massive reforestation operations by 2030. One surprising aspect to this side agreement was the presence of Brazil as a signatory nation — the country which has been actively decimating the Amazon Rainforest (a/k/a/ "the lungs of the world") at an alarming rate over the last 5 years (Glasgow, 2021).

Participating world leaders perceive that their comprehensive agreement could actually limit global warming to below 2 degrees Celsius (3.6 degrees Fahrenheit). Immediate action, however, would be imperative to avert the most catastrophic consequence of climate change. The final draft did express a consensus plan of action among its 200 national representatives. Signatories specifically promised to:

- Strengthen their emissions reduction pledges by the end of 2022 (three years earlier than originally planned); and
- Transfer more money and resources from wealthier countries to developing nations to help them adapt to climate-related disasters like sea-level rise, wildfires, and hurricanes (wealthier countries did, however, largely deny requests from developing nations that they be compensated for climate-driven disasters) (Winters, 2021).

The document predicts that if countries follow through with their COP26 climate commitments, the planet is projected to warm 1.8 degrees C (3.2 degrees F) by the end of the century — which is more than the 1.5 degrees C (2.7 degrees F) target that environmental advocates championed, but far less than the 2.7 degrees C (4.9 degrees F) that would have resulted from much weaker pledges before the conference. One major setback concerned India's last-minute revision to the agreement's dedication to transition past fossil fuels. India successfully revised the commitment's language by substituting the phrase "phase-out unabated coal power" to "phase down" (Glasgow, 2021).
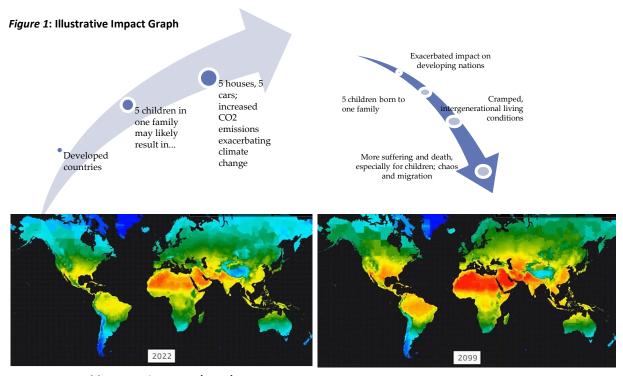
Of course, financial institutions must be on board to limit the funding of dirty projects. As the primary funders, this sector plays a dominant role in ushering the planet to a net zero target. By ending lending to fossil-fuel-based power projects and coal-mining operations, these companies are able to enforce these critical commitments and fully usher in the

rapid transition to renewable-energy projects. Accordingly, COP26 produced an initiative which brings together approximately 450 major banks, pension funds, and other financial institutions, who between them control over $130 trillion to expedite this process and shift completely away from fossil-fuel burning projects and industries.

While impressive in scope and multi-lateral commitment, one still wonders how many devastating fires, floods, drought, and hurricanes must occur before meaningful, collective action is not only taken, but actually significantly quantifiable. We know that the global approach includes an amalgam of commitments: scaled-up, carbon-extracting technology development; reforestation and new international agreements on massive reforestation; lower individual and territorial consumption rates; a rapid transition from fossil fuels to renewable energy sources; and an accelerated electrification of transportation are all elements of a comprehensive, carbon-reduction plan. Over and above what was accomplished at COP26, remains one significant subject which must be fully addressed: smart *family planning* must be adopted by all as sign of collective social responsibility. The victims of

Figure 1: **Illustrative Impact Graph**

Developed countries

5 children in one family may likely result in...

5 houses, 5 cars; increased CO2 emissions exacerbating climate change

5 children born to one family

Exacerbated impact on developing nations

Cramped, intergenerational living conditions

More suffering and death, especially for children; chaos and migration

Courtesy, World Economic Forum (2021)

climate change are disproportionately the poor. The excesses of the developed nations are disproportionately impacting developing nations. Yet, there has been virtual silence by nonprofits, church doctrine, government policies, and personal intervention and assistance.

As an illustration (*Figure 1 above*), five children born in a developed economy could equal the purchase and maintenance of five houses and 5 cars. All are CO2 emitters. Five children born to an impoverished family in a developing country usually means more cramped, intergenerational living where the youngest members suffer more intensely.

There is no doubt that the birth rate has been falling in developed countries. In fact, according to new data from the Centers for Disease Control and Prevention's National Center for Health Statistics, U.S. birth and fertility rates in 2020 dropped to a record low as births fell for the sixth consecutive year to their lowest levels since 1979 (CDC, 2021). Additionally, many developed countries are experiencing a negative birth rate with the average family size for white women, in particular, dropping precipitously. This pattern needs to be replicated throughout the world. With overall rising population rates in emerging economies, less arable land, and decreasing shorelines due to rising sea levels, the future is clear: more civil strife, unabated hunger and crop loss, more disease, and mass migration. Inaction will certainly continue to threaten destruction of life on earth.

So do not let idle talk govern, but everyone must begin to lead the change. Anything short of this dire charge will render all talk, pledges, and agreements as nothing but – as activist Greta Thunberg notes – mere "blah, blah, blah."

— Elizabeth Gingerich, Editor-in-Chief, JVBL

Postscript: In the global fight against climate change, one should not underestimate the value of a tree as a central force for atmospheric carbon elimination. Perhaps the world should contemplate internationalizing the Amazon Rainforest where all nations pay maintenance fees to the host country. Additionally, although not present at the conference, it is important to note that Beijing has already planted 54 million trees which has successfully changed the quality of air within the last 10 years. And with respect to increasing temperatures, it is well acknowledged that urban forests can lower temperatures significantly.

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OUR GENERATION, OUR PLANET

Student Perspectives

Something that has become abundantly clear to me in this fight for sustainability is the difference between learning and doing. I have seen several different approaches working toward the same goal, but making staggeringly different progress.

We are so painfully behind in the US in terms of taking action against climate change. As Americans, we want to do well morally, so that we feel better about ourselves. We do just enough to give ourselves a pat on the back. This means that we think by merely talking about an issue, we are doing our part. In many other countries, citizens are walking the walk. Back in 2010, I first learned about the concept of composting. It didn't happen in a classroom or from my immediate family doing it. I first learned of it when visiting a cousin in Amsterdam who had a compost system in her backyard. Something so commonplace in other countries was something I had to wait a decade to even discover. It was not being hidden from me, yet because this as well as many other practices are not as common in the US, they are not instilled in our future generations. We need to get used to little inconveniences for the greater good. This is a collective effort. I understand that it is easy to point to big corporations and ask for change, but the difference that we make as individuals is nonzero. Although things are happening, it is too little and almost too late. It all stems back to how we are taught. I learned more about sustainability through one course I took in Costa Rica than I have throughout my entire American education. Although the course material is different from what I am learning here, it is how the mindset of their society is taught that really stuck with me. I was taught that the concepts and strategies that I was learning in my class could be accomplished on both small and large scales in my own life. We were taught through an extremely hands-on approach. I learned about biomimicry by conducting environmental sectoral analysis in a park and designing from what we observed. When we learned about permaculture, we visited a permaculture farm in a cloud forest on a weekend field trip. During that trip, we made real improvements to the farm's operations after studying that chapter the previous week. In a US classroom,

I've discussed high level environmental concepts that are common sense to anyone who knows the triple bottom line/3 pillars of sustainability and made no tangible changes.

In Costa Rica, there is a societal mindset toward sustainability. There is a collective push to save their environment. It is much easier to make changes when communities are directly impacted and results are measurable. The idea of a small change such as composting is a lot more enticing when the rainforests being destroyed or the cloud forests disappearing are in your backyard. Areas like California have pushed ahead in sustainable efforts due to the fact that they are already seeing the effects of climate change through wildfires, water scarcity, and other extreme weather events. Here in Indiana, we hardly hear more than "record rainfall/high temperature/-40 windchill." That isn't enough for many Midwesterners to connect the dots on a personal level. Once the problem hits too close to home, maybe we'll find the time to pay attention.

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After COP26, the United Nations Climate Change Conference in November of 2021 in Glasgow, the world was left with promises from leaders – pledges they cannot trust. At the previous landmark UN Climate Conference, COP21 in Paris in 2015, world leaders committed to climate targets that fell miserably short. The failure to meet those climate objectives has cast a shadow on any future commitments. Not only that, a failure to follow through on climate promises can spark doubt in leaders' abilities to perform other aspects of their jobs. Still, leaders from national governments and global corporations came together again at COP26 to tout their commitments to limit global warming to 1.5 degrees Celsius by 2050. These new pledges present an opportunity for national and business leaders to set themselves apart as not just leaders in a reinvigorated fight against climate change, but as leaders on all accounts.

Trust is a universal requirement of all leaders to perform their jobs. It "stands as the primary foundation for which all leadership ability is built upon - without trust, a leader's capability to lead efficiently and effectively is crippled" (Harper, 2017, p.23). For example, companies need shareholders who trust management to fulfill their promises. Management that can't meet the targets they have given themselves are logically unworthy of financial investment. Politically, leaders in democratic governments must maintain trust from their constituents in order to remain in their positions in government. Voting in a democracy is based on trusting politicians to fulfill campaign promises. If a politician fails to do what they have agreed to, there is little reason for their constituents to keep them in office. Maintaining trust is integral for corporate and political leaders, as inefficient and ineffective leadership points to a need to changing those in power.

Leading up to the event in Glasgow, many countries committed to more aggressive climate targets than those laid out in previous years. Those new targets cover around 90% of global emissions and 71% of the global population (New Climate Institute & Climate Analytics, 2021a). While these new targets are encouraging, based on the performance of

most countries that committed to the Paris Agreement's 1.5-degree Celsius goal in 2015, the past indicates they won't be met (New Climate Institute & Climate Analytics, 2021b).

Not only have national commitments failed to hold up to scrutiny by climate scientists, but corporate climate pledges have also often missed the mark as well. For example, scope three emissions (i.e., collateral emissions), while admittedly difficult to account for, are all-too-often ignored in corporate pledges. So, if companies produce net-zero emissions targets that don't include those scope three emissions, they will not be truly carbon-neutral.

These new climate change commitments are perfect opportunities to rebuild trust. Why? The entire world is watching. All who have developed new climate targets can make the effort to reach them and, in turn, help themselves and their organizations rebuild and maintain public support. They can do so by developing clear emissions targets and keeping active updates on their progress. Progress transparency will be a great tool to increase accountability and indicate that business and national leaders intend to fulfill climate promises.

As the world moves past COP26, devastating climate change issues are of increased concern for many. Whether or not the leaders of our world will make the changes necessary to curb that concern, only time will tell.

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The greatest intellectual gift humanity has received is the ability to learn. We learn from the day we are born to the day we die. Life presents a constant source of opportunities to acquire knowledge, whether realized or not. As human beings, we learn in many ways. We learn from educational pursuits, experiences, and attempts at innovation, but the most excellent teacher will always be our mistakes. Making mistakes is part of life; it's part of being a fallible human being. We have the ability to admit when we are wrong and move on to bigger, better things with that newfound knowledge. However, there is one trait we must have to learn from our failures: responsibility. The first step in fixing a mistake is admitting that there was one; admitting to something we may not be proud of takes

courage and a desire to make things right. It's much easier to make excuses and never make amends to what we have damaged. Accountability must occur.

The actions taken at the COP26 in Glasgow, UK, genuinely represent an effort to take responsibility for what the human race has done to the planet. We have seriously compromised our habitat as well as that of plants and animals. There are no longer viable excuses for ongoing destruction especially since so many green alternatives are available. The eye-opening science of the current situation does not lie. Carbon emissions have caused carbon dioxide levels in the atmosphere to rise from 277 parts per million in the 19th century to 412 parts per million in 2020, according to "The Economist."

It won't be easy to change our lifestyles to effect meaningful environmental preservation. We like to blame all our climate problems on multi-national corporations that generate harmful emissions. We fail to realize that these corporations exist because they provide for the markets we create through our demand for more products. We, as Americans and top carbon emitters, will have to make uncomfortable changes; our rampant consumerism must be curbed. We have to take responsibility for the fact that unbridled greed has threatened our very existence.

The COP26 meetings and resulting joint agreement reflects a collective effort to not only assess and discuss the obvious problems, but to take immediate and transformative action. As developing nations are paying the highest price for the excesses of developed countries, part of this action must involve assistance to those nations. Whole island nations are facing extinction as rising sea levels consume their very shorelines. Thus, every country, community, corporation, and even person must take responsibility for their contribution to this existential threat. There is no time for bitterness, but a shared urgency to reverse the harm created. It's now time to move forward together, employing sincere efforts to reduce our collective carbon footprint. It's a time to admit to the damage we have caused and move forward with renewed urgency and determination.

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The road to Glasgow has been a difficult one. Since COP21 in 2015, many major events have shaken the world. Whether it was former President Donald Trump abruptly pulling the United States out of the Paris Climate Agreement or the multiple climate disasters that have stricken the world, particularly over the past five years, the wake-up calls are unending. In addition to such setbacks, the world has had to cope with the pandemic which left no country untouched since lock-downs went into effect beginning in 2020.

Rectification of these setbacks and warnings must be accomplished to persevere as a planet, offering opportunities as well as challenges.

Covid-19 might indeed be the kick starter to meaningful change. It has given us a reason to think differently as a planet – a reason to change the current path we are on to prevent recurrence of illness and forestall a growing existential threat. The pandemic has given us pause to reflect how we can shape the future of our planet drastically. Countries, businesses, and individuals must radically change their practices to reduce the prevalence and acceleration of greenhouse gases to significantly benefit the planet. However, if we cannot make progress at world summits such as the COP26, then many entities will not engage to putting these initiatives in place. The measures established in Glasgow will undoubtedly benefit the world greatly however, they fall short of their desired targets.

The positive impacts of COP26 are represented by the following points of consensus: a pledge to stop and reverse deforestation by 2030, a pledge to reduce methane emissions by 2030, a pledge to stop the production of vehicles powered by internal combustion engines by 2040, and an agreement to shift away from the use of coal. These are significant accomplishments for the world as a whole. Acknowledging the disparate allocation of resources, an additional agreement was reached to give developing countries over 100 million dollars a year to help them transition to clean forms of renewable energy. However, last second changes to the document are extremely disappointing. The cessation of the use of coal was re-written – predominantly as a result of India's and China's insistence – to refer to a phasing out of coal. The continued use of coal will be detrimental to the environment and countries that are relying heavily on this fuel; rather, the consequences of continued coal use must end. Transitions to renewables and electric vehicles, incentives to innovate carbon-removal technologies, and policies requiring the reduction of methane must be implemented. Counties around the world should use this pandemic pause to realize the existential emergency and engage in meaningful and collective action. Building back better must be the order of the day.

If we as a global community fail to seriously improve our climate awareness in the following years, then we will continue to face ever growing repercussions for our inaction.

Extreme weather events will intensify; the management of which will become untenable. Global temperatures will continue to rise, creating a climate refugee crisis the world has never seen and is ill-equipped to handle. It is our duty to reverse this progression in order to guarantee next generations a habitable planet.

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Editorial

A Larger ProLife Framework for our Times

— **SISTER PEG SPINDLER**

The late Cardinal Joseph Bernadin of Chicago tried to help us see that being pro-life meant more than making sure babies are born no matter what. He coined the phrase "seamless garment of life" which encompassed other life issues such as poverty or capital punishment. Now, with all that COVID has laid bare in our societies, we can no longer define a pro-life stance as just being pro-birth as Sister Joan Chittister, OSB, has noted.

We need to enlarge our understanding of what it means to be pro-life to include the collective life of our planet. Whatever a child is born into must be healthy and participative — its family of whatever nature, its community, its culture, its country, its bioverse, its world. That means that every child's birth must be an occasion of worth. That means the same opportunities for housing, health care, education, nutrition, and equity must be available for EVERY child, no matter its origin or circumstance. That means as that child grows, s/he will easily access whatever assistance needed to thrive, without blame or judgment. That means we consider the health and well-being of the entire planet itself and the web of life dependent on it. That means we come to understand that Earth cannot sustain unending population growth. That means we cannot continue a consumeristic, militaristic, environmentally unsound lifestyle. That means we can no longer live within artificial boundaries or borders, but must learn to work cooperatively for the good of all. That means we break down the various caste systems that hold so many hostage. That also means we define freedom differently to support a more communal life because, like it or not, we are on this journey together. And, really, isn't that a wonderful, comforting thing?

If we use a framework like this (and others can flesh this out more fully), perhaps we will end the short-sightedness of being pro-birth and begin to think and decide more long term, as many indigenous first peoples have lived "down to the seventh generation." Our survival and thriving as a species depends on it!

Sister Peg Spindler, CSA
Gary, Indiana

Coupling Actions with Values

— Kevin D. Frick, Baltimore, Maryland, USA

Values-based leadership is distinctive because practitioners use consistently held values to *intentionally* guide their decisions and actions. Drawing on Smith and Schwartz (1997), values can be interpreted as beliefs about "desirable goals" and "models of conduct that promote those goals" that facilitate the choice of behaviors and can be ranked in importance. For these to be unfailing guideposts, leaders must have invested time to discern and reflect on their values. While the popular press reports that Americans vary on a common delineation of values (e.g., Luntz, 2018), it is unclear whether most Americans have explored the origins and meanings of their own values sufficiently to understand which resonate most and to what degree to implement. Almost three years ago, I had not taken time to carefully identify and analyze my own values. The difference the process of discernment and reflection since then has made in my leadership and life is tangible.

In 2015, I was working with a coach whose mantra is expressed in her book's title, *Provoking Greatness* (Burmeister, 2015). In conversation about my leadership roles and abilities, she asked me to describe what made me get up, come to work, and put in my best effort daily. I gave multiple responses; each focused on my title or job description at the time. She gently interrupted each time, encouraging me to answer with an intrinsic motivation rather than what my supervisor or employer wanted. Much to my surprise, I could not.

The coach also told me that if I were just to lead "as my authentic self," those around me would likely be willing followers. I had some sense of what "leading as my authentic self" meant (having experienced 45 years of "self"); however, looking back, without having done the work to identify my values and evaluate whether I used them as intentional guideposts for actions, decisions, and leadership on a daily basis, I truly could not even say what "my self" in leadership looked like.

Concurrently, I was interacting with another local coach and (now) author. Her book, *Permission to be Human* (Hyland 2021), focuses on relentlessly living out values while allowing room for slipping and growing as we all realize the challenges and pitfalls of being human. She runs a number of workshops for the public. One comprises a single session that prompts participants to identify their values and consider the history of how they have aligned or failed to align with their actions, allowing for some focus on the future. The second comprises multiple sessions in a small cohort format in which participants grapple deeply with a future-oriented vision of how to more closely synchronize their actions and values.

I participated in the single-session workshop in 2019 and came away with a new, much deeper understanding of my values and associated intrinsic motivations. Prior to the first workshop, I would have listed values that are generally viewed as good and non-controversial such as honesty, integrity, and punctuality. I had never seen an instrument with dozens of words from which to choose to name my values (Harris, 2010; Hyland, 2021). This exercise produced two revelatory events which began not just a personal evolution, but a transformation into a practitioner of values-based leadership. First, my eyes were opened to the depth and precision of words used to describe values and to highlight the importance of contextual interpretation of what the words meant to different people. Second, the list, context, and activities of the workshop gave me space to think about and reflect with help from others to ascertain my primary resonant values. I identified connection, empathy, authenticity, reflection, and creativity. I later added perseverance, although that made my list of primary values long.

While these values resonated with my sense of self, I also needed the "permission to be human" – as the book directs – as I was not perfect in living them out and, sometimes, they got in the way. One direct report had called me her most empathetic supervisor who could not make a decision. As mentioned, one coach had told me to be the authentic self that I could not even recognize at the time. I used creativity to write poems to honor a number of mentees but was rarely more than reactive in my own job. I reflected before giving almost any answer to any question, but that made me one of the last to respond in many group settings, which I considered a disadvantage. I knew that first and foremost, despite being a self-labeled and Myers-Briggs introvert, I thrived on my nurtured and curated connections, yet I was never the most talkative in a group. That first one-session workshop set me on a path to use my values as a more unfailing guide for my actions.

In January 2020, the pandemic began, and, by mid-March 2020, we were working from home and socially distanced. Being away from the office for many months gave me more time to think while exercising, more poetry writing, and more careful reflection on my values and alignment with actions. I turned an occasional practice into a daily one, posting an expression and reflection as a #whiteboardmoment on social media. The hashtag came from the first several having been based on photos of expressions written on my office whiteboard. Each was authentic and creative and intended to build connection, reflecting three core values.

The volume of my poetry increased generally as well as specifically with respect to poems honoring those I mentor. Around Father's Day of 2020, I wrote a poem for my three sons and others for whom I have been a father figure. The poem had the simple, seventeen-syllable structure of a haiku. Upon completion, I realized I had discerned my intrinsic motivation for working hard every day.

Here is the poem:

> *Light paths to choose hope*
> *With acts of kindness and love*
> *Without condition.*

While it was written as a parent, I realized I could link this to my activities broadly. Research about efficiency in health care provision could light paths to choose hope for patients and populations. Helping students complete capstones or dissertations or make it through programs was a way to light paths for them to choose hope. My leadership — with a focus on culture building, driving toward consensus when possible, caring about team members' professional development opportunities, and being customer focused — was lighting paths for diverse stakeholders to choose hope.

As the year continued, I had the opportunity to retake the workshop focused on identifying values and was encouraged to use the lens of "how can this help me figure out my next career step?" I was focused on increasing opportunities to share my values through mentoring and helping individuals rather than discussing policies about things like masks that seemed perpetual at that time. Building on growth from the one-session workshop, I participated in the six-week workshop in early 2021. I felt empowered to speak with my supervisor about succession planning. Eight months later, I have been given the opportunity to step away from my administrative role and take a sabbatical, during which I plan to focus on using my values as a lens through which to consider future leadership opportunities and as a lens through which to present ideas about leadership in the context of mentoring.

The key was to begin with effort to discern and reflect on my values and continue to seek answers that I know are in my core about how they align with my intrinsic motivation and resulting actions. This is like the idea of sculpting being a process of revealing what is already in the stone, a quote often attributed to Michelangelo, albeit without evidence (Quote Investigator, 2021).

Now, as leadership and research opportunities arise, I evaluate each more deliberately than I did prior to my last career trajectory change, because values-based leadership occurs by more than commission. Sometimes omission is required; the only way to fully commit is to omit things that are, at best, tangentially related to my primary intrinsic motivation — no matter how intellectually stimulating they may be. My value-based leadership leads me to ask: Is this new path going to facilitate my showing empathy, allow me time to reflect in conversation, provide opportunities to continue to build a network of ever-stronger connections, and allow me and others to be creative and authentic in each other's presence? I look at my June 2020 poem and ask, "Is this new opportunity going to help me shine a more illuminating light, reveal more paths, or inspire more hope? Is this new opportunity going to allow me to do it with as little conditional expectation as

possible?" If the answers to any of the value-driven and primary intrinsic motivation-driven questions are "no," then I must ponder whether there is any way to modify the opportunity to align more fully with my values. If not, I will let it go, so I can maximize my contribution with the limited time and the limited resources I have.

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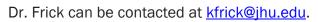
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A Leadership Role:
Creating an Ethics of Diversity

— Joseph P. Hester, Independent Writer

Introduction

The release of the 2020 national census confirmed much of what we already suspected —Americans are not only racially and culturally diverse, they are becoming more so. For the first time, there was no growth in the "white" population as it has decreased 8.6% since 2010 while Blacks, Hispanics, and Asians showed substantial growth.[1] The political ramifications of these changes are unpredictable, but one can surmise many nervous debates will take place about how these changes will influence political agendas in years to come. Let's not make the mistake of assuming we're referencing demographic diversity only. A broader view calls attention to the assortment of values obscured by one's genetic, social, political, or religious affiliations. One cannot speak about this wide array of diversity without referencing the multiplicity of values housed within cultural as well as demographic variations.

> To be sure, the demographic composition of an area does not tell the whole story. Patterns in voter registration and voter turnout vary widely by race and ethnicity, with White adults historically more likely to be registered to vote and to turn out to vote than other racial and ethnic groups. Additionally, every presidential election brings its own unique set of circumstances, from the personal characteristics of the candidates, to the economy, to historic events such as a global pandemic. Still, understanding the changing racial and ethnic composition in key states helps to provide clues for how political winds may shift over time.
>
> https://www.pewresearch.org/2020/09/23/the-changing-racial-and-ethnic-composition-of-the-u-s-electorate/

> According to democratic theorist, Paul Fairfield, one of democracy's salient features is "the desire to stand to other persons in a relation of fundamental *moral equality*, where ostensible moral differences between persons (or indeed between nations and cultures) are decisively rejected and persons in general stand to one another as equals." Fairfield also claims that another feature of democracy is the peaceful and regular transformation within a constitutional order. Both statements imply that the existence of peace must be present for an effective democracy to exist.
> — Virginia R. Benson (6/19/2020) "Changes in the meaning of individualism and democracy in America." *American Woman's History Journey*
> https://americanwomenshistoryjourney.com/the-changing-meanings-of-individualism-and-democracy/.

In 2021 political actions were already occurring relating to these changes as new laws focusing on voting rights restrictions were being debated. The purpose by some (extreme conservatives) is to limit access to voting by minorities and/or non-white voters. They are also claiming that democrats are initiating a form of "replacement theory," warning that the democrats' policy is to replace America's indigenous European — e.g., white population by non-European immigrants. To counter, democrats in the House passed the *John Lewis Act* strengthening the Voting Rights Act of 1965 and making it more difficult for states to restrict voting access. Obviously, there is a great deal of racial prejudice in America, something the more conservative politicians are

utilizing to their advantage. The values gap between America's two political parties seems an unbridgeable divide calling attention to the distinction between *individualism* and *collectivism*, two ideologies that are sometimes veiled in their prognostications.

At local and state levels, where values often clash, both parties are searching for votes. Here is where the impact of the census will have the greatest effect and where politicians on both sides of this ideological divide will exert their influence. For example, the 2020 census reveals Illinois will lose a seat in congress. Illinois professor Dr. Kent Redfield said now state leaders will begin an intense legal battle over how state legislative districts should be drawn, pointing out with Democrats in control, they will not have much difficulty making sure it is a Republican that loses their district.[2]

"I can tell you it's a partisan map. Absolutely no question," Redfield said, "This is the democrats being extremely partisan, but there's no reason to believe the republicans wouldn't be extremely partisan if they had control of the map." Hidden among this political disarray, for good or bad, are various viewpoints, principles, and beliefs reflecting deep-seated and diverse values continuously shaping American life. Although most Americans are inclined to vote along party lines, an often-habitual proclivity, there is enough demographic variation in the voting public to cause some concern among leaders of both political parties.

It may seem to you, as it does to me, that these conceptions of individualism and collectivism each have their attractions, and each contain some level of truth. Both are ultimately concerned with the well-being of all people, even if they might seem to start from a different end of the spectrum in deciding where the foundation of values should be (with the individual, or with the group). Both focus on human rights. So why are people so divided in their views on this matter, at least as presented in the mainstream media and by political parties?
— Any Cools, The myth of the divide between individualism and collectivism. **https://ordinaryphilosophy.com/2014/04/16/the-myth-of-the-divide-between-individualism-and -collectivism/**

The significance of American diversity has become a reality — socially, religiously, politically, and historically. At stake is democracy itself, at least democracy conceived as a moral ideal. Inconceivably, many seemed to be caught unawares and failed either to recognize or effectively judge this importance of the energy gathered by the events of January 6, 2021. From these political fissures and values obfuscations, we have learned the harsh lesson of taking others for granted, of assuming that "we" Americans are mostly alike in sharing common values, outlooks, and beliefs, and that we all have a similar interpretation of individual freedom and liberty, of what it means to be an American. As we have seen, for some this has proven to be a naive judgment. Even those who support democratic values have failed to articulate — in a language all can understand — what it means to be an American.

Individualism and Collectivism

Two socio-political forces have converged – individualism and collectivism – straining our interpretation of "democracy." Discussed in academic literature for decades, these two forces have emerged as generic appellations requiring closer inspection as they more often than not are used in to designate particular values and/or values orientations. But

here we have to be careful, for over-generalizing about these concepts can lead to faulty judgment and misunderstanding.

Individualism

American individualism is a recognized foundation supportive of democratic freedoms. The Hoover Institute reminds us:

> Individualism has been the primary force of American civilization for three centuries. It is our sort of individualism that has supplied the motivation of America's political, economic, and spiritual institutions in all these years. It has proved its ability to develop its institutions with the changing scene. Our very form of government is the product of the individualism of our people, the demand for an equal opportunity, for a fair chance.

> The primary safeguard of American individualism is an understanding of it; of faith that it is the most precious possession of American civilization, and a willingness courageously to test every process of national life upon the touchstone of this basic social premise. Development of the human institutions and of science and of industry have been long chains of trial and error. Our public relations to them and to other phases of our national life can be advanced in no other way than by a willingness to experiment in the remedy of our social faults. The failures and unsolved problems of economic and social life can be corrected; they can be solved within our social theme and under no other system. The solution is a matter of will to find solution; of a sense of duty as well as of a sense of right and citizenship. No one who buys "bootleg" whiskey can complain of gunmen and hoodlumism.[3]

Historically significant, but perhaps overstated by the Hoover Institute, *individualism* has from the beginning been a keystone value in American life, contemptuous of conformity and undergirded by the belief that all values, rights, and duties originate in the individual moral consciousness. Noticeably, individualism has been intensified by heated protests and an abundance of incoherent and loud rhetoric. We have seen this in politicians and in groups such as "white supremacists," including self-identified members of the alt-right, neo-Confederates, neo-fascists, white nationalists, neo-Nazis, Klansmen, and various right-wing militias. To oversimplify and put these groups in the individualist camp is questionable for, as we have witnessed, individualism often morphs into conformity, is influenced by insecurity gathering itself into large groups, and can culminate in mob violence and undemocratic actions by elected leaders. Consequently, asserting one's individual rights might just be a mask hiding other deep-seated values, even doubts about one's beliefs and values.

Sociologists call this by various names: "groupthink," "groupshift," and "deindividuation." Thus, not only a surface anomaly, but lying within the psychology of the individual — both liberal and conservative — individualism and collectivism are difficult to separate seeming to overlap and incrementally coalesce over particular issues. Over-stated generalizations our common by those who agree or disagree with either, but their generalized "Goodglizations" often miss the salient features of their fluctuating interconnections.

Collectivism

Collectivism goes by various names, but generally is used to designate those who see value in group behavior; one being democracy. This is often expressed by *communitarians* — those advocating recognition of common moral values, collective responsibility, and the social importance of the family unit. That's the bright side, but it could be a collective effort to push negative anti-democratic values as well. Robert Bellah and his co-authors[4] represent communitarianism, but upon a careful reading, we discover Bellah at al. overstating the obvious and neglecting the convergence of individualism and collectivism in certain significant ways. They say,

> *What prevents Americans from making improvement is our long and abiding allegiance to 'individualism' — the belief that 'the good society' is one in which individuals are left free to pursue their private satisfactions independently of others, a pattern of thinking that emphasizes individual achievement and self-fulfillment rather than the common purpose and public spirit.*

This requires some unpacking as the radical individualism to which Bellah at al. respond is not the way American democracy generally works. There are times when radical individualism raises its head and is negative and amoral, but when the dust settles, we find different sides getting on with the business of governing and accommodating differing views. Of course, we Americans don't view democracy from the same cultural prism as we often over-generalize about "individualism" and "collectivism" depending on our personal commitments to either. Both represent a moving and changing target, difficult to define and even more difficult to assess as democracy is often interpreted from differing perspectives. Also, either may represent the other negatively; that seems a bit of human nature. Strawman arguments inflate their differences and more often than not deceptive and designed to catch our attention. So, care must be taken and we should hesitate jumping to conclusions.

Perspective is provided by ThoughtCo as it explains the convergence of individual rights and collective action in the formation of the United States Constitution:

Individual rights are those considered so essential that they warrant specific statutory protection from interference. While the U.S. Constitution, for example, divides and restricts the powers of the federal and state governments to check their own and each other's power, it also expressly ensures and protects certain rights and liberties of individuals from government interference. Most of these rights, such as the First Amendment's *prohibition of government actions that limit the freedom of speech and the* Second Amendment's *protection of the right to keep and bear arms, are enshrined in the* Bill of Rights*. Other individual rights, however, are established throughout the Constitution, such as the right to* trial by jury *in Article III and the* Sixth Amendment*, and the* Due Process of Law *Clause found in the post-Civil War* Fourteenth Amendment.[5]

Value Convergence

Value convergence reveals the struggle between these two foundational ideologies, with each counteracting the other from time to time and neither one always becoming the dominant American philosophy. Collectivism is the practice of prioritizing group cohesion

over individual pursuits, whereas, individualism focuses on human independence and freedom. Although protecting the rights and liberties of the individual has been the ultimate aim of morality and politics, the collectivists have been responsive to others by seeking what is best for the group, family, church, nation, etc. through community actions and in local, state, and national initiatives.

America seems to have set its feet in both streams not willing to give up either while partially embracing both. Here we can find value — giving various viewpoints their due and a rational for the checks and balances built into our representative form of governance.[6] Obviously, the live in a "both/and" world requiring communication, understanding, and accommodation of different points of view — that is, dialogic civility.

A way to move forward may be to give greater commitment to personal as well as interpersonal needs and obligations with the understanding that *there is no sharp dividing* line between individualism and collectivism. In fact, individualism is not only reliant on collectivism, but is a by-product of it — provided by collective agreements locally and nationally. But, for some change is difficult as we see and hear what we wish to see and hear while neglecting the obvious: by collective agreement we are permitted to protest and express our individual opinions. As many are clamoring about their "individual rights" these days, perhaps we need to reconsider what it means "to have an individual right in a collectivist, democratic society."

Reconsiderations

A watershed moment in the history of human rights discussions came in 1971 when Judith Jarvis Thomson's "A Defense of Abortion" was published in the first issue of *Philosophy and Public Affairs*. Mulling over Thomson's queries is a moment to pause and reassess our own views about rights, rules, and obligations. William Parent, who edited Thomson's "Essays in Moral Philosophy" comments,

> *…civility is ultimately a reminder that life is best lived with concern for self, others, and sensitive implementation with the historical moment, while consistently reminding us that our communicative actions have public consequences that shape the communicative lives of many people.*
>
> — **Arnett, R. C. and Pat Arneson, Dialogic Civility in a Cynical Age. Albany, NY: SUNNY Press, 1999**

She [Thomson] finds herself confronted again and again, in connection with one issue after another, with the question: what is it to have a right — whether the right to life, or any other right? What shows we have such rights as we take ourselves to have? What is the moral significance of a person's having a right? What do we owe to those whose rights we infringe, or risk infringing, if we act in this or that way? [7]

Comprising universal questions in the history of human rights and in moral philosophy, Thomson's queries are both plaguing and disturbing. Today, health professionals, educators, and ordinary folks are claiming their right not to get vaccinated for the Covid-19 virus and many are claiming their *individual* right not to wear masks, and many are appealing to principles of human rights and freedom of choice. Many also believe the Presidential mask-wearing mandate in September 2021 was dictatorial; an act of fascism.

Because the moral connection between freedom of choice and human rights is imprecise, Thomson's questions should be given serious consideration.

So, like Thomson, it's fair to ask, "What is it to have a right anyway?" That is, do we possess the rights we claim to have due to our humanity and living within a democratic nation, are they sacred as many others allege them to be, or are these rights conveyed on us due to our citizenship and provided by negotiation and compromise and embodied in law? We can bend the ear of utilitarian thinking for answers or even seek prayerful guidance, but we know there are no simple and easy answers; yet, as rational beings, we are disposed to discuss them anyway, openly and in a civil manner.

As 2021 rolls into 2022, the meaning of "democracy," itself a moral postulate, is being called into question and redefined by some with a narrower, individualistic view, while others are seeking to widen its scope. "Democracy" seems to have become a malleable idea twisting in the wind of political power and sub-cultural (ideological) interpretations, while being used to reinforce and justify a variety of issues and policies. Maybe this is democracy's strength as Constitutional safeguards have kept the diverse factions making up our political pallet from moving to too far left or right. On the other hand, this may reveal an inherent weakness as it allows some to grab power and control and assert their intentions over others. Cecil Hook notes,

> *If all citizens were fully informed and totally unselfish, most any form of government would work well. But therein lies the weakness of any form of government, even true democracy or representative democracy. Elected officials may grasp for power to control, and individuals or tiny minority groups may selfishly limit the privileges of the general population.*[8]

We should never underestimate the power of greed and unabashed individualism or even small power-groups (consider what is happening in Texas over abortion rights) in the making of and enforcement of law. Even members of the Supreme Court are susceptible to weighted ideologies finding wiggle room to maneuver around Constitutional law. Voting must be available to all adult citizens as voting just may be our most sacred right; after all, voting is a values-sorting-out process and potentially a values-equalizer.

Understandably, productive societies and nations need structure and ethical consistency, but also needed are patience, time and space where people can think, even transcend their individuality and become one with each other. This will not be easy; it never is. Passion often moves against commonsense, so reason, commitment and sacrifice are required, even putting aside many of our differences and re-orientating ourselves to a higher purpose than self-aggrandizement. Undergirding this purpose is a *moral impulse, pragmatic and definitive of democratic purposes*; destroy this impulse and democracy disappears.

Unlike our Enlightenment forefathers, we acknowledge that the values definitive of democracy are NOT axiomatic (by "axiomatic" is meant they require no justification; they are self-evident), rather they are contingent, personally and culturally, requiring rational judgment and consideration and even reconsideration. In itself, this causes some uncertainty in the American heartland for there are many who use the idea of "inalienable

rights" to support whatever actions suit their beliefs, purposes, or, as it were, political agendas. Consequently, although fermented culturally, within the moral consciousness, the public affirmation of moral rights, like legal rights, requires reason and good judgment; sentiment alone or even religious beliefs are an unstable platform on which to rely.

The Blurred Edges of Moral Thinking

Our values, even democracy as a moral value, were exposed in 2021. Complicating this exposure is the divide between those with an extreme individualistic value-set narrowing the meaning of "democracy," and others expressing a more inclusive democratic philosophy. Actually, "democracy" is a collectivist doctrine supportive of human — individual — rights. Also, with this exposure came a contraction in moral thinking. Many began attacking the moral foundations of democracy and pointing to *America's demographic diversity as a central problem*. White nationalists of different sorts, along with Christian Evangelicals, led this condemnation. Getting at the heart of some of this is difficult as our moral thinking has been blurred by a narrow-mindedness definitive of evangelical fundamentalism, along with a distortion of the ethical dimensions of democracy itself.

Often, and this is difficult to admit, there are those amongst us who are morally astute but who lack the courage of their convictions and fail to speak up to friends, church members, and community groups when the foundations of democracy were attacked. Just maybe, the democracy we once knew and prized is sinking into a worm hole of failed convictions and spineless affirmations. Here, we are tracking along the blurred edges of morals and ethics, even democracy, replete with suppositions, conjectures, and philosophical commentary. Many who gather in groups to discuss democracy's future are ill-prepared to do so as their short-sighted vision of democracy and the responsibilities it brings have roots no deeper than the topsoil of their beliefs and inclinations, or their desire for power and control. The path ahead of us is unclear, but commitment to democracy as a moral ideal pushes us forward.

> Political polarization is the defining feature of early 21st century American politics, both among the public and elected officials. As part of a year-long study of polarization, the Pew Research Center has conducted the largest political survey in its history – a poll of more than 10,000 adults between January and March of this year. It finds that Republicans and Democrats are further apart ideologically than at any point in recent history. Growing numbers of Republicans and Democrats express highly negative views of the opposing party. And to a considerable degree, polarization is reflected in the personal lives and lifestyles of those on both the right and left.
>
> https://www.pewresearch.org/fact-tank/2014/06/12/7-things-to-know-about-polarization-in-america/

The *assumption* is made that we are well served, both practically and morally, by living in demographically diverse communities whose members have values, skills, and priorities that are often different from our own but are beneficial to our communities. And although there are some who would belie this observation, the fact is that American diversity has been a source of strength and inspiration for minorities within its borders and many others around the world. This will again be tested in coming months as many Afghan refugees

are being located in communities across America and more and more immigrants are breaching our southern border.

Not all agree with this assumption as it is within the messy arena of human living and political discourse where the blurred edges of morality, rights, and justifications are exposed and where clarification is needed. Understandably, not all values are "moral values." Some are issue-specific and personal; others social; and still others are defined constitutionally.

Consider the following example:

> What is or is not a moral right is difficult to decipher. For example, in September 2015 a Justice of the Peace in Kentucky refused to grant wedding licenses to gay couples citing her religious beliefs that gay marriage is wrong or sinful.[9] She did this despite the fact the United States Supreme Court and the Kentucky courts legalized such unions. She was incarcerated for contempt of court and later released. In her mind, gay marriage was immoral, but we're talking about what is and is not legal. The judge violated the couples' legal rights.[10] We assume we have a right to pursue activities that are legal. It seems as if the blurred edges of law and morals remain convoluted, at least in this case.

> Justice and human rights are deeply connected; it's difficult to speak of one without referencing the other and more so about infringing rather than violating one's rights. Understanding this connection is important for communal living. We live in a nation of laws and the United States Constitution defines human rights in terms of law. We acknowledge that laws are not absolute as many are changed from time to time through political argument, debate, and Constitutional amendment. Laws are and remain a pragmatic answer to the adjudication of human differences and exist to regulate societal living.

> It is honest to ask, "Do moral principles fluctuate and change through such legal maneuvering?" The Justice of the Peace in Kentucky doesn't believe they do. Many objecting to getting the Covid-19 vaccination agree, but with one caveat — they believe their moral rights are personal, individual, and sacred and supersede all other rights, communal or legal. Another warning, because we are a nation of laws, *we tend to believe that our moral rights and values are reflected in political debate and litigation only*. This is not the way it has always been nor is it the way it is today.

This example demonstrates that *moral values are often embedded within the other values we prize* and are tightly entangled within our beliefs, even our diversity. And as we have experienced, many unexposed assumptions tint our lives with personal preferences making impartial judgments unachievable.[11] Inside and outside of America, an "ethic of diversity" considers all as significant and worthy of respect, viewing "humanity as community." Consequently, it's important to comprehend the moral principles upon which our laws rest. This can be difficult because unbridled freedom — unchecked and unconstrained by law and commonsense — has diminished the moral surplus created by democratic inclusion.

Searching for Authenticity

During the past year we have come face to face with the reality that among Americans values differ, many widely, and total agreement or unanimity is conceivably impossible. No one is exempt from this problem as it haunts family and friends, workplaces, schools, and centers of worship. Certainly, the foundations of democracy have been challenged and its purposes complicated as many are beginning to rethink issues that threaten our core principles and values.[12] Within our burdened values diversity maybe all that's achievable is to *acquiesce;* accepting reluctantly that total accord about democratic values has never been and will never be attainable. As early as 1989, philosopher Charles Taylor[13] mentioned this dilemma as "problems leaking into our time," but I would suggest these problems and issues have been with us since the founding of our nation. Taylor identified these as cultural and social hindrances such as *narcissitic individualism, subjectivism, and relativism* saying they are formidable impediments diminishing the meaning and impact of democracy and rendering ethics as transactional or negotiable.

> **10 Key Recommendations for Corporate Governance:**
>
> 1. **Understand and explore the diversity of thought and experience on the board**
> 2. **Ensure that the company's push for diversity and inclusion is a strategic and commercial imperative for the organisation**
> 3. **Look critically at the culture in the boardroom**
> 4. **Review nomination and succession planning processes for all board and executive committee appointments**
> 5. **Look critically at the individual roles assigned to board members**
> 6. **Learn from the experience of improving gender balance and learn from the experience of other sectors**
> 7. **Understand the company's stakeholders. Actively listen and respond to them**
> 8. **Communicate aims and milestones internally and externally**
> 9. **Learn from a more challenging board evaluation**
> 10. **Recognize inequalities and racism as systemic risks to the economy and see diversity and inclusion as an opportunity for long-term change**
>
> — **Deborah Gilshan, "The Ethics of Diversity,"** *Harvard Law School Forum on Corporate Governance, Wednesday, February 3, 2021*

Some years later, in 1991, when writing about "authenticity" in ethics, Taylor made a case for "ethical authenticity" with the following caveat: *ethics is authentically moral **if and only if** one's ethic* (1) seeks a moral horizon stretching beyond personal concerns and goals, (2) pursues moral inclusiveness, and (3) is freely entered into as a collective effort.[14] All three of Taylor's requirements require our attention for generally, they are definitive of the point of view of morality comprising a theoretical foundation for democracy itself. From this perspective, and speaking ideally, any personal claim to be moral or supporting democracy as a moral ideal is nothing but an empty jester *if it fails to meet* these three criteria.

Gathering our thoughts, Taylor's words express a *moral ideal* definitive of not only a "moral democracy," but an *ethics of diversity*. Embodied in this ideal is acknowledging there can be conflicting moral views in a democratic society, many worthy of our attention and some deserving of respect requiring re-consideration. Allowing a variety of views and opinions to be openly expressed and considered, a moral democracy is built on belief and insight tempered by dialogic civility.[15] Nevertheless, among those expressing democratic beliefs, many remain unconvinced saying there are limits to how much tolerance and respect can

be granted to views considered anti-democratic or even amoral. This is a major problem *leaking into democracy* often shattering the ceiling of effective communication and civil dialogue. Recognizing the reality of this dialogical vacillation, Gilbert Harmon reasons,

> *At some point long ago, people first became aware of moral diversity. They discovered that members of different cultures often have very different beliefs about right and wrong and often act quite differently on their beliefs. This discovery of differences soon suggested to some thinkers that there can be no single absolute truth about morality and that what is right or wrong must always be what is right or wrong in relation to one morality or another... . Moral relativism denies that one of these moral frameworks can be singled out as the true morality.*[16]

Making an argument for *ethical* or *moral relativism,* given the facticity of values diversity, seems a nature inclination, but turning to force (political pressure or violence) and backroom negotiations or even gerrymandering as means of asserting our policies and values seem to loosen the ties that make our values special, ethical, and sacred. When this happens, values become transactional and negotiable, and beset with a pragmatic philosophy only, and as Taylor pointed out, *resisting the claim to be inalienable and authentically moral*. One can't have it both ways.

Implied by ethical relativism is that we ought to be free to pursue our own dreams and live by our own values *even if they are inconsistent* with what is thought of by the majority as ethical. This raises a problem: If ethical relativism is accepted as a moral prescription, pragmatic and utilitarian, it avoids the difficulty of seeking collective values and a common moral ethic; it claims none are available nor can be found. Among other things, this means there is no basis for judging behavior as right or wrong or a foundation in law, religion, or commonsense for creating such a starting point.

Many accept ethical relativism as normal and routine, a fact of life (resulting in making ethical relativism axiomatic; that is, requiring no justification) seldom understanding its moral or even practical ramifications. They either don't understand its implications or just don't care, living by the maxim "What we don't know can't hurt us." Although remaining ignorant or uninformed about something doesn't exempt us from responsibilities to it.

On the other hand, although anthropologists and sociologists have established the *facticity of cultural values variations, this in no ways implies* that ethics is or *should be* relative, transactional, and negotiable. Amelia Oksenberg Rorty explains,

> *We are well served, both practically and morally, by ethical diversity, by living in a community whose members have values and priorities that are, at a habit-forming, action-guiding level, often different from our own. Of course, unchecked ethical diversity can lead to disaster, to chaos and conflict. We attempt to avoid or mitigate such conflict by articulating general moral and political principles, and developing the virtues of acting on those principles. But as far as leading a good life — the life that best suits what is best in us — goes, it is not essential that we agree on the interpretations of those common principles, or that we are committed to them, by some general act of the will. What matters is that they form our habits and institutions, so that we succeed in cooperating practically, to promote the state of affairs that*

realizes what we each prize. People of different ethical orientations can — and need to — cooperate fruitfully in practical life while having different interpretations and justifications of general moral or procedural principles. Indeed, at least some principles are best left ambiguous, and some crucial moral and ethical conflicts are best understood, and best arbitrated, as failures of practical cooperation rather than as disagreements about the truth of certain general propositions or theories.[17]

Understanding, Tolerance, & Acceptance

When America was founded, moral law was thought of as natural — laws bestow by Nature's God.[18] Our founders considered this to be a universal belief (idea, concept) that could unite the diversity making up the American population. Even today, evangelicals remain strident in the belief that America is in the hands of "their God." Philosophically, divine providence was a means of counteracting ethical relativism, but its limitations and belief-orientation should be noted. In the 18th century, natural law was applied to land-owning white males only, while females and people of color were excluded. Natural laws were believed to be those to which everyone has access through their individual conscience and by which actual laws in particular times and places might be judged. This idea has some grounding in religion as God is thought of as the giver of our humanity through creation — a natural as well as metaphysical event. This also seems to be the belief lying behind the claim to the sacredness and absoluteness of personal rights by those who attacked our nation's Capitol on January 6, 2021 and by some who have refused to comply with guidelines recommending the Covid-19 vaccination.

> *The first step in the evolution of ethics is a sense of solidarity with other human beings.*
> —Albert Schweitzer, <u>Reverence for Life</u>

Often *neglected in the principle of natural rights* are its universal assumptions; that is, morality is not generated from human differences, but from *what we share in common*. Jefferson seems to have gotten this right. This view does not rule out our respecting human diversity or individuality, but acknowledges morality as being built up from our common needs and capacities, joys and pains, and our ability to think, reason, and learn from each other. This is essential and flows naturally from our participation in families, groups, schools, and other kinds of joint activities. This view also supports the value of character and virtue in human relationships acknowledging the convergence of individualism and collectivism in our social activities.

Confusion abounds as our communities have become splintered and remain so amidst heated discussions and views about all of this. Actually, the polarization of our values is nothing new. A model, produced by Vicky Chuqiao Yang, a complexity postdoctoral fellow from the Santa Fe Institute and a team of researchers from Northwestern University and UCLA may have some answers for us. They discovered that

> <u>Understanding</u> is a mental, sometimes emotional process of comprehension, assimilation of knowledge, which is subjective by its nature. Ideally <u>tolerance</u> is a fair, objective, and, as Jefferson Fish says, a "permissive attitude toward those whose opinions, practices, race, religion, nationality, etc., differ from one's own." In a nutshell, tolerance is freedom from bigotry. "<u>Acceptance</u>," says Fish, "is a person's assent to the reality of a situation, recognizing a process or condition (often a negative or uncomfortable situation) without attempting to change it, protest, or exit."

"...in recent years both the Democrats and Republicans have been moving away from the center and narrowing their views. This has left a large number of moderate voters in the middle but many of them have still been voting. Yang's new model accounts for this by including a concept known as 'satisficing' where people vote for a candidate that is 'good enough' rather than the most qualified. The result is a large number of voters in the middle are continuing to vote but are not happy with either candidate."[19] Hardly satisfying, this is where politics is today. Of course, this is not only a political issue as businesses and industries – with a diminished labor force – are having to cope with a growing diversity and constantly self-reflecting and adjusting ('satisficing') their own values-orientation to present-day realities.

Among some, there is confusion between demographic diversity and values diversity. It is not always true that an ethnic minority in a community or workplace will have different values from the majority or that all in an ethnic group share the same values; this is a false assumption. This befuddlement continues to produce uncomfortable working relationships within businesses and factories, schools and professional offices, as well as in churches and community gatherings. *Diversity conceived as a value,* like much in our moral thinking, has been blurred, perhaps fractured by over-worked clichés and demeaning generalizations causing dissimilar and unclear thinking about our ethical responsibilities. Grey areas are common, but this is not acceptable to those seeking stability and commonality within their communities and places of work. Nor is it acceptable to many Evangelicals who proclaim an unquestioning absolutism regarding their values. In order to promote effective communication, we must continually resist the tendency to reduce values to a few principles or behaviors we personally believe are important and/or correct. A much broader and inclusive perspective is required.

To repair these fissures will take some time including a willingness to understand, tolerate, and accommodate differences of opinion about community values and even the purposes of the "American dream or promise*."* This is a *normative conclusion* unacceptable to many, especially to the single-minded who say, "You're either with me or *against* me." This phrase underscores the value-polarization in our communities and is usually "issue" orientation. Specifically, this is meant to force and intimidate those unaligned to either side to become allies of one side or the other or lose favor. But history demonstrates there is no "clear-cut other" as many fail to comprehend the values undergirding the issues being flailed about. Yet, ironically, values convergence is a reality as our diversity testifies.

Dialogic civility pursues the path of weighing and sorting out, blending and accommodating various value orientations. Michael Tomasky noticed this when he wrote, "What we've seen in our time — starting in the 1960s over civil rights, then accelerating in the succeeding decades over social issues and immigration — is what I call the great ideological sorting out of the two parties."[20] But this extrication has been anything but peaceful, clear cut, and effortless.

Political chaos just may be definitive of our time. At its heart lies a values chaos based on an unwillingness to listen to and understand others whom we find different, distasteful, and unlikeable. Issues such as abortion and voter rights draw us into groups, but understanding the values on one side or the other definitive of these issues is not always

clear. While facing large historic transitions, we have indeed been placed in the fulcrum of change, violent reactions, and moral agnosia. And although our moral roots may have been separated from their traditional moorings, we cannot remain alienated from the fabric of our culture — the social norms of our societies, as well as the beliefs, arts, laws, and customs definitive of who we are, including our moral sensibilities. These may represent the flotsam and jetsam lying on the floors of Congress, in backroom caucuses, or in state houses and in back rooms in cities and towns across America, but the survival of democracy depends on their resurrection and our ability to breathe new life into them as we decide what is essential to our democratic way of life and what is not.

Without generalizing too much about either ethics or politics, it might be better to focus on how the moral imagination functions in crisis, in a world where, as Wallace Stevens once said, reality has become violent and the imagination is obliged to summon a form of violence in resistance.[21] For the moralist, the pressures of this reality is *a disturbance or violence within* (moral and ideological) as reactions are mounted to resist the physical violence that has occurred and is threatening to reoccur. We can only stress the value of *tolerance and understanding* as our moral sensibilities take on added importance and are hopefully not stretched beyond repair.

The Choice is Ours

Jefferson Fish says, "Here is the problem. It is possible to tolerate or accept someone without understanding him or her, and the same goes for tolerating or accepting a different culture. And the converse is also true. It is possible to understand a culture or a person without acceptance, or even tolerance." With these insights, Fish adds a *normative quality* to understanding:

> *Tolerance and/or acceptance are desirable, but they are not a substitute for understanding. They are relevant for getting along with others in the world (though understanding helps), but <u>understanding is essential</u>.*[22]

As we have experienced, many Americans are neither tolerant nor are they accepting of people of color, ethnicities other than their own, gender differences, or, in general, those who differ with their political and or religious views. Unabashed prejudice and unclear ideologies characterize this intolerance and unaccepting attitude. Likewise, there are those who *claim to be more liberal and open-minded* and even more tolerant than most, but, like their adversaries, make little effort to understand those with opposing views, repeatedly casting them aside as being uneducated, narrow-minded, and prejudice. It seems that the "values divide" as widened and people are wondering who or what will step into this rift to ultimately define "American Democracy."

Almost twenty years ago, John White [23] explored the increasingly dominant role values play in today's public and private life and his insights are as apropos today as they were in 2002. White argued that while politically important, the present "values divide" goes much deeper than cultural conflicts between Republicans and Democrats. He pointed out how citizens are reexamining their own intimate values — including how they work, live, and interact with each other — while the nation's population is rapidly changing. White says the answers to these value questions have remade both American politics and the popular culture. Democracy as a moral value has clearly been allowing us to see not only what divides but what unites, and that the choice is ours, White says.

The easy way out of this dilemma is to give in to the dictates of ethical relativism reducing ethics and morality to political maneuvering and power politics, threatening and intimidating, with the understanding that "might makes it right"— a violence without.[24] Understandably this is not the credo of a moral democratic republic — but one of despotism and tyranny — although recent events would have us to believe it's true.

> As a "normative ideal," multiculturalism "…endorses an ideal in which members of minority groups can maintain their distinctive collective identities and practices. In the case of immigrants, proponents emphasize that multiculturalism is compatible with, not opposed to, the integration of immigrants into society; multiculturalism policies provide fairer terms of integration for immigrants."
> https://plato.stanford.edu/entries/multiculturalism/

There is hope, for looking back, history testifies to the hope for values-reconciliation. Although we are a nation of immigrants with diverse beliefs and cultures, we have discovered certain democratic and social values we share with each other. Our immigrant forefathers held tightly to their beliefs and values as immigrants do today. In time they became unified as Americans recognizing their common values and common needs, especially the value of freedom and order, equality and respect. America's path has not been easy. Protests, and demonstrations, violence and war are a part of our history. So have been

> *Self-absorption in all its forms kills empathy, let alone compassion. When we focus on ourselves, our world contracts as our problems and preoccupations loom large. But when we focus on others, our world expands. Our own problems drift to the periphery of the mind and so seem smaller, and we increase our capacity for connection - or compassionate action.*
> —Daniel Goleman, *Social intelligence: The new science of human relationships* (New York: Bantam; Reprint edition, July 31, 2007)

greed, deception, and unethical practices in businesses and industries. Uncovering definitive collective values in our time could be a way of uniting Americans in a common social order. But this will require time and patience from both sides of the ideological divide, including a willingness to put power politics aside and begin a new chapter in American history shaped by reason and active listening.

Every so often we forget about the power of the human spirit — the moral consciousness — to unite and heal our personal and collective relationships, to assist with reconciling our differences. We sometimes forget about the struggles and wars of the past uniting Americans with a common purpose and helping to identify the shared values that set us in a democratic direction. These events underscore the myth of the irreconcilable divide between individualism and collectivism. There is an undeniable moral thread woven into

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American democracy which can be a positive force as we attempt to reconcile our relationships and rapport with those with whom we often disagree. But I am neither optimistic nor delusional; indeed, reconciliation just may be a pipe dream out of reach and impractical. Disagreements about primary principles can tear a society apart, plunging it into internal physical violence or something much like a civil war. From the civil rights struggles of the 1960s to today we have witnessed bits and pieces of this and know of its divisive and violent nature.

The Struggle of Living Together

The struggle of working and living together and of finding a common ethic remains a persistent moral task; more so is the commitment to Constitutional principles and laws. We are an evolving diversity requiring mental and emotional adjustments, social order, and even tweaking our values from time to time as accommodation can be a reconciling and healing antidote to violence and turmoil. Social and moral sensitivity are prerequisites to this therapeutic process.

So, as a nation, we are challenged to become a more open society taking in the values, traditions, and cultures of others and learning from them. This can be positive and doesn't denigrate traditional American values, but adds to them gathering in the moral surplus of others. In this opening, all sides of the democratic divide need some breathing room — American needs to relax and take a deep breath and then reconsider who it is and what it is to become. "Openness" doesn't mean "acceptance" or "agreement with"; rather, from a moral point of view, it engenders a willingness to listen, understand, and explore mutual values that can unite rather than divide people. Some don't want this; they have a desire to keep those who are different out of America and, in America, to push aside those who differ with their views by limiting their community voices. They wish to build a wall and close the doors to those whom they disdain. Actually, walls already exist, but they are more mental and social than they are physical. Wall-builders represent what is called "a closed society" in which their understanding of law, morality, religion, and/or democracy is unchanging, narrow, and static.

Like a closed mind, closed societies are problematic because they are supportive of two fallacies:[25]

The Privacy Fallacy occurs when we think the values and beliefs we use in public discourse cannot be openly and critically discussed by all stake-holders. We assume that because matters of conscience are private in the sense of being unforced and unlegislated, they are also private in the sense of a personal preference. This belief is accompanied with thinking our values are "sacred" because they arise in the moral consciousness.

The Liberty Fallacy claims we're free to believe anything we desire to believe without any consequences. This is thought of as an unalienable right. There is an inner connection here to the *Privacy Fallacy* — we are free to believe because belief arises within the moral consciousness. There is a deep-seated religious connection between these two fallacies, both connected to the idea that within each person there resides a "moral soul" created by God which supersedes being responsible to man-made laws.

Most Americans are touched by both of these fallacies, even the most open-minded and liberal among us. Yielding to the pull of over-heated individualism and our own perceived freedom, we hesitate; curtailing our collective inclinations not wanting to infringe on or violate the values of others even if we think they are expressing anti-democratic beliefs and opinions. Freedom of speech is a sacred value that runs deep within American culture. The conflict between individualism and collectivism is in reality a struggle in the minds and hearts of Americans about the values they believe they cannot live without. These they accept as "true," "ultimate," and "unquestionable" and therein is the problem even dialogic civility can't resolve.

Roadblocks

The above *attitudinal fallacies* work against us, preventing understanding and tolerance, even accepting the fact of our diversity; especially when underscored with the idea that "my values are a priority and your values – well, maybe – are not." This is the view of radical egoism; a relativism proven to be socially destructive because it denies the dignity and integrity of others, including their rights and freedoms. Radical egoists have a tendency to believe all people are like them, self-centered, looking out for their personal interests and values only. They also claim that the world and our lives will be better off if we all look after our own interests and let others look after their interests. This is an attitude which maintains that we should always act to promote our self-designed goals and viewpoints. This ethic recommends self-centered behaviors – "Me first, you second, maybe not at all" – as the best way to survive in a values-diverse world claiming such behaviors will, in time, promote industry and the creative arts, social cohesion, and education – *The Rising Tide Lifts All the Boats*.

This idea as appeared in various forms in American politics, most notably in President Reagan's "trickle down" economic theory and the aphorism "a rising tide lifts all boats" is associated with the idea that improvements in the general economy will benefit all participants in that economy. The phrase is commonly attributed to John F. Kennedy who used it in a 1963 speech to combat criticisms that a dam project he was inaugurating was a pork barrel project. Actually, according to Kennedy's speechwriter Ted Sorensen, the phrase was not one of his or the president's own fashioning. It was in his first year working for Kennedy (during JFK's tenure in the Senate), when Mr. Sorensen was trying to tackle economic problems in New England, that he happened upon the phrase. He writes that he noticed that "the regional chamber of commerce, the New England Council, had a thoughtful slogan: 'A rising tide lifts all the boats.'" From then on, JFK would borrow the slogan often. Sorensen highlights this as an example of quotes mistakenly attributed to President Kennedy.[26] Actually, the phrase and its use outdate Kennedy as noted by the 1920 slogan of *The American Gas Monthly*: [27]

"The Rising Tide Lifts All the Boats."
When the tide of public opinion swells through recognition of service well performed, all our boats will be lifted.

This cliché seems not only rational, but an item of commonsense, a hallmark of modern-day capitalism, pragmatism and liberal democracy. Yet, is this the way the world really works? The answer is "yes" and "no." What about those who are unable to help themselves, the poor and misfortunate? Do we have a moral obligation to these misfortunate people? To label our helping these individuals as "socialistic" and "anti-capitalistic" is a stretch, nothing but a political ploy to disparage the poor and misfortunate as an excuse for neglecting our moral responsibilities to them while denying our own benevolent feelings; however, it's also a way of defining our political affiliations.

Of course, it's true that among the rich and middle class, as well as among the misfortunate in our society, there are those who have taken advantage of this ideal and worked their way into positions of leadership where they can influence law-making for their own personal benefit. This we can't deny but, at the same time, we cannot let this deter our efforts from lending a hand to those who truly need assistance. After all, democracy is not only a guiding political principle, but a moral ideal. We can ask, as did President Obama, "Am I my brother's keeper?" "Am I my sister's keeper?" If we believe democracy is a guiding moral principle, the answer to both questions is "Yes." Woven into the tapestry of American democracy is a moral philosophy we cannot let die.

But ethical relativism keeps us at bay. There is something about it appealing to our individuality and our freedom of conscience. Maybe it's the idea (if we accept it as normative) that all beliefs and points of view are equally valid and have a right to be heard. This seems to appeal to our innate sense of equality and

> **The Markkula Center defines ethical relativism as. . .**
> **The theory that holds that morality is relative to the norms of one's culture. That is, whether an action is right or wrong depends on the moral norms of the society in which it is practiced. The same action may be morally right in one society but be morally wrong in another. For the ethical relativist, there are no universal moral standards -- standards that can be universally applied to all peoples at all times. The only moral standards against which a society's practices can be judged are its own. If ethical relativism is correct, there can be no common framework for resolving moral disputes or for reaching agreement on ethical matters among members of different societies.**
> **https://www.scu.edu/ethics/ethics-resources/ethical-decision-making/ethical-relativism/**

freedom of speech built into our democratic DNA, but this can also curtail our ability to reason and adapt, critique and restrain those who seek to destroy our collective values, even democracy itself.

Some[28] claim ethical relativism is true, that there are no common standards or measures for morality. Others[29] argue that *the choice between competing theories is arbitrary, since there is no such thing as objective truth*. Steven Pinker[30] responds by explaining that if we accept ethical relativism we have no grounds to criticize or punish others no matter how barbaric their behaviors because "we have our kind of morality and they have theirs." Pinker says, "And the whole enterprise seems to be dragging us to an amoral *nihilism*" (the belief that traditional morals, ideas, beliefs, etc. have no worth or value). In a weird sense this would make morality an emotive jester with no rational foundation. Given this conclusion, ethics loses both its salience and substance and becomes a world of empty promises and impractical choices making force (political or violent) the only option.

While butting our heads against radical individualism, *against egoism and relativism*, we perhaps reach a dead-end in moral discourse, but let's not rush to judgment. Ethical egoism claims that a person ought to perform some action *if and only if*, and because, performing that action maximizes his/her self-interest. Egoists are correct in saying taking care of self-interests and even personal health, family, one's education and vocation are important; no one can deny this. We can't survive in our competitive world without developing survival skills, positive work habits, and cognitive abilities. Self-preservation is innate and can't be shucked off so easily. Out of a sense of self-interest and personal responsibility we take care of that which is important to us. Admittedly, we sometimes act selfishly, neglecting to care for others, taking credit for the work of others, or making excuses for our own misgivings. We sometimes lift ourselves above others and complain when others do not cater to our wishes. Most of us are to some extent selfish and in other ways reasonably ethical. Human nature is unpredictable and flexible, sometimes uplifting and other times destructive, and often bedevils those searching for absolute surety in ethics.

> John Gray, reflecting on the insights of Marc Hauser, comments: [Hauser] accepts the prevailing view that moral behavior is fundamentally about conforming to principles, but argues that this view attaches too much importance to conscious processes of reasoning. Just because we reason from explicit principles — handed down from parents, teachers, lawyers, judges, or religious leaders—to judgments of right and wrong doesn't mean that these principles are the source of our moral decisions. On the contrary, Hauser argues that moral judgments are mediated by an unconscious process, a hidden moral grammar that evaluates the causes and consequences of our own and others' actions.
>
> —Gray, John (2007). Are we born moral? Accessed from https://www.nybooks.com/articles/ 2007/05/10/are-we-born-moral/. See also, Marc Hauser (2006) Moral minds: How nature designed our universal sense of right and wrong. New York: Ecco (1st edition).

Admitting this, we understand what the relativists are saying: we are passionate about some things and many times neglect other things that are important to others. Some say, "It all depends on time, place, and circumstances." We hold to personal values and hope others will agree or that accommodations and compromises can be made along the way. We often play the reciprocity game — I'll do something for you if and only if you do something for me that I think important. But compromising our moral values can lead us onto some untenable paths leaving us on morally shaky ground.[31]

Yes, we are all different and the world is not just like you or me. This fact disturbs many, but *over-generalizing about others* often stands in the way of moral understanding — so does a sense of satisfaction about our personal values without giving attention to their particularities and varieties. America's greatness has been built on the backs of national diversity, so, some leeway and understanding needs to be given to individual differences as these are sources of creativity and innovation, arguably the foundation of invention and discovery. We are not all alike and never will be; we are unique and individualistic, but this doesn't deny the importance of seeking common moral values. According to the Markkula Center for Applied Ethics, "Such differences may lead us to question whether there are any universal moral principles or whether morality is merely a matter of 'cultural taste,' relative, and individualistic."[32]

So we can ask, "Does individualism *beg the question* of our common humanity?" Perhaps it's just a matter of attitude, of what we wish to accentuate — our common humanity or our differences.   At the extreme edge of individualism is the claim there is nothing absolutely right or wrong; it's up to the individual to determine "his" or "her" right and wrong. After all, our morals have evolved over a period of time allowing us to adjust ethically as knowledge and technology change. Those who survive are those who adjust to changing circumstances. This also implies we actually don't have a solid foundation for our moral sentiments[33] — that morality is anchored in the shifting sands of time and culture, in opinion and custom.

> *The heat of the dispute between Left and Right has grown so fierce in the last decade that the habits of civilized discourse have suffered a scorching. Antagonists seem no longer to listen to one another* (p. 18).
>
> **- Alan Bloom, The Closing of the American Mind, 1987**

Some of this is true, but the implication that there are no foundations for morals and ethics defies history and commonsense, including the development of rational judgment, reaching as far back as Plato and Aristotle. We have built families, organizations, and governments on recognized moral principles with the understanding there is something about *our common humanity* that is morally foundational. Without this understanding we are left with no common ethic, as Robert Reich[34] comments,

> *Without a set of common moral assumptions, we would have no way of identifying or categorizing problems and possible solutions*.

This does not imply the standardization of morality, the death of individualism, or that there are real differences in our values. We are tasked with responsibly identifying ethical principles with collective importance that can unify humanity and consistently guide our behavior and decision-making. These principles should be realistic, not asking more than is conceivably possible, and flexible — able to adapt to changing situations without losing their moral acumen. They should also be based on a sense of human dignity and integrity. Rabbi Irwin Kula adds:

> *At the same time, we must be careful not to simply say that since everything is partially true, nothing really matters, as if there aren't standards of right or wrong. Yes, in every view there is a partial truth. But not every view is equally true. There are standards of right and wrong, gradations of truth. I've heard so many people use the phrase 'This is my truth' or 'that's your truth' as a way to defuse conflict and stifle discussion. This relativism is just lazy absolutism. It makes the claim that in effect we each have our own absolute truth, and so anything goes; why fight the fight? This spineless and limp relativism is as frustrating as hostile know-it-all absolutism. Both halt the search for truth*.[35]

An Ethics of Diversity

We live in a democratic nation that influences the political and economic welfare of not only us but many other nations as well. We claim to be a "moral democracy" and to this many adhere. Therefore, understanding personal and national values is both common sense and necessary. Without this sensitivity ethical behaviors will be buried in a *radical individualism* that has no awareness of other people's feelings and needs, and will be

neither tolerant nor forgiving. Perhaps we are experiencing this today? Extending our compassion to others doesn't mean giving up what we believe is of value. It does mean collaboration, seeking common values that unite rather than divide, and viewing others, like ourselves, as humanly important. It also demonstrates a willingness to listen and support those in need as these are the attitudes and behaviors upon which an ethics of diversity is based.

Moral Balance is Needed

Ethical diversity reflects the different values and beliefs people hold and adhere to. An open discussion is needed where there is as much or *more listening* as there is talking when seeking understanding and accommodation. And we should acknowledge when we apply our values publicly and freely, we release them to *the assessment of others*. Consequently, as we voluntarily use our beliefs and values in the public forum to support our views, the behaviors we recommend require public scrutiny and reconsideration. These behaviors are the scaffolding upon which objectivity and impartiality are built.

One approach to an ethics of diversity for healthcare professionals is a call for intimate listening to the stories of those who are different, who may be unseen, marginalized, and excluded in our health care systems…Therefore, this ethics column focuses on exploring diversity from an ethical perspective and how intimate listening can help us to move through our worlds of differences and thus grow, understand, and care.

— Sorrell, J. (August, 2003). Ethics Column: The Ethics of Diversity: A Call for Intimate Listening in Thin Places. *Online Journal of Issues in Nursing*, Vol. www.nursingworld.org/MainMenuCategories/ ANAMarketplace/ANAPeriodicals/OJIN/Columns/E thics/EthicsofDiversity.aspx

Yet, admittedly, objectivity about our values is difficult to achieve as many are still heard claiming "I have my rights," no matter what these so-called "rights" happen to be. This seems morally cold and isolated, and perhaps insulated by adherence to what is believed to be a dominant cultural ideology. Implied by this notion is the rights of others don't count. But we don't live on an island and life is not a reality show. Rather, we live together, in community, always rubbing against each other, where rights and freedoms are adjudicated by commonsense and in law, and where dialogue and reason are guided by civility, or at least should be.

Amelia Oksenberg Rorty has pointed out that an ethic of diversity asks that we be objective and impartial, but these are difficult attitudes to maintain as values have become politicized, twisted, and colored by opinions that divide rather than unite people. It remains important we come to terms with the questions, "Who am I?" – our individualism – and "Who are we?" – our collectivism. Self-identify as well as community and national identity are important in a diverse and values confused world. Corporations, churches, community groups, and each of us as "moral agents" are asked to take the lead in these discussions in order to create a values-based culture and a moral identity supportive of the notion that "humanity is community." As Emerson so aptly said, "We lie in the lap of immense intelligence, which makes us receivers of its truth and organs of its activity."[36] Even so, the beliefs we hold and the decisions we make can become tainted, bending truth to our wishes and coercing a response from others. To this we need to give our attention. Surely, even a surface understanding of democracy and the diversity it embraces reveals our vital connections with others.

Who Will We Become?

Understandably, all societies have core values they call the "common good." When promoting civility where individuals and nations recognize their shared values, *we are tasked* with acknowledging the core values of others. *This is difficult* as understanding those who invaded our nation's Capitol on January 6, 2021 were violent, nasty, and brutish. Yet, those who value democracy and dialogic civility are asked to listen as well as speak demonstrating their respect and integrity as they address issues affecting our nation and its burdened democracy. This carries the weight of not only personal and social civility, but of collective morality.

Are we not required morally and democratically to seek a balance that enhances the lives of others, all others, to seek *moral homeostasis* conceived as a valid life force, personally and collectively?[37] Jean Paul Sartre[38] made it clear, "Man is condemned to be free; because once thrown into the world; he is responsible for everything he does. It is up to you to give [life] a meaning," he said. This is our

> *By promoting our own good unimpeded by legal or self-imposed moral constraints to protect the welfare of others, would be the most efficient means of advancing the good of all persons — the common good.*
>
> — Smith, Adam (1776/1950). *An inquiry into the nature of causes of the wealth of nations.* London: Methuen (6th ed).

challenge and responsibility. We are forever connected to each other and our decisions expose the imprint of our mores (ethos) and common humanity. Within the context of this understanding, we are free to choose and in choosing *we are deciding who we will become,* what kind of life we will lead, and, especially, how we will relate to others, above all "in the eyes of the least favored" or "to those treated the most unjustly."

Without apologizing, an ethic of diversity tries to avoid the extreme view of coercing values into a preconceived shape. This seems to have become an unwanted consequence of what is known as "political correctness," and for many its demands have strained the meaning of an ethics of diversity. Our values may never mirror each other. Life would be boring if we were all alike; *but there is moral and cultural surplus lying within our diversity that needs harvesting in the collectivity of our national goals and our common humanity*. In being moral, we are only asked to share our principles openly and seek collective values for the benefit of all—the franchised and disenfranchised — regardless of ethnicity, religious belief, or gender. For example, a Muslim, Jew, and Christian may never totally agree on the foundation of their faith, but moral prescriptions are discovered in all three that can unite them in brotherly love.[39] This many have sought and others have ignored or rejected. Such discovery requires intellectual as well as moral effort and the willingness to communicate freely with others.

But none of this is automatic; it takes commitment and effort, honesty and responsibility. It's extremely difficult to change course when our habits become entrenched, especially our mental and moral habits. Prejudice is found buried deeply within the unconscious mind and also with our intentional judgments. Our past habits and traditions have a binding effect and if unchecked, will harbor resentments and breed intolerance and discrimination. This is not only a fact about our past, but is a present reality to which

attention should be given, or as Nietzsche said, *this will only be a dwelling on ugly truths in order to purge old lies*.[40] Politicians, local and national, as well as corporate and religious leaders, need to give this their attention. And we should not underestimate the vanity of ourselves or others. Again, Nietzsche has reminded us,

> [Beneath] all the deceptive junk and gold dust of unconscious human vanity; that even beneath such flattering colors and cosmetics the frightening basic text *homo natura,* must be recognized for what it is.[41]

Conclusion

Lawrence Hinman comments, "Our history is in many ways the history of diversity."[42] How true this is, and this is America's greatest strength, but dealing with diversity has been an inconsistent and rocky road, perhaps, to date, our greatest challenge and failure. Thus, its important individuals, businesses, and institutions give the idea of "an ethics of diversity" serious consideration. For many, an "ethics of diversity" will challenge established beliefs about democracy, faulty assumptions about others, as well as the pride we take in our individualism. Significant are the questions, "Who am I?" and "Who are we Americans?" An ethic of diversity converges on the belief: "We are a human community." The moral significance of that phrase adds depth and meaning to not only American democracy,[43] but challenges our moral veracity as we reconsider our attitudes and actions toward the diversity that is us.

Most assuredly, our values have attached themselves to our lives almost unknowingly and, especially, uncritically. Perhaps this accounts for the inconsistent ranting we hear from both sides of the political aisle. We were born into an ongoing history, an ongoing values-orientation, created by time and social/political/religious attachments. Thus, situated within our personal and familial narratives are deeply held values lying within and beneath layers of social/political acculturation. To define and distinguish these values, moral or otherwise, from others will take time and require the courage to bring them to the table of critical reflection and dialogic interaction. Likewise, uncovering the layers of our personal histories and assessing their meaning and communal worth will be an arduous task.

Although we desire peace and tranquility, harmony and social stability, life can be harsh and brutish. We also acknowledge exploiting the values of others for self- aggrandizement negates their sacred personhood. And although we dance on the summit of individual rights and liberties conceding their personal and private nature, we need to understand democracy is built on a collectivity of like-minded people, on a foundation of dialogic civility, communal accountability, and a moral sensibility that is pubic and open to criticism and adjustments.

For sure there have been violent reactions to diversity, both diversity in our values and demographic diversity. Without overreacting this should become a starting point as well as a pinnacle for measuring self-worth. Over-reacting to the views of others is something we've seen enough of and now it's time to draw in our emotions and get down to the business of redefining ourselves by the diversity we are and making no apologies to those who believe they are the "true" Americans.
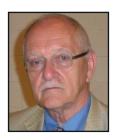
To be an American is and will always be an embryonic idea rebirthing itself in every generation of American life. And this we must accept as a clear and present reality for "diversity" will continually drive our values and challenge our moral worth. We dream of a perfect democracy, but perfection is not in our grasp. Perhaps conflict is the motor of history, but experience also teaches the power of generosity and cooperation, of trust, accommodation, tolerance, and understanding to bring order out of chaos and to shape, as Stephen Crane said, the "expression of human energy in life."[44]

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Serve to Lead: Why Serving Others is Essential to Lead?

— PROFESSOR M.S. RAO, PH.D.

Abstract

The purpose of this research paper is to inculcate the attitude of service to serve others selflessly. It explains the benefits and consequences of serving others. It discusses nonprofits, volunteerism, sharing with others, caring for others, adding value to society, and making a difference in the lives of others. It illustrates the consequences of serving others with the examples of Abraham Lincoln, Mahatma Gandhi, Martin Luther King Jr, and Nelson Mandela. It emphasizes contribution over achievement. It unveils that greatness is determined by service and outlines a nonprofit initiative, Vision 2030: One Million Global Leaders. The predominant emphasis is to serve others for a cause, not adulation, and implores the reader to be a giver, not a taker, by infusing life with passion and purpose.

Introduction

"The sole meaning of life is to serve humanity." — Leo Tolstoy

Serving others is the most important thing in the world. Unfortunately, people don't take it seriously. Instead, they often expect from others. There is the least competition in giving to others and the most competition in getting from others. But the world appreciates givers, not takers. Then why not serve others by providing purpose and meaning to life? In this regard, the author will discuss nonprofits, volunteerism, sharing with others, caring for others, adding value to society, and making a difference in the lives of others.

Benefits of Serving Others

"If you want happiness for an hour — take a nap.
    If you want happiness for a day — go fishing.
        If you want happiness for a year — inherit a fortune.
            If you want happiness for a lifetime — help someone else."
        — Chinese Proverb

When you serve others, you are engaged creatively, constructively, and productively. You are busy doing good and great things in your life. It removes negative thoughts from your mind and replaces them with positive thoughts. You become more optimistic and confident in life. Your stress will be relieved. You will not have any mental illness because you will be occupied with volunteerism. You combat anxiety and depression. You improve your immunity and enhance longevity. You improve your mood and enhance your self-esteem. You connect with others comfortably and improve your emotional intelligence and

soft skills. You get inner satisfaction and happiness that you touched the lives of others. Overall, you improve your health and happiness.

Dave Ulrich remarked, "Sometimes brilliant leaders lack interpersonal savvy. They are lollipop leaders who have a great brain, but no heart. They have not recognized that learning to work with others is a foundation for both personal happiness and professional success. They need to use their strengths to strengthen others. Research has shown that people who care about people are 60% more likely to be promoted. Economist Arthur Brooks also found that those who gave more and served more made more money not less. Those who gave to charity are 43% happier than those who do not give. Volunteering and helping others give you emotional, physical, and economic well-being."

Hence, serve others to lead a mindful and meaningful life.

Consequences of Serving Others

"The worst day of a life led with courage is better than the best day of a life cosseted for safety." — James Strock

When you serve others, you must be prepared to receive both bouquets and brickbats. You will be happy to note that you receive more bouquets and fewer brickbats. Of course, you consume your time, money, and energy. At times you receive criticism from others. You must be thick-skinned. In a nutshell, there are innumerable benefits of serving others and some consequences of serving others. As every coin has two sides, everything has pros and cons. When you look at the consequences of serving others, the examples of Abraham Lincoln, Mahatma Gandhi, and Martin Luther King Jr strike our minds as they were assassinated. Nelson Mandela was jailed for 27 years. These leaders could not please all sectors. But they lived beyond their lifetimes and became guiding lights for others. Hence, look at the benefits, not the consequences of serving others. It is great to lead a life with principles and philosophies than to lead a life with compromises and confusions.

Don't restrain yourself from serving others by looking at the consequences of serving others. You must not see the dark. Instead, you must see the light. Look at the rising sun, not the setting sun. Look at the benefits of serving others, not the consequences of serving others.

Emphasize Contribution over Achievement

"The best way to find yourself is to lose yourself in the service of others."
— Mahatma Gandhi

Presently, people are more concerned about achievement than contribution. They must emphasize contribution over achievement. Currently, advertising and marketing have become the order of the day. We come across several people on social media who engage in charity for the sake of publicity to build their brands rather than to add value to others. Great leaders serve others selflessly. They contribute to creating a ripple effect.

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Greatness is Determined by Service!

"Not everybody can be famous but everybody can be great because greatness is determined by service... You only need a heart full of grace and a soul generated by love."
—Martin Luther King Jr.

There are many ways to serve others. The real question is what makes you happy to be able to help? Identify if it is volunteering, interacting, or simply adding value to your communities. There is magic in serving others. You generate happiness when people receive help from you. Your satisfaction comes from seeing the spark of their smiles when you help others. There is something magical about being able to give something to people to impact their lives. Here are some ways to serve others. Serve someone every day. Help the person to your next door. If you are a teacher, teach one person every day. Identify people suffering in your area and alleviate their suffering. Participate actively in nonprofits. It gives you greater satisfaction than giving money to charitable trusts. It helps you understand the dynamics of nonprofits and gives you a sense of identity and belongingness. Remember, the happiest people are the people who serve others the best.

When stray dogs barked due to lack of food in our community during the coronavirus lockdown in April 2020, I began to offer food to them. Although I had been without regular income, I decided to do something for the stray dogs in my village. I started bringing them food and offered them sustenance regularly. The barking of stray dogs had changed my mind to do something despite financial constraints.

Vision 2030[1]: One Million Global Leaders

"It is not enough to be compassionate – you must act." —The Dalai Lama

Service is the hallmark of my core personality since childhood. When I was in college, I participated actively in the National Cadet Corps (NCC) and National Service Scheme (NSS). I started a nonprofit initiative: *Vision 2030: One Million Global Leaders* (URL: http://professormsraovision2030.blogspot.com/2014/12/professor-m-s-raos-vision-2030-one_31.html). I served in the Indian Air Force due to love for my nation and passion for the uniform. I served more than a decade and acquired several qualifications including DME, BSc, MA, PGDCLL, PGDBM, and MBA. After I left the Indian Air Force, I pursued research and earned a Ph.D. in Soft Skills in 2011. I led a painful life both in military and civil service as I was born into a poor family and encountered innumerable challenges in my personal, professional, and social endeavors. I was born into a dysfunctional family and grew up in a toxic environment. I encountered some rogue relatives and siblings who were responsible for financial challenges to me, my wife, and two sons. While serving in the Indian Air Force, I acquired knowledge on leadership as the military makes the best leaders due to the kind of tough training soldiers receive and the kind of unique challenges they encounter during both war and peacetime. Hence, I developed a passion for leadership and service. While serving in the Indian Air Force, I did not appreciate the way things were happening in India due to the unscrupulous politicians dividing society in the name of region, religion, caste, and communities. Additionally, lots of money went into the

private coffers of politicians rather than reaching the poor people in India. I was disturbed by the conditions in Indian society. Corruption had become a cancer in Indian society. Hence, I thought to train leaders with a global mindset to enable them to develop the nation, promote fraternity, and work for global peace and prosperity.

I entered the teaching profession as educational institutions are the ideal places to shape students and equip them with leadership skills and abilities. Second, I focused on students. When they are teenagers, they can be molded easily as leaders the way the military recruits young cadets and grooms them as soldiers and leaders. I started receiving overwhelming support from students as they were inspired during my teaching and training programs in educational institutions.

As a leadership researcher, I dedicate a substantial amount of my research to various leadership styles and how leadership can be used for the benefit of a global society. During my research, I recognized that there was a looming leadership challenge globally due to the retirement of Baby Boomers as well as the unpreparedness of Gen Y/Millennials in leadership roles. When experienced leaders exit from service, there was an alarming leadership vacuum created worldwide as younger, inexperienced people were not ready to assume roles of leadership. Although the situation threatens global stability, I viewed it as an opportunity to contribute my best by beginning leadership development programs. I trained students as global leaders to equip them with necessary leadership skills and abilities. I have taught and trained more than 40,000 students to date. I have taken the support of social media to articulate my vision and share my articles and videos regularly (URL: https://professormsraovision2030.Blog spot.com) on my social media platforms. Since I belong to Gen X, I can serve as a link between the Baby Boomers and Gen Y to bridge this global leadership deficit. I considered my age and experience in the military and academia, and above all, my interest in leadership and passion for students an opportunity to serve students to groom them as global leaders. I do it despite financial constraints. It is the service I deem critical to my purpose in life.

Success will follow you when you shift your paradigm to service. So, serve others to achieve success in your life.

Serve to Lead

"The world changes according to the way people see it, and if you can alter, even by a millimeter, the way people look at reality, then you can change the world." — James Baldwin

I enjoyed reading my friend, James Strock's bestselling book, *Serve to Lead[2]: 21st Century Leaders Manual*. This book will change the way you think about leadership, life, success, and service. James Strock advises: "Reflect on your experience: Who are you serving? Write down a list. Think about those you are serving effectively, and how you might do better. In what ways are you simply serving yourself? What areas of your life, and your service, do you regard as most effective? Why? Are you serving the same people and organizations and causes as in the past? Do you intend to serve different people and

organizations and causes as in the past? Do you intend to serve different people and organizations and causes in the future? How will you decide? How have you decided in the past?"

I rose from humble origins. I still belong to a lower-middle-class family in India. I was not blessed with an education from eminent educational institutions. I wake up at 4 AM and go to sleep at 10 PM every day. I create knowledge and share knowledge freely with the world every day. This gives me immense satisfaction. I provide free rations to a poor person in my village who serves as an Imam in a mosque. These activities give me great satisfaction and inner happiness. Before I retire each evening, I express my gratitude to God every day for the value I am able to add to the people around me within my limited resources. So, don't blame your circumstances and lack of resources. Contribute your best within your capacities. If you don't have money, invest your time into nonprofits or become a volunteer to serve others. Remember, the biggest gift you can give to others is your TIME. Avoid inventing excuses for not serving others. Be part of the solution, not the problem. You are blessed with one life and you must contribute your best to build a better world. Remember, we brought nothing into the world when we were born and we carry nothing from this world when we die. People remember only the good deeds we have done for others when we depart from this world. When you understand these facts, you become passionate about serving others and leading others with commitment, compassion, and character.

Conclusion

"We make a living by what we get, but we make a life by what we give." — Winston Churchill

Leaders including Mahatma Gandhi, Martin Luther King Jr., Mother Teresa, and Nelson Mandela served people with passion and led their lives with purpose and meaning. They were the ideal examples of givers who added immense value to their societies and made a difference. Therefore, serve others for a cause, not for ingratiation.

If you give to the universe, the universe gives back. What goes around comes around. There is the least competition for givers. So, be a giver, not a taker. Serve others. Lead others. A life lived for others is more meaningful than the life lived for yourself. Albert Einstein rightly remarked, "Only a life lived for others is a life worthwhile." Therefore, add value to others' lives. Make a difference in the lives of others. Serve to lead your life with passion and purpose. To conclude, serve others to stand out as a soft leader globally.

"I slept and I dreamed that life is all joy. I woke and I saw that life is all service. I served and saw that service is a joy." — Khalil Gibran

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Abstract
Catholic social teaching (CST) is a rich and relevant source for studying contemporary problems in society. In this paper, I investigate the question of equal pay from a CST perspective. There has been increasing interest in equal pay and related concepts such as universal basic income over the last decade. Equal pay means that everyone in society receives the same remuneration regardless of the type of work, level of effort, or employment status. From an economic point of view, there are substantial negative-incentivizing effects with such an arrangement, as the principle of "equal pay for all" breaks the relationship between workers' efforts and the payment associated with those efforts. Furthermore, neo-classical economics postulates that there is no incentive to work if there is no financial payoff. From a CST perspective, there is no support for an "equal pay for all" arrangement; however, CST sheds essential light on the meaning of work and the right to a living wage.

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Wages, Work, and the Catholic Social Teaching

Introduction

In recent years, there has been increasing interest in concepts such as basic income, equal pay, citizen's income, and universal basic income (UBI) (Hoynes and Rothstein, 2019; see, e.g., Parijs & Vanderborght (2017) for the different concepts and the history of the ideas). A common feature is that they introduce an income, funded through taxation, to all the members of society unconditionally. Hence, the amount does not depend on the individual's effort, employment status, wealth, income, or household structure.

One common economic motivation for discussing basic income is automation creating a significant job shortages and declining wages (Coyle, 2020). This, in turn, may leave a large majority of the population impoverished (Hoynes & Rothstein, 2019, p. 932). Other reasons for introducing a basic income scheme include replacing complex and bureaucratic social benefits programs, increase human freedom and reduce inequality. In addition, in light of the COVID-19 pandemic, some have argued that a UBI is needed to mitigate social and economic sources of trauma (Johnson et al., 2020).

The discourse on basic income is "global, widespread, and deep" (Torry, 2020, p. 6), with contributions from several academic disciplines. Although the disciplines use different motivations and take different problems as their starting points, they all see a version of basic income as the solution to a social problem. However, UBI is also part of a public discourse with historical roots. For example, in 1918, Quakers E. Mabel and Dennis Milner published a pamphlet called *Scheme for a State Bonus* in which they offered a solution to poverty. They argued that "every individual, all the time, should receive from a central fund

some small allowance in money which would be just sufficient to maintain life and liberty if all else failed" (Mabel & Milner, 2004, p. 125).

As shown by Jawad (2012), religion still plays an essential role in social policy discussions in Western countries, and this also applies to basic income. For example, Malcolm Torry (2016) argues that Christians should advocate for a basic income scheme because it is at the core of the Christian faith (p. 40) and that it "is a Christian social policy, and perhaps the most Christian social policy possible" (p. 156). A group of bishops from the Evangelical Lutheran Church in Canada and the Anglican Church of Canada, using the pandemic as background, wrote an open letter to the prime minister recommending a basic income not only because of policy reasons, but also because taking care of one another is an important part of the nation's identity (Group of Bishops, 2020). Similarly, Pope Francis recently argued that the time has come to ponder a universal basic wage (Francis, 2020, para. 6).

My objective in this paper is to analyze the religious rationale for equal pay for work, regardless of profession, education, experience, or other individual characteristics. I explore this rationale by applying the Roman Catholic Church's Catholic social teaching (CST). CST has always addressed contemporary problems in human development and society. In the late nineteenth century, Pope Leo XIII was concerned with how the emerging industrial capitalism would affect society, and Pope Francis recently warned the world about the challenges of financialization and the dangers of climate change.

CST continues to be relevant in today's globalized economic environment because it has been able to evolve and adapt in response to changes in the economic development (McCann, 1997, p. 57). An important explanation for this is that Christianity is a living tradition. That is, Christianity is not only concerned with reminding us about facts, reality, and knowledge from the past, but also with the interplay of what is learned from tradition and contemporary problems (Finn, 2015, p. 2).[1] In addition, the Church seems to be comfortable with engaging in contemporary and worldly issues (Hertzke, 2016, p. 36).

Today, there is growing discontent among people in many Western countries despite an increase in material well-being, and many people are not satisfied with the present social contract (Shafik, 2021, p. 2). Furthermore, there is a "failure of public discourse to address the large moral and civic questions that should be at the center of public debate" (Sandel, 2020, p. 28). In my view, CST can help us to regain focus on the common good. Moreover, it can help us to define a set of shared moral values providing trust and social capital, which are essential for a functioning economy (Schlag, 2017a, p. 140).

Catholic Social Teaching
The Roman Catholic Church is not only the largest church within Christianity, but it is also an important political institution. Its power and influence go far beyond its Catholic members, and its long history and tradition provide a unique opportunity to understand

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[1] Finn builds on arguments from the book *The Meaning of Tradition (1964)* by Yves Congar, O.P.

how humanity and society have evolved over the last 2,000 years.[2] The Roman Catholic Church is the "oldest institution on earth"; it is a "truly global institution," and it has a "deep tradition of engagement with worldly affairs" (Hertzke, 2016, p. 36).

But what is the mission of the Church? The Compendium of the Social Doctrine of the Church states that "with her social teaching the Church seeks to proclaim the Gospel and make it present in the complex network of social relations" (PCJP, 2005, para. 62). Evangelizing the Gospel is, of course, the main objective, but the Church also acknowledges that humans are in social relations that are "subject to social and economic questions" (PCJP, 2005, para. 66). In other words, CST is "a doctrine aimed at *guiding people's behavior* [and] is to be found at the crossroads where Christian life and conscience come in contact with the real world" (PCJP, 2005, para. 73).

According to Brady (2017, p. 361) CST can be organized into three moral themes: justice (we must do what is right), dignity (we must see all humans with dignity), and solidarity (we must practice solidarity with people in misery and poverty). But how should the principles of CST be turned into practice? In the encyclical *Mater et Magistra* (Christianity and Social Progress) of 1961, Pope John XXIII acknowledged the three-stage method developed by Fr. Joseph-Léon Cardijn: seeing, judging, and acting. Pope John XXIII (2016) writes, "First, the actual situation is examined; then, the situation is evaluated carefully in relation to these teachings; then only it is decided what can and should be done in order that the traditional norms may be adapted to circumstances of time and place" (para. 236).

CST is, in essence, a collection of encyclicals[3] beginning with Pope Leo XIII's 1891 *Rerum Novarum: The Condition of Labor*.[4] The most recent document, and perhaps the most well-known today outside the Catholic Church, is *Laudato Si': On Care for Our Common Home* (2015) by Pope Francis. The encyclicals attempt to provide answers and guidance to social problems facing humans in their everyday lives from a Catholic point of view. For example, *Rerum Novarum* discusses how social life was transformed by the nineteenth century Industrial Revolution, and *Laudato Si'* addresses the serious problems associated with climate change.

More specifically, the aim of CST is to discuss "the relationship between Christian morality (virtues, rules, rights, and ideals) and the concrete social patterns, practices, and institutions within which persons live" (Brady, 2017, p. xvii). But even if the teaching is grounded in the Gospels and Christian morality, the intent of the teaching is to influence all parts of society: individuals, firms, governments, and international organizations.

It is important to note that people are not assumed to follow CST simply because of the authority of the Pope. Instead, the teaching always provides answers to political and social problems through reasoned statements; its aim is "to convince people with reasons of the heart and *of the mind,*" and its moral reasoning is justified using several different

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[2] In 2017, there were approximately 7.4 billion people on earth. About 1.3 billion were baptized as Catholics. Therefore, about 17.6% of the world population belongs to the Catholic Church (Central Office of Church Statistics, 2020).

[3] The Catholic meaning of "encyclical" pertains to documents stating the official teaching of the Pope. There are 17 documents that constitute the core of the collection (Brady 2017, p. 2).

[4] In presenting CST, I draw on the wonderful book by Brady (2017).

methods: theology, tradition, philosophy, common human experience, and pragmatism (Brady, 2017, p. 11–12, emphasis mine).

Four Core Principles

In developing the teaching, the Church applies four main principles (PCJP, 2005, Ch. 4): the dignity of the person, the common good, subsidiarity, and solidarity. According to the PCJP (2005), "these principles have a profoundly moral significance because they refer to the ultimate and organisational foundations of life in society" (para. 163).

Principle No. 1: Dignity of the Human Person. This is the most fundamental principle, which states that because all humans are created in the image of God, a human person has innate dignity. The implication of this is that all human beings have rights that are "universal, inviolable, inalienable" (PCJP, 2005, para. 153). In other words, rights that apply to all human beings exist because of human dignity, and no one can deprive a person of these rights. In practice, this implies that no human being must be "degraded or reduced to a mere means or a tool for ends" (Schlag, 2017b, p. 21).

Principle No. 2: The Common Good. The *Catechism of the Catholic Church* defines the common good as "the sum total of social conditions which allow people, either as groups or as individuals, to reach their fulfilment more fully and more easily" (Catholic Church, 2000, para. 1906). In short, this means that the institutions within a society must be organized such that they help humans to flourish. An important point is that all persons in a society have a *personal responsibility* to promote the common good, e.g., by in accordance with the moral values on which society rests. Political authorities have a special responsibility to guarantee "the coherency, unity and organisation of the civil society" such that "the common good may be attained with the contribution of every citizen" (PCJP, 2005, para. 168). It should be noted that the common good is *not* an end in itself. It only has value "in reference to attaining the ultimate ends of the person and the universal common good of the whole of creation" (PCJP, 2005, para. 170), i.e., God.

Another principle associated with discussions about the common good is the role of private property. The CST states that "private property is an essential element of an authentically social and democratic economic policy, and it is the guarantee of a correct social order" (PCJP, 2005, para. 176). Anything a person acquires through work is his or her property. However, "*ownership of goods [must] be equally accessible to all*" (PCJP, 2005, para 176). Furthermore, since the earth's resources were created for *all* human beings, we must not forget to take care of the poor and the marginalized (PCJP, 2005, para. 182).

Principle No. 3: Subsidiarity. The principle of subsidiarity protects people from abuse by higher-level authorities. Second, it requires the same authorities to help people in distress (PCJP, 2005, para. 185-8). The central idea behind this principle is that civil society is comprised of individuals, families, and small communities. This is eloquently expressed by Pope Pius XI in his 1931 *Quadragesimo Anno: After Forty Years*: "Just as it is gravely wrong to take from individuals what they can accomplish by their own initiative and industry and give it to the community, so also it is an injustice and at the same time a grave evil and disturbance of right order to assign to a greater and higher association what

lesser and subordinate organizations can do" (as cited in PCJP, 2005, para. 186). In short, authorities should only interfere in a lower level if there is something the lower level is unable to solve, i.e., a decentralized approach.

Principle No. 4: Solidarity. This principle simply states that because of strong relationships between persons, we all must contribute to the common good and care for our neighbor. Solidarity is both a principle and a moral virtue (Guitián, 2017, p. 48).

Besides these four principles, the CST also promotes four fundamental values: truth, freedom, justice, and love: "All social values are inherent in the dignity of the human person, whose authentic development they foster" (PCJP, 2005, para. 197).

The First Encyclical
By the end of the nineteenth century, the Second Industrial Revolution was well established across most of Western Europe. For millions of people, life changed with the spread of new technologies such as dry steam power and electricity. People moved from rural areas into cities where they worked in factories and received wages in exchange for their labor. In many countries, economic growth accelerated, international trade flourished, and economic liberalism established a foothold. Toward the end of the century, there was a sustained rise in real per capita income.

However, life was not easy for the lower classes (the proletariat). Poverty was still pervasive, and the gap between rich and poor increased substantially. Child labor was prevalent, working hours were long, and workers were often forbidden to unionize; therefore, people started to question the implications of the increased wealth and how it was shared in society (Roberts & Westad, 2014, p. 865). Historian Eric Hobsbawm, writing about the working class in Britain, claimed that "nothing is more characteristic of Victorian working-class life, and harder for us to imagine today, than this virtually total absence of social security" (Hobsbawm & Wrigley, 1999, p. 133).

It was against this background that the first encyclical *Rerum Novarum, or On the Condition of Labor,* was issued in 1891. Pope Leo XIII (2016), concerned about social questions about the poor, writes, "some remedy must be found, and quickly found, for the misery and wretchedness which press so heavily at this moment on the large majority of the very poor" (para. 2). The issuing of the first encyclical illustrates how CST develops. The Pope observes a contemporary social problem, describes the problem thoroughly, and then encourages people both inside and outside the Church to take social action.

The Meaning of Work
Ninety years after the *Rerum Novarum* discussed industrial capitalism and its concomitant working conditions, in 1981, Pope John Paul II issued the encyclical *Laborem Exercens*, or *On Human Work*. The latter constituted a continuation of the former, and the Pope's great concern was how work could be used to solve the great social question, i.e., poverty and misery, in a globalized world: "human work is a key, probably the essential key, to the whole social question" (John Paul II, 2016, para. 3). Since work is given such importance,

the following question requires an answer: What is work? Answering this question will also lay the foundation for the next section, in which I discuss wages.

Objective vs Subjective Sense of Work

Pope John Paul II makes an important distinction between work in the objective and subjective sense. But to understand this distinction, we must also understand how the Church views a person. According to the book of Genesis, a person is created in "the image of God" and is called to subdue and have dominion over the earth (Gen 1:26, 28). Hence, "all things on earth should be related to man as their center and crown" (Vatican Council II, 2016, para. 12).

For man to subdue and attain dominion over the earth, he must work. This is the objective sense of work that has evolved over the millennia from labor-intensive agriculture to modern agriculture – all with the purpose of transforming earth's natural resources into products for man's use. Work in this sense also raises tensions between "ethical and social character" (John Paul II, 2016, para. 5), such as tensions in the relationship between man and technology.

To elucidate what is meant by the subjective sense of work, without going too deeply into Catholic theology, it is important to understand that a person is made up of a body and a soul. As subjective beings with an intellect, "relentlessly employing his talents through the ages, [man] has indeed made progress in the practical sciences, technology, and the liberal arts" (Vatican Council II, 2016, para. 15). That is, by applying his intellect and wisdom, he can act and make choices in a planned and rational way to achieve self-realization. Hence, the crucial point is that

> *As a person, man is therefore the subject of work. As a person he works, he performs various actions belonging to the work process; independently of their objective content, these actions must all serve to realize his humanity, to fulfil the calling to be a person that is his by reason of his very humanity* (John Paul II, 2016, para. 6).

This has at least two important implications. First, the morality of work embodies both the objective and subjective dimensions, though the subjective dimension is the most important one. Second, the value of work is not decided by the type of work, but by the fact that work is performed by a person. Regardless of the type of work, the subjective perspective provides a person with "the ability to live in human dignity regardless of the low social status of their objective work" (Storck, 2017, p. 51).

This latter implication is opposed to the economic view, whereby the value of work is determined by economic value. However, the encyclical does not claim that we should not look at the objective value of work. Rather, the claim is that "the primary basis of the value of work is man himself, who is the subject. [The important ethical conclusion is that] work is 'for man' and not man 'for work'" (John Paul II, 2016, para. 6).

Three Spheres of Work

Pope John Paul II discusses three spheres of work: the aforementioned personal dimension of work; family, which is supported through work; and society, since every

person is a member of a society, and this constitutes an important part of their identity. By working, a person contributes to the common good of his or her society.

Essentially, the Catholic view is that work has a much deeper meaning than the modern economic view, whereby work is considered a factor of production (the objective dimension of work). Even if work often takes a toll on a person, "work is a good thing for man—a good thing for his humanity—because through work man not only transforms nature, adapting it to his own needs, but he also achieves fulfilment as a human being and indeed in a sense becomes 'more a human being'" (John Paul II, 2016, para. 9).[5]

A Living Wage

In economic theory, wages are determined by supply and demand. If an employer and a worker agree on a particular wage, this is considered economic fair because both the employer and the worker entered into the agreement voluntarily. As long as the employer pays the agreed wage to the worker, no injustice has taken place. This is the basic law of a capitalist economy in which work is simply a factor of production. However, moving from theory into reality, this is not so simple from a moral point of view.

In *Rerum Novarum,* Pope Leo XIII discussed a just wage and acknowledged that a firm and a worker are free to agree on a wage, even if the agreed wage is zero. This is the personal component of wages, which is in line with economic liberalism.

However, there is also a necessity component of wages, because "without the results of labor a man cannot live" (Leo XIII, 2016, para. 34). This raises a moral issue: agreeing to a very low wage would be against natural justice because man must obey self-conservation. In other words, the agreed wage can be no lower than what is needed for the worker "to support the wage earner in reasonable and frugal comfort" (Leo XIII, 2016, para. 34). This latter point recognizes that injustices occur due to differences in bargaining power. Often, low-skilled workers do not have other options than to accept a wage that is insufficient to support their basic needs.

However, CST also acknowledges that workers must not demand so high wages that the firm will go bankrupt, which also causes distress among the workforce (Pius XI, 2016, para. 72). If this happens, then both the firm and its employees, possibly with the help of the public authority, must work together to find a solution of mutual understanding and harmony between employers and employees.

In a globalized economy in which many industries and countries face fierce competition from countries with low wage levels, this could pose a real economic problem by constraining the wage level in the domestic country (e.g., the United States versus Mexico or China). According to the economist and theologian Daniel K. Finn, the discussion on a just wage is perhaps the most challenging economic question for CST today (Finn, 2013, p. 248).

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[5] There is also a large secular body of literature on the meaning and importance of work. See, for example, Wolfe (1997), who after reviewing several books authored by social scientists, comments that they "all point to a common conclusion: Whatever a person's social class, outlook of the world, or motivations, work can be an essential component of personal development" (p. 566).

The definition of a living wage is "payment for labor that must be such as to furnish a man with the means to cultivate his own material, social, cultural, and spiritual life worthily, and that of his dependents" (Vatican Council II, 2016, para. 67). A more operational definition is given by political scientist Jerold L. Waltman in his book, *The Case for the Living Wage*: "A living wage can be defined as *a wage that would provide someone who works full-time year-round with a decent standard of living as measured by the criteria of the society in which he/she lives*" (Waltman, 2004, p. 86). Such a living wage would apply to everyone, and it would be adjustable in light of macroeconomic changes (e.g., if the defined living standard were no longer achievable).[6]

More importantly, according to Waltman (2004, p. 85), "the living wage is the most appropriate antidote" to problems such as poverty and inequality. With rising inequality, especially within countries, capitalism itself has never been able to solve the question of distributive justice. As argued by Thomas Piketty, "the history of inequality is shaped by the way economic, social, and political actors view what is just and what is not, as well as by the relative power of those actors and the collective choices that result" (Piketty, 2014, p. 20).

From an economic point of view, there are several arguments against implementing the living wage concept, as it has been argued that it will result in the following: (1) increased labor costs, which will lead to higher unemployment and more failures among small businesses; (2) increased purchasing power, which will lead to inflation; (3) recession, which will result in higher unemployment; and (4) countries with high living wages, which could generate an economic incentive for illegal immigration. According to Waltman (2004), arguments 1 and 2 are unproven, argument 3 is true, and although argument 4 is unsolvable, it should not be used as an argument against implementing a living wage (p. 127).

In sum, there is no economic argument that undercuts the need for a living wage. In my view, even if there was an economic argument sufficiently unassailable, we ought not to forget that providing everyone with a living wage is not mainly about economics but about morality and justice. Indeed, the "logic behind use of the living wage is simple and is based on both moral and economic reasoning" (Barnes 2018, p. 139); moral reasoning because every person has dignity, and economic reasoning because people cannot participate in the economy without the ability to earn what they need to provide themselves and their dependents with a life in what Pope Leo XIII called a "reasonable and frugal comfort."

Interestingly, the father of economics, Adam Smith (1723–1790), argued for providing a "plentiful revenue or subsistence for the people" (Smith, 1904, p. 295). For Smith, people were not only motivated by self-interest, but also by the welfare of others. Moreover, a human being understands that there is a close relationship between the individual's interest and the prosperity in the rest of society (Smith, 2009, p. 13 and 106). In other words, Smith argued that everyone in a society needs basic revenue to acquire the

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[6] In theory, the living wage might decrease in a more resilient economy.

necessities to survive and that every individual in a society must contribute to the common good.

Before concluding this paper, let me sketch a few points on how to address the situation faced by unemployed, disabled, or poor people. First, *no Christian "has the right not to work* and to live at the expense of others" (PCJP, 2005, para. 264, emphasis mine).

Second, work is a fundamental right and expresses and enhances a person's human dignity. To secure full employment is therefore a "mandatory objective for every economic system oriented towards justice and the common good" (PCJP, 2005, para. 287).

Third, "*unemployment* almost always wounds its victim's dignity and threatens the equilibrium of his life" (Catholic Church, 2000, para. 2436). The state must therefore "promote employment policies" (PCJP, 2005, para. 291) and "*prioritize the goal of access to steady employment for everyone*" (Benedict XVI, 2016, para. 32). The educational system must provide young people with "human [and] technological formation," and mature workers must be offered courses and retraining (PCJP, 2005, para. 290). Furthermore, unemployment benefits must be provided to the unemployed (John Paul II, 2016, para. 18).

Fourth, disabled persons have the same rights as other people. Hence, society should "foster the right of disabled people to professional training and work" (John Paul II, 2016, para. 22).

Fifth, it is a duty of the working man to "give food, drink, clothing, welcome, care and companionship" to their poor neighbors (PCJP, 2005, para. 265). Charity is at the heart of the social teachings and the Church's mission to the poor. However, charity "cannot take the place of justice unfairly withheld" (Pius XI, 2016, para. 137).

Conclusion

In this paper, I have showed that the concept of a living wage is a more useful concept than equal pay from a CST perspective. That is, everyone has the right to a living wage that enables them to support themselves and their families such that they can live and "cultivate [their] own material, social, cultural, and spiritual life worthily." An important part of this argument is that a living wage is a right that is both individual, natural, and absolute; a living wage is "a natural, not a positive right; for it is born with the individual, derived from his rational nature, not conferred upon him by a positive enactment" (Ryan, 1906, p. 43). From a moral point of view, this is crucial. It is a natural right – that is, a right given equally to everyone by nature (or, more precisely, by God).

Let me close this paper by stressing the point that the fundamental key to understanding CST, the right to a living wage, and our moral obligation to the unemployed, the disabled, and the poor is the concept of human dignity. "A just society can become a reality only when it is based on the respect of the transcendent dignity of the human person" (PCJP, para. 132). This challenges every one of us to reflect on our ethics and consider "every neighbor without exception as another self, taking into account first of all his life and means necessary to living it with dignity" (Vatican Council II, 2016, para. 27).

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Prudence, Ethics, and Anticipation in Visionary Leaders

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Abstract

In ethics, prudence is an essential skill in making informed decisions. Although several studies in various fields have dealt with the notion, few empirical studies have addressed one of its inextricable aspects: anticipation. To gain a better understanding of the notion, this study questioned fifteen leaders whose peers consider to be "visionary" in their respective fields. The results of this qualitative study based on semi-structured interviews describe the fundamental aspects of anticipation according to three categories: reasoning and trend analysis, implementation and strategy, and personality and values.

Introduction

In ethics, *prudence* is often considered to be the "mother of all virtues" (Rouse and Rouse, 2008), as it is the condition that makes all others possible. Etymologically, the word prudence derives from the Latin *prudentia*, which means wisdom, foresight, i.e., the ability to "look ahead" to make informed decisions. Aristotle defined prudence as a "state grasping the truth, involving reason, concerned with action about things that are good or bad for a human being" (Aristotle, 2019). In the Christian thought of St. Thomas Aquinas, prudence is the most important of the cardinal virtues,[7] the one that is most necessary to human life. For the Angelic Doctor, "in order to act well, we need to make good judgments about how we should behave" and "not act solely as a result of impulse or passion" (Thomas Aquinas, 2000). Prudence works in many spheres of human action, including statecraft and strategic reasoning. Unlike science, it does not seek to attain a universal knowledge that can be translated into immutable laws. Rather, it aims for the *concrete* resolution of *specific* problems, which arise in a *unique* context and must be decoded, sometimes through recourse to more elaborate knowledge, and sometimes through more immediate intuitions. Thus, a doctor who knows how to detect an illness's symptoms and

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[7] The cardinal virtues are essential virtues from which the other human virtues derive. There are four cardinal virtues: prudence, temperance (moderation), fortitude, and justice.

prescribe the correct remedy and correct dose may be said to be prudent; the same is true of a professor who adapts his pedagogy to the context of the class and individual characteristics of his students.

The academic literature on prudence is first and foremost philosophical. Primarily, it strives to define the meaning of this concept in the work of its principal founders in Antiquity (Greek and Latin) and the Middle Ages. In French, in 1963, Pierre Aubenque published a book called *La prudence chez Aristote* (Aubenque, 1963) [English translation: Aristotle's Prudent Man, 1964]. In this work, recognized as a credible reference on the matter, Aubenque associates prudence with a type of judgment about action that is suited to the circumstances. He also stresses one point: in his opinion, prudence cannot be detached from a cosmology in which the world is partially chaotic and unpredictable, pushing humans to develop "opportune" knowledge that is shaped by experience, good judgment and a good fit between the means and the ends. Aubenque's work on Aristotelian thought is part of a long series of extraordinary works published in the first half of the 20ᵗʰ century and dedicated to interpreting the work of the Stagirite. However, Aubenque's book is one of the few to focus exclusively on prudence. Among the works most well known in English at that time were *Aristotle,* by W.D. Ross (1923), and the Jaeger classic (1934), translated from German, *Aristotle: Fundamentals of the History of his Development*. As their titles suggest, the works focus on Aristotle's overall philosophy; there is little specific analysis of the concept of prudence. Of the more recent works in English cited in the *Stanford Encyclopedia of Philosophy*, very few focus on ethics (Shields, 2020).

The ethical contemplation of prudence, which began in Greek antiquity and continued in the Christian Middle Ages, crystallized in the ensuing centuries in a current of thought called "virtue ethics." In "normative" ethics, virtue ethics is one of three broad families of ethics theory, along with deontology and utilitarianism. In the 20th century, a renewed interest in virtue ethics developed subsequent to British philosopher Elizabeth Anscombe's critique of modern approaches to ethics. According to Anscombe, these approaches are too focused on universal principles such as the "categorical imperative" or the rule of the "greatest happiness of the greatest number," and neglect such things as the role of psychology and emotions (Anscombe, 1958). In *Virtues and Vices* (2002), another British philosopher, Philippa Foot, examines certain classic ethical problems, such as euthanasia and abortion, through the theoretical lens of the virtues. However, it may be in the work of Scottish philosopher Alasdair MacIntyre that the influence of virtue ethics reaches its peak. In his most well-known work, *After Virtue* (1981), MacIntyre proposes to contemplate the political and moral problems in philosophy from an Aristotelian perspective. In chapter 14 of his book, MacIntyre begins a systematic exploration of what the virtues are based on according to various historical conceptions, including Aristotle's, of course, but also those of other historical figures, including Homer, Benjamin Franklin and Jane Austen. However, despite the importance they place on the virtues in general, all of these works run aground on the concept of prudence.

More recently, *Virtue Ethics and Contemporary Aristotelianism* (Bielskis, Leontsnini, & Knight, 2019), a collective publication devoted to contemporary work inspired by

Aristotelian thought, contains contributions on various subjects, but none of the articles delves more deeply into the concept of prudence. It is lost in more general considerations of the virtues or the idea of good. The same is true of *The Routledge Companion to Virtue Ethics*, published in 2015 under the direction of Besser and Slote, and *The Cambridge Companion to Virtue Ethics*, published in 2013 under the direction of Russell. Rather, it is in the theological literature that the issue of prudence resurfaces, primarily upon a rereading of the work of Saint Thomas Aquinas, considered by Pope Leo XIII as a suitable expression of Church doctrine. *Optatam Totius*, a decree on the training of Catholic priests proclaimed by Pope Paul VI in 1965, even invokes Thomas Aquinas as a master, "for so great is the power of the angelic Doctor's genius" (Paul VI, 1964). The theological work on Thomas Aquinas and prudence is primarily "generalist" and most often boils down to explaining the theory set out in *Summa Theologica* or lauding its usefulness in understanding Christian morality (Thomas, 2019; Dubrulle, 2016; Reedy, 2012; Irwin & Irwin, 2007; McManaman, 2006; McCabe 1993; Nelson, 1992; Lemoine, 1991).

This type of exploration of the concept of prudence can also be found in academic literature in fields other than philosophy and theology. For example, Dobel (1998) suggests that prudence can help to reconcile political leadership with moral values. In law, Feldman (1998) asserts that prudence, and virtue ethics in general, can help better identify neglect in tort law. Through his conceptions of prudence and "just war," Thomas Aquinas even makes his way into military studies, where some authors think that prudence can guide decision making in the highly uncertain context of the battlefield (Gorman, 2010; Reichberg, 2010; Robinson, 2007). Other fields, including management and medicine, also regularly invoke prudence as a potential solution to the ethical problems experienced in some professional activities. In a 2013 article, Marshall, Baden and Guiden even go so far as to claim that the fundamentally "psychopathic" nature of corporations has played a key role in global financial crises. Accordingly, these authors wonder whether the resurgence of ethical prudence might be a potential remedy for dealing with these destructive dynamics (Marshall, Baden, & Guidi, 2013). Similarly, other studies argue for a revitalization of management in capitalist societies through a rehabilitation of prudence and virtue ethics (Intezari & Pauleen, 2014; Müller & Bredillet, 2014; Grassl, 2010; Statler, Roos, & Victor, 2007; Kane & Patapan, 2006; Nielsen, 2006).

Edmund D. Pellegrino, one of the leading authors in biomedical ethics, puts the virtues, particularly prudence, at the heart of what a humanist medical training should be (Fins, 2015). Most proponents of a virtue-based approach to ethics and medicine stress that they foster a sensibility in health professionals that makes it easier for them to go from general principles, such as the principles arising from their codes of ethics, to application in the array of singular cases they see in practice (Vizcarrondo, 2012; Armstrong, 2006; Gardiner, 2003; Jansen, 2000; Pellegrino, 1995). However, astoundingly, the concept has not been the subject of more systematic study in applied ethics, although even the act of interpreting general knowledge in order to act correctly in individual cases involves prudence as defined by Aristotle and Thomas Aquinas. A better understanding of prudence offers a key to what has made many decision makers successful in a wide array of fields; it means understanding how they were able to seize the opportunities that arose and turn them into the success upon which they built their reputations.

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Purpose of the Study

To advance our grasp of the concept of prudence, we decided to go beyond what academic research has proposed to date, and look into the forms of reasoning used by people whose excellent judgment has made them stand out in their fields. More specifically, using an empirical approach that goes beyond the framework of purely theoretical philosophical reflection, we decided to focus on a central aspect of prudence that has not received much attention: i.e., *anticipation* or *forward reasoning*. Forward reasoning is focused on the future. It seeks to identify potential future scenarios so as to, in the present, adjust the decisions, actions and strategies that will have short-, medium- and long-term consequences (Poli, 2017). For Thomas Aquinas (2000), anticipation is the "principal part of prudence, to which others are ordered and in the context of which they play their role." Clearly, in many fields, the ability to realistically predict what is going to happen in the near future provides an individual or organization with an enviable strategic edge, especially in a competitive environment. In light of these considerations, our study's *objectives* were: *1) To establish how, in their work, someone whose peers deem to be visionary structures their forward reasoning to orient decision making; 2) To determine what personal qualities and ethical values are deemed essential to their work from the perspective of the visionaries themselves.*

Methodology

Population and Sampling

To achieve our research objective, we first had to establish which population seemed the most able to inform us about forward reasoning. At the outset, it seemed obvious that people who were considered by peers to be "visionaries" in their respective fields would certainly be of interest in grasping, concretely, how the mechanism of forward reasoning or anticipation may operate. By definition, a "visionary" is someone who can conceive of and communicate an image of the future (van Knippenberg, D. & Stam, D., 2014). Rather than restricting ourselves to a specific professional field, we decided to open our investigation to all professional fields. This decision is justified by the idea that, if we want to learn the fundamental operating modes of forward reasoning, it would be better cross disciplinary boundaries. In total, recruitment messages were sent to about 20 people. No one who responded to the message declined to participate in the research. The others simply did not respond to the email. We therefore approached 15 people (11 men and 4 women) from different professional backgrounds who had a range of years of service. Some, despite their reputations, were relatively new to their fields (less than 10 years), while others had been in that field for over 25 years. *Table 1* provides a snapshot of the profile of study participants. They all came from the same geographic region in Canada. They were identified through an Internet search that used keywords such as "visionary," "leader," "avant garde," etc. The keywords of our search were related to our desire to find not only leaders, but also people with the ability to see trends coming, therefore to anticipate. The Internet search also yielded more information about their careers and the level of recognition they were getting from peers. Information about the leaders was gathered from well-known newspapers or magazines in their home countries, mostly in

articles highlighting their professional accomplishments. Where these people enjoyed substantial recognition because of their role as visionary, we contacted them by email to request study participation.

Data Collection and Analysis
The perspective on forward reasoning we opted to develop in this study is *phenomenological* and *qualitative* (Valle & Halling, 1989). This perspective does not always offer the same power to generalize knowledge as quantitative approaches, but, on the other hand, it fosters a broader, *pragmatic* comprehension of what visionaries *actually do* when they anticipate trends. To question them, we used semi-structured interviews. As often occurs in this type of research, we applied the *saturation* principle to determine the final sample size (Saunders *et al*., 2018). More specifically, we stopped interviewing when they were no longer contributing new information about forward reasoning structures (the study's general objective). The first section of the interview guide dealt with the participant's professional profile (field, number of years of experience, etc.); the second section focused more closely on forward reasoning and the "methods" used to anticipate trends. The interviews lasted an average of 45 to 60 minutes. Some were conducted in person but most were done over the phone or by Zoom. The interviews were held between October 2019 and November 2020. The software NVivo, version 12.6, was used to analyze the data from the interviews. One person (the principal investigator) handled transcription and data analysis. The study's objective was to understand *how* forward reasoning worked from the perspective of the players themselves. Since the data collected was already somewhat structured due to a conceptual framework (see *infra*) that defined the main components of forward reasoning, which were included in the interview guide, we performed a content analysis with the aim of *exemplifying* how each visionary leader interviewed mobilized his or her personal cognitive resources and data from the environment to anticipate trends. Accordingly, we did not attempt to establish frequencies or usage occurrences for any of the components of forward reasoning. Instead, we attempted to illustrate, via deductive codification of the data (Mayan, 2009), how the visionary leader's description of his or her mode of forward reasoning related to the components of this type of reasoning listed in the literature. This exercise should make it possible to identify elements common to the leaders, as well as differences and specificities associated with the context in which the prediction work is occurring.

Conceptual Framework
To better identify the main components of forward reasoning and anticipation, we reviewed the scientific literature on future studies. These concern "the systematic studies of possible, probable and preferable futures including the worldviews and myths that underlie each future" (Inayatullah, 2013). The future studies include six primary aspects: 1) mapping the future; 2) anticipating the future; 3) timing the future; 4) deepening the future; 5) creating alternatives; 6) transforming the future (Inayatullah, 2013). Anticipation therefore pertains to the second objective of the future studies. The primary method used for anticipation is called *emerging issues analysis* (Inayatullah, 2013; Molitor, 2003). It involves identifying certain trends ahead of time to avoid problems or, in contrast, to capitalize on certain opportunities. Based on the model developed by Molitor (2003), the

future unfolds based on a spatiotemporal curve that stretches over many years (often decades). In its early phases, a society's most visionary individuals, who belong to a very rare intellectual elite (only a few people), succeed because of their acute sensitivity, nonconformism and superior reasoning ability that is better at perceiving "weak signals" or "emerging issues." These seeds of the future initially manifest as subtle signs, such as isolated, surprising, bizarre events with no apparent meaning. After that, these seemingly isolated events gradually aggregate to enable more systematic interpretation. In general, certain privileged loci in advanced societies, such as creative centres, major research centres and top universities are among the first social institutions to grasp these emerging trends. It is at this time, called the "take-off point," that ideas began to percolate into various social strata until they reach the final phases of the spatiotemporal process during which the "influencers," the "public figures" and "general public" end up absorbing the trends and making them a reality, a truth (Molitor, 2003). As Hiltunen (2008) points out, epistemologically, this process of interpreting trends oscillates between observing the signs themselves, the form they take in materializing (concepts, works of art, etc.), and the meaning they may yield.

Broadly, we can therefore judge that the forward reasoning process as such includes fundamental *external* (or objective) dimensions, such as *analysis of weak signals*, and adequate identification of innovation sources in the present time. To be mobilized correctly, these external dimensions must be complemented by internal (or subjective) dimensions associated with their interpretation, such as *openness to new things, originality, sensitivity, empathy, nonconformism, self-confidence* and so forth. The internal dimensions thus arise from the personality and the values that inform it. To express this conceptual framework in our study, we developed a data collection tool, the interview guide, which included three parts made up of semi-open questions which picked up the fundamental dimensions of anticipation and forward reasoning. Thus, one question dealt with signal analysis, another focused on the choice of scenarios of the future based on various constraints, and another question dealt with the subjective dimension based on the ethical or moral values driving the choices. The first part of the interview guide was used to create a socio-professional profile of the participants, while the third and last part dealt with a visionary's key personal qualities. Reasoning was mainly covered in the second part of the guide.

Results

In the first part of the interview, study participants were asked to explain their work, and the circumstances that led them to engage in forward reasoning. *Table 1* describes the participants' socio-professional profile.

Table 1: Socio-Professional Profile

Sex	n	n%
Women	4	27%
Men	11	73%
Total	15	100%

Sector	n	n%
Business, Marketing, and PR	1	7%
Arts	2	13%
Community	1	7%
Design	4	27%
Health and Wellness	2	13%
Science and Technology	3	20%
Sports	2	13%
Total	15	100%

Table 2 reports what participants said during the interviews about *reasoning and signal analysis*, and about *implementing ideas and strategy*. The table identifies the broad themes associated with each question and provides verbatim summaries to illustrate them. The list of themes was defined by sticking as closely as possible to the temporal and logical sequence of operations in forward reasoning. To protect participants' anonymity, the verbatim summaries are numbered (participant 1 = P1, participant 2 = P2, etc.). The verbatim summaries were assembled from the interview notes. They therefore do not repeat the content of each interview word for word, but are very faithful to the original statement. This procedure made it possible to group sometimes very similar statements by participants into a single summary, and to correct certain linguistic errors (grammatical mistakes in speech). Saturation was reached for all questions. This does not mean that no new information would have emerged if further interviews had been conducted, but it was becoming more and more unlikely, so it was preferable to halt the interviews.

Table 2: **Reasoning, Trends Analysis, Implementation and Strategy**

	Themes Addressed	Verbatim Summaries
	1) Emergence of a Problem or Need: Objective and Subjective Dimensions	*My forward-looking assessment is based on an examination of people's needs. I then try to find concrete solutions for meeting these needs over the long term (P14).* *I look at what exists in my field, paying more attention to unsolved problems (P1, P6).* *I feel strong emotion, disgust (P3), dissatisfaction (P4) with what is already there. This makes me want to change things (P3, P4).* *The needs manifest on several levels: emotional, psychosocial, material, technical, etc. (P14).* ----------
	2) Observation of Patterns and Trends	*I take in so much information that it becomes easier to see how large movements get going ... My vision is systematic: economic trends determine behavioural trends which determine aesthetic preferences (P6).*

Reasoning and Trends Analysis		*I draw on what some other innovative organizations or individuals are doing (P4, P5, P8).*
		A thorough, longitudinal study of past data helps me reduce the margin of error for my predictions (P2).
		I observe how mentalities change through the ideas that are circulating in the media, specialized writing, expositions, lifestyles (P7).
		I sometimes look at history, because the same errors repeat themselves. Transdisciplinarity is very important. I don't rule out any perspective (P10).
		Expectations are created at various "altitudes" (short, medium and long term), in separate spaces (local vs. global) (P12).
		I don't look at trends. Real leaders don't look at trends. They invent. For me, it is daily reality that inspires me (P9).
		I map, I visualize, I create groups, and I try to establish connections between them. I let the system soak in, like a puzzle (P10).
		----------
	3) Intuition and Critical Thinking	*In problem solving, the first intuition arises from confronting the information. The first intuition must then be refined through a testing process. Sleep plays an important role in the process (P6, P11, P15).*
		You have to let your thoughts wander to encourage intuition. I do it through meditation. Then I go to the office and ask other people what they think about it. The subconscious generates intuitions by drawing on experience (P15).
		----------
	4) Chance and Opportunities	*You have to be able to glimpse the possibilities and grasp opportunities that arise, often by luck. Luck only favours those who are prepared (P13, P14).*
		I've got a general plan. However, in terms of details, I leave room for contingencies (P5).
		In general, in our field, deductive reasoning doesn't get you very far (P13).
		It's like I'm a guitarist. I let my fingers work and I watch where the spontaneity takes me (P10).
		----------
	5) Individual Group Dynamics	*Talking with others creates a synergy that fosters innovative ideas (P1, P2).*

		We always make decisions together, as a team. The diversity of perspectives enriches the process (P4, P11).
		I believe strongly in the power of the group. My ideas first come to me when I'm running, and then I take them to my team (P8).
		We do most of our reflection as a group (P15).
Implementation and Strategy	**1) Realization of Ideas**	*Innovation requires a good alignment between the concept and its realization. It's a two-way (iterative) and continuous process (P1).*
		Innovation is easier in an ecosystem with adequate financing, with several stakeholders involved (P1, P15).
		We create scenarios that we test based on their effectiveness (P2).
		We do modelling using mock-ups (P3).
		I look at the "scales," i.e., ease of production or ease of disseminating an idea (P7).
		Darwinian logic has a role to play in the world of ideas. The best ideas survive better (P13).
	2) Spatiotemporal Constraints	----------
		It is important to analyze the structural levels of resistance to change that lead to degrees of hybridization with the past (P12).
		----------
	3) Importance of Consensus	*It is important to build consensus around my decisions. Everything is easier once you have a consensus (P14).*

Table 3 sets out participants' answers regarding the *ethical values* that are deemed the most significant, and the *personal qualities* a visionary leader must have. The table also includes the broad themes addressed, and verbatim summaries. As in *Table 2*, saturation was reached for all questions.

Table 3: **Ethical Values and Personal Qualities**

Questions	Themes Addressed	Verbatim Summaries

Ethical Values	1) Micro: Prioritization in Individual Reasoning	*My values dictate 100% of what I do. I strongly believe that our decisions must reflect our values. I don't just want to make money. I want to make a difference (P1, P2, P4, P5, P6, P7, P8, P9, P10, P11, P13, P15).*
		----------
	2) Meso: Interactions with Others or Institutions	*For me, lying and betrayal are almost crimes against humanity. It's important to be real (P6).*
		My attitude is based on integrity and transparency. I say what I think (P15).
		----------
	3) Macro: Realization of Ideals	*When our values are no longer found in the work, that's when we get lost (P5).*
		At the end of my life, I want to be able to say that I did my best, I was true to myself, that I did what was right (P9).
		Our mission is to serve others. All of our actions must be in line with this value (P14, P15).
	4) Key Values (ranked by the number of occurrences in the verbatims)	----------
		Integrity, openness, empathy, perseverance, generosity, respect for the environment, humility, egalitarianism.
Qualities of a Visionary	1) Key Qualities (ranked by the number of occurrences in the verbatims)	*Community-building, persuasive, curious, creative, passionate, confident, cultivated, intuitive, humorous, flexible, pragmatic.*

Discussion

The qualitative results were grouped around three broad categories that cover both the external and internal dimensions of prospective reasoning.[8] The external dimensions involve reasoning as such, analysis, and implementation and strategy. The internal dimension is addressed through cognition, values, and some traits of the visionary personality. The results obtained through the interviews help discern forward reasoning through the logical steps in processing information and grasping its manifestations in various settings and configurations in the outside world. They also offer an interesting and, in some respects, innovative perspective on the cognitive processes that underlie the virtue of prudence. The possibility of understanding anticipation and forward reasoning across this continuum based on the introspection of the individuals themselves is one of this study's primary scientific contributions. The contribution seems even more substantial in ethics, insofar as few empirical studies have been conducted on these issues.

Reasoning and Trend Analysis

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[8] "Prospective reasoning" is a notion used as a synonym of "forward reasoning" and "anticipation."

Based on the statements of the leaders who participated in the study, forward reasoning is initially triggered by a "problem" or "need" for which no satisfactory response currently exists. This "lack" generates an emotion, a fairly intense dissatisfaction that drives the person to seek innovative solutions by analyzing "what is." Cognitively, it makes sense to associate this process of "rapid" reasoning (Evans, 2003) or "system 1" in *dual-process theory* (Kahneman, 2011) with a type of "intuition." Given that intuition was not a specific theme in the interviews, it is hard to establish what type of intuition could be associated with what the visionary leaders described during the interviews. However, using the classification proposed by Hogarth (2010), it seems permissible to associate the judgment or "dissatisfaction" they describe with a type of *matching intuition.* This orients the interpretation of the external world's configurations by establishing links between the *images, patterns, prototypes* or *schemas* recorded in subconscious memory and acquired through experience. It helps perceive inconsistencies in a situation, that is, the functional deficit and sub-optimality of some solutions that must be remedied. In this sense, *matching intuition* seems to form one of the cognitive bases of the study of *weak signals* and *emerging issues* required for anticipation. Leaders' statements in the interviews also suggest that emotion is not solely used as the starting point for intuition. It triggers the search for solutions by fueling *interest* and *curiosity* (Silvia, 2008). The latter dimension, however, is not much addressed in the scientific literature on cognition.

Some leaders also noted that the cognitive process involved in activating intuition and creativity, which feed forward reasoning, greatly benefit from certain rituals that promote a state of mind that is conducive to creation. Some said they meditated; others engaged in sports or reading. The literature on creativity has widely proven these benefits, although little has been written on anticipation as such (Agnoli *et al*., 2018; Horan, 2009). This contribution seems to be explained by the positive or negative moods generated by these rituals (Nijstad *et al*., 2010). On the other hand, while emotion and intuition work upstream of and participate extensively in the anticipation process, the fact remains that, for many leaders, it is important to subject creative ideas to the *challenge of critique.* Numerous leaders stressed this aspect, saying that spontaneous ideas must always be refined. Often, this process is conducted as a *team*, most of the time aiming for *consensus*. This is not surprising, as the group's positive impact on decision making has been broadly proven in social psychology over a number of decades (Laughlin *et al*., 2006; Cooke & Kernaghan, 1987).

As described by the leaders, the process of analyzing trends seems to operate based on a few "basic semantic operations" (Allwood & Gärdenfors, 1999). The first concerns what some leaders called the *systemic* approach. The systemic approach examines a phenomenon based on its interactions with a broader context and environment (De Rosnay, 2014). For example, one of the leaders interviewed stated that societal economic trends explain people's aesthetic preferences, and therefore their consumer behaviours. The standards that orient individual choices are thus influenced by affiliation with a given society or world. Cognitively, this approach relies heavily on the study of *relations* between data in a circumscribed set (the set of individual choices, for example) and those belonging to another set (the set of economic trends) to establish links. The systemic approach therefore encourages a type of synthesis, in which several data sets are compared to gain

a better understanding of a specific phenomenon. A second basic semantic operation concerns the evolution of phenomena over time. Leaders pointed to the importance of paying attention to the study of fairly long temporal sequences in order to observe how phenomena transform. Here, time provides a series of changes of states and properties that may make it possible to "predict" the future through deduction based on past events.

At a more sociological and political level, some leaders pointed out that general culture, interdisciplinarity, a close eye on the news, and knowledge of the many loci of innovation in a specific field favour forward reasoning and anticipation. This idea is consistent with what the studies of creativity have to say. In his book on creativity, Sawyer (2011) reports the results of various scientific studies of the traits of people deemed creative by peers. These traits include *discernment* and *alertness*, which are based on the fact that "they have a wide range of information at their command" (MacKinnon, 1978).

The leaders raise a very interesting question that has not received much study in the literature. To be ahead of their time and anticipate trends, they say it is essential to know how to capitalize on the *opportunities* that chance provides. But what ability does a leader have to have to be "opportunistic"? Once again, it seems to require intuition, at least in part. In a study of executives who are recognized as being "highly intuitive," Agor (1986) explained the conditions under which intuition becomes especially useful in decision making: 1) when uncertainty is high; 2) when there are few precedents to draw on; 3) when a problem's variables are less scientifically predictable; 4) when there are not enough "facts"; 5) when analytical data is of little use; 6) when a decision has to be made between several valid alternatives; 7) when pressure and a lack of time require a quick decision. Several of these conditions are present when an unexpected opportunity materializes. In the case of anticipation, in addition to these conditions, there is the need not only to make a decision in the present moment, but also to "project" oneself into the future, which corresponds to a specific kind of "intuitive" decision making in the context of uncertainty (Akinci & Sadler-Smith, 2012).

Implementation and Strategy
A good idea is not good for much unless it is feasible. This is why we addressed the issue of implementation and the stages in realizing an idea or concept with the leaders. With respect to transitioning from the idea to its execution, several fairly well-known factors were cited, such as adequate funding of research, the use of scenarios, modelling, or prototypes that are tested before being rolled out. Well known in project management (Wynn & Eckert, 2017), the importance of iterative processes that enable repeated, concrete testing of ideas was also stressed. The theme of society's *resistance to change* was also identified as a bar to realizing innovative ideas. On these issues, nothing that was new in comparison with the existing literature emerged, but the theme recalls the fact that *constraint*, regardless of its form (spatial, temporal, axiological, etc.) is an inevitable dimension of anticipation. If a good idea is a feasible idea, its feasibility must therefore consider the constraints that oppose it. In fact, some more recent studies on creativity even report that constraint is a factor that enhances creative problem solving (Medeiros *et al.*, 2018). However, as we will see, insofar as the visionary leaders associate creativity with the power to anticipate, through deduction, we can assume that the aptitude to

perceive the constraints and means to overcome them constitutes an essential characteristic of forward reasoning.

Ethical Values and Personal Qualities

Ethical values were addressed at the various levels at which they manifest. The "micro" level is *intrapersonal*; this is the level at which values act to shape preferences, prioritize actions, make choices (Bardi & Schwartz, 2003). Here, the leaders did not say anything that was very new. They simply insisted on mentioning that their personal values constantly guided them in their work. More interesting, however, was that *all* of them stressed the importance of following their values in making decisions. For them, the most important motivation was "making a difference," helping to create a better world based on their chosen values. While our study does not offer a complete answer, this idea poses an interesting question: do leadership and anticipation require a form of "selflessness"? This may be so, insofar as "selfish" thinking is no doubt more aware of the present and of short-term gains. Instead, anticipation and visionary leadership require a gaze that focuses on a longer time line. For the leaders, values also work at a second level, *interpersonal relations.* Here, the values guide such things as communication and negotiation in the context of work. Although leaders were not asked to elaborate on the style in which they interact with others, their answers contain an indication of their preferred approach. Those who dealt with it explicitly mentioned favouring integrity, transparency and truthfulness in their relations with others. As the literature on the psychology of human resources management shows, this ranking of values reflects broader social and cultural norms (Leung *et al.*, 2011; Adair, Okumura, & Brett, 2001; Heydenfeldt, 2000). Aiming for transparency and truth may lead to a more "direct" style of communication which is not necessarily universal, and which is distinct, for example, from the search for harmony and moderation in the external expression of emotions valued by certain Asian cultures (Huang, 2016; Chen *et al.*, 2015; Xiaohong & Qingyuan, 2013; Chen & Ma, 2002). At a third level, the values express an ideal, a certain *state* in the observable world. The distinctions between the definitions of values conceived of as either "cognitive filters" for personal choices or as an objective "configuration" of the outside world are fairly similar to the theory of values developed by Rokeach (1973). First, there are "instrumental" values, which guide behaviour, and then there are "terminal" values, which are *end-states of existence.*

The importance of values for the leaders is also put into perspective in the literature on *value-based leadership* (Brown & Treviño, 2003), and perhaps particularly since the financial scandals, such as Enron in the early 2000s (Da Silveira, 2013; Petrick & Scherer, 2003). For example, the literature on influence and *transformational leadership* deems ethics and values to be indispensable to some leadership roles, such as acting as a role model or facilitator for an ethical climate in an organization (Diaz-Saenz, 2011; Bass & Riggio, 2006). It is interesting to see how the visionary leaders who participated in our study ranked the ethical values they think are most important. In the interviews, these values were not explicitly associated with anticipation and its underlying processes. Rather, they seem to be associated with what has made them successful in managing their work life. Some of them, like generosity and empathy, are similar to the character

traits of a transformational leader, such as extroversion or openness to experience (Bono & Judge, 2004).

In wrapping up the interviews, we focused on a visionary's personal qualities. We simply asked: "In your opinion, what are the key qualities of a visionary in your field?" The answers the leaders gave are fairly evenly distributed between what they think is important for providing effective leadership in a group, and what creates an environment that is conducive to anticipation. While there is abundant literature on the personal qualities of a good leader (Lorg, 2007; Antonakis, Canciolo, & Sternberg, 2004; Atwater, Penn, & Rucker, 1991), as well as on innovation in science and technology (Piscione, 2013; Gallo, 2011; Hargadon, 2003), less has been written on the self-reported personal qualities of visionaries from various distinct fields. Among the qualities that are more closely related to anticipation, some, like curiosity, creativity, passion and intuition, are fairly predictable, but others, like culture, self-confidence and pragmatism, may be more surprising. How is confidence conducive to forward reasoning? Is because it makes it possible to go off the beaten track? As for pragmatism, is this not the opposite of the "dreamer" image we usually associate with visionaries? A sense of humour was also cited as a quality in some visionaries. The ability to make people laugh is certainly helpful in creating a pleasant work environment, but can it also be associated with the type of distance and critical thinking that are often necessary for cutting-edge work? These matters surely merit more in-depth investigation, to better grasp certain anticipation mechanisms.

Conclusion

Study Highlights

The primary objective of our study was to contribute to ethics through an empirical examination of an aspect of prudence that has received little attention: anticipation. To achieve it, we opted to question leaders from different fields who were characterized by peers as visionary. We grouped the interview results into three categories: reasoning and trend analysis, implementation and strategy, personality and values. Visionary leaders' reasoning rests on a special intimacy with their emotions and intuition. These are often activated through rituals, like sports and meditation. The ideas that emerge spontaneously thanks to intuition, often associated with patterns and schemas, are then subjected to rigorous critical challenge, most of the time conducted as a team, in a spirit of consensus. In the analysis, the ability to adopt a systemic perspective driven by continual curiosity and excellent general culture seems to foster anticipation. For implementation, the leaders stated that, among other things, it is essential for creativity to be able to work within constraints that are sometimes heavy. Lastly, in terms of values, most visionary leaders place great importance on integrity, truth, and transparency. However, their statements also intimate that selflessness is at the heart of their desire to change the world and make a difference in society.

Limitations of the Study

The first and most obvious limitation of our research design is the sample size. Although we gathered a great deal of information through the interviews, it is impossible to say that

the knowledge generated by our research design is generalizable. The second limitation stems primarily from the "transversal" character of the questions put to the visionary leaders, and the qualitative approach of the research design. It would be interesting to delve more deeply into certain questions within each of the broad categories in our interview guide. For example, several questions raised in the discussion deal with reasoning and cognition. These questions would no doubt identify more precise answers that would be more generalizable in experimental and quantitative studies than those that are typically found in psychology. Among other things, one research strength could, in some aspects, be revealed as weakness at the same time. We therefore strove to understand anticipation through a sample of leaders from various different fields. Such diversity certainly allowed us to grasp anticipation's "fundamentals" but it may also have made it more difficult to examine features specific to each field. Lastly, despite our efforts in this area, we were unable to recruit an ethnically diverse sample. Nearly all the leaders interviewed belong to the majority ethnic group and have a Western vision of work, creation and personal interactions. Given the cultural facets of some aspects of forward reasoning, the results may have differed with a more varied sample.

Suggestions for Further Research

Our study's limitations provide good indications of what could be undertaken to advance scientific knowledge of prudence and anticipation. The option that would most obviously round out our study would be an experimental, quantitative study of a large, ethnically diverse sample. The answers provided by this type of design would clearly be useful in better understanding prudence and anticipation, but it would likely not be easy to create a statistically adequate sample of visionary leaders prepared to participate in the experimental tasks involved. Another original perspective on the matter could be built around empirical sociological studies of environmental or institutional factors that foster anticipation and avant-garde thinking. First, do such factors exist? If so, what are they? Such a study could proceed via biographical research (Erben, 1998), with a systematic analysis of the social and environmental factors that appear to have contributed to developing the personality and world view of visionary leaders. Lastly, another original question could deal with the "proceeds" of anticipation. What is an avant-garde work? What are its characteristics? What do these works tell us about the era, the passage of time, the longevity of innovations or the relationship between the human mind and the subject? Such questions may be of interest in history, the study of the arts, sciences and technologies. In light of the scope of these questions, it is easy to note that, by examining prudence and anticipation, scientific research has access to many secrets of human ingenuity and moral excellence.

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Personal Development

Planning and Vertical Leadership Development in a VUCA World

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Abstract

To explore how personal development can be utilized as a tool for leaders to adapt to our VUCA (volatile, uncertain, complex, and ambiguous) world, a qualitative study was conducted on the narrative experiences of eight leaders who had successfully completed personal development plans. The emerging field of vertical leadership development, recognized as a unique developmental approach towards overcoming complexity and uncertainty, was connected to the key themes of personal development planning. Vertical leadership development and personal development planning were united across five conceptual themes: development and application of skills, self-awareness, self-efficacy, self-exploration, and continuous improvement. The experiences of the participants helped to inform how their plans connected with these themes, and how plan success and retention can be ensured overall. The study found that plans are at their most successful when they are thoroughly structured with the individual's personal goals in mind, have direct application to the participant's working life, and are supported by some degree of accountability and/or reflection. The study observed thematic connections between conventional personal development plans and vertical leadership development, highlighting potential connections between developmental approaches that are focused on boosting skills competency and capacity in times of VUCA. The findings help to inform how personal development plans can best serve as a resource towards managing complexity, uncertainty, and change.

Introduction

As our society grapples with an unprecedented global pandemic, generation shifts, climate and economic challenges, social justice reform, and political and cultural divisiveness, there is a great need for competent and thoughtful leaders in our modern world. But in spite of this significant need, and the leadership development industry being a $366 billion global industry in 2019, there exists a significant skills gap in leadership capacity and capability in oursociety (Beerel, 2020). In a time of constant change, leaders must grow and find new ways to adapt to the volatile, uncertain, complex, and ambiguous (VUCA) world in which we find ourselves (Codreanu, 2016; Horner, 2013).

Personal development plans (PDP) stand as a unique tool for leaders to further develop their skills and capacity for thinking and managing uncertainty. However, there is need for more research regarding personal development plan experiences in the private sector (Greenan, 2016),and organization-sponsored personal development plans are typically viewed as low priority initiatives (Chlebikova et al., 2015). There exists an opportunity for organizations to adapt to the challenges of our ever-changing world through placing a stronger, more refined focus on the development and the growth of their employees (Kegan et al., 2014). However, the ideal structure, context, and approaches behind these plans remain uncertain and untranslated to actual practice.

The concepts behind vertical leadership development centralize on expanding an individual's thinking capacity and ability to manage change (Petrie, 2014), positioning it as a unique approach to helping leaders and organizations navigate our VUCA world. However, vertical leadership development remains a developing body of research (Pesut & Thompson, 2018), that has not yet been introduced or utilized in most traditional personal developmentcontexts (Petrie, 2015).

To better understand the themes related to effective personal development plans, and the nature in which they can help leaders and organizations to manage the changes of our VUCA world, a qualitative, narrative study was conducted. The researcher interviewed eight business leaders across a variety of organizational backgrounds (including small and large business, nonprofit, religious, government, education, and healthcare) and personal development plan contexts to explore and contextualize their growth. The primary goal of the research was to gain an understanding of how personal development plans can be utilized as a tool to help individuals become more effective, agile leaders to help themselves and their organizations navigate the complexity of our ever-changing world. In order to connect the participants' experiences with elements behind vertical leadership development, a conceptual framework was established to identify five key developmental aspects which connect conventional personal development plan approaches with vertical leadership development.

Conceptual Framework

For this study, personal development plans and vertical leadership development were connected through five key concepts:

- **The Development and Application of Skills:** The ongoing growth and development of one's skills, found at the heart of personal development planning (Beausaert et al., 2011).
- **Self-awareness:** "The skill of being aware of our thoughts, emotions, values, and actions"(Hougaard et al., 2018, para. 9).
- **Self-efficacy:** The ability to manage one's own skills and resources effectively (Zimmerman, 1989).
- **Self-exploration:** Realizing one's full potential (Thorne, 1992) by seeking an answer to"What do you want to become?" (Ciobotaru, 2017, p. 100).
- **Continuous Improvement:** Supporting one's growth as an ongoing, continuous

process throughout one's lifetime (Ciobotaru, 2017; Tamminga & De Boer, 2018).

Table 1 below provides the conceptual framework of the study, The Personal and Vertical Connection Framework, which connects these personal development themes to the theories surrounding vertical leadership development.

Table 1: *The Personal and Vertical Connection Framework*

PERSONAL DEVELOPMENT CONCEPT	VERTICAL LEADERSHIP CONNECTION
Development and Application of Skills: Effectively learning and utilizing new skills and abilities, while also making efforts to further refine the individual's current skillset (Beausaert et al., 2011).	*Development and Application of Skills:* Development of an individual's capacity to learn and apply new skills (Petrie, 2014; Rooke & Torbert, 2005), while effectively forming a plan to synergize and apply learned information and experiences (Petrie, 2015).
Self-Awareness: "The skill of being aware ofour thoughts, emotions, values, and actions" (Hougaard et al., 2018, para. 9) in order to perform more effectively and improve relationships (Ciobotaru, 2017).	*Self-Awareness:* The process of reflectionthrough Elevating the Sensemaking, integrating multiple perspectives into one'sown by Enabling the Collisions (Petrie, 2015).
Self-Efficacy: An individual's ability to manage their own skills and resources effectively in order to perform skills needed in specific tasks (Zimmerman, 1989).	*Self-Efficacy:* Building an individual's capacity to interpret and apply new skillsthrough expanding vertical capabilities (Petrie, 2014; Rooke & Torbert, 2005).
Self-Exploration: Seeking an answer to the question, "What do you want to become?" (Ciobotaru, 2017 p. 100), and realizing one'sfull potential (Thorne, 1992).	*Self-Exploration:* Expanding an individual'scapacity to understand and utilize new skills through vertical growth (Petrie, 2014), while applying reflection and sensemaking relationships to gain better knowledge of self (Petrie, 2015).
Continuous Improvement: Personal development initiatives should be ongoing throughout the individuals' lifetime as they seek to consistently adapt, evolve, or change their key characteristics (Chartered Management Institute, 2017; Ciobotaru, 2017; Tamminga & De Boer, 2018).	*Continuous Improvement:* Steady, constant lifetime growth through vertical development(Cook-Greuter, 2013; Rooke & Torbert, 2005), adapting and growing through challenging experiences (Watz, 2019).

Note: *This table connects the five key concepts of personal development with vertical leadership.*
These five concepts aim to bridge the contextual gaps between conventional personal development plans and vertical leadership development concepts. Through better understandingthe ways that these concepts intersect, personal development plan initiatives can be crafted witha greater awareness of how to ensure plan success and to guide outcomes that help leaders to manage change and uncertainty.

Review of Literature
Personal Development Plans
Personal development is driven by the process of individuals better understanding themselves, and acquiring and refining skills to best address their strengths and weaknesses (Beausaert et al., 2011). It is recognized as an ongoing, continuous process

rather than a solitary developmental event (Ciobotaru, 2017). Personal development plans are structured undertakingsto facilitate personal development within an individual. They can be useful as an assessment toolto observe the performance, competencies, and goals of employees (Eisele et al., 2013), and can serve as contexts to strategize and achieve an individual's personal development goals and objectives (Tasker, 2015). Effective personal development plans can serve to help individuals look backward as well as forward, to analyze their ongoing direction, to reflect, and to serve as an opportunity for mentee-mentor relationships to play out (Beausaert et al., 2013). Plans can be very flexible and varied based on an individual's needs and goals (Greenan, 2016; Kivimäki & Meriluoto, 2018), and they can serve as unique driving elements for organizational and individual success (Kegan & Lahey, 2010). Greenan (2016) has recognized a need for further exploration to be conducted to better understand how personal development plans can influencegrowth, change, and competency in the private sector.

VUCA
The concept of VUCA (an acronym for volatile, uncertain, complex, and ambiguous) was originally introduced by the U.S. military near the end of the Cold War to describe the diverse and ever-changing global landscape (Codreanu, 2016; Millar et al., 2018). Magee (1988, p.1) observed the term to represent "a world order where threats are both diffuse and uncertain, where conflict is inherent yet unpredictable, and where our capability to defend and promote our national interests may be restricted by materiel and personnel resource constraints." The term has since been adopted to management and leadership contexts to represent the challenges leaders and organizations face, the complexities related to globalization and technological advancements, and the rapidly changing nature of our world (Millar et al., 2018).

Gaining an understanding of each term that VUCA represents is beneficial to contextualize its meaning in organizational and professional development initiatives. Volatility refers to "sudden, extreme, and multi-layered fluctuations" in areas including the economy, society, and politics, which can mean that prior experience and knowledge alone can no longer be reliable for solving the problems of today and tomorrow (Codreanu, 2016, p. 31). Uncertainty represents the frequently missing or unclear contexts surrounding the issues we face, making it difficult to properly predict or interpret the nature behind social events and challenges (Bennett & Lemoine, 2014). Complexity refers to the increasingly complex interconnectedness of our world, as technology and advancements in travel open new doors for collaboration and communication across cultures and organizational contexts (Codreanu, 2016). Ambiguity addresses the fact that these new, constantly changing social and organizational contexts represent unprecedented, unexplored unknowns (Bennett & Lemoine, 2014).

Challenges of a VUCA World
In recent years, several global and social challenges have served as key representors of VUCA and the challenges that these climates create for leaders. The COVID-19 pandemic has provided a unique test of leadership, calling on leaders across all organizational

contexts to lead with a new degree of agility, empathy, and global competency (Grint, 2020). As leaders everywhere respond to the pandemic, the rising challenges related to climate change may signal a deeper need for strategy reform and environmentally conscious leadership (Goffman, 2020). Meanwhile, the ongoing discussions and protests related to social justice in America (Jackson, 2021), create a greater need for leaders to be able to adapt to new contexts and maintain strategies to adapt to the developing challenges of our society (Torbert, 2020). At the same time, the global workforce is experiencing a significant generational shift (Alton, 2017) as younger generations step into leadership roles with new values and goals, a desire to interact with the world equally, and pursue self-actualization (Zavatskyi & Toba, 2017).

As the challenges and contexts of VUCA continue to multiply, leaders are placed in uniquely difficult and complex scenarios. Organizational adaptation to VUCA requires meaningful and lasting change throughout an organization (Millar et al., 2018), creating a need for leaders to adapt new skills and understandings to adapt and meet the challenges of VUCA (Codreanu, 2016; Horner, 2013).

Vertical Leadership Development

Vertical leadership development is a unique approach to leadership development which revolves around expanding an individual's capacity to think, make decisions and establish strategy, integrate multiple perspectives, and interact with the world around them. It is an emerging body of research (Pesut & Thompson, 2018), therefore the connections to how it relates to conventional personal development and its overall individual and organizational impactis still developing. Petrie (2014, p. 8) describes vertical leadership development as the "advancement in a person's thinking capacity," and notes that it differs from the concept of horizontal development, which addresses "the adding of more knowledge, skills, and competencies." Towards this end, the horizontal development frequently exhibited in personal development plans speaks to filling an individual's "cup" of knowledge, whereas vertical leadership development aims to expand that person's "cup" overall, so that they can better utilizetheir own skills and abilities (Petrie, 2014). Vertical leadership development is often a lifelong process, involving extensive learning and growth over a long period of time (Cook-Greuter, 2013). However, vertical leadership development can be cultivated if the right circumstances are provided, which typically requires heat experiences (complex situations that challenge a leader's current ways of thinking), colliding perspectives (when leaders are encountered with new perspectives, insight, and scenarios), and elevated sensemaking (an ongoing reflection or facilitated growth process that allows the leader to process and contextualize their growth)(Petrie, 2015).

Vertically-developed leaders can have a significant impact in guiding organizations in times where innovation and creative thinking are needed. Leaders who achieve a higher capacityof vertical development can better navigate conflict and can serve as powerful change agents within their organizations and society (Rooke & Torbert, 2005). Vertical leadership developmentis a powerful tool in helping leaders to continuously grow and adapt to ongoing change and organizational challenges (Jones et al., 2020). Organizations who effectively utilize vertically- developed leaders stand to be able to be better united

under greater strategy and vision during times of uncertainty (Torbert, 2020), due to these leaders' unique abilities to better manage ambiguity while operating with a higher level of self-awareness and multi-perspective thinking (Cook-Greuter, 2013). Vertical leadership development serves as a unique approach to help organizations to manage VUCA by advancing the competencies and capacities of key leaders (Till et al., 2016).

Personal Development and Vertical Leadership Connections

The conceptual framework of this study is guided by five themes which connect conventional personal development plans to vertical leadership development: the development and application of skills, self-awareness, self-efficacy, self-exploration, and continuous improvement. These concepts are reflected in the realms of both developmental approaches, and by further connecting them, this study aims to bridge the gap between what defines a traditionalpersonal development plan experience, and one that can best equip its individuals with the vertically-minded level of capacity development needed to be effective leaders in our VUCA world.

Development and Application of Skills

Personal development plans can serve as unique opportunities for individuals to learn and refine skills. A key component of personal development plans is the learning and development of new skills and abilities, while also further building on an individual's current competencies (Beausaert et al., 2011). This process can boost an individual's overall skillset, leading to them becoming more eligible for promotion or being a more worthwhile hire for prospective employers (Beausaert et al., 2013). In the world of vertical leadership development, this type of growth is recognized as horizontal development, the "adding of more knowledge, skills, and competencies," (Petrie, 2014, p. 6), which is recognized as an important element in capacity development. Our VUCA world creates ongoing complexity and uncertainty, placing a greater need for leaders to develop and utilize new skills and capacities in order to respond to change (Jari & Lauraéus, 2019).

Self-Awareness

Through personal development, an individual can become more aware of themselves and the world around them, making them more agile in times of uncertainty and able to understand the needs of themselves as well as others. Self-awareness refers to "the skill of being aware of our thoughts, emotions, values, and actions," and there is a rising need in business and society for leaders who lead with greater self-awareness and emotional intelligence (Hougaard et al., 2018, para. 9). Self-awareness can boost an individual's overall performance and improve their relationships (Ciobotaru, 2017), and individuals who are more self-aware can better assess their strengths and weaknesses and adapt to balancing multiple demands and uncertainty (Mustaffa etal., 2013). This principle is also heavily valued in the world of vertical leadership development, where the process of looking inward through reflection is a key component for growth (Jones et al., 2020). The ability to reflect and integrate one's own perspective as well as the perspectivesof others is recognized as a crucial component for vertical growth to take place (Petrie, 2015).

Self-Efficacy

Self-efficacy relates to an individual's ability to best utilize their skills and resources in order to accomplish tasks (Zimmerman, 1989), and individuals who are able to operate with a high level of self-efficacy can better utilize their capabilities and accomplish their goals (Bandura, 2015; Lyons & Bandura, 2019). Self-efficacy is recognized as one of the five key elements of this study's conceptual framework because operating with a high level of self- efficacy can often bridge the gaps between knowledge competency and actual utilization of skills. Self-efficacy can lead to noteworthy developments in individual and organizational success (Lyons & Bandura, 2019). The values of self-efficacy are also reflected in vertical leadership development, where the ability to understand and best utilize one's growth are a sign of vertical capacity growth (Petrie, 2014; Rooke & Torbert, 2005).

Self-Exploration

Self-exploration refers to the process of an individual finding an answer to the question "What do you want to become?" (Ciobotaru, 2017, p. 100). Personal development plans can often relate to this process through helping individuals to develop themselves on intellectual, moral, and aesthetic levels (Zavatskyi & Toba, 2017), as personal development can often be "a search for acceptance, awareness, and understanding" (Tamminga & De Boer, 2018, p. 99). In vertical leadership development, finding new perspectives, relationship contexts, and goals is recognized as a crucial component in the development process (Rooke & Torbert, 2005), as individuals must go through significant reflection and sensemaking in order to understand themselves and their goals (Jones et al., 2020; Petrie, 2015).

Continuous Improvement

Personal development is considered an ongoing process, rather than a singular event (Ciobotaru, 2017), and can be defined as "a continuous lifelong process of nurturing, shaping and improving skills and knowledge to ensure maximum effectiveness and ongoing employability" (Chartered Management Institute, 2017, para. 1). Personal development plans are most effective when there is strong emphasis on the concept of how individuals can continue to grow and improve themselves over time (Maguire & Blaylock, 2017). This process of ongoing growth is reflected in vertical leadership, where one's development is considered to be a lifelong process (Cook-Greuter, 2013; Rooke & Torbert, 2005).

Methods

A narrative, qualitative study was conducted in order to gain a better understanding of the personal development plan experiences of eight business leaders across a variety of conventional organizational contexts and plan experiences. The researcher utilized a qualitative methodology rather than a quantitative, as a qualitative approach enables a deep exploration into participant's thoughts, feelings, and experiences (Johnston, 2010; Milena et al., 2008). This narrative-based approach focused the study on the heart of each individual's personal development plan journey, and helped to better understand and

contextualize their growth through the plan and its efficiencyin helping them to manage in times of change and uncertainty.

Participants

Participants in the study (N=8) were business managers or owners who reported to have experienced growth as a result of a personal development plan experience. This sample represented a wide variety of plan experiences, organizational contexts, and a balanced age/gender ratio. Because sample sizes are not straightforward in qualitative research and can depend on the study and its nature (Butina, 2015; Guetterman, 2015), the sample was determined to be sufficient after all eight interviews provided a wide variety of perspectives, plan experiences, and a rich, narrative dive into the participants' experiences. A purposive sampling process was utilized to recruit the participants and determine the richness of the information provided from the interviews, which helped to find context and a natural size for the sample to address the often unclear and uncertain guidelines regarding qualitative sample size (Vasileiou, et al., 2018).

Due to the experiencelevels necessary to achieve a leadership role in their respective organizations, participant ages ranged between 32 and 64. Participants were initially recruited through the use of NJ Biz's mailing lists of "Best Places to Work For" in New Jersey, and random sampling through NJ Biz's Book of Lists was utilized to reach a greater variety of potential participants. The NJ Biz lists were selected due to the researcher's familiarity with using the service's contact lists for previous studies, and due to the focus of New Jersey businesses as a way to improve response rates due to the local recognition of the researcher's institution, Stockton University. This approach helped to recruit the majority of participants, however, most of the participants hailed from traditional business backgrounds. In order to recruit participants from other organizational contexts (in particular, health care, faith-based, government, and education), a purposive recruiting process was then utilized. This involved outreach to local healthcare industries, religious organizations and ministries, local county level government organizations, and New Jersey-based high schools, colleges, and universities until the sample was completed to representeach of the intended organizational backgrounds.

All eight interviews were conducted between March-May 2020 through the video conferencing software Zoom. Interviews ranged in length from approximately 42 minutes to 1 hour and 7 minutes. Over 481 minutes of interviews were compiled, producing 345

pages (83,160 words) of transcripts, alongside 142 pages (19,167 words) of field notes taken by the researcher. Participants were assigned pseudonyms for the purpose of the research, and all approved of their interview transcripts through the process of member checking before the data analysis process began. All eight participants, their demographic and organizational backgrounds, as well as the nature of their personal development plan experience (either directed or self-directed) are detailed in *Table 2* below.

Table 2: *Participant Demographics, Career Backgrounds, and PDP Experiences*

NAME	AGE	GENDER	ORG CONTEXT	ORG TYPE	PDP DIRECTED OR SELF-DIRECTED
Jordan	50	F	Consulting	Business	Directed
Alex	34	M	Landscaping	Business	Directed
Austin	32	M	Digital Product Development	Business	Directed
Shane	45	M	Care Package Distribution	Nonprofit	Self-Directed
Robin	60	F	Religious - Community Support	Religious	Self-Directed
Cameron	43	M	County Library System	Government	Directed
Shannon	64	F	Healthcare	Healthcare	Directed
Blair	53	F	Higher Education	Education	Self-Directed

Note: *Table displays participant demographic information, career background, and plan experiences.*

Measures – Materials and Instruments

Participants were interviewed via one-on-one, approximately one-hour meetings through the video conferencing platform Zoom. All participants were interviewed using the Personal Development Growth Inquiry (PDGI), an instrument developed for this study utilizing concepts from the literature review and conceptual framework. The questions of the PDGI were designed to encourage storytelling with the participants, so that their individual leadership journeys and development outcomes could be placed in full focus. All interviews were recorded and transcribed, and the researcher took supplementary field notes during the course of the interviewsand maintained a reflexive journal throughout the recruiting, interviewing, and analysis processes.

Data Analysis

Data were analyzed utilized the framework analysis approach. The interview transcripts were shared with participants for their approval as part of the member checking process before the researcher began to organize, categorize, and theme responses. The researcher began with aninitial cursory read of all transcripts, before sorting each question and analyzing the emergent themes that arose across all participant responses. The researcher utilized a review and reflection process throughout, and maintained a reflexive journal to analyze their thoughts and feelings throughout the process. The findings were ultimately categorized by exploring and quantifying the key themes that came out of each question response, and through further analyzing the individual responses given. Within-case and cross-case analyses were utilized to explore the narrative journeys of each participant (both as individuals and as part of the greater sample). Thedata helped to identify trends, key outcomes, and noteworthy principles to better explore how personal development plans can be utilized to manage VUCA while reflecting the key themes of vertical leadership development.

Results

Within-Case Analysis
Development Profile: Jordan

Jordan is a 50-year-old female who serves as the vice president of a consulting firm. In 2013, when she was first moving into this new leadership role, she pursued a structured, intensive personal development program to meet the challenges of her new responsibilities. The experience helped Jordan to develop leadership abilities and advance her skillset while gaining a better sense of herself and her long term personal and professional goals. The program's intensive, immersive nature alongside the real-world application it offered served as a strong catalyst to help Jordan overcome the challenges of meeting her new career opportunities. Ultimately, the experience allowed her to develop the skills necessary while gaining a stronger sense of self, leaving her with a strong desire to continue her development journey.

> *I would say the conclusion [of the plan experience] is that I can handle anything and no matter what, nothing is happening to us as a company or to me personally, it's just a detour. So I have now become really confidently agile as I continue to develop as a leader.*

Jordan's experience is summarized in *Table 3*.

Table 3: *Profile Summary for Jordan*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
● **50 years old, female** ● **Business – Consulting** ● **Current role: Vice President** ● **19 years managerial experience** ● **7 years at current organization** ● **4 direct reports**	● **20 indirect reports** ● **1-year, directed plan** ● **Developing financial and coaching skills to adapt to new job** ● **Heat experience driving her to adapt and respond to new responsibilities** ● **Positive experience that was challenging and helped to overcome roadblocks**	● **Greater competency at work with increased confidence** ● **Succeeded in being able to adapt to change and new leadership role** ● **Helped to guide organization forward** ● **Inspired further growth and development**

CONCEPTUAL FRAMEWORK COMPETENCIES
● **Development and Application of Skills:** Developed relevant skills necessary to lead organization forward ● **Self-Awareness:** Development allowed for greater self-reflection and understanding of shortcomings ● **Self-Efficacy:** Better at managing own strengths and weaknesses and communicating needs with team ● **Self-Exploration:** Better understanding of growth and better at accomplishing goals ● **Continuous Improvement:** Pursued additional structured and unstructured development opportunities while starting a developmental peer group

Development Profile: Alex

Alex is a 34-year-old male serving as president of a family-owned landscaping business. Prior to assuming his leadership role in his family business, Alex wanted to pursue other career opportunities. He found this in the world of corporate information technology, and while working in that field, he pursued a two-year leadership development program held within his organization. The combination of peer support and direct integration into his

career allowed Alex to develop key industry skills and mindsets while also growing as an individual. Because the program was directly tied to his career, it allowed Alex to advance his growth much faster than a typical entry-level position would offer. At the culmination of the program, Alex was offered a full-time position in the company, and the experience, skills, mindsets, and contacts he gained helped him to set the stage for his career moving forward.

> *I think [the program] was critical to developing different skills and how I use them today, and everything you kind of do builds on itself and you're able to draw on experiences or you're able to draw on skills that you've learned from others or from classes.*

Alex's experience is summarized in *Table 4* below.

Table 4: *Profile Summary for Alex*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
34 years old, male - Business - Landscaping - Current role: President 4 years managerial experience 3 years at current organization	6 direct reports 75 indirect reports 2-year, directed plan - Extensive corporate leadership development program	- Experience pushed him from his comfort zone, challenged to learn new skills and competencies with real world application - Led to career advancement, key development of skills, networking, and a greater capacity to lead - Formed key peer groups and mentors within organization - Helped him to eventually serve as a leader within family business

CONCEPTUAL FRAMEWORK COMPETENCIES
Development and Application of Skills: Developed relevant skills necessary to lead organization forward   **Self-Awareness:** Development allowed for greater self-reflection and understanding of shortcomings   **Self-Efficacy:** Better at managing own strengths and weaknesses and communicating needs with team   **Self-Exploration:** Better understanding of growth and better at accomplishing goals   **Continuous Improvement:** Pursued additional structured and unstructured development opportunities while starting a developmental peer group

Development Profile: Austin

Austin is a 32-year-old male who is a partner in a digital product development firm. Austin underwent a significant personal development experience while attending school for his Master of Business Administration with a concentration in Organizational Leadership. Alongside his education in leadership development, Austin was mentored by a faculty member, who helped guide him to seek out more readings, resources, and reflection tools to support his growth. The experience led to him being inspired to pursue the field of leadership development further, while advancing himself from an entry-level position in his firm all the way to the role of partner. Austin's development allowed him to grow as an individual and a leader, and he implemented his growth directly to his career. The experience helped him to grow as a leader, to better communicate and collaborate with his team, while continuously seeking new ways to grow.

[My development] really hasn't concluded. It's ongoing, but, I love it. I think I'm a better person for it. I think people around me respect me more. They're more open to ideas from me and from themselves, being able to express their ideas and not feeling an apprehension to doing so, or afraid to voice their opinions... And I think that having that openness is a huge thing that has occurred, at least in my organization and in my circles from me taking a new approach to how I manage or lead my team.

Austin's profile is summarized in *Table 5* below.

Table 5: *Profile Summary for Austin*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
32 years old, male - Business – Digital Product Development - Current role: Partner 10 years managerial experience 8 years at current organization	38 direct reports 10 indirect reports 2+ year, directed plan - Pursued Master of Business Administration with focus on reading and utilizing leadership development books	- Plan helped to develop new skills and competencies with real world application - Moved up in a leadership role in his career as a result - Gained key competencies to manage teams and oversee leadership vision and strategy - Better at communicating, collaborating, and building relationships

CONCEPTUAL FRAMEWORK COMPETENCIES
Development and Application of Skills: Developed career skills and leadership abilities   **Self-Awareness:** Greater understanding of self, deeper reflection as to how his actions affect his team as a leader   **Self-Efficacy:** Improved recognitions of strengths and abilities, greater ability to set goals through roadmap planning and focus   **Self-Exploration:** Helped achieve career milestones and set new ones   **Continuous Improvement:** Continued to pursue development opportunities while consistently applying growth and lessons to working life

Development Profile: Shane

Shane is a 45-year-old male who is the co-founder and president of a care package distribution nonprofit. When the previous leaders of the nonprofit left the organization, Shane assumed the primary leadership role. However, in order to adapt to this new responsibility, Shane pursued a self-directed personal development plan to better develop the skills and mindsets to lead the organization effectively. Shane's development was largely ongoing as he adapted to this role and learned how to develop key leadership skills alongside career competencies including marketing, networking, and relationship building.

So I've learned how to be a leader outside of work, right? Delegating authority, making decisions. I've learned to basically transpose how I handle myself in the corporate world. Talking, running meetings, whatever. Whereas before, I probably didn't have the same level of etiquette or patience or how I present myself. Like basically [in] my

nonprofit work, I went from being somebody that couldn't talk to 10 people to being able to speak to 10,000 people or being on TV and speaking.

Shane's development is summarized in *Table 6*.

Table 6: *Profile Summary for Shane*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
45 years old, male **Nonprofit** **Current role: Co-Founder and President** **10 years managerial experience** **11 years at current organization** **30 direct reports** **0 indirect reports**	**1-year, self-directed plan** **Sought to develop key skills and competencies to lead his organization forward** **Heat experience necessitated growth by needing to take over leadership role in organization after previous team departed**	**Greater competency at work, better at forming organizational strategy** **Improved ability to overcome shortcomings** **Addressed skills gap within working environment, gained ability to successfully lead organization forward**

Development Profile: Robin

Robin is a 60-year-old female who serves as executive director of a religious nonprofit which focusses on community support. At the beginning of 2019, Robin developed a personal development plan through the help of the book "Your Best Year Ever: A Five Step Plan for Achieving Your Most Important Goals" by Michael Hyatt. Through the utilization of

CONCEPTUAL FRAMEWORK COMPETENCIES
Continuous Improvement: Continued to develop and learn relevant skills related to leading his organization, undergoing efforts to advance leadership capacity   **Self-Awareness:** Mindfulness was a key factor in acknowledging and overcoming challenges   **Self-Efficacy:** Improved management of tasks, better capacity to multi-task   **Self-Exploration:** Continuously setting new goals and seeking to adapt to best lead his organization forward   **Development and Application of Skills:** Built key career competencies and abilities to guide his organization through the leadership transition into new success

the book and her plan, Robin set the stage for ten personal and professional goals to achieve through her development over the course of the year. Robin maintained accountability through a series of benchmarks, progress tracking, accountability, and reflection. Her goals included professional goals, such as growing the volunteer pool of her organization, and personal goals in terms of reading personal development books, managing personal finances better, and building relationships. The plan helped Robin to develop new skills and abilities in her personal and professional lives, and she set new goals to achieve in a similar development plan for 2020.

[The plan] exceeded my expectations and I felt more confident as a leader and more confident in my appearance, because I met a lot of my physical goals. More confident and more excited about setting goals because I can see how they were reached before. Especially with the volunteers. We got our whole team together. And so, when I set my goal this year which is obtaining and securing a fully funded facility for our [new

center], it just made me more confident that this is what everyone does. A lot of hard work and you set your goal, and you go out and you get it.

Robin's experience is summarized in *Table 7*.

Table 7: *Profile Summary for Robin*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
60 years old, female - Faith-based Nonprofit - Current role: Executive Director 30 years managerial experience 10 years at current organization 20 direct reports 0 indirect reports	1-year, self-directed plan - Plan focused on personal/professional development through the book "Your Best Year Ever" - Motivated by desire to achieve and to further help support organization - Plan involved thorough accountability and reflection to achieve goals	- Achieved goals for both personal and professional life - Helped to lead her organization forward and adapt to growth while building up team - Improved relationships in personal life - Annual plan's success inspired her to set new growth goals for the following year

CONCEPTUAL FRAMEWORK COMPETENCIES

- **Development and Application of Skills:** Developed key leadership competencies to better serve her organization and guide it forward
- **Self-Awareness:** Advanced understanding of self and improved focus on relationships and communication with others
- **Self-Efficacy:** Helped actions and strategies to feel more intentional and structured
- **Self-Exploration:** Improved awareness of strengths and weaknesses, deeper sense of reflection and ability to set goals
- **Continuous Improvement:** Adapted 2019 plan forward to set new goals and a new development plan for 2020

Development Profile: Cameron

Cameron is a 43-year-old male who is an assistant director for a regional library system. In 2016, while in a senior librarian role, he was invited to attend a two-month, company sponsored supervisor training to further develop his skills and abilities as a leader while preparing himself for career advancement within his organization. The program was an all-day intensive workshop held every Tuesday, which helped Cameron to develop skills such as conflict management, facilitation of employee reviews, and communication skills. The program's intensive nature based around real-world application allowed Cameron to develop himself further as a leader, and position himself for a better role within his organization.

…the role of [my plan] was to prepare me for the next level. I mean, I had a goal of being a department supervisor. And then, one of the most important things with working in a county system is that I feel that you need to be motivated to take on the promotions and this course that I went through was sort of was setting the foundation for that. It set the foundation for becoming a department supervisor.

Cameron's development is summarized in *Table 8*.

Table 8: *Profile Summary for Cameron*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
43 years old, male - County Library System - Current Title: Assistant Director of County Library System 10 years managerial experience 8 years at current organization 5 direct reports 41 indirect reports	3-month, directed plan - Organization-sponsored program to develop key managerial skills and competencies - Experience offered opportunity to develop skills and advance career - Structured plan built around role playing scenarios and competency development	- Advanced career in a new managerial role - Built relevant skills and abilities for serving as a leader within a government organization - Plan experience provided him with an ongoing resource binder to apply and retain information

CONCEPTUAL FRAMEWORK COMPETENCIES

- **Development and Application of Skills:** Built and reinforced relevant skills necessary to lead and manage others within his organization
- **Self-Awareness:** Plan and proceeding reflection inspired him to enact role model behavior in leading and managing his team
- **Self-Efficacy:** Developed greater capacity to multi-task and approach complex managerial scenarios
- **Self-Exploration:** Has continued to reflect on and explore his growth, and focus on the necessary steps needed to achieve his career goals
- **Continuous Improvement:** Has continued to seek out and pursue organization-sponsored development programs

Development Profile: Shannon

Shannon is a 64-year-old female who serves as the assistant vice president of development for a regional healthcare organization. In 1990, she was faced with a unique heat-inspired scenario when she, while struggling to adapt to the responsibilities of her new leadership role, was told that she needed to either undergo an intensive development program or resign from her current role. The intervention program involved regular meetings with her direct supervisor as well as the organization's senior leadership team, and called on her to set developmental goals, undergo peer and supervisor review periods, and build a greater skillset and mindset as a leader. The experience was ultimately successful, and paved the way for her to improve herself personally and professionally and position herself for a long term, rewarding career in a leadership role.

I have really had a terrific career with multiple opportunities. I've worked with wonderful people. I've shaped the path of my organization. I've made significant contributions over all of these years. I'm not dissatisfied at all. [The plan] was worth every moment that I spent thinking about and doing the things I needed to do in order to be a better employee, a better leader, a better person.

Shannon's growth is summarized in *Table 9*.

Table 9: *Profile Summary for Shannon*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
64 years old, female **Healthcare** **Assistant Vice President** **30 years managerial experience** **44 years at current organization** **10 direct reports** **0 indirect reports**	**9 months, directed plan** **Developmental program within organization that involved thorough skills improvement, team review, and mentorship** **Heat experience: Was required to undergo training or lose position** **Plan served as a thorough evaluation of her current career course, allowed for trajectory change**	**Retained position at work and ultimately received promotion** **Greater skills competency and improved ability to understand self and communicate with others** **Led to a long, enriching career of helping others develop**

CONCEPTUAL FRAMEWORK COMPETENCIES
Development and Application of Skills: Built and further developed key career competencies while revamping leadership style   **Self-Awareness:** Greater understanding of self and how actions influenced others, improved capability to listen and observe before acting   **Self-Efficacy:** Better management of time, achieved a greater work-life balance   **Self-Exploration:** Refined career focus with a stronger emphasis on helping others   **Continuous Improvement:** Pursued graduate degree (master's) upon completion, continued to pursue a learning journey built around skills development and growth

Development Profile: Blair

Blair is a 53-year-old female who works as a professor of educational leadership and program coordinator for her department. While working on her doctorate, she used the book "Immunity to Change: How to Overcome It and Unlock the Potential in Yourself and Your Organization" by Robert Kegan and Lisa Laskow Lahey alongside other developmental books and resources to create a strategy to advance her personal and professional goals. The plan allowed her to shift focus in the midst of a career change, and identify the steps necessary to advance her career while growing her individual capacity and capabilities. After a yearlong period of development and reflection, she began to develop a greater capacity to understand herself and her goals, paving the way for career advancement and further growth.

> *[Before the plan], I was stuck and I didn't know how to get past it, and [the plan] gave me information. Like it was informative. It helped me understand myself better. And the experience of growth in that, you know, when you get stuck, and you're not moving forward, and then you find something that helps you do that, it's a very empowering feeling.*

Blair's growth is summarized in *Table 10*.

Table 10: *Profile Summary for Blair*

PROFILE	PLAN EXPERIENCE	PLAN OUTCOMES
• **53 years old, female** • **Education** • **Professor of Educational Leadership** • **6 years managerial experience** • **6 direct reports** • **0 indirect reports**	• **1-year, self-directed plan** • **Developmental journey to bolster skills and competencies through the use of the book "Immunity to Change"** • **Heat experience brought on by feeling stuck after quitting job and lacking career direction**	• **Found career direction and moved into a new role** • **Developed a greater ability to communicate and collaborate with others** • **Continued to grow through additional development opportunities and through the utilization of peer support and mentorship**

CONCEPTUAL FRAMEWORK COMPETENCIES
• **Development and Application of Skills:** Built relevant abilities to lead, communicate, and collaborate while advancing career • **Self-Awareness:** Self-awareness a key plan component in raising a deeper understanding of self and how to overcome competing commitments • **Self-Efficacy:** Became more conscious of how time and attention was being used and how best to utilize skills and abilities in working life • **Self-Exploration:** Improved understanding of goals and how best to acknowledge and overcome roadblocks • **Continuous Improvement:** Continued to seek out new development books and opportunities while applying gained skills and experiences to life

Personal Development Plan Experiences and Outcomes

The opening questions of the Personal Development Growth Inquiry (PDGI) ask participants to evaluate the effectiveness of their personal development plans, and to explore what made their plans positive experiences overall. All eight participants noted that their plans helped them to develop new skills, solve career problems, and apply what they had learned into their working lives. Seven out of eight participants felt that their plans helped them to face challenges, and they also noted the effectiveness of having a stable plan structure established from the start. *Table 11* further depicts the key positive elements of participants' plan experiences.

Table 11: *Coded Responses Regarding Positive Experience Factors within PDPs*

KEY ELEMENT	n	%
Developing new skills	8	100%
Solve career problems	8	100%
Real world application	8	100%
Facing challenges	7	88%
Developing a stable plan	7	88%
Pushed from comfort zone	6	75%
Helped support organization	6	75%
Embracing change	5	63%

Note: *Answers to Q1A If it was primarily positive, what were the key elements that contributed to it being a good experience? are summarized here.*

Overcome roadblocks	5	63%
Peer/org support	5	63%
Diversity of experiences	4	50%
Continuous Growth	4	50%
Accountability	3	38%
Expanding connections	2	25%

When asked how their plans helped them (or failed to help them) develop new skills and abilities, all eight participants noted several key factors across their plans. These were career development, the development of soft skills (such as improved collaboration or leadership skills), overcoming previous shortcomings, gaining new experiences, having real life application, an increase in communication skills, and a noted improvement of their professional relationships.

Six participants also shared that their plans helped them to better understand themselves and their goals, to better accomplish their goals, and to better support their organizations overall.

Table 12 explores these responses in greater detail.

Table 12: *Key Outcomes of Participants' PDP Experiences*

KEY OUTCOME	n	%
Career development	8	100%
Development of soft skills	8	100%
Overcome shortcomings	8	100%
New experiences	8	100%
Real life application	8	100%
Communication	8	100%
Improved professional relationships	8	100%
Understanding self and goals	6	75%
Accomplishment of goals	6	75%
Improved support of organization	6	75%
Accountability	5	63%
Self-management	4	50%
Reflection	4	50%
Reinforced previous education	4	50%
Empathy	3	38%
Humility	3	38%
Support Others	3	38%
Time management	3	38%
Conflict management	2	25%
Improved personal relationships	2	25%

Note: *Answers to Q2 In what ways did your personal development experience help you (or fail to help you) to develop any skills or abilities? are summarized here.*

The interviews were conducted from March-May 2020, during the onset of the COVID-19 pandemic. As a result, a question was added to the instrument to explore how the participants felt that their personal development plans impacted their ability to respond to the pandemic.

Because the pandemic represents a noteworthy case study in leaders responding to

VUCA, it was worthwhile to see their responses in the early stages of the pandemic's organizational challenges.Seven of the eight participants noted their plan had helped them to better manage complexity andchange, while six participants felt they were better at developing organizational strategy, responding to challenges, supporting others, and serving as improved communicators overall.

Table 13 provides further detail on participant responses to this question.

Table 13: *Experiences in Applying PDP Growth to Coronavirus Pandemic Response*

PANDEMIC RESPONSE OUTCOMES	n	%
Improved management of complexity and change	7	88%
Better at developing organizational strategy	6	75%
Improved communication	6	75%
Better at responding to challenges	6	75%
Better at supporting others	6	75%
Improved leadership ability	4	50%
Improved management of multiple perspectives	4	50%
Increased collaboration	4	50%
Better at managing personal life	3	38%

Note: *Answers to Q19 How has your personal development plan been useful to you as yourespond to the coronavirus pandemic? are summarized here.*

Conceptual Framework Themes

The Personal Development Growth Inquiry was designed with strong consideration intothe five conceptual framework themes which serve as a bridge between conventional personal development planning and vertical leadership development. While the "development and application of skills" area was covered in questions related to the previous section, specific questions were also asked to determine how participants' self-awareness, self-efficacy, self- exploration, and continuous improvement goals were influenced by their plan experience.

All eight participants noted that they have continued to develop themselves since completing their plan by taking on new career opportunities (such as promotions, new positions,or added responsibilities) and by seeking new opportunities to continue their personal development journeys. Five participants have pursued new structured personal development experiences, while four sought out new unstructured personal development experiences. *Table 14* provides further detail on the participants' exploration into continuous improvement.

Table 14: *Participant Themes Related to Continuous Improvement after PDP Experience*

CONTINUOUS IMPROVEMENT APPROACHES	n	%
Taking new career opportunities	8	100%
Applying PD through new opportunities	8	100%
Additional structured PD	5	63%
Additional unstructured PD	4	50%
Addressing weaknesses / shortcomings from initial PDP	4	50%
Developed new mentor relationships	3	38%
Further changes to organization	3	38%
Developing peer groups	2	25%
Pursued graduate education	2	25%
Developed new mentee relationships	1	13%

Note: *Answers to Q11 How have you continued to develop yourself since completing the plan? Describe some of the ways in which you have done so. are summarized here.*

To explore the theme of self-awareness, participants were asked to share how their personal development plan experience contributed to the advancement of their level of self- awareness. All eight participants noted that they have exhibited deeper self-reflection since completing their plan experiences, with greater mindfulness and an improved awareness of self. Seven noted that they are better at understanding their own shortcomings, while six felt that they have gained a better awareness of their growth and goals. These responses are explored in furtherdetail in *Table 15*.

Table 15*: Participants' Evaluation on How Their PDP Affected Self-Awareness*

SELF-AWARENESS COMPONENTS	n	%
Deeper self-reflection	8	100%
Increased mindfulness	8	100%
Improved awareness of self (general)	8	100%
Better understood shortcomings	7	88%
Better understanding of growth and goals	6	75%
Improved interactions with others	4	50%
Better understood strengths	3	38%

Note: *Answers to Q12 Would you comment on any relation-ship between the use of a personal development plan and the advancement of your level of self-awareness, emotions, and actions?are summarized here.*

Participants were then asked to share how their personal development plan experience hadimpacted their self-efficacy, framed through asking them to identify how their plan has helped them to best utilize their skills, time, and resources. All eight participants expressed a greater feeling of self-efficacy overall in these areas, while seven participants observed that theywere better at managing time. Five participants felt that they had gained a better overall perspective, while five felt that the experience had made

them more mindful. *Table 16* provides a further breakdown of participant responses to the question.

Table 16: *Participants' Evaluation on How Their PDP Affected Self-Efficacy*

SELF-EFFICACY COMPONENTS	n	%
Better self-efficacy (general)	8	100%
Better time management	7	88%
Increased perspectives and experiences	5	63%
Improved mindfulness	5	63%
Better at acknowledging shortcomings	4	50%
Improved communication	4	50%
Improved collaboration	3	38%
Better at realizing and achieving goals	3	38%
Improved long-term planning	3	38%

Note: *Answers to Q14 Would you comment on the relation-ship between your personal development plan and the management of your skills, time, and resources? are summarized here.*

To better inform how their plan experiences influenced their own self-exploration processes, participants were asked how their plans affected their understanding of their own growth and goals. All eight participants felt that their plans inspired them to set further goals forthemselves to grow further (personally and/or professionally), while seven felt that their plans helped them to better understand themselves and achieve their goals. *Table 17* provides further context on participant responses related to self-exploration.

Table 17: *Participants' Evaluation on How Their PDP Affected Self-Exploration*

SELF-EXPLORATION COMPONENTS	n	%
Inspired ongoing growth	8	100%
Increased understanding of self	7	88%
Helped to achieve goals	7	88%
Increased awareness of goals	6	75%
Increased reflection	5	63%
Increased confidence	4	50%
Increased capability of overcoming obstacles	4	50%

Note: *Answers to Q15 How would you evaluate your understanding of yourself and your goals in relation to the role of your personal development plan? are summarized here.*

Discussion

This study sought to gain a better understanding of personal development in a VUCA world through connecting key concepts of personal development plans with vertical leadership development. The narrative, qualitative study focused on the lived experiences of eight business owners and managers who had experienced personal growth as a result of a personal development plan experience. Through analyzing their experiences in connection to the literaturereview and conceptual framework, key connections were made regarding their experiences and how they relate to effective personal development planning in a VUCA world.

Overall, the participant experiences connected with all five elements of the conceptual framework. *Table 18* provides a summary of the findings of the study, and how they connected to the five conceptual framework themes.

Table 18: *Summary of Participant Experiences Relating to the Conceptual Framework*

CONCEPTUAL FRAMEWORK ELEMENT	EXAMPLE QUOTE	CONNECTION TO STUDY
Development and Application of Skills	*"It was motivated by the fact that I was in a job that I wanted to be able to do better and to be better at."*	Primary motivator for PDPs (Career Advancement) Most effective when integrated into real life(7/8)
Self-Awareness	*"[My plan] allowedme to say, 'this is where I'm weak and that's okay.' It allowed me to grow from there."*	7/8 participants felt they were better able to understand how to address and interpret their shortcomings.
Self-Efficacy	*"I was a much better steward of my skills, time, and resources."*	7/8 noted an increased ability to manage time 5/8 felt more competent overall
Self-Exploration	*"I think I'm definitely more aware of myself and where I need to go because of the program."*	7/8 felt improved understanding of self and that their plan helped to achieve goals 6/8 felt plan gave greater awareness of goals
Continuous Improvement	*"Continually learning, continually reading and continually putting myself in situations that are challenging and seeing how we can get out of them in a positive manner."*	8/8 participants sought new opportunities to apply their growth after completing their plan

Note: *Connections to the five conceptual framework elements uniting themes between conventional personal development plans and vertical leadership development are summarized here.*

Ultimately, these findings help to provide an understanding on some of the most successful elements and outcomes of personal development plans that are focused on helping individuals to develop competencies in managing VUCA-related uncertainty and change. While the nature of all participant's plans and career contexts were different, the five themes of the conceptual framework were reflected in their growth journeys and plan outcomes. Participants noted that they were most effective in developing and applying new skills when they were able to apply their growth directly to their working life, which speaks to Petrie's (2014) observation that plans often fail if not connected to one's real working life, and relate to Lee and Pang's (2014) findings that adult learners are most frequently motivated by career advancement.

The plans served as a way for participants to boost their self-awareness, a recognized component and worthwhile outcome of personal development plans (Ciobotaru, 2017; Hougaardet al., 2018), as well as vertical leadership development (Petrie, 2015). All eight participants alsoreflected upon their growth as a key component in influencing their own

self-efficacy and abilityto manage uncertainty, complexity, and change through the lens of their COVID-19 pandemic response experiences. Self-exploration was also reflected in participant experiences, with their plans helping them to better understand themselves, their growth, and their goals. Plans are mostsuccessful when they are used as a starting point for long-term, ongoing growth. In this study, alleight participants found new ways to continue their growth after completing their plan experience, which supports Maguire and Blaylock's (2017) recognition of ongoing growth as a key component in any successful plan experience.

To connect the themes of self-awareness, self-efficacy, and self-exploration in a context that places emphasis on developing and applying skills and ongoing improvement serves to represent a key construct for effective personal development plans built around responding to complexity, uncertainty, and change. The ever-changing elements of our VUCA world will continue to create new challenges and contexts for leaders and organizations to navigate, and the more personal development plans are crafted with these elements in mind, the better individuals can grow and best utilize their potential to live and lead in uncertain times.

Theoretical Implications

This research sought to unite key concepts between conventional personal development plans and vertical leadership development, and the findings supported Petrie's (2014; 2015) stance that vertical leadership development can be a unique platform to help individuals and organizations adapt to uncertainty and change. The findings suggest that vertical leadership development can be connected to conventional personal development plans on a nearly unconscious or subliminal level. The participants of this study were not actively familiar with theconcepts behind vertical leadership development, yet their plan experiences (and proceeding growth) exhibited key themes for vertical leadership development as a whole. Therefore, verticalleadership development's key theories and applications may be capable of being utilized across more widespread contexts, outside of just the more "advanced" leadership development modalities in which it is more frequently housed. It is possible that vertical leadership development and its key theories may be capable of being utilized on a larger scale across all areas of personal development.

The study overall served as a noteworthy example of narrative-based, personal development experiences in the private sector, an area previously identified as needing further research (Greenan, 2016), while contributing to the emerging body of research around vertical leadership development (Pesut & Thompson, 2018). Participants as a whole gained a greater level of confidence and competency when faced with uncertainty due to their plan experiences,which can speak overall to how plans can be developed to best equip individuals with the capacities and skillsets to manage VUCA.

Practical Implications

Based on the narrative experiences of the participants, personal development plans shouldbe developed with several key elements in mind. First, plans should be clearly

developed and structured with a strong system of goals and benchmarks in place, with ongoing implementation into one's working life. Therefore, plans should be heavily personalized to the ongoing needs and contexts of the individual, however a "personal" development plan should not be a solitary process. Instead, plans should support the process of reflection and accountability through the utilization of mentors, mentees, and/or peer groups, which can support the elevated sensemaking process recognized in vertical leadership development (Petrie, 2015). Plans should also contain some type of consideration for ongoing growth and how an individual can continue to grow and apply themselves after the plan's completion (Maguire & Blaylock, 2017).

Organizations seeking to utilize personal development as a growth tool for their leaders and employees should aim to ingrain these personal development plans within their organization's culture. This idea of looking at personal development as a unified process rather than a solitary one (Chlebikova et al., 2015) represents an opportunity for organizations to create unique developmental cultures. This type of environment can not only support an individual's growth further (in the areas of developing and retaining skills and ongoing growth), but it can also set the stage for how an organization and its people can act with greater agility and competency in the face of change (Jones et al., 2020; Kegan et al., 2014).

Recommendations for Future Research

This study's findings should be looked at as a starting or contributing point in the quest to better understand personal development plans and their context and implications in VUCA environments. Therefore, four recommendations have been made for future research in these areas:

1) **Further explore the practical implications of the findings through actual plan practice.** This study has established a framework for effective plans in adapting to VUCA. Actually developing a plan based on these findings and observing its efficacy would be the next logical step in applying and testing the findings of this study.

2) **Utilize experiences related to the COVID-19 pandemic as a key resource for observing VUCA and its organizational impacts.** The COVID-19 pandemic stands as one of the most uniquely challenging organizational hurdles leaders face today. While this study was conducted in the early months of the pandemic March-May 2020), there is potential for any researcher who aims to further analyze how the pandemic has influenced leadership, and the steps leaders have taken to respond to the organizational challenges the pandemic has created.

3) **Seek out nuanced, unsuccessful experiences of personal development plans in future research.** A limitation of this study was that all participants had self-identified that their plans had helped them to grow, which placed the emphasis of this research on successful personal development plans. Further exploration into unsuccessful plans, their contexts, causes for failure, and ultimate outcomes (if any) would help to provide better understanding of personal development planning overall.

4) **Cast a wider net of participant personal development experiences through a quantitative study.** This study focused on the narrative experiences of business leaders who had

experienced personal development plans. Now that these findings have illuminated several key contexts and outcomes for effective VUCA-minded plans, a quantitative study across a larger sample could prove useful in better understanding the contexts and outcomes of this study.

Recommendations for Future Practice

Based on the findings of this study, four recommendations have been made for an organization or leader looking to further ingrain personal development plans into their organization's operations and culture:

1) **Create and utilize plans with an emphasis on developing relevant skills with an immediate integration into the participants' real life.** Plans should be developed with a direct focus on the needs of the individual, and thereshould be clear opportunities for that individual to apply and continue their growth within the working life, so that the development is retained and immediately relevant.

2) **Utilize an effective, well-communicated plan structure with clear benchmarks and outcomes.** Plans were most effective when they had proper structure, with clear concepts behindhow to determine success, benchmarks, and how to address plan completion and ongoing growth.

3) **Maintain accountability, sensemaking, and motivation through the utilization of reflection and mentor and/or peer support.** Personal development plans should not be solitary processes. Instead, they shouldincorporate various aspects of accountability and sensemaking to help the individual to contextualize their growth.

4) **Foster a development-minded organizational culture with opportunities for participants to continue their growth.** The more that organizations ingrain employee development into their culture, the moregrowth can be supported and sustained over time. This process may involve taking risks, and may shift power dynamics within employee-supervisor relationships, and may not always be aclear path to productivity and success. However, there is great potential for organizations that can effectively develop their employees and sustain an agile, dynamic growth culture.

The VUCA world has created an ever-changing series of contexts, obstacles, and perspectives for organizations and leaders to navigate. Its organizational and personal hurdles continue to grow with each challenge faced, whether it be a pandemic, environmental challenges, cultural, global, or social issues, or some new, currently unforeseen challenge. The more that leaders can continue to cultivate and utilize development, the better equipped they can be in navigating the uncertain waters of our ever-changing world.

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Codes of Ethics:

Extending Classification Techniques with Natural Language Processing

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Abstract
Language is an indicator of how stakeholders view an ethics code's intent, and key to distinguishing code properties, such as promoting ethical-valued decision-making or code-based compliance. This article quantifies ethics codes' language using Natural Language Processing (NLP), then uses machine learning to classify ethics codes. NLP overcomes some inherent difficulties of "measuring" verbal documents. Ethics codes selected from lists of "best" companies were compared with codes from a sample of Fortune 500 companies. Results show that some of these ethics codes are sufficiently different from the norm to be distinguished by an algorithm — indicating as well that lists of "best" companies differ meaningfully from each other. Results suggest that NLP models hold promise as measurement tools for text research of corporate documents, with the potential to contribute to our understanding of the impact of language on corporate culture and enhance our understanding of relationships with corporate performance.

Introduction

Codes of ethics are written documents; their language is meant to influence both internal and external stakeholders and to convey various understandings of what is right and wrong (Winkler, 2011, p.654). The Sarbanes-Oxley Act of 2002, Section 406, requires an ethics code for senior officers. Businesses' ethics codes have since become common. Some corporations have ethics codes, others have codes of conduct, for employees, directors, and officers. Harris (2004) suggests that codes of conduct and codes of ethics are, by nature, different. He maintains that conduct and practice are linked with objective outputs, while principles and ethics are associated with justice and character. In this paper, we do not distinguish between codes of conduct and codes of ethics, treating both as "written, distinct, formal document[s] which consist of moral standards which help guide employee or corporate behavior" (Schwartz, 2002, p. 28).

Do ethics codes create an organizational standard that promotes consideration of ethics in decision making? Do ethics codes protect the company from litigation and control compliance with company policies? Scholars struggle to work out which of these opposing possibilities, ethical-valued decision-making versus code-based compliance, is generally true. Ethics code language is not easily quantified or classified.

Corporate Social Responsibility (CSR) research on ethics codes often measures whether a code is present or absent, while studies of the impact of codes on corporate performance have had mixed results (Kaptein & Schwartz, 2008). Mixed results in studies on the impact of codes on corporate governance have led to search for a reason and a deeper examination of differences among ethics codes that, in turn, may be related to different impacts on corporate behavior. Presence of an ethics code alone may be insufficient as an indicator of corporate behavior. Perhaps mixed research results occur because ethics codes differ in meaningful ways. Consequently, some codes may have an impact while others do not; in the aggregate, results are mixed. Since codes are written documents, language is key, but measurement of language is difficult. This paper addresses the question of whether ethics codes differ by using a Natural Language Processing algorithm. The purpose is to take an important step in developing a potentially useful quantitative tool that can contribute to our understanding and analysis of corporate documents.

Our algorithm is distinctive in that it classifies ethics codes using Natural Language Processing to quantify the text data. As a proof of concept, we demonstrate that NLP can be used as a measurement tool for ethics codes. Advantages of quantitative, computational models include explicitness, known assumptions, and repeatability. Then again, quantitative models also have the shortcoming of being less nuanced than subjective judgment and may leave out information that is difficult to measure. Nevertheless, adding an unbiased objective model to the toolkit adds value by supporting intuition or by challenging intuitive assumptions.

The algorithmic measure of code content we develop is next used to test whether code language is associated with corporate behavior. We address the question: Do ethics codes make a difference in classifying corporate behavior as more ethical than the norm?

In the sections that follow, we review the literature on normative approaches to ethics codes, followed by a review of research describing how ethics codes appear in practice. Next, we consider research exploring the impact of ethics codes on corporate performance. We then focus on language differences in ethics codes and efforts to measure code differences. The NLP model we develop adds a novel quantitative measurement tool to those available for ethics code research. Finally, we use machine learning to classify the scored ethics codes into two categories which we have labeled *Ethical* and *Normal*.

Normative Approach to Ethics Codes
Good ethics codes are written based on the principle that ethics is about right, as opposed to wrong, values and behavior. "Codes of ethics are intended to capture the key values of a firm and to convey those values to both internal and external stakeholders" (Coughlan,

2005, p. 45). Weaver (1993, p. 45) sees ethics codes as constraining behavior. He defines ethics codes as "distinct, formal documents specifying self-consciously ethical constraints on the conduct of organizational life."

Reynolds and Bowie draw upon Kant's moral principles as "an externally-established conception of what is right" (2004, p. 276). Kant considered moral principles of what is ethically right to be independent of context. Following the Kantian framework, Reynolds and Bowie maintain that ethics codes should have the primary motive of doing what is right. Codes should respect the free will of individual employees, avoiding retaliatory language. The code should be written to be valuable to all employees, so organizations should provide opportunities for all members of the organization to contribution to it. "Employees need discretion in applying the policy, but they also need to be able to suggest changes and improvements in the policy. In so doing, the employees are exercising their rational and moral capacities. By actively participating in this way, their own ability to make better moral decisions is increased." In contrast, if measurable outcomes are emphasized rather than values, then codes tend "to legitimize the legalistic and symbolic benefits of an ethics program at the expense of the inherent value of moral behavior.... An ethics program that is adopted simply to support the bottom line will not have the best consequences" (Reynolds & Bowie, 2004, pp. 276-283). Since ethics code writers cannot anticipate future dilemmas, the point of the code is to guide decisions with value statements. If the code is written as a set of laws with punishments, employees will be motivated to adhere to the letter of the law to avoid punishment, rather than be thoughtful and adhere to the spirit of the value system.

Harris (2004) also advocates participation of stakeholders in the process of developing and implementing codes. He makes the case that ethics codes should be future-oriented, developing good habits, building trust, and encouraging decision-making based on principles. Language looms large, giving importance to narrative about principles and values along with objective quantitative measures. An ethics code can serve as one of the public pronouncements of espoused values of the corporation (Schein, 2016, p. 4). It becomes a reference for corporate behavior and choices.

Since the future is uncertain, ethics codes highlighting values and principles rather than attempting to address a list of potential scenarios, are more useful. They provide employees who are faced with ethical dilemmas a basis to justify the choices they make. Therefore, "if a code is meant to provide justifications for employees, it must specifically address important values" (Coughlin 2005, p. 48).

Descriptive Approach to Ethics Codes — *Values versus Compliance*
In actual practice, the language of corporate ethics codes may or may not conform to normative ideals. Additionally, the actual reasons for introducing a corporate ethics code may be different from those announced with the code's introduction. At times the distinction between company policies and its ethics code is arbitrary. Weaver (1993) suggests that social desirability biases may lead to ambiguity in identifying which corporate documents are to be considered ethics codes. Managers may perceive the

company's ethics code differently from employees. There may be multiple perspectives arising from individuals' multiple roles.

Farrell and Farrell (1998, p. 588) describe ethics codes as being either inspirational or prescriptive. Inspirational codes "in which code writers provide corporate values/principles only" thereby leave discretion in the application of those values to employees addressed by the code. Prescriptive codes develop expectations of employees for compliance; they "arise when code writers apply ... corporate values and principles to perceived moral hazards that might occur ... No discretion in the matter is expected." They analyzed the language in a small sample of Australian corporate codes of ethics examining linguistic structures of relational clauses, passive voice, nominalization, grammatical metaphor, and modality. They concluded that the codes in their study primarily imposed conformity to rules, using language to maintain a hierarchical power relationship within the organization; they did not empower employees to make ethical decisions.

Winkler (2011) identified three parts of ethics codes: the introduction, the rules and regulations, and the code enforcement. Analyzing ethics codes of Dax30 companies – German blue chips listed at the Frankfurt Stock Exchange – he examined the role given to the actors addressed by the code. Did the codes ascribe any agency to the actors, or did the codes render them as being passive? The code introductions were seen to downplay the existence of hierarchy and asymmetries, literally elevating ordinary employees, in terms of social status and corporate responsibility. Considering the other parts of the codes, however, this initial attribution of agency quickly disappeared. The rules and regulation sections addressed employees as passive receivers of code instructions. "Compliance with the codes of ethics is usually enforced by creating a feeling of fear...the enforcement part of the codes of ethics once again fabricates employees as rather passive actors who are in need of guidance, assistance and control" (Winkler, 2011, p. 659). The codes studied by Winkler created a sense of ambiguity by placing a great deal of responsibility on the employees though denying them agency and competence.

The literature suggests that in practice, ethics codes follow one of two patterns. One pattern emphasizes values and leaves employees to make their own decisions about the ethical course of action when faced with a dilemma. The other emphasizes compliance with specific guidelines directing employees to seek guidance from a supervisor. Sometimes compliance codes offer scenarios of potential ethical dilemmas. Research indicates that more codes fall into the compliance category. In a review article, Babri, Davidson, and Helin (2019) found that the compliance orientation has increased over time.

Code Impact Literature
Seeking a quantitative impact of corporate ethics codes, a body of literature researches the relationship between ethics codes and corporate performance. A review study by Kaptein and Schwartz (2008) of code impact on Corporate Social Responsibility (CSR) performance found mixed results. This is not surprising considering that ethics codes can differ from one another in a number of ways. Language varies considerably among different companies' ethics codes, potentially contributing to different perceptions and

behavior among affected employees. Internal reasons for adopting an ethics code may differ from one company to another. Of course, there are numerous influences on corporate performance. Leaders modeling the way for others to behave is very important (see Kouzes and Posner, 2017, pp. 13-14). Corporate culture and structural features are also important, codes of ethics being the feature examined here. Different ways of measuring code content may contribute as well. Recently, Kaptein suggested myriad possible reasons for mixed research results on code impact: among them are differing topical content and level of prescription among codes, which may contribute to differing code effectiveness (2019, p. 3, 6).

While studies comparing companies with codes to those without have yielded mixed results as to whether a having code makes a significant difference in CSR performance, a few notable studies looked at code content in more detail. Erwin (2011) found a relationship between code quality and CSR performance. That study measured code quality based on data from Ethisphere, which in turn rates corporate codes using a panel of experts.[9] He contrasted his results to the typical treatment by researchers that compare companies with codes of conduct to those without. Kaptein (2011) studied presence of a code along with the number of issues that are addressed by the code. Content was found to be one of the issues without which having a code could be counterproductive. It follows from the importance of quality and content that the intent of a code may be more important than the simple existence of a corporate ethics code, though "intent" is difficult to measure.

Coughlin's definition of impact follows from his view of an ethics code as a source of justifications for choice, rather than as specifying what choice to make. "A code's usefulness then is not gauged only by its effect on choice, but also by its effect on a decision-maker's justifications" (Coughlan 2005, p.46). He suggests that where laws are inconsistent, heavily legalistic codes are not useful guides for decision makers. Summarizing studies in a review from 2005-2016, Babri, Davidson, and Helin found that codes have both positive and negative outcomes (2019, p. 33).

Importance of Language
Farrell and Farrell (1998) concluded that language could reinforce a hierarchical power relationship or free employees to be moral decision makers. Examining the language in ethics codes of five large Australian business enterprises, they even found conflicting messages, as employees were addressed as decision makers but then subsequently asked to conform to the hierarchy. Language might be the means for either empowering or constraining.

Béthoux, Didry, and Mias (2007) used software to perform a lexical analysis of a collection of 175 codes from 166 European and North American companies. The software created

[9] The method grades the codes of conduct from major corporations based on performance in eight categories: "Public Availability," "Tone from the Top," "Readability and Tone," "Non-Retaliation and Reporting," "Commitment and Values," "Risk Topics," "Comprehension Aids," and "Presentation and Style." A specific rating for each category is determined by a panel of experts from the Ethisphere Council. Ratings follow a standard letter grade scale (A = excellent, B = above average, C = average, D = below average, F = poor) (Erwin, 2011, p. 538).

categories based on the words used frequently in the codes themselves. Their "analysis conveys the idea that codes of conduct are radically inconsistent with workers' participation in the management of the company" (p. 88).

Choice of language can influence code effectiveness. Rodriguez (2010, p. 36) claimed that watered-down language and "weasel wording" was used in some companies' ethics codes, which did not preclude unethical behavior. In those cases, ethics codes could lull investors into a false sense of security, providing assurance of ethical behavior but not actually delivering it. Shin and You (2020) studied the importance of language in CEOs' letters to shareholders. They found that language used affected CEO dismissal risk. Clearly, code language matters.

Measurement

Measurement of code content or quality is an issue without a consistent solution because of the nature of ethics codes as written documents. Comparative analyses or impact studies often identify ethics codes as only being either present or absent (Kaptein & Schwartz, 2008).

A few researchers do more than simply note the presence or absence of a code. Gaumnitz (2004) measured code content by dimensions of length, focus, level of detail, thematic content (topic or topics), shape (breadth of theme coverage), and tone (positive vs. negative). He concedes that some professional judgment is involved in these measures. Lere and Gaumnitz (2007) expanded on these measures of code content to include disincentives to choose unethical alternatives. Farrell and Farrell (1998) studied linguistic structures of relational clauses, passive voice, nominalization, grammatical metaphor, and modality to distinguish between inspirational and prescriptive code intent. Preuss (2009) used content analysis of ethics codes to measure the frequency of topical coverage.

Harris debated explicitness in codes. "Objective and quantifiable measures are widely seen as essential if voluntary codes are to achieve community acceptance, fairness, and compliance. For those outside the organization, such measures may assist in the building of trust in the intention of the organization to implement the code and in its capacity to do so" (Harris, 2004). There is, however, potential danger that such measures will create false confidence in external stakeholders. Internally, overreliance on quantifiable measures avoids responsibility for consideration of values. Paradoxically, rigid rules may free employees to behave unscrupulously in the grey areas.

Erwin (2011) measured code quality based on benchmarking analyses by the Ethisphere Institute. In effect, an expert panel, opinion-based grading system takes into account various categories of ethical values to create the benchmarks. Kaptein (2011) measured content by the number of issues addressed by a code. Respondents were asked whether or not an issue was addressed in their own organization's code. This measure could be influenced by respondent perception. Wording and tone were not addressed by the survey, and appropriateness was addressed only indirectly.

All of these measurement approaches share the variability of human perceptions; people read ethics codes and come to subjective conclusions. Subjective measures, such as intentions, may be distorted by social desirability biases (Weaver, 1993).

Natural Language Programming and Machine Learning

Recent and ongoing development of NLP promises to open text data to quantitative measurement. Basically, the idea is to use computer algorithms to find quantitative measures of text. NLP models, such as the model used here, build documents from words and score the documents. Machine learning can then be used to classify the documents, and take algorithmic action based on that classification. All models simplify reality to facilitate analysis. The type of model used here, while not all-encompassing, has yielded good results in a variety of cutting-edge applications where a more fully featured description of language would be too complex. One such instance is spam detection, where state-of-the-art systems rival humans in accuracy.

One of the earliest uses of software, rather than observation, to study corporate documents was a lexical analysis of codes and framework agreements done by Béthoux, Didry, and Mias (2007). Recently, text analysis using algorithms has been used by a few accounting researchers. For example, Baier, Berninger, and Kiesel (2020) use text analysis of annual reports. They algorithmically develop word frequencies to judge the environmental, social, and governance (ESG) content of annual reports. NLP is a tool still being developed. Ongoing work in NLP aims to develop ever more sophisticated models that will be able to capture sentiment as well as naïve language (Peldszus & Stede, 2016; Stede, 2016).

In this paper, we add the use of NLP to earlier measurement devices as a tool for quantifying ethics codes. Earlier scholars have noted that ethics codes may be inspirational or prescriptive, values-based or compliance-based, moral decision-enabling or constraining. We start with the most basic measurement question: Can we measure differences among ethics codes? In particular, we are looking for a quantitative, objective measure. We go on to use those NLP measures to classify companies by their ethics code scores, assigning companies to an *Ethical* group or a *Normal* group. Then we test the predictive ability of our NLP algorithm by comparing the NLP classifications with a priori company classifications that used other measurement mechanisms.

NLP Model

We use NLP as a tool to develop an objective, quantifiable measure; then we apply machine learning to the problem of distinguishing or classifying the intent of ethics codes by this measure of their language. The first step of the process is to create a model that is representative of language, more specifically of ethics codes as documents.

What is a Word?
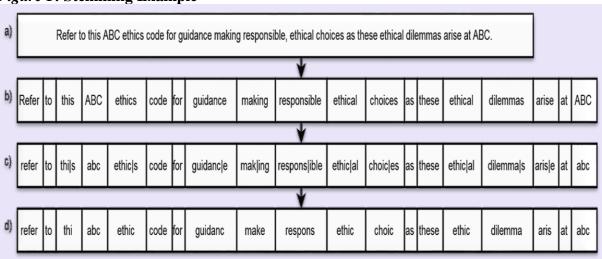
This question is trivial to a human, but to a computer, every text is just a string of characters. In our program, word boundaries are marked by spaces. Since a main method will be automated word counting, once words are split by whitespace, word variations will

be collapsed together by transforming all text to lowercase and *stemming* them to remove inflections. The stemming process used here is that defined by Porter (1980). See *Figure 1* for an illustrative example.

How do Words Form a Document?

The next step in constructing the model is to define larger structures utilizing the "bag of words" model. It has the advantage of being highly descriptive in practice while also being straightforward. As the name implies, the bag of words model ignores sentence structure as if all the words of a document had been placed into a bag and shaken up. An observer could pull individual words out of the bag, but would have no idea how those words once fit together. However, there is still a tremendous amount of information, especially about the document's topic, hidden in the frequency of words that the author chose (for example, see *Figure 2a)*. When transformed into a bag of words, the sentences yield the set of frequencies seen in *Figure 2d*. Words like "ABC," "ethics," "responsibility," and "dilemma" appear more frequently than most other words. An observer without prior knowledge of the underlying sentences could reasonably conclude that the document relates to ethical decisions concerning ABC company.

Figure 1: **Stemming Example**

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the underlying sentences could reasonably conclude that the document relates to ethical decisions concerning ABC company.

Figure 2: **Bag of Words Example**

How is the Content of a Document Measured?

Computer algorithms need to quantify each measurement, unlike humans who make qualitative distinctions intuitively. The frequency counts of words are the starting point for our model. Our model additionally penalizes words based on their commonness in the corpus — the full collection of documents under consideration. The weighting scheme utilized here is called term frequency-inverse document frequency (TF-IDF) (Manning, Raghavan, & Schutze, 2008, p. 100). Mathematically, this is expressed by *Equation*

1. The intuition is that the TF-IDF score rewards words that occur often in the current document, but penalizes those that occur in many documents.

Equation 1

$$TF - IDF(w) = F(w) * \log\left(\frac{1}{DF(w)}\right)$$	**Where:**	w = **a given word** $F(w)$ = **the frequency of word** w **within a given document** $DF(w)$ = **the fraction of all documents in the corpus in which word** w **occurs**

Returning to the example in *Figure 2*, the words "ABC" and "ethics" occur in very few documents in the Brown corpus (a well-known topically-balanced corpus), while "the" and "all" occur in nearly all documents in the corpus. Reading from *Figure 3*, reweighting under TF-IDF the scores of "ABC" and "ethics" become much larger relative to "the" and "all." This outcome is in keeping with the descriptiveness of the individual words.

Figure 3: **Word Frequency Scores Example**

Word	TF (Term Frequency)	DF(Document Frequency)*	TF-IDF
Abc	0.06579	0.004	0.15776
Ethic	0.06579	0.05	0.08559
To	0.06579	1.0	0.0
Respons	0.03947	0.32	0.01953
The	0.03947	1.0	0.0
All	0.02632	0.982	0.00021
At	0.02632	1.0	0.0
For	0.02632	1.0	0.0
From	0.02632	1.0	0.0
Dilemma	0.02632	0.036	0.03799
Utmost	0.01316	0.014	0.02439
Code	0.01316	0.056	0.01647
...			

* Document frequency using the Brown corpus

Classifier

From Comparisons to Classifications

The model developed thus far creates a method of quantifying and comparing documents. We take the TF-IDF measure one step further by developing a methodology for making predictions based on those quantified comparisons. Consistent with the argument made by code content researchers above, we hypothesize that there are two classes of ethics codes based on intent of their language. The first class we call *Ethical*, and a second more aggregated group from a background population we call *Normal*.

Published lists of select companies are used as proxy measures for CSR behavior. Relying on a third-party source also reduces the risk of confirmation bias. The lists chosen each has some claim to identifying companies that are more ethical than is the corporate norm. We assume that inclusion in such lists is an indicator of the ethical corporate behavior. We use these lists in conjunction with NLP to test whether that laudatory corporate behavior is associated with differences in ethics code language. The datasets are described below.

Data

Ethics codes from a sample of the largest *Fortune 500* companies are used as the reference benchmark for *Normal* ethics codes. Four alternative data sources are used as reference benchmarks for *Ethical* companies. The assumption noted above is that companies are chosen for selective listings because of corporate behavior that is exceptional in some way. Inclusion in a named list is also a way to create a convenient, one-dimensional composite measure for the inherently multi-criteria nature of ethical decision-making (Cahn, 2014). The companies tested here were included in: *Ethisphere's* list of most ethical companies, *Corporate Responsibility Magazine's 100 Best Corporate Citizens*, *Fortune's* list of *Most Admired Companies*, and the *Fortune 100 Best Companies to Work For*. These lists each have a long history and a stable definition.

Corporate Responsibility Magazine Year's 100 Best List is created as follows. Its research team documents 260 data points of disclosure and performance measurements for the entire *Russell 1000*. The data is from publicly available information and each company is ranked in seven categories: environment, climate change, employee relations, human rights, corporate governance, financial performance, philanthropy, and community support. The *Corporate Responsibility* list is ranked. For the year in which our sample was taken, the top company in *Corporate Responsibility's* list was *Microsoft*.

Ethisphere's Most Ethical Companies program honors companies that excel in three areas – promoting ethical business standards and practices internally, enabling managers and employees to make good choices, and shaping future industry standards by introducing tomorrow's best practices today. The *Ethisphere* list is not ranked.

The *Fortune Most Admired* is a ranked list of fifty companies based on corporate reputations compiled by *Fortune* in partnership with *Korn Ferry Hay Group.* Executives, directors, and analysts are asked to rate companies in their own industry on nine criteria, from investment value to social responsibility. A company's score must rank in the top half of its industry survey to be listed. This ranking has been used empirically by Spencer and Taylor (1987); by McGuire, Sundgren, and Schneeweis (1988); by Wartick (1992); and by Mishra and Modi (2016) to measure corporate social responsibility. For the year of our sample, the top company in the *Fortune Most Admired* list was *Apple*.

Fortune's 100 Best Companies to Work For, is produced by *Fortune* in partnership with *Great Place to Work*. Two-thirds of a company's survey score is based on the results of the *Trust Index Employee Survey*, which is sent to a random sample of employees from each company. This survey asks questions related to employees' attitudes about management's credibility, overall job satisfaction, and camaraderie. The other third is

based on responses to the *Culture Audit*, which includes detailed questions about pay and benefit programs and a series of open-ended questions about hiring practices, methods of internal communication, training, recognition programs, and diversity efforts. Some of these metrics reflect ethical management, but as an aggregate measure it is not exclusively about ethics. As the respondents are from each company, the data may be subject to self-reporting bias. For the year of our sample, the top company in the *Fortune 100* list was *Google*.

The ethics codes were accessed from company websites and were the most current available at the time of this study, ranging from 2013 to 2016. Each dataset of *Ethical* codes is compared to a comparable number of codes from the set of *Normal* codes taken from the *Fortune 500* companies, excluding those from the companies in the corresponding *Ethical* set. Of *Ethisphere's Most Ethical Companies*, 89 were US companies with publicly available ethics codes. *Corporate Responsibility Magazine's Best Corporate Citizens* had 71 US companies with available ethics codes. *Fortune*'s list of *Most Admired Companies* had 48 with available ethics codes. Of the *Fortune 100 Best Companies to Work For,* 75 had ethics codes available. For each analysis, a subset of the largest *Fortune 500 Companies* containing a comparable number of company codes is used as the *Normal* set. For our sample, the top *Fortune 500* company was *Walmart*. In the public imagination "best" and "biggest" do not appear to coincide.

How Does an Algorithm Classify?
The classifier described here quantifies documents in relation to a corpus (see section, *How is the Content of a Document Measured?).* In this case, that corpus is a combination of the set of ethics codes taken from the lists described above. The purpose is to demonstrate language that distinguishes ethics codes from each other.

Building a Classifier
In machine learning, classification is the problem of predicting the category of a new observation given previously observed data (and their categories), known as the training set. An individual observation in this problem is the content of a given ethics code, as measured using the model set forth earlier. The categories in our analysis are *Ethical* and *Normal*, known for each document based on the published rankings as explained in the *Data* section. Some of the data is held back from the training set to be used in later testing of the algorithm's predictions. The reason for holding back data is that training and testing an algorithmic classifier on the same observations skews the results.
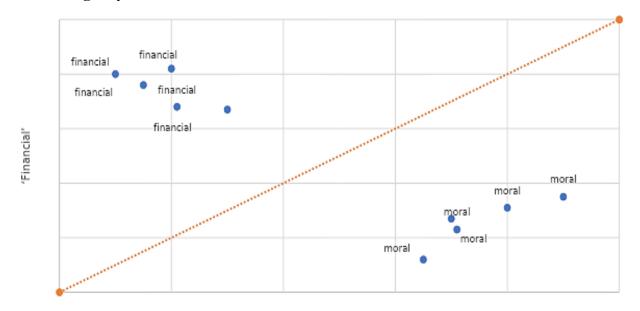
Support Vector Machines
The particular classifier utilized here is a *Support Vector Machine*. It represents each document as an n-dimensional vector of its TF-IDF word scores, where n is the number of unique words in the corpus. To illustrate, for a corpus with only two unique words (see *Figure 4*), the observations would lie in a 2-dimensional plane. The support vector machine then creates an (n-1)-dimensional boundary which divides the space into two, with one side corresponding to the *Ethical* section of the space and the other side corresponding to the *Normal* section. In the case of the two-word vocabulary of *Figure 4*, this boundary

would be a line. The support vector machine chooses a boundary which maximizes the distance between the observations and the boundary. As our data has many more than the two unique words in *Figure 4*, so our results are in a much higher number of dimensions.

Figure 4: **Hypothetical graph of a support vector machine with observed documents containing only the words "financial" and "moral"**

Software
We developed the classifier described in this article in Python. In coding the model and classifier, we utilized mainly the natural language toolkit (Bird, Loper, & Klein 2009) and SciKit-Learn (Pedregosa et al., 2011).

Results
Input Measurements
In the first step towards building, or *training*, a classifier, each ethics code sampled from each of the *Ethical* listings is measured as compared to *Fortune 500* ethics codes using the TF-IDF measurement described previously. The word "ethics" does not rank highly in this measurement precisely due to this comparison since most ethics codes use the word "ethics." As such, "ethics" is a poor feature for distinguishing one class of ethics codes from another. In contrast, "ethics" is a strong distinguishing feature of ethics codes relative to general English. Words like "ethics" rank highly relative to the Brown corpus, which is representative of general English texts by virtue of including a variety of sources. Intuitively, "ethics" seems reasonably likely to derive from a common set of vocabulary shared among all ethics codes. As such, it is a useful feature in identifying that a document is in fact an ethics code, but not useful for distinguishing *between* ethics codes.

Training and Testing

In training the classifier, each ethics code's measurements are taken to be the features of each observed document and the training label of *Ethical/Normal* is taken from whether the ethics code was drawn from an *Ethical* list or the *Normal Fortune 500*.

The dataset of ethics codes is split into two groups, one (larger) set for training the classifier and the other for testing it. In the training step, the model is fed a set of observed class labels (*Ethical/Normal*) to learn from, along with the measured features of the sample documents. In the testing steps, the class labels are withheld and the now-trained classifier predicts the class of each document in the testing set. There are two basic summary measures used to gauge the effectiveness of the classifier: (1) how frequently the classifier correctly predicts each document's class is an indication of the overall *precision* of the classifier and (2) the proportion of each document class correctly predicted by the classifier is an indication of the *recall* (or coverage) of the classifier.

The number of ethics codes used here would be considered a small sample size in machine learning methodology. One drawback of a small sample size is that removing any piece of the dataset from training can significantly affect the resulting classifier. Another limitation is that the model may not have observed enough data to accurately predict classifications. For this reason, our analysis uses a technique called *cross-validation* in order to maximize the amount of training data available and find a smoothed estimate of the model's accuracy. In cross-validation, the dataset is divided into N equal groups. The classifier is then trained N times using all but one of the groups, with a different group being left out each time. The average accuracy of the N iterations is taken to be the overall model accuracy.

Output Measurements

Once the ethics codes are divided into the two groups, they are inputted into the machine learning model previously described. *Tables 1* through *4* show the success of the model in classifying a given set of *Ethical* companies' ethics codes relative to the *Normal* set of companies in the *Fortune 500* group. In each case, the *Normal* set contained the same number of companies from the *Fortune 500* group matching the number of *Ethical* codes. For each corresponding *Ethical* dataset, any *Fortune 500* companies which were also in the *Ethical* group were excluded from the *Normal* group.

In *Tables 1* through *4*, the *Ethical* precision, or positive predictive value, reflects the percentage of codes that the model identified as *Ethical* which did in fact come from the set of *Ethical* companies. The *Normal* precision correspondingly represents the percentage of ethics codes that the model identified as *Normal* that did in fact come from the *Fortune 500* list. The complements of the precisions for each set would be false positives, that is codes classified as *Ethical* that were actually *Normal* or codes classified as *Normal* that were actually *Ethical*.

The *Ethical* recall, or sensitivity, reflects the probability of detecting the ethics codes that came from the total set of *Ethical* companies. That is, it is the percentage of correctly identified *Ethical* codes out of all *Ethical* codes. The *Normal* recall is the corresponding percentage of correctly identified *Normal* codes. The complement of the recall

percentages are false negatives, that is codes that should have been classified as *Ethical* but were not, or codes that should have been classified as *Normal* but were not.

The F-measure is a weighted measure that includes consideration of both precision and recall. In fact, it is their harmonic mean, which is a useful average when dealing with rates. The key motivation in using both precision and recall (or the F-measure as a convenient combined measure) is that neither is fully indicative of a successful classifier. The best classifier will exhibit both high precision and high recall.

Table 1: Classification Accuracy for Ethisphere Codes			
	Precision	Recall	F-measure
Ethical	0.61	0.59	0.60
Normal	0.56	0.59	0.58
Average	0.59	0.59	0.59

Performance

Results for the classifier trained on data from Ethisphere's Most Ethical Companies are shown in *Table 1*. Using this dataset, the classifier correctly identified the *Ethical* set of companies 61% of the time (precision), and managed to correctly identify 59% of all *Ethical* companies (recall). That is, 61% of the codes identified as *Ethical* were in fact from *Ethisphere's Most Ethical Companies* (and 39% were not). Of the codes in *Ethisphere's Most Ethical Companies*, 59% were among those identified as *Ethical* (and 41% were mislabeled as *Normal*).

Similarly, the classifier trained on data from *Ethisphere's Most Ethical Companies* identified the *Normal* set of companies 56% of the time (precision) and correctly identified 59% of all *Normal* companies (recall). That is, 56% of those companies labelled *Normal* were not in *Ethisphere's* dataset (while 44% were). Of the *Fortune 500* codes not in *Ethisphere's* set, 59% were correctly identified as *Normal* (while 41% were incorrectly labeled as *Ethical*). The combined F-measure for the classifier trained on *Ethisphere* data was 60% for *Ethical* and 58% for *Normal*. Since the task at hand requires both accuracy in classification (i.e., precision) and correctly covering as much of the data as possible (recall), these F-measure percentages are the most indicative of the behavior of the classifier. It should be noted that average precision, recall, and F-measure across both categories (*Ethical* and *Normal*) was 59% for this set of companies.

The *Ethisphere* dataset resulted in the best performance for the data we tested. An analogy would be a blind "taste test" where of the four sets of *Ethical* companies we tested, the blind tester (that is, the algorithm) observed a greater percentage of the *Ethisphere* set of companies to be ethical, as measured by the wording of their ethics codes, than for any of the other sets of *Ethical* companies. Compared to a truly blind guess (which would have 50% precision, recall, and F-measure), these results indicate that the algorithm identified key linguistic markers that distinguish codes of ethics written by *Ethisphere's Most Ethical Companies* from the remainder of the *Fortune 500*.

To consider these results from a perspective of significance, take for comparison the proportion of codes that would result if the algorithm were not at all discerning and the classification of codes in the dataset were completely random. Since the dataset had the same number of companies in each group, a random classification would be half *Ethical* and half *Normal.* Testing the significance of the average predictive ability of 59% for the *Ethisphere* data, using a test of proportion in comparison to 50% which would occur if the algorithm were not at all discerning, we found a z-score of 2.4015 which is significant at the 1% level (see *Table 5*).

Table 2: **Classification Accuracy for Corporate Responsibility Magazine Codes**

	Precision	Recall	F-measure
Ethical	0.55	0.56	0.56
Normal	0.53	0.52	0.52
Average	0.54	0.54	0.54

Table 2 shows results for the dataset which included ethics codes from *Corporate Responsibility Magazine's 100 Best Corporate Citizens* as the *Ethical* set. The comparison set of *Normal* codes was from a matched number of companies from the *Fortune 500* with any *Ethical* companies excluded. Using this dataset, the classifier accurately labelled an ethics code as *Ethical* 55% of the time (precision), while incorrectly labelling a *Normal* code as *Ethical* the other 45% of the time. Similarly, the classifier accurately labelled an ethics code as *Normal* 53% of the time (precision), with the remaining 47% being *Ethical* codes which were mislabeled as *Normal*. The classifier accurately identified 56% of the *Ethical* set of companies and 52% of *Normal* companies (recall). The average precision over both *Ethical* and *Normal* for this dataset was 54% and the average recall was also 54%. The combined F-measures were 56% for *Ethical* and 52% for *Normal*, with an average of 54% for both categories. While not as good an outcome as for the *Ethisphere* dataset, these results are still better than the 50%-50% outcome that would be expected from two groups of matched size. As such, the classifier results utilizing *Corporate Responsibility Magazine's 100 Best Corporate Citizens* also suggest that the classifier learned linguistic markers that distinguished the content of these ethics codes. Applying the same test of significance as above, however, the z-score for the dataset of *Corporate Responsibility Magazine's 100 Best Corporate Citizens* was 0.9533 which is significant at only the 17% level (*Table 5*).

Table 3: **Classification Accuracy for Fortune Most Admired Companies Codes**

	Precision	Recall	F-measure
Ethical	0.50	0.49	0.50
Normal	0.49	0.50	0.50
Average	0.50	0.50	0.50

Results for the dataset including *Fortune's 50 Most Admired Companies* as the *Ethical* set of codes, shown in *Table 3*, stand in stark contrast with the two previous datasets. The classifier scored a precision of 50% and recall of 49% on the *Ethical* set. Similarly, the classifier scored a precision of 49% and recall of 50% on the *Normal* set. The F-measures for both sets and averages of precision, recall, and F-measure were all 50%. The results here are reminiscent of the coin toss analogy, and appear to be no better than chance. These results suggest that any further work in this area not focus on using *Fortune's 50 Most Admired Companies* as a benchmark. The companies in this list appear to differ from others by markers beyond the scope of the linguistic features available to the current classifier within their ethics codes.

Table 4: **Classification Accuracy for Fortune Best Companies to Work for Codes**

	Precision	Recall	F-measure
Ethical	0.47	0.47	0.47
Normal	0.53	0.53	0.53
Average	0.50	0.50	0.50

Table 4 shows the results for the dataset where the *Ethical* set of companies is taken from *Fortune 100 Best Companies to Work For*. Of the codes classified as *Ethical*, only 47% were actually from the *Ethical* set (precision). The remaining 53% were *Normal* companies mislabeled by the classifier as *Ethical*. The classifier has a similar recall for *Ethical* companies, correctly identifying only 47% of all *Ethical* companies. The balanced F-measure was likewise 47%. The results for the *Normal* group were a little better. Of the codes classified as *Normal* companies, 53% were correctly classified as *Normal* (precision) while 47% were *Ethical* codes mislabeled as *Normal*. The classifier also correctly recalled 53% of all *Normal* codes and had an overall F-measure of 53%. The average precision, recall, and F-measure are all 50%, indicative of an overall tepid performance of the classifier using this dataset. Any indications the classifier was performing better than chance on the *Normal* class were balanced by worse performance on the *Ethical* class. Overall, the classifier was not appreciably different in results from coin tosses. Similar to the results for *Fortune's 50 Most Admired Companies*, the tepid results for *Fortune 100 Best Companies to Work For* suggest that future work in this area not focus on using this particular ranking of companies as a benchmark.

Table 5: **Tests of Significance of Average Recall**

	Recall Average (accuracy)	z-score	Sig.	n
Ethisphere	0.59	2.4015	0.0082	178
Corporate Responsibility Magazine	0.54	0.9533	0.1711	142
Fortune Most Admired	0.50	0		

Fortune Best Companies to Work For	0.50	0

Comparing the results for all four datasets tested, *Ethisphere's Most Ethical Companies* as well as *Corporate Responsibility Magazine's 100 Best Corporate Citizens* had ethics codes that were distinguishable by the model's algorithm from those of the corresponding *Normal Fortune 500* companies. As a quantitative model, the NLP algorithm shows that the two groups of ethics codes are different, although this model does not identify how they are different.

For the two selective *Fortune* lists, however, neither was distinguishable from the corresponding *Normal* companies' ethics codes by the model. While each of the data sources is a list comprised of companies that have distinguished themselves in some way, *Corporate Responsibility Magazine's* list and *Ethisphere*'s list are distinguishable by the algorithm measuring their ethics codes. The two *Fortune* lists, *Fortune's 50 Most Admired Companies* and *Fortune's 100 Best Companies to Work For*, were not distinguishable in this way.

Conclusion and Implications

We introduce NLP as a tool for quantitatively measuring ethics code language. Ethics codes may in fact be distinguished based on their wording, as measured by a machine learning algorithm. The results above show this to be true for two of the four datasets tested, for the companies included in *Ethisphere's Most Ethical Companies* and to a lesser extent for those in *Corporate Responsibility Magazine's 100 Best Corporate Citizens* list. Considering the data sources, we conclude that these "most ethical" and "best corporate citizen" companies are laudable in ways that include having ethics codes that are different from the norm. The algorithm used here found that the laudatory corporate behavior reflected by these lists is associated with the language in their companies' ethics codes.

Companies tested here that were judged "best" and "most admired" by *Fortune* have ethics codes that are not distinguishable from the norm by the algorithm. Those companies are noteworthy in other ways, but their ethics codes are typical. Notably though, the tag of "best" has different meanings in the different datasets we studied, as the algorithm found these aggregated lists of noteworthy companies to be different. Why results were different for the different datasets is an interesting question that is beyond the scope of this paper.

Béthoux, Didry, and Mias (2007) suggest that collections of publicly available ethics codes can create a corpus to reference when constructing a new code or improving an existing code (p. 77). Ethics codes, particularly from the *Ethisphere* list of companies coded here as *Ethical,* may serve as such a corpus. The *Ethisphere* codes are measurably different from those of companies listed here as *Normal* large corporations. This measurable difference does not prove causality; we cannot say whether companies that are already more ethical write better codes or whether careful attention to code language improves those companies. But considering the demonstration that the codes are different, together

with suggestions of earlier researchers about ethics code tone and intent, we can say that the codes of these *Ethical* companies might serve well as models on which to base writing of a new ethics code.

The implication that objectively measured content of ethics codes can sometimes, but not always, be distinguishable from one company to another indicates that not all ethics code content is the same. Further, the fact that differences studied here relate to inclusion in a list of exceptional companies supports the idea that code content and quality can make a difference in the kind of organizational behavior and performance that inclusion in such a list represents.

Good measurement is key to empirical analysis. Ethical values are notably difficult to measure, particularly because values are espoused by way of text. The ability to algorithmically analyze text therefore has implications for future business and society research. A frequent criticism of corporate language is that what companies say and what they do are not always consistent. NLP can be an objective tool for disentangling these concepts and an important addition to our toolkit. Algorithms will never replace human judgment but they can be valuable tools in a decision support system. The implication that NLP and machine learning can be used as research tools for studying business text documents will contribute to our understanding of the impact of language on corporate culture and enhance our understanding of relationships with corporate performance.

Limitations and Future Research
A limitation of the classification methodology used here is that the TF-IDF score does not provide insight into how the ethics codes of listed companies included on the *Ethical* list differ from those on the *Normal* list. Further investigation into the details of how the recognized *Ethical* codes differ from the *Normal* codes may shed more light on the strategic impact of ethics code language.

Regarding impact studies' research, a quantitative classifier like that used here could be used in future research to measure ethics code "intent." The model results above demonstrate that NLP models can distinguish among companies' ethics codes. Using a quantitative classifier of ethics codes as a measure of intent together with financial data could advance research on the relation between corporate social responsibility and financial performance. Future research might investigate groups of companies whose ethics codes have been classified differently, like those studied here, and compare the relationship of those corporations' actions to the codes to which they say they adhere. More generally, these results suggest that NLP models may hold promise as measurement tools for text research to investigate corporate behavior.

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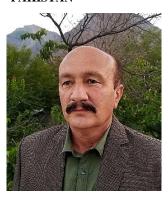
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Changing Parental Perceptions Adding Value to School Improvement Processes in Gilgit-Baltistan, Pakistan

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Abstract

Parental perceptions and perspectives play a critical role in their motivation, interest, participation, and valuation of children's education which ultimately influences the quality of education in schools. This article reports the change of perception and perspectives of the parents under the influence of a comprehensive school improvement intervention. A quantitative survey approach was employed in this study including 680 parents from 6 districts. The data was collected in two rounds following the pre- and post-intervention approach. The first round of data was collected at the beginning of the project and the second round was collected at its end. The paired sample t-test showed significant difference between pre- and post-intervention responses of parents about improved relationships between the school and the parents (p < 0.000), increased co-curricular activities in the school (p < 0.000), fulfillment of students' educational curriculum requirements (p < 0.000), the provision of equal attention to both boys and girls (p < 0.002), the obligation of the parents to ensure the physical and moral development of their children (p < 0.000), the provision of a safe, healthy, and educational environment at home by the parents (p < 0.000), and the development and maintenance of positivity expressed by parents for the success of their children (p < 0.000). Hence, the study found that a planned intervention has the potential to positively change the perceptions, perspectives, and valuation of children's academic development.

Introduction

When leadership traits of an individual are discerned, their inextricable relationship to the education process is undeniable. Teachers and academic administrators have long been heralded as fundamental in the development of successful pupils. However, one key element has largely been understudied: the role of parents in the success of the academic process.

This article reports the key insights from a cluster-based school improvement initiative targeting, inter alia, the development of and progression in parent perceptions and perspectives related to their children's education in Gilgit-Baltistan, Pakistan. Parental perceptions concerning academic issues play a vital role in the level of parents' willingness and motivation to engage in processes related to their children's education (Ball, 2014). When parents feel that the school is welcoming them and find interactions with teachers

congenial, there is a greater propensity for them to participate in day-to-day school issues (Baker et al., 2016). Other factors such as school safety and support for parents also contribute to parent participation in education (Baker, Wise, Kelley, & Skiba, 2016; Hoover-Dempsey et al., 2005). In fact, this observation seems truer in case of marginalized communities. When parents receive respect from school administrators and are provided a forum through which their opinions are heard, they are more likely to participate in the academic process (Baker et al., 2016; Reynolds et al., 2015).

There is a plethora of research exploring the relationship between parental perceptions about schools and their children's academic achievement. For instance, in cases where parents have shown a positive perception about the school where their children attend, the achievement scores of these same children were higher (Catalano, et al., 2004; Ladd & Dinella, 2009). Several studies have recommended the inclusion of parental perceptions in the overall assessment of schools. They believe that parental perceptions can provide the necessary foundation by which to comprehensively understand the entirety of school life as meaningful and complete family engagement is the key component of all school improvement (Anderson-Butcher, Stetler, & Midle, 2006). In this regard, Metso (2004) highlighted a very interesting aspect of parental perception and their motivation to participate in academic development. The forgoing study provides insights that most parents tend to compare their children's school with their own schooling in the past. Based on this comparison, parents develop perceptions and parameters for evaluating the current school system. Hence, they develop their perceptions based on their comparison which guides them in their participation and engagement in their children's academic development. Therefore, the role of parental perceptions and perspectives play a critical role for their direct involvement and participation in their children's education which ultimately influences the quality of education in schools.

This study was part of a comprehensive, integrated, and consortium-based school improvement project known as the Educational Development and Improvement Program (EDIP). This EDIP project followed a cluster approach for school improvement. Each cluster consisted of a centrally-located secondary school as the learning resource school (LRS) and three feeding schools as the units of change and development. The educationally-related component of EDIP Project was implemented by a school-based change facilitator, who worked with the managing or head teachers, the rank-and-file teachers, the parents, and the local level institutions (LLIs) such as the school management committees (SMC) and the mother support groups (MSGs). The EDIP school improvement model benefited from the research work and school improvement interventions across the globe (e.g., Shachar, Gavin & Shlomo, 2009; Datnow & Castelano, 2001; Ertesvag, 2014), gaining key insights on instructional methods, community involvement, organizational structures of the schools, overall management and governance, and the physical and educational environment of the individual schools.

This EDIP Project aimed at "enhancing access, equity and quality of education with increased gender parity, participation and sustainability of community participation," so that the overall socioeconomic development in the region is supported. The specific objectives of the EDIP project were:

- Enhancing gender parity and increasing children's access to education in targeted clusters;
- Improving quality and relevance of education in targeted clusters; and
- Strengthening governance and management of the Department of Education (DoE) in targeted districts.

The EDIP model of school improvement, implemented in Gilgit-Baltistan, focused on working with various stakeholders such as teachers, parents, and school management committees (SMCs) to achieve programmatic goals. Frequent formal and informal interactions with the EDIP stakeholders aimed at positively influencing school communities' (i.e., parents', teachers' and SMCs') perceptions and perspectives about education. Therefore, this study investigated school communities' (i.e., teachers', parents', and SMCs') perceptions and perspectives related to their children's education and explored how these perceptions and perspectives were influenced by the AusAID-sponsored Educational Development and Improvement (EDIP) project implemented within the government schools in Gilgit-Baltistan. As parents' worldviews, perceptions and attitudes towards education shape their intrinsic motivation to support their children's education, it was important to have deeper understanding and insight of school communities' perceptions of education. The study partly determined the success of the EDIP project in facilitating the formation and reformation of school communities' perceptions and perspectives concerning their children's education, and shared context-specific insight for policy formulation and project analysis and planning. Therefore, the major question of this study concerned the extent of and the manner in which the EDIP project influenced the school communities' (i.e., parents', teachers', and SMCs') perceptions and perspectives about their children's education in Gilgit-Baltistan of Pakistan. However, due to the richness and abundance of data related to different stakeholders (i.e., parents, teachers, and school committees) emerging from the study, we only present in this article the findings illustrating the change of perceptions and perspectives in the school parents.

Literature Review
Parental Involvement
Many research studies across the globe note the significance of parental engagement and participation for children's success in their academic endeavors in schools (Sheppard, 2009). It has been explored that the students whose parents are actively involved in the education of their children perform much better in their academic achievements than the children whose parents are passive in the educational development of their children (Daniel, 2011). A meaningful parental involvement in their children's educational processes can add significant value in improving home-school relationships, children's positive development, and their overall success in school (Bunting, et al., 2013). The parental involvement is all about building a positive teamwork strategy between parents and schools to collectively work for generating a positive, safe, supportive, and nurturing school environment (Berkowitz et al., 2015; Berkowitz, Moore, Astor, & Benbenishty, 2016; Thapa, Cohen, Guffey, & Higgins-D'Alessandro, 2013).

Types of Parental Involvement

The nature and types of parental participation and involvement is multi-dimensional. Parents can contribute by volunteering at school functions and events, develop a continuous and positive communication channel with schools, assist their children in homework, and participate actively and regularly in teacher-parent meetings (Hill & Taylor, 2004; Lee & Bowen, 2006; Stewart, 2008). By actively participating in school education in the above areas, parents can significantly contribute to raising the learning outcomes of their children, cultivating a caring and responsive school environment (Arnold, et al., 2008; Houtenville & Conway, 2008).

Amaral and Ford (2005) divided parental involvement into two main categories: the school-centered parental involvement and home-centered parental involvement. They instruct that school-centered parental involvement consists of activities like participating as teacher helpers, assisting in social and service events in schools, and attending meetings. The home-centered involvement consists of activities, like helping with the children's homework as well as providing balanced food to, and fostering constructive relationships with, children and teachers.

Fisher's (2016) study draws examines activity focus and organizational activities. The first facet of parental activity focus is further bifurcated into two components: the "within" and "without" school activities. The "within" school focus refers to "all school activities that parents could be involved in and are performed within the school's geographical borders, while an outside-school focus refers to all school activities that parents could be involved in and are performed outside the school's geographical borders, i.e., at the child's home or anywhere else except the school" (p. 458). The second facet is also divided into two components of student-level activities and organizational-level activities. "Organizational-level activities encompass a wider spectrum, since they are not targeted solely towards one's own child. They are directed towards the school as a whole, as an organization" (p. 458). These facets are primarily related to improvement of school resources, control, pedagogy, school wellbeing, and school welfare. According to Fisher, "parental involvement in schools reflects a broad spectrum of parental actions and activities focused on various issues and conducted within and outside school grounds. Involvement can be expressed actively or passively, in the context of school as an organization and in the context of the parent's individual child" (p. 462).

Epstein et al. (2009) developed a famous model of parent participation which was extensively viewed and reviewed in the intellectual milieu across the globe. This model has been widely referred to in the literature by many researchers on parental participation. Epstein et al. (2009) proposed the following six basic types of parental involvement:

Type 1, parenting: This type of involvement focuses on helping the families to establish a learning and learner friendly environment at home to support the children as students.

Type 2, communicating: This type of involvement is mostly focused on developing a trusted communication channel between parents and schools about children's progress and the initiatives taken by schools.

Type 3, volunteering: This type of involvement refers to the mobilization of the community volunteers and synergize their efforts to support the schools and the students for education. The volunteers mostly come from the parent community who participate in school and community events related to education.

Type 4, learning at home: This type of involvement refers to the efforts made to help the families develop child learning environment at home by helping them in homework and extracurricular activities.

Type 5, decision-making: This type of involvement refers to the involvement of families in the decision-making of schools through a body of parent leaders and representatives.

Type 6, collaborating with the community: This type of involvement refers to the identification and integration of resources and services from the community to strengthen the school programs.

According to Epstein et al. (2009), "When parents, teachers, students, and others view one another as partners in education, a caring community forms around students and begins its work" (p. 9). In a nutshell, the provision of a safe, healthy, and learning-oriented environment at home and developing a constructive home-school relationship are the most important aspects of parental involvement. This parental involvement is, at its best, when it is viewed as a partnership between educators and parents (Epstein et al., 2009; Emeagwali, 2009).

The contemporary literature on parental involvement in developing context mostly concerns helping with homework, talking to teachers, attending school functions, and taking part in school governance (Grace, Jethro, & Aina, 2012; Rafiq et al., 2013). In Cambodia, Eng, Szmodis and Mulsow (2014) explored the critical contextual factors for parental participation. These factors were religious-related beliefs in fatalism and gender-role attitudes. Therefore, they argued that parents' participation in their children's education requires not just physical resources, but also the value they place on educational achievement.

Research Design

In this research, an effort was made to study the change in stakeholders' perceptions and perspectives regarding the education of their children before and after the EDIP intervention. Therefore, a pre- and post-test survey method was employed without a control group. The data were collected in two rounds: the first round of data collection took place at the initial stages of the project and the second round took place towards the end. Due to the remoteness and socio-cultural diversity of the mountainous terrain of the context, it was very difficult to find and manage control schools with similar dynamics, thereby establishing the unavailability of control group as the main limitation of this study. Hence, all changes observed in the perception and perspectives of the parents cannot be claimed as a result of the EDIP intervention, however, due to the rigorous interaction with the parents for a period of four years, it can safely be said that EDIP intervention has a dominant role in the change of perception and perspectives of the parent community.

The survey questionnaires were intended to gauge parents' perceptions and perspectives in the forty-eight schools organized in twelve clusters of the EDIP project in Gilgit-Baltistan. Each of the clusters, consisting of four schools (i.e., one learning resource school (LRS) and three feeding units) were included which was a substantial population to qualify for an exclusive quantitative method allowing a larger sample size. The survey method enabled the study to reach out to the sample parents in all the 48 EDIP project schools to explore the outcomes of the perceptions and perspectives in quantitative terms.

In order to measure the perceptions and perspectives of parent community on children's education, a sample (n=744) was recruited from school-parent population(N=7,426) of which 48 EDIP target schools in Gilgit-Baltistan were selected for the research. Altogether, there were 12 LRSs and 36 feeding unit schools in the EDIP project. Therefore, out of the total population, (N=7,426), a quota of 20 parents as a sample was allocated for each learning resource school, while a quota of 14 parents was allocated for each of the feeding unit schools.

The research team developed a specifically designed questionnaire for this survey. The parents' questionnaire intended to gather data about the awareness of their roles and responsibilities in the education of their children, the level of satisfaction with the educational processes in their children's schools, and their level of participation in the educational processes of their children – both at home and school in relation to the objectives of the EDIP project. Prior to piloting, the instrument was presented to some experts in the field of education for content validity assessment. These experts included practitioners and scholars from AKU-IED and the participating schools. The questionnaires were then piloted with a group of parents. After the final comments and feedback from experts from AKU-IED and the piloting participants were received, the instrument was improved and administered in the field for data collection.

We anticipated that the majority of the samples – particularly the parents – would experience difficulty in reading, comprehending, and filling in the questionnaires because of the low level of literacy in the region. Therefore, these questionnaires were administrated by a team of data collectors. Furthermore, the researchers closely supervised the tools administration by data collectors in the field to ensure the richness and accuracy of the data. Due to the nature and focus of the study, a substantial amount of data was gathered during the data collection phase. After the proper organization, the quantitative questionnaires were analyzed with the help of statistical procedures such as SPSS. A paired samples t-test was employed to indicate the change of perceptions and perspectives of the parents before and after the EDIP intervention. The Aga Khan University, being a research-oriented institution, has an ethical consideration protocol to safeguard the interests of the research participants. The proposal of this study went through all the required procedures of the university and all the ethical consideration protocols were strictly followed throughout the process of the study.

Data Analysis

The data used in this analysis have been gathered from 680 parents across the six project targeted districts of Gilgit-Baltistan Pakistan. These districts are Gilgit, Ghizar, Astore, Hunza-Nagir, Skardu and the Ghanchi. In terms of their qualifications, the largest number of respondents (50.4 %) were illiterate followed by (14.9%) having received a primary-level education. 12.4% had middle-school qualifications and 11.5% of the parents had attained the level of matric. An almost six percent (5.9%) segment of parents were at an intermediate qualification and 4% were graduates.

Table 1: **Demographic Information of the Sample**

		Name of District						
		Gilgit	**Ghizar**	**Astore**	**Hunza-Nagir**	**Skardu**	**Ghanchi**	**Total**
		Column n%	**Column n%**	**Column n %**	**Column n %**	**Column n%**	**Column n %**	**Column n %**
Educational Qualification of the Parents	Illiterate	42.6%	50.4%	59.6%	50.0%	45.5%	54.3%	50.4%
	Primary	14.8%	20.3%	10.1%	10.5%	23.6%	9.5%	14.9%
	Middle	14.8%	9.8%	11.9%	8.8%	15.5%	13.8%	12.4%
	Matric	13.9%	13.0%	9.2%	14.9%	8.2%	9.5%	11.5%
	Intermediate	6.5%	3.3%	4.6%	8.8%	3.6%	8.6%	5.9%
	Graduate	5.6%	3.3%	4.6%	5.3%	2.7%	2.6%	4.0%
	Post Graduate	1.9%	0.0%	0.0%	1.8%	.9%	1.7%	1.0%
	Total	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**

The lowest number (1%) of the sample parents are post-graduates. The highest number of illiterate sample parents (59.6%) came from Astore districts and the lowest (42.6%) came from Gilgit districts. Likewise, the highest number of parents with primary education (23.6%) came from Skardu district and the lowest (9.5%) are from Ghanche district. The 15.5% respondent sample from district Skardu constituted the highest number of parents with middle qualification and the lowest (8.8%) in this qualification category are from Hunza-Nagir district. Likewise, the highest number of parents with matric education (14.9%) came from Hunza-Nagir district and the lowest (9.2%) are from Astore district.

General Awareness

The first part of the study was about the general awareness of the parents regarding the education of their children. The statements were focused on the importance of children's education and their access to the school, precautionary measures at the school in case of natural disaster, admission of special children in school, the parent's role in their children's education, the parent's role in children's homework, and the parent's role in the

personality development of children. In order to gauge improvement in parents' views, six companions were made, and all were found to be significant except for the role of parents in the homework of their children.

Table 2.1: Paired Samples Test								
	Paired Differences					**t**	**df**	**Sig. (2-tailed)**
	Mean	**Std. Deviation**	**Std. Error Mean**	**95% Confidence Interval of the Difference**				
				Lower	**Upper**			
Pair 1 Importance of education and access to school.	.182	1.006	.039	.107	.258	4.726	679	.000
Pair 2 Precautionary measures at the school in case of natural disaster.	.313	1.184	.045	.224	.402	6.897	679	.000
Pair 3 Admission of special children in the school.	.116	1.291	.050	.019	.213	2.346	679	.019
Pair 4 Parents' role in children's education at home.	.224	1.084	.042	.142	.305	5.377	679	.000
Pair 5 Parents' role in homework of their children.	.057	1.047	.040	-.022	.136	1.428	679	.154
Pair 6 Parents' role in the personality development of a child.	-.860	1.059	.041	-.940	-.781	21.181	679	.000

The paired sample t-test showed significant difference between pre and post responses about the importance of child education and children's access to school (p < 0.001); precautionary measures at the school in case of natural disaster (p < 0.000), admission of special children in school (p < 0.019), parents' role in children's education (p < 0.000), and parents' role in the personality development of a child (p < 0.000). Parents' views in post intervention responses demonstrated more progressive perspectives on a rating scale about the education of their children as compared to their responses before the intervention.

Table 2.2: **Fixed Responses of Parents About the General Awareness of the Parents Regarding the Education and the School of their Children**

Aspect	Not at All		To Some Extent Aware		Aware		Fully Aware	
	Pre	**Post**	**Pre**	**Post**	**Pre**	**Post**	**Pre**	**Post**
Importance of education and access to school.	9%	3%	45%	38%	38%	53%	8%	6%
Precautionary measures at the school in case of natural disaster.	50%	27%	31%	46%	15%	24%	4%	3%
Admission of special children in the school.	35%	26%	35%	39%	22%	31%	8%	5%

	3%	2%	39%	23%	40%	52%	18%	23%
Parents' role in children's education at home.	3%	2%	39%	23%	40%	52%	18%	23%
Parents' role in homework of their children.	2%	2%	28%	23%	49%	52%	21%	23%
Parents' role in the personality development of a child.	1%	2%	30%	21%	48%	51%	21%	26%

Parent's Perception about the Visible Changes in the School Environment

The second part of the study concerned the visible changes in the school environment. This section had fourteen statements about the visible changes that had been observed by the parents in the schooling of their children. These statements regarded improving the student's strength in the school, cleanliness among children, student efforts in their own education, the pedagogical practices of the teachers, regularity and sense of responsibility among the teachers, and the increased number of teachers in schools. The statements also focused on establishment of SMC and their improved performances, updated furniture and other facilities in the school, relationships between the school and the parents, co-curricular activities in the school, the educational environment within the classrooms throughout the school generally, the interest of the education department in the school, and the provision of library resources in the school. All of the fourteen paired comparisons between pre- and post-responses were found to be significant.

Table 3.1: **Paired Samples Test**

		Paired Differences					t	df	Sig. (2-tailed)
		Mean	Std. Deviation	Std. Error Mean	95% Confidence Interval of the Difference				
					Lower	Upper			
Pair 1	Increased student strength in the school.	.345	1.053	.040	.265	.424	8.530	678	.000
Pair 2	Improved cleanliness among children.	.290	.902	.035	.222	.358	8.379	679	.000
Pair 3	Improved student efforts in their education.	.843	1.123	.043	.758	.927	19.568	679	.000
Pair 4	Increased number of teachers in the school.	.287	1.180	.045	.198	.376	6.338	679	.000
Pair 5	Improved regularity and sense of responsibility among teachers.	.491	1.141	.044	.405	.577	11.226	679	.000
Pair 6	Improved teaching practices of the teachers.	.262	1.078	.041	.181	.343	6.331	679	.000
Pair 7	Establishment of SMC and their improved performances.	.402	1.251	.048	.308	.496	8.374	678	.000
Pair 8	Increased furniture and other facilities in the school.	.475	1.119	.043	.391	.559	11.073	679	.000

Pair 9	Improved efforts for quality of education in the school.	.382	1.034	.040	.304	.460	9.639	679	.000
Pair 10	Improved relationships between the school and the parents.	.150	1.042	.040	.072	.228	3.755	679	.000
Pair 11	Increased co-curricular activities in the school.	.443	1.031	.040	.365	.520	11.196	679	.000
Pair 12	Improved educational environment in classrooms and in the school.	.518	1.109	.043	.434	.601	12.167	679	.000
Pair 13	Improved interest of the education department in school.	.337	1.047	.040	.258	.416	8.390	679	.000
Pair 14	Establishment of library and books in the school.	.384	1.019	.039	.308	.461	9.825	678	.000

The paired sample t-test between the responses of pre- and post-intervention phases, indicate a significant difference for increased student strength in the school (p < 0.000), improved cleanliness among children (p < 0.000), improved student efforts in their education (p < 0.000) and increased number of teachers in the school (p < 0.000). In addition, the t-test between the responses of pre- and post-intervention phases, indicate a significant difference for improved regularity and sense of responsibility among the teachers (p < 0.000), improved teaching practices of the teachers (p < 0.000), establishment of SMC and their improved performances (p < 0.001) and increased furniture and other facilities in the school (p < 0.000). The t-test also indicates a significant difference for improved efforts for quality of education in the school (p < 0.001), improved relationships between the school and the parents (p < 0.000), increased co-curricular activities in the school (p < 0.000), improved educational environment in the classrooms and the school (p < 0.000), improved interest of the education department in the school (p < 0.000) and for establishment of library and books in the school (p < 0.000). Hence, significant difference between pre- and post-intervention responses were observed for all the fourteen statements.

Parents' views in post-intervention responses showed more progressive perception and perspectives about the education of their children as compared to their responses before the intervention. The following is the comparison of response trends between pre- and post- interventions.

Table 3.2: **Fixed Responses of Parents About Their Perception Related to the Visible Changes in School Environment**

Statements/Objectives	Not at all		To some extent Visible		Visible		Strongly visible	
	Pre	Post	Pre	Post	Pre	Post	Pre	Post
Increased student strength in the school.	18%	1%	30%	29%	45%	61%	8%	8%
Improved cleanliness among children.	6%	0%	29%	13%	53%	73%	12%	14%
Improved student efforts in their education.	8%	0%	30%	23%	51%	66%	12%	11%

Increased number of teachers in the school.	22%	6%	37%	39%	33%	48%	9%	8%
Improved regularity and sense of responsibility among teachers.	15%	2%	32%	23%	46%	62%	8%	13%
Improved teaching practices of the teachers.	12%	2%	32%	30%	47%	56%	9%	12%
Establishment of SMC and their improved performances.	35%	8%	28%	42%	29%	44%	8%	7%
Increased furniture and other facilities in the school.	30%	5%	38%	38%	26%	52%	6%	5%
Improved efforts for quality of education in the school.	13%	1%	36%	24%	44%	64%	7%	10%
Improved relationships between the school and the parents.	12%	4%	41%	41%	41%	50%	7%	6%
Increased co-curricular activities in the school.	22%	3%	43%	37%	31%	54%	4%	5%
Improved educational environment in the classrooms and the school.	23%	1%	35%	28%	34%	62%	9%	9%
Improved interest of the education department in school.	36%	8%	39%	61%	22%	29%	3%	3%
Establishment of library and books in the school.	73%	44%	20%	38%	6%	17%	1%	1%

Parent's Perspectives about the Educational Processes of their Children

This section had nine statements about parental perspectives related to the educational processes involving their children. These declarations describe the parents' responsibility for the educational development and success of their children, the provision of a friendly environment at home, the fulfillment of the educational requirements of the children, providing equal attention to both boys and girls, and ensuring the physical and moral development of their children. The statements are also focused on the parental contributions to the environmental development at both the locality and village levels, the role of illiterate members of the family within the children's educational environment, and the impact of a positive attitude by the parents with respect to child education and success. Similarly, all of the nine paired comparisons between pre- and post-responses were found to be significant.

Table 4.1: **Paired Samples Test**

Pair	Items	Paired Differences						t	df	Sig. (2-tailed)
		Mean	Std. Deviation	Std. Error Mean	95% Confidence Interval of the Difference					
					Lower	Upper				

Pair 1	Parents are mainly responsible for the educational development and success of the children.	.135	1.010	.039	.059	.212	3.496	678	.001
Pair 2	For the success of the children, with the efforts in the school a friendly environment at home is important.	.219	.952	.037	.148	.291	6.007	678	.000
Pair 3	Parents are mainly responsible for the fulfillment of the educational requirement of the children.	.219	.952	.037	.148	.291	6.007	678	.000
Pair 4	It is important for the parents to provide equal attention to both boys and girls.	.109	.917	.035	.040	.178	3.097	678	.002
Pair 5	It is the obligation of the parents to ensure the physical and moral development of their children.	.169	.937	.036	.099	.240	4.709	678	.000
Pair 6	The illiterate members of the family can also contribute to the educational development of the children.	.128	.991	.038	.053	.203	3.369	678	.001
Pair 7	Parents should contribute in the environmental development at locality and village levels.	.253	.943	.036	.182	.324	7.003	678	.000
Pair 8	With the school, parents should provide a safe, healthy and educational environment at home.	.302	.924	.035	.232	.372	8.512	678	.000
Pair 9	The positive attitude by the parents towards the children plays a vital role in their success.	.225	.890	.034	.158	.292	6.600	678	.000

The paired sample t-test between the responses of pre- and post-intervention phases, indicates a significant difference for parent's responsibility for the educational development and success of their children (p < 0.001), for a friendly environment at home (p < 0.000), for the fulfillment of the educational requirements by the children (p < 0.000), and by providing equal attention to both boys and girls (p < 0.002). The t-test between the responses of pre- and post-intervention phases also indicates a significant difference for the obligation of the parents to ensure the physical and moral development of their

children (p < 0.000), for the parents' contribution to the school in terms of physical and financial resources (p < 0.001), for the parents' contribution to the environmental development within the locality and the village levels (p < 0.000), for the provision of a safe, healthy, and educational environment at home by the parents (p < 0.000), and for the role of a positive attitude exhibited by the parents concerning the success of their children (p < 0.000). Hence, as shown in *Table 4.2*, only one statement did not show a significant difference between pre- and post-intervention responses. However, it indicates change of perception and perspectives between their pre- and post-intervention responses.

The views of the parents in post-intervention responses showed more progressive perception and perspectives about the education of their children as compared to their responses before the intervention. The following is the comparison of response trends between pre- and post- interventions for the above nine comparisons.

Table 4.2: **Fixed Responses of Parents About Their Perception Related to the Educational Processes of Their Children**

Statements/Objectives	Disagree		To Some Extent Agree		Fully Agree		Strongly Agree	
	Pre	Post	Pre	Post	Pre	Post	Pre	Post
Parents are mainly responsible for the educational development and success of the children.	1%	0%	18%	12%	44%	42%	38%	45%
For the success of the children, with the efforts in the school a friendly environment at home is important.	0%	0%	17%	8%	51%	48%	32%	44%
Parents are mainly responsible for the fulfillment of the educational requirement of the children.	0%	0%	12%	7%	44%	33%	43%	60%
It is important for the parents to provide equal attention to both boys and girls.	1%	0%	9%	5%	29%	26%	61%	68%
It is the obligation of the parents to ensure the physical and moral development of their children.	0%	0%	16%	10%	51%	47%	32%	42%
Parents should contribute in the environmental development at locality and village levels.	1%	0%	27%	17%	57%	55%	15%	29%
The illiterate members of the family can also contribute to the educational development of the children.	3%	2%	32%	31%	55%	54%	10%	13%
With the school, parents should provide a safe, healthy and educational environment at home.	1%	0%	25%	10%	58%	59%	16%	31%
The positive attitude by the parents towards the children plays a vital role in their success.	1%	0%	8%	4%	28%	15%	63%	80%

Contact of Teachers and Headteacher with the Parents

A question was included for the parents on how many times do the headteachers and teachers contact them to share the progress of their children. This question was included to explore the progression of the parents-teacher interactions during the EDIP intervention. As shown in table 2.6, the paired sample t- test did not indicate a significant difference between the pre- and post-intervention responses yet the trends of the percentages reflect that the respondent parents are gradually shifting to the option of the collective responsibility of parents and teachers for the education of the children.

Table 5.1: **Fixed Responses of Parents on How Many Times the Head Teacher and Teachers Contact You to Share the Progress of Your Children**

District	Never		Once a year		Twice a year		Every three months		Monthly	
	Pre	Post	Pre	Post	Pre	Post	Pre	Post	Pre	Post
Gilgit	25.0%	18.5%	6.5%	13.0%	12.0%	13.0%	16.7%	28.7%	39.8%	26.9%
Ghizar	16.4%	17.9%	9.8%	5.7%	9.8%	2.4%	23.0%	21.1%	41.0%	52.8%
Astore	19.3%	14.7%	9.2%	7.3%	22.0%	6.4%	19.3%	29.4%	30.3%	42.2%
Hunza-Nagar	12.3%	11.4%	7.9%	4.4%	15.8%	12.3%	24.6%	25.4%	39.5%	46.5%
Skardu	11.8%	9.1%	8.2%	9.1%	14.5%	7.3%	25.5%	18.2%	40.0%	56.4%
Ghanche	21.6%	6.0%	10.3%	5.2%	12.9%	16.4%	20.7%	24.1%	34.5%	48.3%
Total	**17.7%**	**12.9%**	**8.7%**	**7.4%**	**14.4%**	**9.6%**	**21.6%**	**24.4%**	**37.6%**	**45.7%**

Discussion and Findings

As mentioned above, EDIP intervention was specifically focused on enhancing parental participation in the schools and at homes to aid child education through a series of capacity building and community mobilization for the parenting community. The EDIP approach used for the project was, in fact, aligned with the propositions coming from Russell and Kim (2007) who argued:

> The goal of schools should be to persuade parents to participate in the activities that schools identify as important to the degree that teachers and students begin to notice a difference. The goal could be implemented through several means: (a) workshops focusing on the benefits of parent involvement and those parent behaviors that are the most important ones provided by the community or school, (b) brochures or pamphlets sent homes informing parents about parent involvement, and (c) talks with parents about involvement during parent-teacher conferences (p. 367).

As a result of these interventions, the data indicated a significant difference between the pre- and post-intervention responses of parents about the importance of child education and their access to school, taking precautionary measures at schools in case of any natural disasters, and the parent's role in child education and personality development. This finding is in line with Goldring and Rowley (2006) who noted that parents were most

concerned with the discipline and safety of their children in schools. This finding can be linked to Pride (2002) who explored school violence and child safety as a major concern for parents. A good parenting plan was found to be instrumental for children's good behavior in classrooms (Davalos, Chavez, & Guardiola, 2005). Hence, the data reveal that the EDIP has been able to positively influence the perceptions and perspectives in raising parents' general awareness levels about schools and education of their children.

The results of this study explored parents' concerns for the academic processes as well as the curriculum and quality of instruction in schools. The data indicate a significant difference between participants' pre- and post-intervention responses for improved student efforts in their education and the increased number of teachers in schools. Also, a significant difference between participants' pre- and post-intervention responses were observed in improved regularity and sense of responsibility among the teachers, improved teaching practices of the teachers, and improved efforts for quality of education in the schools. These results are closely aligned with Goldring and Rowley (2006) who noted that parents were most concerned with the academic standard of the curriculum and the effectiveness of instruction. Many other researchers have explored that parent participation for child education is mostly focused on student performance in standardized tests (Gibbons & Silva, 2011) performance of students in subject-specific courses such as reading and mathematics (Friedel et al., 2007) and parental involvement helps the children to achieve higher grades and higher average scores (Chen & Gregory, 2009).

The data supporting this study also indicated a significant difference between the pre- and post-intervention responses of the participants about the collective responsibility of parents and the teachers for the education of children and improved relationships between schools and parents. In the pre-intervention phase, some of the respondent parents felt that parents and teachers are equally responsible for their children's education, however, in the post-intervention phase majority of the parents considered their children's education as a collective responsibility of parents and teachers. Hence, the data revealed that the EDIP has been able to positively influence the perceptions and perspectives of the parents about parent-teacher relationship and the collective responsibility of parents and teachers for their children's education.

This finding is in line with Deslandes and Bertrand (2005) who proposed some measures for enhancing parental involvement in schools. They give high priority to the parent-teacher relationships. They argued that, "The findings call attention to the value of personal teacher–parent contacts for building trusting relationships that will be manifested subsequently by parent involvement activities at school and by other forms of parents' willingness to help" (p.173). Many other researchers have considered this teacher-parent relationship as a predictor for parent satisfaction with schools, as well as participation in parent-teacher meetings and home-school communication (Fantuzzo, Perry, & Childs, 2006; Meier & Lemmer, 2015). In this study, a good number of parents (37.6%) claimed that teachers and headteachers contacted them on monthly basis to share progress of their children and the responses in this category further increased to 45.7% in the post-intervention phase. This progressive trend from pre- to post-intervention is observed in five districts of Gilgit-Baltistan except Gilgit where the responses in this category decreased to

26.9% as compared to the 39.8% of the pre-intervention phase. However, a noticeable change is observed in the responses of the qualification categories of matric, intermediate, graduation, and post-graduation.

In the pre-intervention phase, a good number of parents (35.9%) of the matric qualification category claimed that the teachers and the headteacher monthly contacted them to share the progress of their children and the responses in this grouping increased to 50% in the post-intervention phase. In the qualification category of intermediate, a solid number of parents (30%) claimed that they have been contacted monthly by the teachers and the headteacher to share the progress of their children and the responses in this grouping increased to 47.5% in the post-intervention phase. In the qualification category of graduation, a substantial number of the parents (44.4%) claimed that they have been contacted monthly by the teachers and the headteacher to share the progress of their children and the responses in this grouping increased to 63% in the post-intervention phase. Though the t-test did not indicate a significant difference between the responses of the pre- and post-intervention phase, the trends of the percentages reflect that parents are acknowledging the increasing contacts made by the teachers to share the progress of their children. According to Meier and Lemmer (2018), "Parents who did voice their opinions were generally satisfied with the school culture in that they felt welcome at the school, teachers who excelled were commended by name, and parents generally reported that teachers were generally amenable to and accessible for consultation...Most parents commented favorably on communication between home and school, referring especially to the electronic and duplicate hard-copy media... Parents' ability and desire to ensure that they get their money's worth in terms of quality delivered by the school in its processes and products, which must finally amount to a worthwhile school-going experience for their children...classroom discipline, the quality of classroom instruction and the academic standard of the curriculum are parents' foremost concerns" (pp. 12-13).

A significant difference between the pre- and post-intervention responses of the participants were also observed for the establishment of library sources in schools, updated furniture and other facilities in schools, improved cleanliness among children, increased co-curricular activities in schools, and improved educational environment in classrooms and schools. These findings are closely aligned with Friedman, Bobrowski, and Geraci (2006) who claimed that the availability and improvement of resources in schools are the indicator of parental satisfaction.

The data also indicated a significant difference between the pre- and post-intervention responses of the participants concerning a friendly environment at home, the fulfillment of the educational requirements of the children, and providing equal attention to both boys and girls. Also, a significant difference between the pre- and post-intervention responses of participants were observed in the obligation of the parents to ensure the physical and moral development of their children, for the parents' contribution to schools in terms of physical and financial resources, and for the parents' contribution to the environmental development at locality and village levels. Likewise, a significant difference between the pre- and post-intervention responses of the participants were also observed with respect to a healthy and educational environment at home by the parents and for the role of a

positive attitude by the parents to the success of children. These findings are in line with Deslandes and Bertrand (2005) who suggested specific approach for enhancing parental involvement at home.

According to them, "if the objective of the school interventions is to enhance parent involvement at home, the findings suggest the need to work directly with adolescents. That effort could be undertaken by (a) sensitizing adolescents on the importance of their inviting parents to become involved at home and by (b) coaching them on how to involve a family member in homework, discussions, or other tasks" (p.172). They also suggested parenting education in this regard and suggested that, "parent education programs should enhance parents' skills and self-efficacy. Parents should be aware of the importance of sustained parent–adolescent communication about schooling, and career and work planning over time. Parents could regularly attend workshops or meetings (e.g., parenting classes) to increase their parenting skills and their knowledge of different types of parent involvement, including less intensive involvement" (p. 172). Hence, the data reveal that the EDIP has been able to positively influence the perception and thinking of parents about the educational processes of their children at home.

Conclusion

A key conclusion that can be safely drawn from the findings of this study is that the carefully planned and implemented educational interventions can change the perceptions and perspectives of parents and communities about the education of their children in schools. It could be due largely to their lack of education, exposure, and awareness that the rural and mountainous communities often hold their views, beliefs, and perspectives dearer and closer to their hearts, i.e., mostly demonstrating inflexibility and resistance to change their worldviews. However, parents' exposure to learning opportunities including their interaction with educators, capacity building opportunities tailored for them, and the parent-teacher meetings, help them review and question their understanding and views, which lead them to develop, alter, and/or change their existing perspectives.

The AKFP and AKU-IED/PDCN implemented EDIP project employed the cluster- and consortium-based school improvement model that had community mobilization, specifically parent involvement in the educational processes of their children, at its heart. It is worth noting that the EDIP model considered school communities and parents as valuable partners in the processes of school improvement, hence, exhibiting increasing respect for parents' views, their peculiar cultural aspects and their contributions, irrespective of their form, magnitude and scale, to school improvement. The project, in fact, made historical breakthroughs by making inroads to some of the highly inaccessible and resistant-to-change communities for the first time, extending to them support for improvement of teaching and learning processes in schools. The final evaluation of EDIP, conducted by external consultants, highlighted "renewing hope" as one of the key EDIP achievements. The following excerpt from the Final EDIP Evaluation might substantiate the claim of the project renewing hope of the marginalized communities in Gilgit-Baltistan:

> The most dramatic change was experienced in Diamer where local level institutions (LLIs) either did not exist or were mostly dormant. The project played a key role in

creating or resuscitating SMCs in the district. This is illustrated by the following quote from an SMC member in Govt Boys High School Chilas who said: "PDCN has opened our eyes. We have replaced the gun with the pen (Rafiq Jaffer, EDIP Final Evaluation, July 2015)

In sum, the EDIP intervention facilitated and resulted in significant change in parents' perceptions and perspectives. Amongst the numerous other domains, this shift was unambiguously tangible in parents' general awareness about the importance and need of education, their sense of responsibility in children's education, their perception of providing support to children at home, the need to provide children essential resources to facilitate their education, and the importance of parent-teacher and home-school relationships.

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Lessons from History:
The Astonishing Rise to Leadership and Power of Napoleon Bonaparte

— **Emilio Iodice, Rome, Italy**

The greatest leader in the world could never win a campaign unless he understood the men he had to lead. — **General Omar Nelson Bradley,** American military leader

I must follow the people. Am I not their leader?
Next to the assumption of power is the responsibility of relinquishing it.
— **Benjamin Disraeli,** former British Prime Minister

I could listen to intelligence of the death of my wife, of my son or all my family without a change of feature. Not the slightest sign of emotion or alteration of countenance would bevisible. Everything would appear indifferent and calm. But when alone in my room, then I suffer. Then, the feelings of the man burst forth. — **Napoleon Bonaparte**

Far better it is to dare mighty things, to win glorious triumphs, even though checkered by failure, then to take rank with those poor spirits who neither enjoy much nor suffer much, because they live in the gray twilight that knows not victory nor defeat.
— **Theodore Roosevelt,** Speech before the Hamilton Club, Chicago, April 10, 1899

High sentiments always win in the end; the leaders who offer blood, toil, tears and sweat always get more out of their followers than those who offer safety and a good time. When itcomes to the pinch, human beings are heroic. — **George Orwell**

Never interrupt your enemy when he is making a mistake.
An army marches on its stomach.
History is a set of lies agreed upon.
A leader is a dealer in hope.
Religion is what keeps the poor from murdering the rich.
Victory belongs to the most persevering.
Glory is fleeting, but obscurity is forever.
Impossible is a word to be found only in the dictionary of fools.
What is history but a fable agreed upon?
Imagination rules the world.
— **Napoleon Bonaparte**

Napoleon's empire, with all its faults and all its glories, fell and flushed away like the snow at Easter, till nothing remained. — **Winston Churchill**

Introduction

For several years, I taught an undergraduate course in leadership. It focused on leaders from ancient to modern times. At the end of each session, I surveyed the students. One question was, "Of all the personalities studied, who would you liketo have been?" The vast majority answered, "Napoleon." Bonaparte represented a stunning ascent to power, resilience, courage, glory, greatness, and supreme command and control.

I was not surprised.

More books, articles, movies, and documentaries have been authored about Napoleon than any other leader, except Jesus Christ.

"Though Bonaparte exercised power only for a decade and a half, his impact on thefuture lasted until nearly the end of the twentieth century, almost two hundred years after his death. Indeed, his influence may not yet be spent. People love reading about him and his

spectacular rise, just as in Roman and medieval times they read about Alexander. And they ponder the question: Might I, in comparable circumstances, have done as well?"

We explore his remarkable leadership qualities as we delve into his life and times and stunning rise to power.

Napoleon Bonaparte
<u>Leadership Secrets:</u>

- Never ask of others what you are not prepared to do yourself
- Be courageous
- Plan everything
- Establish clear objectives
- Be diplomatic
- Secure allies and be loyal
- Search for facts and truth
- Intelligence is vital; Set high standards
- Be fair, firm, and flexible
- Maintain personal discipline
- Concentrate on primary objectives
- Stay in touch with your team
- Keep your promises
- Give credit for success
- Take responsibility for failure
- Prepare for victory and anticipate failure
- Be passionate, energetic, and enthusiastic
- Maintain integrity.

Napoleon Bonaparte was born on the island of Corsica, on August 15, 1769, and died in exile on the island of St. Helena on May 5, 1821. Napoleon considered himself, first and foremost, a military leader in the tradition of the Caesars. He was well trained inmilitary affairs and developed brilliant skills as a strategist and leader of men into battle. His combat successes made him famous. Napoleon rose to prominence during the French Revolution and became one of the youngest generals in French history. He took control of the government, following the Revolution, and crowned himself Emperor. As an administrator, he reformed the French form of government and extended these to the empire. He was praised for his genius as a tactician and his leadership as a brilliant governor of an empire as far flung as that of ancientRome. His story is one of excessive ambition that drove him to go beyond the limits of rationality and eventually to fall from power, following years of wars and conflicts throughout Europe.

Leadership Traits
Personally Lead Your Troops into Battle

As a leader of men into battle, Napoleon often assumed direct command and conducted them forward, at the head of his army. He was wounded several times and had a series of incidents where his horse was shot from under him. He immediately mounted another and continued to fight. He never asked for sacrifices from others that he was not willing to make himself. He set the example.

He was young. He was the youngest general in France. Now he was in charge of the armies of Italy. Older, seasoned veterans despised him. They doubted his abilities. They questioned his experience. His was the task to pursue and destroy the enemy.

Antoine-Jean Gros (1771–1835) Bonaparte at the Bridge of Arcole, Courtesy, Musée du Louvre, Paris

To rid northern Italy of the Austrians was a gargantuan feat. Napoleon assembled his army, before the great battle. He stood in front of his troops and spoke of glory and heroism. He was shorter than most of them. Even so, he showed fearless determination. He was audacious and ready to die at all times. He demanded from them that which he was prepared to give for France. His life was a symbol. He used it to lead others to victory. He spoke clearly and passionately about the challenge ahead. He said, "follow me" to glory. He led the way.

The French army chased the Austrians to a bridge over the river Adda, on the road to the city of Milan. It was the gate that would lead them to death or victory. The Austrians defended it with their lives. They showered it with bullets and bombs. The youngest general in France had to make a crucial choice. If he crossed that causeway, he and his army could be destroyed or they could reach the other side and defeat the enemy.

Carefully Calculate the Odds for Success

After calculating his chances, he needed information to make his final decision. He sent a team of cavalry to cross the river at its narrowest point. They went to theother side. They could engage the enemy from behind, while he stormed the passage. It would force the Austrians to fight a rear-guard action and reduce their frontal defenses. As he always did, Napoleon based his actions on facts that were checked,re-checked, and checked again. He knew just how many soldiers he could lose in the struggle to gain supremacy of the vital link to reach and defeat the enemy. He did his cost benefit analysis and made one of the most important decisions in history.

He screamed to his troops, "follow me." Bullets and bombs rained on him and his men. A thousand fell. He and his officers marched over their bodies. They led the survivors over the bridge and attacked the enemy head on. After four days of battle, they entered the gates of Milan. The Austrians were finished. Napoleon Bonaparte was a hero. Three years later, he would rule all of France. The year 1800 would welcome a new century and a new ruler of men.

Take Risks

His amazing climb to power was based on preparation, planning, good fortune, and brilliant and bold opportunism. He was not afraid to take chances. He realized that the heart of leadership was taking carefully calculated risks. Napoleon's qualities as a leader and a person were formed at an early age. His concept of the world, of power and ambition, grew from his beginnings.

Jacques-Louis David (1748–1825): Napoleone al Gran San Bernardo, Courtesy, Musée national du château de Malmaison – R.M.N.

He was born on the island of Corsica in 1769, the year the French seized and colonized it. His first memories were hatred of the "occupiers," dislike of the church and its trappings and the competition with his brothers and sisters. He drove to lead and dominate his seven siblings. His mother complained of his unruliness and lack of discipline. By the time he was nine, he seemed unmanageable. His father placed him and his brother Joseph in a French military school. His first years were bitter. He had to learn French, which was a foreign language to the young Corsican. He had to succumb to regimentation. On Corsica, he was free to live an island mentality where the open air, the sea, and warm Mediterranean sun allowed him to grow in an unfettered environment.

Control Your Emotions

In military school, Napoleon was a loner. He had no companions and kept to himself. He loved mathematics, history, and geography. He hated dancing and singing. He was not an easy student, but a quick study. He learned rapidly and was bored with repetition. He respected authority, but always showed he was in control of himself and his surroundings. He rarely lost his temper. He had a powerful memory for details and sharpened it constantly.

In France, he saw the trappings of wealth and the grandeur of the French military. He mastered French, but held on to his Italian accent. He studied Latin and German, history, and geography, and France's military victories more than their defeats. The school's best students were selected for training as engineers and artillery experts. The average and

mediocre ones went into the infantry and cavalry. Napoleon's qualities were immediately apparent. He was sent to be an artillery officer.

He adored history. He enjoyed stories of famous military leaders. Julius Caesar fascinated him. He was taught that Caesar was a tyrant and that Brutus and the conspirators were patriots for freedom. Napoleon challenged this view. He saw Caesar as a great leader and Brutus as a traitor to Rome and his mentor.

He was surrounded by students from the rich aristocracy who had titles and cultural upbringing. He was a foreigner from a French island. There were students from other countries at the school, but he was the only Corsican. On his island, he was part of the upper class. In France, he was at the bottom.

Show No Fear

He was smaller than most of the students and his accent, diminutive appearance, and simple ways made him the target of jokes and bullies. Napoleon learned that in order to lead, he had to be fearless. He stood up to them. He would not accept their insults. He fought with his fists. Even if he lost to a larger foe, he made his point that he would not tolerate injustice.

He played to his strengths in school. Fencing was useless, he believed, in modern warfare. He was brilliant in mathematics and was an avid reader about strategy, naval and land tactics. He was promoted to study at the Royal Military School in Paris. It was an elegant school, set in a city of enormous contrasts. Great wealth and great poverty were side by side.

Be Disciplined

Napoleon was man of the provinces. He had simple tastes and his friends were notthe sons of the fine noble families of France that attended the school. He lived a Spartan life. His friends were the shopkeepers, artisans, and the poor workers who lived off the streets of the capital. His best friends were his books. He spent very little money and studied and read voraciously.

He enjoyed the routine of life in the academy and its organized ways. He graduated high in his class as an officer. It was at the same time his father died, leaving the family in financial difficulties. Napoleon assumed the role of head of his clan and brushed aside his older brother. From that moment on, he took charge of their lives and had them blended into his life and his needs to amass power and maintain control.

Develop Presence

Napoleon shaped his skills from his experience in the military and in war. First and foremost, he was a warrior. From his army training, he learned the elements of command and control, outlining clear objectives and projecting a vision and anoutcome. He was himself in uniform. As an officer, his demeanor or appearance did not get in the way of his

authority. He was comfortable giving orders and receiving respect for his role and position. Napoleon used his authority to develop the image of a confident and strong leader.

Men constantly remarked about his presence. Napoleon stood tall and erect, had nobility in his bearing, and looked people in the eyes. He studied features, words and expressions for the tone of voice and to separate truth from lies. He made it a point for all to know that he ate like his soldiers and lived a frugal life. Nothing changed, until he embraced imperial power. Slowly, the disease of arrogance seeped into his bones. It would be one of the elements of his ruin.

Use Public Relations as a Tool
As he assumed more responsibility, he worked to promote himself in all that he did. Anything written regarding Napoleon, like orders or proclamations, had to relate to expanding his public persona. Speeches, which may have been a series of orders involving an upcoming campaign, for instance, would later be rewritten and published with sentences and phrases praising France, speaking about high ideals, etc. Each was designed to convey a message, enhance popular opinion, and create an image of an emerging force in the life of the nation.

Strive to Solve Problems
His climb to power was a result of success and solving problems and gambling against the odds. He was the one who emerged from the shadows, blood and smoke of the rebellion against the French royal families to take hold of the nation and lead it forward. The government in France, following the French Revolution of 1789, had little diplomatic dexterity. It handled foreign relations badly. It incensed the monarchies of neighboring countries to form alliances against them. These kings and queens wanted to avoid the republican principles of the Revolution spilling into their countries. They wanted to avoid the emergence of a groundswell of popular support that could lead to their overthrow.

Several alliances were formed to fight France. In each situation, it was General Napoleon who came forward to defeat the enemy. The people would entrust the ideals they fought for, their futures and fortunes and those of their children to him. He would bring them glory, suffering, and misery. They would never forget the man who appeared from the darkness to lead them to greatness and defeat. He would behated, loved, and idealized for what he left behind and for his legend of leadership.

Plan Carefully
Napoleon planned every campaign in detail. He was a consummate strategist and military leader. War taught him much and forged him into an administrator and conqueror. He was a soldier who lived by duty, honor, and audacity. He used these to win battles on and off the field. Each challenge was a new venture, a throw of the dice. Even so, he never gambled without analyzing the likelihood of success. Napoleon learned to rely on accurate data, careful planning, and preparation. This reduced his margin of error. It primed him and his legions for what lay ahead. It increased his chances of victory against far greater forces.

JOURNAL OF VALUES-BASED LEADERSHIP

He conducted over fifty military operations and learned from each. What he found each time, he used for the next challenge. One aspect of his planning was determining all the ways he could be defeated. In addition to studying victory, he mastered the understanding of possible failure.

Articulate Objectives

His objectives were always clear. He made sure his team understood them. He usually focused on two major goals and supporting ones. For example, in his battle against the Austrians in 1805, he needed to first maintain the element of surprise and attack them when they least expected it; and, secondly, to reduce their strength, by sending part of his forces to attack the Austrian reinforcements before they could join the major force. He used his reserves to achieve the secondary goal while focusing on the first objective as his priority.

François Bouchot (1800–1842) Napoleon Bonaparte in the coup d'état, Courtesy, Brumaire in Saint-Cloud

Involve Major Stakeholders

Napoleon knew quickly how to form alliances or keep local principalities neutral. He did this in the campaign of 1805, specifically in the Battle of Ulm. He negotiated treaties with the Bavarians and Prussians as he planned his campaign and lines of attack.

Conduct Research and Intelligence

He was obsessed with details and checking information from various sources. He sent highly qualified reconnaissance teams to scope out the terrain with the minutest data and topography. He had spies study the movement of enemy troops to understand plans and, most importantly, supply lines and the advancement of reserves. He had all this in his hand, when he began his fight against the coalition at Ulm, a small Bavarian town. The people and history would never forget what happened when thousands of musket-carrying men in blue and white arrived, led by a man on a white horse.

Set up Standards and Protocols

Ulm would prove to be a classic Napoleonic operation. It concentrated on precision and preparedness. Napoleon was concerned that his troops coordinated their movements. As a result, he set up strict standards for marching, and activities that included the form, as well as the time involved in reaching a certain point. This way, he could be sure that his forces would arrive to engage the enemy at exactly the chosen time for this action.

Prepare for Success

French troops, under Napoleon, were well trained and properly equipped for the task at hand. They had modern weapons and abundant ammunition and food, and they learned to find what they needed as they moved through local towns and villages. He redesigned his artillery to make it lighter and more efficient, so that his army could move faster than the enemy.

The Emperor Napoleon in His Study at the Tuileries, by Jacques-Louis David, 1812, Courtesy, National Gallery of Art

Maintain Adaptability

Napoleon knew that good fortune was an opportunity for victory. He was always ready to change plans, if his foes made a tactical error that could allow him an advantage. Such was the case at Ulm. The Austrians found themselves surrounded by the French army. Their hope was Russian reinforcements. The Russians miscalculated the time involved in reaching their allies. They were eleven days late. OnceNapoleon realized the unique position he was in, he moved ahead and attacked. Despite blunders on the part of his generals, he still achieved victory. He destroyedhalf of the Austrian army with minimal losses on his part.

Obtain the Right Facts

Napoleon was able to act quickly and decisively because of his extensive network of spies. He collected information and checked it constantly until he was as certain possible about his facts. Once he had knitted together his data, he took action.

Decentralize Command and Control

Napoleon laid out his plans. They were clear and precise and highly classified. He made sure his commanders knew the overall objective to be attained. He checked to make sure they understood their part. He organized a headquarters to handle communication and to give orders to monitor that procedures were being followed. Then, he empowered his officers to carry out the details. Each integral part of his army was self-contained. Generals had responsibility for all the needs of the troopsand were free to attain their goals using creativity and common sense.

Concentrate Forces

Napoleon knew that overwhelming force against an enemy could reduce his chances of failure and allow him to achieve his key aim. He constantly prioritized his goals. He devoted minimum resources to secondary targets and kept to his strategy,in spite of complaints from

his officers and advice to alter direction. He would only do so if there were irrefutable facts that could change his mind.

Stick to Attaining the Primary Objective

After winning at Ulm, Napoleon knew that, unless he completely destroyed the Austrian and Russian forces, his enemy would retaliate and defeat him. He decided that he would attack them where they had gathered. It was a town not far from Vienna. It was called Austerlitz. This was his goal.

Be Visible

Napoleon was with his troops before, during and after the battle. He would often "drop by" to show his presence, exhibit interest, project confidence in them, and encourage and console. He gave an inspiring speech before the Austerlitz campaign. He articulated the mission and its importance, demonstrated his personal involvement (…"I will command your battalions in person") and projected a vision of the future with its benefits (…"Then the peace that I shall make will be worthy of our people, of you and of me").

Fulfill Promises

He told his army that he would reward them for their sacrifices. After Austerlitz, he distributed fifteen million Francs to his soldiers. He gave pensions to widows and, in effect, adopted their orphans and allowed them to carry the name of Napoleon. He honored those who fell and took care of the wounded and their families.

The Austrians joined the Russians. Their combined force was nearly one hundred thousand troops, twenty-five thousand more than the French forces. They were also fresher. The Russians had not engaged the enemy and were in a stronger position. Against greater odds, he decided to attack.

Be Prepared for the Unexpected

Napoleon relied on intelligence data to understand the plans of his opponents. He looked for their strengths and weaknesses. He found that they had a critical limitation: communication. His foes had to communicate using two languages: Germanand Russian. This would require time to translate and get vital data across lines. It had an important impact on the enemy's strategy and ability to command their forces to operate as a unified team. It caused delays. It gave Napoleon the advantage of speed. Now, he could execute his plan.

Suddenly, the unexpected happened. The weather changed. Fog settled in on the area. The surroundings were blanketed in mist. Napoleon saw an opportunity. Headjusted his orders. He directed his main body to move along low ground under the fog. Their objective was to secure a plateau above the enemy forces. His secondary objective was to confuse his foes and have them believe that they were being attacked by superior forces. He sent his reserves to assail the Austro Russian army from the front. The enemy moved to strike.

At the same moment, the bulk of the French forces were assuming their position of strength. They secured the plateau. By dawn, the fog gave way to the sun. Thousands of Napoleon's soldiers rose like ghosts out of nowhere. The Austro Russianforces were confused. They were frightened. In a few hours, thousands fell. The majority fled. They crossed a frozen lake, and many never reached the other side.

Use Diplomacy

Napoleon knew the value of compromise to minimize conflict and still attain his objectives. He formed alliances. He sought ways both sides could win. A partial victory was better than a defeat.

He realized early that he could not subdue or come to an agreement with the British. They viewed him as a dangerous competitor. As a result, he did all he could to isolate them, form pacts with their rivals and prevent them from attaining resources for their war effort.

France had supported the American Revolution. The enmity with Britain was still fresh in the minds of the former colonists three decades after the Declaration of Independence. Napoleon needed money to defend France. America offered a chance to attain the resources he needed.

The United States wanted foreign powers off their shores. They dreamed of stretching their nation from sea to sea. France owned choice land along the Mississippi River, stretching from Canada to the Gulf of Mexico. It was called Louisiana. Napoleon offered to sell it.

François Pascal Simon Gérard (1770–1837) Victory at Austerlitz, Palace of Versailles

President Thomas Jefferson knew the French well. He realized this was an opportunity that was too good to pass up. By purchasing Louisiana, the territory of the fledgling country would more than double. Major French towns and settlements along the Great Lakes and the Mississippi would come under American dominion. Napoleon would get gold for his

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wars. By selling his holdings in America, he would keep the British off balance. The growing strength of their former colonists and their need to consolidate their new acquisition assured the Emperor that the United States would be neutral as France and Britain moved closer to war. Timing was everything. The revenue from the sale of Louisiana came at a perfect moment for Napoleon. It was 1803, just two years before his campaign against the Russians and Austrians.

Jerry Manas, in his book, "Napoleon on Project Management," boils down his abilities to the following six principles:

1. Exactitude: Napoleon was a perfectionist, but not a micromanager. He wantedprecision. This involved constantly being aware of external and internal factors that could impact the realization of his vision.

Napoleon felt the pulse of his people, troops, officers, and administrators. Before his battles, he would talk to his soldiers and officers to check their morale. He was concerned about what they thought and what they needed.

His spies would pay local merchants, fisherman, traders, and travelers for data on enemy movements and plans. Gossip could be useful. Napoleon mastered the art of disseminating false information. It often drove his enemies into his hands, with the minimum of losses.

He was constantly culling data and researching the nature of the situation he and his country faced. He had teams reading and analyzing newspapers and periodicals in France and abroad. His intelligence apparatus throughout the continent fed him valuable information for analysis. He needed to predict the future. With the right data, properly analyzed, he could do just that. Napoleon turned this functioninto a valuable skill that became intrinsic to French government foreign policy. It involved collection of facts and communication via confidential channels.

As he developed as a leader, he learned that experience was the best teacher. He did not always succeed. In a battle, during the Revolution, he failed because fellow officers refused to fight in poor weather. There were too many people involved in decision-making. The mission became badly coordinated. The results were disastrous. This experience taught him the need for tight command and control and a single head to give orders and be responsible for results. It also showed him the value of experience and how to apply it while adhering to sound principles of leadership.

Napoleon was a student of history. He knew the past could reveal lessons for tomorrow. He analyzed past battles in and along the same terrain he would face. The same was true with new public works projects. He examined carefully what had been attempted before, so he could learn what might be ahead. He was audacious but cautious. He never decided out of impulse.

2. Speed: He surveyed the terrain. His intelligence officers explained where the enemy was, which direction they were moving and where they would meet them in battle. His key

objective was to attack with the element of surprise, take advantage of all conditions and meet his foes where and when they least expected it. To do so, he needed to focus on speed.

Napoleon insisted on a sense of urgency on the part of his officers and troops. If something needed to be done, it needed to be done immediately. Speed was a key advantage of the French army, a trait that he engrained in their training and preparation. To obtain the rapidity he required, he made sure there were few obstacles in his way. As he approached Ulm, he reassured himself that the Bavarians and Prussians would not interrupt his advance. His diplomatic emissaries reaffirmed their agreement. His scouts planned the advance through towns and valleys to secure them ahead of the operation. Once all was in place, Napoleon moved his army. They took the fastest and shortest route possible. He concentrated his forces on the principal objective.

He avoided, at all costs, opening up a second front. He knew that, if he did, he would dilute his strength and risk failure. "One battle, one war at a time" was his motto. When he deviated from this, he fell into a trap of his own creation.

3. Flexibility: As he organized his army, he had to make sure that he could build into it flexibility and the skill to change at a moment's notice. To attain this, he divided his army into mobile units that could be separated rapidly and which could move in different directions as conditions changed. His army was trained to be prepared for alterations in the weather, the terrain, and to take a different route and tomove with fewer supplies. It could even abandon heavy artillery, if need be. They were prepared for opportunities. Napoleon believed in luck. Good fortune came tothose ready to receive it and in a position to exploit it.

To do so, he maintained strong command and control, communicated frequently and prepared his forces for all eventualities, long before the campaign began. Weeks prior to Ulm and Austerlitz, his officers and men knew the objectives, the mission, and the goals to be achieved. He warned them of uncertainties and how the enemy would conduct the battles. His field commanders were empowered to execute their mission and carry out his orders.

He studied his adversaries. Napoleon researched the backgrounds, experience, and techniques of the officers in charge of enemy armies. He was able to predict how they would move under certain conditions. Napoleon played chess on the battlefield. He anticipated his moves and those of his adversaries. In this way, he could employ speed as well as flexibility to attain his mission.

4. Simplicity: Napoleon looked carefully at the model of the terrain that stretched from where his army was positioned to Ulm. He saw the concentration of population, the widest and narrowest roads, rivers and bridges, hills, mountains, and plateaus. To achieve the element of surprise and reach the Austrian army before the Russians could help them, he had to develop the simplest plan of attack. Simplicity was a virtue. He cultivated simple ideas and simple instructions. He rarely cast his plans into the far future. This he kept to

himself. To his officers, troops and the people of France, he gave clear, unambiguous messages.

As a result, his orders were prepared in a uniform manner, were precise as to the goal, how to reach it and all the elements and actions required in achieving them. He left no room for doubt. He questioned his team to make sure they understood. He allowed dissent, but once the decision was made, he stuck to it, unless overriding reasons demanded a change of tactics. As the French army approached Ulm, each soldier knew where he was going and how he would get there. He knew what to expect and his role in dealing with it. The element of surprise would be imposed on the enemy, not on the French. No room for surprise was left for doubt.

5. Character: Napoleon preferred people of character to intellect. If they had both, it was an advantage, but not a necessity. For him, character consisted of integrity, calmness, and a strong sense of responsibility. For Napoleon, these were the key ingredients of leadership. He was the first to value them. He demanded that his subordinates respect them as well in any and all situations.

For example, he insisted that in cities and towns conquered by France, there be applied the same spirit of justice and fairness he ingrained in his country. Local customs

and habits needed to be respected as long as they did not infringe on the spirit of fairness and equality before the law. The conduct of his soldiers in occupied places was a constant concern. The severest punishments were meted out to those who violated his precepts of proper behavior.

As he advanced his military campaigns, the Emperor was still running France. He had not forgotten the ideals of the Revolution of equality and justice. He set in motion a reform of the nation's laws that exist to the present day. The Code of Napoleon maintained the essence of equality as well as simplicity. His view was that judges needed to understand clearly the purpose of the law, in order for them to administer equal justice. Citizens were to be informed as to why a law was in place and what its consequences were.

Most of all, he set the example. He refused to override laws and show favoritism. He kept his vision clear and made this his mantra in all that he did. For Napoleon, his efforts to spread the faith of the Revolution and free the people of Europe were for the glory of France and its people, not for him. He took on the title of Emperor as a tool to consolidate power and unify the country. When statues were erected to honor him, he tore them down. He liberated people throughout the empire who had been unjustly treated because of their faith or nationality. Jews, Muslims, and others were freed. Ghettos were torn down.

Napoleon was calm, despite the challenges he faced and the goals he achieved. Calmness, especially under stress, was a key component of leadership, in his view. No one would follow a general who lacked self-composure, didn't keep his emotions in check or failed to control his temper. Such actions would lead to a lack of trust and loyalty, two

things that Napoleon prized in his subordinates. He would do all he could to never violate either one.

Keeping his wits about him and having a sense of responsibility went hand in hand for Napoleon. He conveyed a need for accountability at all levels. He rarely took credit for his triumphs. He left success to his subordinates. Napoleon was quick to praise them publicly and criticize privately. He knew that every victory served a higher purpose. Losses, failures, and disputes were his and his alone. He took responsibility for what went wrong. It was the only way to project an image of trust, integrity, and calmness under pressure.

6. Moral Force: Above all other qualities, Napoleon stressed what he termed "moral force," as the key to great leadership. The spirit was greater than the sword, in his view. Passion needed to be the guiding light that could make a band of disorganized, ignorant people into a strong, loyal, dynamic fighting force. Leaders had to communicate passion at all levels.

The love of ideals, higher principles, and a sense of commonality and community were bound together in a passion to achieve. Napoleon was passionate about all he did. He

Napoleon's Empire at its greatest extent. Map of Europe under Napoleon comes from Napoleon Bonaparte by Alan Schom, Harper Collins, New York, 1997, page 196.

exuded it by his presence, his speeches, his conversations, and his sense of order and control. He wanted all those around him to share the same moral force and feelings of spiritual commitment for the cause of the glory of France. He rewarded those who succeeded and punished those who failed or betrayed the principles he espoused.

Napoleon exhibited this quality of moral force again and again, even at the end of his rule. For example, he escaped after spending the famous "one hundred days" in exile after his defeat by the allies. With a tiny army at his side, he confronted a regiment of French soldiers sent by Louis XVIII to destroy him. He dismounted from his horse, approached the regiment alone, and said, "Here I am, kill your Emperor if you wish." They responded, "Vive L'Empereur," and followed him to Paris. The king fled. Napoleon returned to his throne.

Promote Ambition

Napoleon promoted ambition. He believed that it would drive ordinary men to greatness. He prized it. Those who demonstrated audacity and a desire to achievewere recognized. He gave promotions and medals and commendations. He gave incentives to those who took responsibility and attained results. It was when he failed to keep his own ambition under control that all would be lost. As soon as he deviated from his own principles, he sowed the seeds of his destruction and carried those who followed him with him. Napoleon began to believe that he was infallible. He felt that he could alter his course, that he could move away from his basic elements that made him great and seek expediency, instead.

Strive for Fairness

Napoleon tried to cultivate an image of being fair and promoting justice. He emphasized this in France and in his diplomatic affairs. As more enemies grew to fight him, he started to change. After defeating the fourth coalition against him, he moved to consolidate his gains and neutralize England. Two allies were not treated fairly in the process, Prussia and Austria. He was ready to give Hanover to England for peace. This violated promises to his partners. His integrity was now in question. He also failed to give the same freedoms and benefits to the people of Austria and Prussia, as he had done in Italy and Egypt. Napoleon forgot that those who were smaller could cause as much damage at those who were larger. His armies plundered treasures in towns and cities across the Continent. He condoned this and amassed wealth beyond all measure and carried it to France. French museums would house his booty for centuries.

Stay in Direct Contact

For most of his career, he maintained direct contact with his troops, the people of France and even those whom he defeated. He insisted on primary evidence and information. He knew that his presence and the people's access to him were essentialto keep control and keep morale high. He wandered inexorably away from his own code of conduct. He created a palace guard of bureaucrats to control entry to the imperial court. He became unapproachable. This delayed the flow of information and created intrigue and plots. He failed to screen those who were being put into positions of high command and responsibility. As a result, he was slowly being surrounded by morally inept and corrupt officials. His ambition was blinding him.He felt more powerful than he truly was. It led him to overextend himself. This was leading to his destruction and that of those who followed him.

Carefully Calculate the Limits of Power

It was June 22, 1812. Summer was approaching. Napoleon was determined to end his war with Britain, punish Russia for violating its accords and wrest complete control of Europe. His empire rivaled that of Rome. Busts and paintings depicted him as a Roman emperor. Now, he would consolidate his gains and rule from the Atlantic to the Urals, from the North Sea to the Mediterranean. He would subdue the Russians with the largest

fighting force known to man, cross the continent and take the crown jewel of the British Empire, India.

Do Not Believe Your Own Propaganda

It was warm. It was summer in Poland. Five hundred thousand soldiers from all parts of Europe were assembled on the banks of the Niemen River. It was the same day that France would fall to Nazi Germany, 128 years later.

The Emperor was convinced of an easy victory. He was hailed as a military and administrative genius. He considered himself the greatest leader in history. He paraded before his troops like an ancient conqueror. Parades, colorful flags, bright uniforms and fanfare were everywhere. The most magnificent force prepared by man was on the march. It would be unstoppable and invulnerable. It would bring far greater glory to the man on the white horse than anything dreamed by Alexander, Caesar, or Cyrus the Great.

He would engage the Tsar at Vilna, in Lithuania, and force him into submission. The Russian empire would be his, with all its possessions. He would go unopposed to India, take tons of British gold and bankrupt "the nation of shopkeepers" that refused to give in to the greatest leader since Caesar.

Never Underestimate Your Enemy

As Napoleon advanced, the Russians retreated. He failed to anticipate this tactic. His army was ill-equipped. It did not have the supplies for a long war. Thousands of invaders scoured the homes and villages of Poland and Lithuania in a vain attempt to feed and water themselves. Famine was not enough for the Grand Armée. A far greater calamity was crawling into the blood of the Emperor's invincible army: typhus.

The cottages of the impoverished peasants of Poland and Lithuania were infested with insects. The hoard of humanity crossing into the areas, living, and plundering, was not used to the climate or the diseases of the local population. The torrid heat made matters worse. Thirst and starvation and exhaustion plagued the best and brightest young men of Europe.

Thousands of soldiers came down with rashes, high fevers, and dysentery. Within a month, Napoleon lost twenty percent of his army without engaging the enemy. The Emperor's central fighting force of French veterans was cut in half, less than two months into the campaign.

Double Check Your Information

Napoleon's intelligence apparatus was failing him. His information was wrong. He failed to check and double check his facts. His enemy was getting the best of him. Most of all, he could not predict their moves. The Russians continued to draw Napoleon into the bosom of the country. They fought him in the battle of Borodino. Eighty thousand soldiers died on both sides. Napoleon continued to advance. The Russians continued to retreat. The comfort of Moscow lay ahead of him. He would take the city and his army would rest through the winter in safe shelters. He was wrong.

Adolf Northern (1828-1876), Napoleon's retreat from Moscow

He reached the outskirts of the Russian capital, less than three months from crossing the Niemen. He entered Moscow and found a ghost town. The Tsar's palace was abandoned. Napoleon was outraged. He expected his enemy to negotiate peace. The Tsar was in St. Petersburg waiting for the first flakes of snow to fall on the Grand Armée.

The day after he took Moscow, the Emperor and his troops were startled to see smoke circle the turrets and roofs of the town. Red and orange lights lit the sky over Moscow. The city was in flames. Three quarters would be burned to the ground. The inhabitants carried all that was edible and usable. They left the Grand Armée with little to eat, little to drink, and little shelter to protect them from the frightening winter. Thousands died in the next month. On October 19, Napoleon led the remnants of his army in retreat. He had one hundred thousand exhausted, starving, and demoralized soldiers to return to France.

Prepare for All Eventualities

As they marched, another enemy surfaced: winter. The temperature dropped suddenly. Less than three weeks into their retreat, on November 3rd, the first snow covered the men, their horses, and carts, guns, and cannons. They marched. They froze. They starved. Ten thousand carcasses of horses lay cannibalized across the Russian plains. Napoleon had not prepared his army for a long campaign that could extend from summer to winter. He had not studied the possible maladies that could infect his troops. This information was available. It was never analyzed.

By Christmas, 1812, of the nearly half million men who had crossed the Niemen six months earlier, less than ten percent returned to cross it again. The Russian campaign destroyed the French army. It was led by the man who commanded Europe for a decade and a half and conquered each piece with fire and diplomacy.

Now, in the snow of the Russian winter, his empire was dying due to his lack of planning, failure to assemble facts and intelligence, and overarching ambition and micromanagement.

Five years earlier, Napoleon united with Spain to defeat Portugal. The next year, he turned on his partner and invaded Spain, planting the French flag across the Iberian Peninsula. His injustices resulted in guerrilla warfare. His troops were not trained for this kind of combat. The French regime in Spain was harsh and capricious. Napoleon was forced to deploy badly needed troops as uprisings grew throughout the peninsula and into Europe The British fought the French and secured Portugal. By the time Napoleon retreated from Moscow, the Grand Armée was trapped in a growing two-front war on both sides of the continent.

As his armies left Eastern Europe, the Emperor carried whatever plunder he could from the soil of Russia and returned to Paris. He had swept wealth from the palaces of the Continent and taken it to France. By 1812, Napoleon was the richest man on the planet and in all history.

His gold and plundered treasures, though, would not save him or his empire from collapse. A year later, he would be defeated by resurgent enemies throughout his empire. Three years after crossing the Niemen, he would face his enemies in a Belgian village named Waterloo.

The greatest conqueror in European history died in exile on an island in the Atlantic. He was 52.

The rise, decline, and fall of Napoleon Bonaparte was a dramatic and tragic chapter in world history. It is worth summarizing what went wrong as an example of how leaders can make one error after another, eventually leading to their downfall:

1. **Betrayal of Allies:** He failed to keep his promises to Austria and Prussia. He turned on Spain and sparked uprisings from one part of the empire to another.

2. **Overarching Ambition:** The Russian campaign was poorly planned and a victim of Napoleon's insatiable appetite for conquest. He took on the mantra of the absolute monarchs of the past. He sought an heir to his throne and gave greater privileges to his family. His betrayal of the values of the Revolution became obvious.

3. **Isolation:** The Emperor was alone. His aides controlled access to him. He lost touch with reality. He failed to give his personal touch to dealing with problems. Information was inaccurate and false. His intelligence network was disintegrating from neglect. Napoleon no longer sought advice from his experts and field commanders. In his last years, he failed to stay healthy. He indulged in opulent living. He abandoned the Spartan life style that gave him the energy and enthusiasm to succeed. It affected his health and judgment. He was demoralized and faced exhaustion. This affected his ability to make clear decisions and use the same techniques that made him successful.

4. Political Intrigue: As Napoleon became more isolated, political problems surged throughout the empire. He could not control events, any longer. Events were controlling him. He failed to bring vital stakeholders into the decision-making process and instead he turned them into his enemies. He had lost key leaders that helped him govern. He was forced to micromanage, which resulted in mistakes.

5. Repression: French repression of nationalist uprisings led to atrocities. This fomented even greater hatred against the conquerors. More resources were needed to suppress guerrilla warfare.

6. Failing to Plan for Failure: Napoleon prepared extensively, but not enough, for the Russian war. He was certain of victory. He planned the terrain, the movement of troops, and had good intelligence, but his intelligence was incomplete.

His campaign was not designed to reach Moscow, but only to go as far as Smolensk. With this assumption, he failed to conduct an extensive cost benefit analysis and examine external and internal factors that could affect his plans. He failed to convince his soldiers of his sense of optimism, as disease and hunger overcame them. As he entered Moscow with his troops decimated, the city was not an inviting place of protection. It proved to be a tomb for more of his men, and it demoralized the survivors and their families in France and across the empire.

7. Losing the Home Front. Napoleon forgot the need to attend first and foremost to those who had lifted him to greatness: the people of France.

The losses in Russia affected his political base at home. Years of war and suffering had sapped the strength of his nation. From the turmoil of the Revolution, his people sought peace. Instead, they endured decades of mayhem that resulted in tens of thousands of Frenchmen never returning to the soil of home.

Achievements

- **Economic Reforms:** He established the Bank of France and restored stability bygranting the Bank sole authority to issue notes backed by silver and gold. Napoleon tightened rules on labor and controlled prices and food supplies to avoid hunger and the food riots that brought down the monarchy.

- **The Code Napoleon:** French law was codified and organized. It combined the spirit of the Revolution and the central control of the Emperor. Property rights were enforced, with clear guidelines on inheritance.

- **The Concordat:** The Emperor made peace with the Church. He recognized Catholicism as the state religion but granted religious freedom to other faiths as well. Catholic clergy were paid by the state. A charter of liberty for Protestants was issued. It made clear the power of France over the Church.

- **Administrative Reform:** Napoleon improved the administrative apparatus of the state and created professional civil servants trained for service to citizens.

The Meaning in His Words:

- A Constitution should be short and obscure.
- Leaders should not depend on written documents to demonstrate their right to power.
- A leader is a dealer in hope.
- Leaders need to convey optimism, even in the face of despair.
- A man will fight harder for his interests than for his rights.
- It is essential to know people's self-interest. It will help control them. A picture is worth a thousand words.
- Visualizing a message is better than writing about it and it is a more effective to communicate it.
- A revolution is an idea which has found its bayonets.
- Strength is required to implement dramatic change at all levels.
- A soldier will fight long and hard for a bit of colored ribbon. Glory and honor are greater incentives to achieve excellence than money or other inducements.
- A throne is only a bench covered with velvet.
- No leader should be enamored with the power of their position, which is temporary.
- Ability is nothing without opportunity.
- It is useless to be talented without being in an environment to use it.
- All religions have been made by men.
- Faith has its limits and should not be taken literally.Ambition...keeps pace with circumstances.
- A leader needs to be patient and understand that success is a function of preparation.
- Among those who dislike oppression are many who like to oppress. Oftentimes, those who lead often preach democracy but practice tyranny.
- An army marches onits stomach.
- Troops need to be well supplied and prepared for battle.
- Courage is like love; it must have hope for nourishment.
- Bravery is a function of a vision of success, which a leader must convey.
- Death is nothing, but to live defeated and inglorious is to die daily.
- There are fates worse than death and failure is one of them.
- Our hostile newspapers are more to be feared than a thousand bayonets.
- The power of the pen and the manipulation of public opinion can be as effective as military success.
- France has more need of me than I have need of France.
- Leaders often believe that they are more important than the institutions they govern. (Napoleon believed he was indispensable and irreplaceable.)
- From the heights of these pyramids, forty centuries look down on us.
- We should keep sight of history and the meaning in our lives and our professions.
- Glory is fleeting, but obscurity is forever.
- Success lasts a short time and we must be prepared for our time of retirement and leaving the scene.
- Great ambition is the passion of a great character. Those endowed with it may

perform very good or very bad acts. All depends on the principles which direct them. Leaders need to be controlled at all times with moral and sound principles of governance.

➢ He who fears being conquered is sure of defeat.

➢ Fear can be just as dangerous as the reality of defeat.

➢ He who knows how to flatter also knows how to slander.

➢ Beware of those who praise us since they are also capable of lies.

➢ I am sometimes a fox and sometimes a lion. The whole secret of government lies in knowing when to be the one or the other.

➢ An effective leader knows how to be strong and clever. The key is to know when to be tough and when to be cunning.

➢ I can no longer obey; I have tasted command, and I cannot give it up. I have only one counsel for you–be master.

➢ It is better to govern then to be governed. Rule from the highest level possible.

➢ I love power. But it is as an artist that I love it. I love it as a musician loves his violin, to draw out its sounds and chords and harmonies.

➢ Understand how to use power as a tool and an instrument to achieve results not as an end in itself.

➢ I made all my generals out of mud. Leaders are created by other leaders.

➢ You do not reason with intellectuals. You shoot them.

➢ It is a waste of time to attempt to reason with certain people and is better to avoid them. Do not allow them to have power.

➢ If you want a thing done well, do it yourself.

➢ The best way to attain results is to take personal control over what needs to bedone.

➢ If you wish to be a success in the world, promise everything, deliver nothing. Leaders often do not live up to the vision they project. This sense of cynicism will lead to their downfall.

➢ Imagination rules the world.

➢ Promote creativity and new ideas and bring out people's talents. It will create success.

Leadership Lessons

• **Be Passionate:** Napoleon was passionate about his goals and objectives. He conveyed energy, enthusiasm, and constantly spoke about the future and made sure that this was clear in the minds of those he led into battle.

• **Project a Vision:** He conceived a vision of where he wanted France to be and took action to move in that direction. He used the ideals of the Revolution as the foundation of that Promised Land and carried it throughout Europe. It was the vision that attracted so many to his cause.

• **Understand your People:** The Emperor was close to the people of France, his troops, and those who were loyal to him and his aspirations. He prided himself as one who was concerned with public opinion and the feelings of his team and one who had his ability

to drive the people to support his cause. It was when he lost touch that he began to fail.

- **Show Persistence:** From the time he was a Corporal to crowning himself Emperor of France, Napoleon exhibited constant persistence in all that he undertook and demanded the same of others.

- **Communicate:** Napoleon knew that perception was reality. He worked to manipulate and control his message at all levels. He conveyed information via conversations, in letters, in the press, and in special messages from the Emperor. Each had a purpose and objective and was designed to be part of a pattern of communication.

- **The Medium is the Message:** He was conscious of his presence and the influence he had on others. He used this to command and control and was personally engaged in negotiations, discussions, and encounters, one on one. He controlled both the message and how it was conveyed.

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City Lights: A Story of Leadership, Passion, Self Confidence, Positive Thinking, Vision, Persistence, Compassion, Love, Generosity, Gratitude and Hope

— **EMILIO IODICE, ROME ITALY**

Charlie Chaplin was one of the greatest silent movie stars of all time. He had millions of fans. His films were seen around the world.

Chaplin was a man of endless talents. He did his own stunts, could dance and act, direct, produce, and write music. His pictures were enormously popular and he made a fortune in the movie business.

Chaplin's star began to fade with the dawn of talking pictures in 1927. Originally believed to be a fad, the "talkies" quickly became the standard for the industry and swept across the globe.

By 1928, Chaplin's career was evaporating. He believed silent films were the most powerful medium of expression because silence was the universal language. His once adoring public, no longer agreed.

Courtesy, First National Pictures and Wikipedia

"As I began to love myself I found that anguish and emotional suffering are only warning signs that I was living against my own truth. Today, I know, this is authenticity."

Courtesy, Hindustan Times

His personal, professional, and financial life was in deep trouble.

A highly publicized divorce ruined his reputation. Stories from his ex-wife about Charlie's affairs made headlines and touched off a series of scandals that seemed to endlessly feed gossip columnists.

The Internal Revenue Service demanded nearly $2 million in back taxes ($30 million in 2021 dollars). Major studios stopped production of

silent films and banks no longer extended lines of credit or loans. Critics said Chaplin was finished. He had no future.

His art was dead and his life was in shambles. The most famous movie star on the planet considered giving up. He was 39 years old.

Instead, he decided to fight. He believed in himself and that one, last, great silent movie would end the era with a stunning and unforgettable legacy produced by Charlie Spencer Chaplin.

He sold his stock portfolio and self-financed his new film, entitled *"City Lights."* He was warned by the experts in Hollywood to drop the idea. They said it would never work. The movie would be a flop and a commercial disaster. By the time it was finished, he was near bankruptcy.

Less than two years into production, Chaplin had spent $2 million. He never invested nearly that much in creating some of his best work. The actor, director, producer became anxious and nervous. He was losing control.

The film was a series of separate scenes pieced together. Shoots were canceled and actors spent hours and days waiting for Chaplin to show up and work. As word reached the Hollywood press, more stories emerged about his imminent downfall.
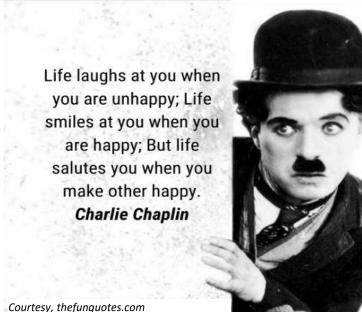
Suddenly, Chaplin rose out of the ashes of depression, gossip, trouble and anguish. He focused on the task at hand: finish the film and make it into a masterpiece, despite the huge problems he faced. At a certain point in the shooting, he became resolute. "Nothing could deter me from making it," said Chaplin.[10]

"City Lights tells the story of Chaplin's Tramp and how he falls in love with a blind flower girl. Her family is in financial ruin and on the verge of losing their home.

Life laughs at you when you are unhappy; Life smiles at you when you are happy; But life salutes you when you make other happy.
Charlie Chaplin

Courtesy, thefunquotes.com

The Tramp, having befriended a drunk rich man who manages to forget him whenever he's sober, manages to get enough money to keep them in their apartment. Thanks to a bit of mistaken identity, she thinks he's rich himself, not knowing the trouble he has to go through in order to get the money, whether it's begging, borrowing, or literally shoveling

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[10] https://www.mentalfloss.com/article/30080/masterpieces-charlie-chaplins-city-lights

horse manure off the ground. He goes to any length to help her and doubles his efforts when he discovers an expensive procedure that will give his love her sight back. He goes to the drunken rich man for the money and gets it, but through a series of unfortunate circumstances, he is believed to be a thief of the money by both the rich man and the police. In the chase to arrest him, the Tramp manages to get the flower girl the money for her procedure before he's arrested and thrown in jail."[11]

The final scene in the movie is by far the most important.

The setting and the acting borders on perfection. It summarizes the feelings of generosity, compassion, gratitude and most of all, hope that is the essence of the film.

It is a story about values and how Chaplin led himself and others into creating the last great vision of the silent movie era.

The clip starts when Chaplin is released from prison. He is depressed, broken, and homeless, and has lost everything. He is walking more slowly, wandering on the streets aimlessly and, unwittingly, finds himself near a flower shop.

The former blind girl operates the store with her grandmother. She thinks "she has heard the slam of a limousine's door, which was how she knew her "wealthy" tramp was near. She hears him everywhere, desperate to make a connection again with the man who changed her life. Before, she was merely a beggar on the street selling flowers. With her eyesight, she was able to open her own shop and provide for her grandmother and make something of herself."[12]

Courtesy, United Artists, https://www.youtube.com/watch?v=ZJKfmsuvGHg

The Tramp walks past the store. He finds a discarded flower in the gutter and picks it up. It is like those he used to buy from her. The fallen blossom represents beauty at its core, mistreated and thrown away.

Newsboys torment Chaplin and make fun of him in a heartbreaking scene filled with injustice. She watches from her store at the beleaguered Tramp and laughs at him, almost jeeringly. The Flower Girl does not know who he is. To her, he is an unfortunate destitute. He silently

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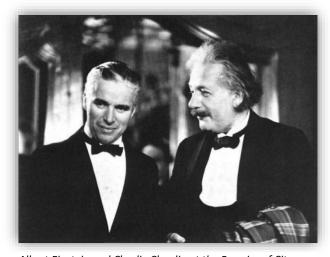[11] *Ibid*
[12] *Ibid*

walks up to her. He recognizes her. Compassionately, she hands him a flower. He brings it to his lips. She takes a coin and wraps his hand around it.

She holds his hand and suddenly, a light emerges in her eyes. The world stops. The Flower Girl feels something familiar in that touch. He looks at her and asks, "You can see now?"[13] She is shocked, "taken aback and brings his hand to her chest, cherishing it."[14]

The movie ends, leaving us with the feeling that they lived happily ever after.

"Near the end of his life, Chaplin still marveled at the magic of the scene: 'I've had that once or twice, he said. In City Lights... I'm not acting .... Almost apologetic, standing outside myself and looking ...

In the Spotlight:
CHARLIE CHAPLIN

1 "FAILURE IS UNIMPORTANT. IT TAKES COURAGE TO MAKE A FOOL OF YOURSELF"

2 IN 1919, CHAPLIN CO-FOUNDED UNITED ARTISTS

3 ON JULY 6, 1925, HE WAS THE FIRST ACTOR TO BE ON THE COVER OF TIME MAGAZINE

4 HE ONCE LOST A CHARLIE CHAPLIN LOOK-ALIKE CONTEST

5 HE RECEIVED AN HONORARY OSCAR ON APRIL 10, 1972 AFTER A 20-YEAR EXILE IN EUROPE

6 CHAPLIN WAS KNIGHTED IN 1975 AND BECAME SIR CHARLES

7 CHAPLIN DID IT ALL: HE ACTED, DIRECTED, WROTE, PRODUCED, EDITED, AND COMPOSED MUSICAL SCORES FOR HIS MOVIES

Courtesy, Wordpress.com

It's...beautiful.'"[15]

The story and the final moment, in particular, is about care and love. It is timeless.

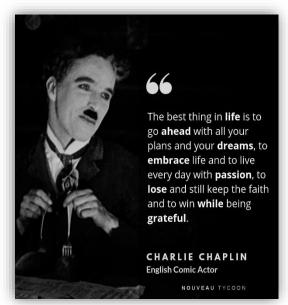The message of City Lights is one for us today.

After the war against the Great Virus of the 21st Century, where we were subjugated by fear and blinded by desperation, we find hope in generosity, kindness, heroism, and leadership. We as people, from all nations, rose to defeat a common

Albert Einstein and Charlie Chaplin at the Premier of City Lights, Hollywood, 1931, Courtesy Medium.com

[13] *Ibid*
[14] *Ibid*
[15] https://www.charliechaplin.com/en/films/5-city-lights/articles/4-Filming-City-Lights

enemy and restore our energy to right the wrongs of this planet and save humanity and all the goodness it represents.

Courtesy, Nouveautycoon

The film was huge success. It took nearly 3 years to produce and when it debuted in 1931, was enormously popular.

"In the final analysis, Chaplin had done what many thought impossible. He had produced a critically and commercially successful silent film three years after the demise of American silent cinema. More astonishingly was the 'City Lights' reissue in 1950, when it was praised by 'Life' magazine as "the best movie of 1950.' 'City Lights' is Chaplin at the height of his powers, providing a loving look—and farewell—to the pure art of silent filmmaking."[16]

"Perhaps the surest confirmation that *City Lights* was a masterpiece came at its Los Angeles premiere, where Chaplin's friend Albert Einstein, the world's greatest thinker and humanist, was in the audience."[17]

"During the final scene I noticed Einstein wiping his eyes," Chaplin reported.

About the Author

Emilio Iodice is a former American diplomat, business executive, university administrator, professor of leadership, and best-selling author, presidential historian, and public speaker.

Emilio Iodice was the son of immigrants. He received his BS from Fordham University, his MBA from the City University of New York, and was named to Beta Gamma Sigma – the honorary society of top business graduates.

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[16] https://www.loc.gov/static/programs/national-film-preservation-board/documents/citylights.pdf
[17] https://www.mentalfloss.com/article/30080/masterpieces-charlie-chaplins-city-lights

He conducted doctoral work at George Washington University in Washington, DC.

Iodice spent over four decades as a senior executive and as an educator and as a university administrator, including being a key official for several administrations, and reaching the top ranks of the civil service, and the US diplomatic corps. He was among the most decorated officers in history with a Gold Medal for Heroism, a Gold Medal and Silver Medal, nominations for the Bronze Medal, and commendations and citations. He was Minister in key missions abroad and was named to the list of future Ambassadors. He was knighted by the King of Italy and received Medals of Honor from Spain and Italy. At age 33, he was named by the President to the Senior Executive Service as the youngest career public official to reach this distinction.

Before joining Loyola University Chicago as its Director and Vice President of the University, he was Vice President of Lucent Technologies in charge of global operations. He taught at Trinity College and, after nearly a decade at Loyola, was awarded the title of Director Emeritus and Professor of Leadership.

Among his best-selling books are: *A Kid from Philadelphia, Mario Lanza: The Voice of the Poets*; *Profiles in Leadership from Caesar to Modern Times; Sisters*; *Future Shock 2.0*; *The Dragon Brief 2020*; and *Reflections, Stories of Love, Leadership, Courage and Passion*. In 2017, his book *When Courage was the Essence of Leadership, Lessons from History* was published and in 2019, the new edition was launched. Three new bestselling books were published in 2020 and 2021: *The Commander in Chief; The Return of Mussolini*, *The Rise of Modern-Day Tyranny*; and *Liberation*, which reached the number one bestselling status after one week. Royalties from the sale of his books go to support charitable causes.

Iodice was recently named a Senator of the Royal Family of Italy. He Director of the Scientific Committee of the Italy USA Foundation, a member of the Editorial Board of the Journal of Values Based Leadership and sits on the Board of Trustees of several educational institutions.

Iodice resides in Rome, Italy. He can be reached at efiodice@yahoo.com and his books and works can be found at: http://www.iodice books.com.

Case Study

A Chance Encounter...with "the Second Most Important Man in Washington"[18]

— Ritch Eich, Thousand Oaks, CA, USA

Captain Robert T. Hartmann, USNR in Service Dress Blues
(1965), *Courtesy*, Gerald R. Ford Presidential Library

In the summer of 1971, I met a 54-year-old Naval Reserve captain in the Navy Office of Information spaces in the Pentagon. It was my first time being in the "puzzle palace"— but

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[18] Former White House Press Secretary Jerald terHorst's (tongue-in-cheek) characterization of Hartmann, as he was the person closest to President Ford and hence "the Second Most Important Man in Washington."

obviously not his. As Naval reservists, both of us were there for our annual two weeks of reserve training. I was a freshly-minted ensign, and I'd overheard that this man's civilian job involved politics in some way. Our encounter was brief, and I could tell his mind was on other things —perhaps the congeries of piled-up newspapers that someone had brought to his office.

He looked tired and drawn, but there was something about him that intrigued me. Years passed, and I never saw him again. Truth be told, I even forgot his name. But during the pandemic year that began in March 2020, I spent much time reading and writing at home, and quite by accident discovered a fascinating article about the role of the press and the Navy during World War II.[19] It turned out the man I'd met, Robert T. Hartmann, had played more than just a bit part from 1942-1945.

Hartmann, a former *Los Angeles Times* reporter, was a Navy public information officer and press censor and, as I learned, one of the best at his trade, long before he made his mark in Washington politics as a speechwriter and close adviser to President Gerald R. Ford.

Navy Public Affairs: From WW II To Present

In the 1940s, the Navy public information program was in its infancy. There was no "book" to follow; leaders used their best judgment amidst quickly changing circumstances.

Naval officers engaged in WWII public relations were called Public Information Officers (PIOs). Their duties included gathering news about the Navy's role in WWII, escorting media, and working with operators and intelligence officers to determine what information could be released. Censorship was the rule as reporters were required to run their dispatches past Navy officers to ensure nothing useful to the enemy slipped out. Operational security is always front and center in military public affairs.

PIOs were taken from regular and reserve line officer and aviation communities and the Navy recruited men from the journalism profession and the Hollywood film industry. They were granted reserve commissions. Also, working press people were recruited as enlisted Naval correspondents, which post war became the enlisted journalism rating.

There were no public affairs specialists as there are today. Officers did not become public affairs specialists until after the war.

Prior to the war, neither fleet commander (Pacific or Atlantic) had a PIO. But, by December 1944, a total of 2,156 people - 625 officers, 1,313 enlisted and 218 civilians - were serving fulltime in public relations roles in the Navy, Marine Corps and Coast Guard.

Public relations was not held in high regard at first. Some Navy brass sought to impede the media; others saw value in sharing service members' sacrifices and valor – often leading to support for the war effort from "hometown America."

Navy Secretary Frank Knox transferred the public information function from the Office of Naval Intelligence to a new Office of Public Relations in May 1942. Since then, active duty and reserve Navy public affairs officers and enlisted journalists have enjoyed outstanding careers in business, engineering, government, the arts, law, medicine, journalism, and other professions.

Sources: **RADM Brent Baker, USN (ret), former CHINFO, Navy Department, Washington, D.C. and others.**

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[19] *Editor's Note:* Frank Knox, Secretary of the Navy, had made a baseless claim at the onset of America's involvement in World War II that sparked one of the most shameful events of American history – the forced internment of Japanese-American citizens. His action reflects what can happen with the widespread and unchecked dissemination of untruths. Ethnic labels and general misinformation plagued the country in the 1940s, resulting in loss of freedoms and assets for so many, devastating families from time of internment to the current polarizing situation of today. Currently, the wholesale condemnation of entire groups of people has grown precipitously. Conspiracy theorists' insidious rhetoric is now infused with violent calls to action, threatening the very democratic society which ushered in freedom of speech as a right to be cherished.

Hartmann's role in public relations and in the press went far beyond a "desk job." In March of 1944, Hartmann wrote and filed a piercing, five-part story for the *Los Angeles Times* which was recently unearthed from the newspaper's archives. It detailed a dangerous reconnaissance excursion disguised as a commando raid that began on January 31, 1944, in which Hartmann participated. He volunteered to serve as an escort for reporters Verne Haugland of the *Associated Press* and Frank Tremaine of the *United Press* (which later became UPI). Hartmann's account of the New Zealand soldiers' and Allied specialists' encounter with Imperial Japanese forces on the Green Islands in the South Pacific was captured by New Zealand barrister and historian, Reginald Newell, in the June 2020 issue of *Naval History* magazine.

According to Newell, Admiral William "Bull" Halsey, commander of the South Pacific area, needed to keep the Japanese off balance to sustain his pace forward. The Green Islands were considered strategic because of their approaches to Rabaul, a Japanese stronghold that thwarted Allied progress. Unfortunately, Allied knowledge of the area was practically nil, so this amphibious operation was initiated to collect vital information.

Robert T. Hartmann, WW ll Navy Public Information Officer, reporting from the South Pacific, Front page *LA Times*, March 8, 1944 *Courtesy*, Los Angeles Times and AnyDate.com, (unidentified military photographer)

PRESS COMMANDOS—Lt. Robert T. Hartmann, Times reporter now on leave with the Navy, left; Verne Haugland of Associated Press; Frank Tremaine of United Press, wearing camouflage suit, and two New Zealand war correspondents, in South Pacific, preparing themselves for work as commandos to fight Japs, as described by Lt. Hartman.

The following is an excerpt from Hartmann's graphic *LA Times* article in which he describes how this information-gathering mission devolved into an open assault.

We spotted a small sandy beach under overhanging mangrove trees. Most of the coast was sharp coral cliffs so we decided to explore this beach. In we went, again crouching low.

It's a good thing we were, for the moment our bow hit that quiet little strip of sand, all hell broke loose.

In considerably less time than it takes to tell, the air filled with lead. Over the side – not 10 feet away – was an expertly camouflaged Jap barge. Alongside of it was another. The Japs – two of those barges would carry about 100 – had dug themselves pillboxes in the coral cliffs that rose steeply from the beach behind their hideout. They were in the overhanging trees also.

On their first burst of heavy machine gunfire, they blew the coxswain's head off. They knocked out both of our bow gunners before they got off a shot. In fact, they hit everybody forward of the motor except Comdr. Smith, who was standing without a helmet up by the ramp. He was the only one left who knew how to run the boat!

I was crouched just behind one of the natives, just at the center of the boat. When the coxswain's head disintegrated, a piece of the skull pierced the native in the breast. Terrified, he rose and dived, head first, for the back of the boat, pinning me and Frank Tremaine (UP reporter), who was behind me, in the narrow space between the motor box and the side of the boat. He lay there inert and, I thought, dead. I couldn't budge and my gun arm was pinned to my side. All I could do was pray, and believe me, I did…

… Another murderous burst from the machine gun not 10 yards away cut down one of the overhanging branches and covered the stern half of the boat. Through this, two of the New Zealanders, with as much guts as I ever hope to see, were pouring fire from their tommy guns back into the inferno. One Jap dropped from a tree — but there was no noticeable letup in the deafening fire we were taking.

Comdr. Smith had ducked down at the first burst but he had his back to the coxswain and didn't know he was dead. He kept shouting "Back 'er off" and finally he looked around at the shambles and saw that nobody was left to back 'er off but himself. Cool as a cucumber, he crawled back to the wheel, keeping below the gunwales. He got the thing in reverse after anguished seconds that seemed eternities. The wounded gunner summoned his last strength and tried to help. The Japs were still pouring it into us and no one will ever shake my belief that it was pure miracle that prevented them from killing every soul in that boat.

The story of Hartmann's career, however, is not a war story about combat heroes, at least in my mind, but rather a story about what leadership experts Warren Bennis and Robert Thomas call "crucibles of leadership." Real leaders often find meaning through difficult, trying, or negative events. Battling through adversity, their values are often strengthened and clarified. Robert T. Hartmann was no exception.

Hartmann was 24 years old when the Japanese attacked Pearl Harbor on December 7, 1941. He had graduated from Stanford University three years earlier, where he edited the

student magazine, and he had already been a reporter for the *Los Angeles Times*. Later he would become their youngest editorial writer. He was that good.
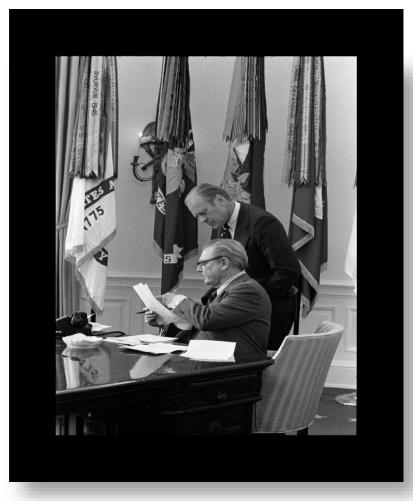
He enlisted in the Naval Reserve in 1941 and within a short time found himself serving as a public information officer and press censor in Pacific operations. From 1942 until the end of hostilities, Hartmann would serve on the staffs of three admirals: Fleet Admiral Chester Nimitz, Commander-in-Chief, Pacific Fleet; Fleet Admiral William "Bull" Halsey, Commander, Third Fleet (under whom Hartmann participated in the dangerous mission previously described); and World War I Congressional Medal of Honor recipient Vice Admiral Frank Jack Fletcher, Commander, North Pacific Force.

After the war, Hartmann returned to the *Los Angeles Times* where he would serve for two decades as an editorial writer, as the paper's Washington, D.C. bureau chief and, later, as its Middle East Bureau chief in Rome. The prize-winning newsman also covered Lyndon Johnson and Richard Nixon for the *Los Angeles Times*.

In retrospect, I wish I had known that this man with whom I'd had a brief encounter in 1971 had been hired by Rep. Mel Laird (WI) for his media expertise, fresh ideas, and to

President Gerald R. Ford looking over the shoulder of Counselor to the President, Robert T. Hartmann. *Courtesy*, Gerald R. Ford Presidential Library

edit and consult for the House of Representatives' Republican Conference. I wish I'd known that Hartmann had later become sergeant-at-arms and legislative assistant to House Minority Leader Gerald R. Ford, and then chief of staff for Vice President Ford, and eventually "Counselor" to the 38th President (a title he reportedly held in low regard, according to veteran Washington journalists Rowland Evans and Robert Novak's August 15, 1974 column, "Cutting Back the White House 'Palace Guard,'" as it was "a pretentious and faintly Europeanized cabinet rank created by President Nixon").

The adage "first impressions are lasting" was certainly true for me regarding Robert Hartmann. Referred also by Evans and Novak in their column as a "tough old ex-newspaperman without a visible royalist bone in his body," Hartmann was emphatic about the need to dramatically reduce the number of staff and imperial trappings Ford inherited from the Nixon White House.

Beyond his craft as a writer, the colorful Hartmann was a straight shooter, seldom shy about speaking his piece. Hartmann consistently provided his boss with his politically savvy, unvarnished, timely advice and insider Washington, D.C. knowledge. But, of course, Hartmann had his detractors. They included Donald Rumsfeld (US Secretary of Defense under the Ford and Bush administrations) and his protege and deputy, Richard Cheney (former Vice President serving under George W. Bush), as well as Alexander Haig (former US Secretary of State under President Ronald Reagan and Nixon's chief of staff, whom Ford asked to stay on for a time after Nixon resigned). Cheney established a shadow speechmaking operation after promising Hartmann speechmaking would be his domain.

As a result, they frequently quarreled. All three men actively sought to diminish Hartmann's influence and their obloquy he had to endure. But Hartmann was definitely Haig's *bete noire!*

At first blush, many observers noted that Ford and Hartmann seemed oddly matched. But a closer examination is revealing. Though they didn't know one another when they served in the Navy during World War II, they shared mutual experiences and qualities. Ford and Hartmann were close in age, both possessed strong work ethics (they were work horses, not show horses), and both had seen combat. Ford, especially,

> ### Roberta Hartmann: A Bright Light in Robert Hartmann's Life
>
> Roberta Sankey Hartmann was a vivacious, fashionable and delightful woman who brought much joy to her husband's life. The couple met on a blind date when Robert was a junior Navy officer; their date had to be postponed for a week when Pearl Harbor was attacked and Robert was restricted to base. The successful date led to a 65-year marriage.
>
> Roberta, the Canadian-born and UCLA alumna, worked as an elementary school teacher and as an early reading specialist in California public schools. She also was a devoted volunteer for the Red Cross and other nonprofits. A frequent and successful hostess, she loved hosting parties and attending social events that included dancing. Her husband didn't like dancing, so Roberta found fun on the dance floor with Nelson Rockefeller, Gerald Ford, Henry Kissinger, Donald Rumsfeld and even Prince Philip, at a state dinner for Queen Elizabeth II.
>
> Roberta died at the age of 101, as bright and stylish as ever. When she realized she was dying from pneumonia, she accepted her impending death, wishing only that she'd had time for a manicure. "This was no way to go," she said.
>
> *Sources:* **Archives and interviews with those who knew her well**

had an impressive wartime record that included saving

shipmates' lives aboard the USS Monterey (CVL-26). Like most veterans, however, Ford never talked about it.

Forged by a combination of strong faith, scouting (Eagle Scout), athletics (a letter winner on back-to-back undefeated University of Michigan Wolverines national championship football teams), and a strong marriage, Ford had an aura of self-confidence with a hefty dose of stubbornness. So did Robert Hartmann.

Hartmann was also a happily married man of devout faith and a fellow Eagle Scout. He was aware that his long and trusting relationship with Ford often invited jealousy and intra-staff jockeying. The two men had developed, from more than ten years of working closely together, a "sixth sense" of what Ford wanted, and Hartmann artfully delivered the words as Ford's preeminent speechwriter. Hartmann told the *Washington Post*'s Sally Quinn in her November 24, 1974 article, "The In(Fighting), Out(Bursts), Up(Swings), Down(Slides)... and Other Times of Robert T. Hartmann," that Ford didn't like big, multisyllabic words and preferred things stated in a positive, straightforward way in his speeches. To paraphrase Ford's first press secretary, Jerald terHorst, Hartmann had the unique ability to know the "inner" Ford and to use words that captured Ford's feelings and message(s). Moreover, Hartmann grasped "the cadence and speech patterns" that brought Ford out to the public in a manner that Ford appreciated. Helen Thomas, the trailblazing first female White House correspondent, wrote in her book *Front Row at the White House*, "Hartmann came up with the right words and the eloquence, but Ford supplied the sincerity that lent poignancy to the moment..." Or, as Ford wrote in his 1979 book, *A Time to Heal: The Autobiography of Gerald R. Ford*, "Bob had an uncanny ability to craft a sentence or a phrase so that it expressed my sentiments."

In that same book, Ford described Hartmann as a man he admired who stuck to his convictions and "made us all mad at one time or another," but also kept the president and his staff from becoming complacent. "Bob was suspicious of everyone. Over the years, that Hartmann characteristic had saved me from many pitfalls. ...True, he didn't know how to get along with others on the staff. He was always snapping at people and he was a terrible administrator himself. But I could — and did — overlook these faults because Bob was shrewd and he possessed good political judgment, a rare commodity in Washington."

While their personalities were rather disparate and Ford acknowledged that Hartmann could be brusque, Ford also knew Hartmann was a really good person. Thus, Ford often disregarded Hartmann's bluster. Others who worked with Hartmann said he was an "old salt" (Navy slang) who could be capricious, stern, and territorial. Many also saw him as driven and one who did not "suffer fools gladly." It's no wonder then, that Hartmann earned the nickname "S.O.B." Hartmann's son, Rob (Robert Sankey Hartmann), who graciously answered many questions for this piece, says that his father would explain this sobriquet, with a twinkle in his eye, as meaning, "Sweet Ol' Bob."

Rob Hartmann also told me that his dad had a mischievous sense of humor and liked to stir the pot just to see what would happen. Hartmann had a gift for crafting limericks, which

may be traceable back to his college days, when he was editor of the esteemed *Stanford Chaparral*, a humor magazine founded in 1899.

Celebrated presidential scholar Richard Norton Smith conducted nearly 160 interviews from 2008 to 2013 with family, friends, and close associates of President Ford as part of the Gerald R. Ford Presidential Foundation's Oral History Project. Among them were five people whose insights about Hartmann struck me as particularly relevant to this piece: David Gergen, Jim Cannon, Bob Orben, Jack Marsh, and Bob Hynes.

To paraphrase David Gergen, Ford's Director of Communication, Hartmann enjoyed exaggerated influence in the West Wing, was often mercurial, and served as a protector for the president — but for good reason. Ford's domestic policy advisor and later biographer Jim Cannon echoed Nelson Rockefeller's assessment that Hartmann had the best political mind in the White House — no faint praise, as according to *Washington Post* columnist David Broder, President Ford "had one of the most competent staffs we have seen." Indeed, many former key Ford staffers would serve in future administrations.

In Smith's December, 2008 interview with Bob Orben, the former special assistant to the president and director of the White House speechwriting department, Orben recalled his collegial working relationship with Hartmann. Orben learned to work effectively with Hartmann by standing up to him. Orben believes Hartmann's quick response to Haig's feeler about a Nixon pardon was "beyond courageous, it was astute. Bob had a very good sense of the total scene and wasn't carried away by minutia. He had a picture where [the pardon] might put Ford, and he was right. He [Hartmann] was a hero."

Jack Marsh, former Virginia congressman and national security advisor to Vice President Ford, was, along with Hartmann, a Counsellor to President Ford. Marsh was another Hartmann enthusiast and close friend. While acknowledging that Hartmann could be a "rough guy to deal with at times," Marsh also told Smith that "if you got beneath the surface, it was great." Hartmann "was not as concerned about relationships and personal relationships." Importantly, Marsh believed Hartmann never received all the credit that he truly deserved.

Bob Hynes, minority counsel to the House of Representatives Rules Committee and later part of the team that handled the Congressional vice president confirmation hearings for Ford, knew Hartmann rather well. To wit: "If there was such a thing as Mr. Ford's enforcer... Bob was that person." Hynes informed Smith that Hartmann exercised good judgment and while he could get angry at people, the next day he would be fine. "He tried to make sure that Jerry [Ford] was protected, he knew everything that Jerry had to know and made sure that Jerry knew it right away." Hynes confirmed that Hartmann saw his mission as ensuring "that Jerry doesn't get hornswoggled. Nobody fools him. He [Ford] gets the straight scoop. He [Ford] knows what's going on. And Hartmann did a hell of a job of doing it. Every president needs somebody like Bob Hartmann."

President Ford (standing) with Presidential Counselor, Robert T. Hartmann (seated) in the President's Private Office prior to his announcement of the Nixon pardon on September 8, 1974. *Courtesy*, Gerald R. Ford Presidential Library

To the aforementioned voices, I would add the view expressed by Hartmann longtime aide, Joann Lynott Wilson, who spent two decades at the newspaper and in government assisting Hartmann. She told me during our telephone conversations he didn't make friends easily, was sometimes short-tempered, and could be sarcastic but worked extremely hard, never shirked his responsibilities, and was very intelligent, loyal, and even warm at times.

Hartmann's loyalty to Ford and the American people was never in doubt. Hartmann could often see through others' motives if they weren't pure. He was rightly wary of Nixon's "Praetorian Guards" – those holdovers from the Nixon administration, many of whom he felt were at times motivated more by self-interest than by helping the new president, as Hartmann's memoirs attest. Nixon himself had repeatedly sought to hire Hartmann, but Hartmann politely declined each time. Though their families were friends, he sensed that Nixon was a "bad penny." Hartmann had a strong moral compass.

Hartmann enjoyed Ford's confidence. And Ford confided in Hartmann. Clearly, the two men respected, appreciated, and valued what each brought to the table to complement one another. Ford relied heavily on Hartmann's judgment, his way with words, and his willingness to "absorb the heat" and take the arrows aimed at Ford. In many ways, Hartmann was, to use a baseball metaphor, the "catcher"— he tried to stop the wild

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pitches. He was always unflinchingly honest and candid with Ford, which too few others can justly claim.

Mike McCurry, White House Press Secretary for President Bill Clinton and currently Distinguished Professor and Director of the Center for Public Theology at Wesley Theological Seminary, told me, "Most presidents need someone to be the bad cop when the president would rather be a nice guy, good cop. But the strong hand of a senior aide needs to be used with grace, justification, and prudence. Being the enforcer requires good judgment and carefully chosen moments of discipline, reprimand, or criticism." Hartmann had Ford's ear and could be forceful! A president typically has more than one adviser and Ford was no exception. But Hartmann was arguably his top confidant.

Throughout Ford's life, the 38th president was viewed by most as polite, gregarious, unassuming, decent, ethical, athletic, and trustworthy — a man of utmost integrity. Most of those who worked with him found him much smarter than they were initially led to believe. Nevertheless, the so-called "beltway media" often dismissed him, and he was caricatured by popular comedians as bumbling, dull, and visionless. But Hartmann, the former newspaper man, believed in what he wrote for Ford, including Ford's credo that "truth should be the guiding force for the nation."

Ford genuinely enjoyed reporters, even though some treated him poorly, and he may be the only president in modern history who didn't criticize the media or consider journalists as adversaries. Ford was honest with the press and impressed upon his staff that while he was president, the White House would be open, convivial, and cooperative. Hartmann's extensive experience as a journalist, from copy boy to police reporter, from Navy public information officer to editorial writer, from foreign correspondent to bureau chief, enabled him to serve as Ford's consultant on the inner workings of the Fourth Estate.

I have little doubt that Hartmann's World War II experiences served as a "crucible of leadership" that helped prepare him to function effectively in his multiple roles, including that of Ford's top political adviser. I feel fortunate to have met the man who will always be remembered for the 1974 nationally-televised speech he wrote for the new president when Ford assumed the presidency after Nixon resigned. Gerald R. Ford uttered Hartmann's now famous words, which Ford almost deleted from the speech (and over which Hartmann threatened to resign if he had): "My fellow Americans, our long national nightmare is over." This was the most quoted line from the address in nearly every publication and news outlet around the world. Ford's chairman of the Council of Economic Advisers, Alan Greenspan (who would later serve five terms as chairman of the Federal Reserve), said, "that Hartmann speech was a very critical turning point [that] defined a change in the spirit of the country." The line would turn out to be Hartmann's legacy.

But for me, two other passages held more sway. There is this one: "I am acutely aware that you have not elected me as your president by your ballots, and so I ask you to confirm me as your president with your prayers." And my favorite: "As we bind up the internal wounds of Watergate, more painful and more poisonous than those of foreign wars, let us restore the Golden Rule to our political process, and let brotherly love purge our hearts of suspicion and of hate." Robert Trowbridge Hartmann at his best!

Hartmann passed away in 2008 at the age of 91 and is buried at Arlington National Cemetery with well-deserved full military honors. I wish I could go back now and shake his hand again.

Acknowledgments

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Akshaya Patra:

A Leader in Battling Classroom Hunger

Abstract
If children are our future, and an empty belly inhibits learning, then leadership in tackling food insecurities should be of paramount concern – globally. COVID has invariably created interruptions in normal food distribution, however, as economies recover and children return to the classroom, those regions in the world that tackle this subject may prove to offer the leadership needed in schools to be emulated on a universal basis. One such entity focuses on providing high-quality school lunches – the midday meal – for its students: Akshaya Patra.

Introduction

According to Indian tradition, a householder cannot eat until he feeds the hungry people in the vicinity of his home. Sharing is common across all civilised cultures. It is part of the concept of seeing everyone as the same god, even though we might not be equals socially. The spirit that resides in each person cannot be categorised as Hindu, Muslim or Christian. Similarly, hunger pangs cannot be differentiated. Everyone feels it the same way. — Madhu Pandit Dasa, Chairman, The Akshaya Patra Foundation

Research over the decades has firmly established the correlation between the quality of school meals and learning objectives; food security and high nutritional standards are essential to any efforts by both governments and organizations to raise both educational equity and student performance (Thompson, 2020). Akshaya Patra successfully manifests human and spiritual values in the secular realm of organisational practices. By improving quality management, highlighting transparency in transactions, and raising quality standards in financial reporting, human resources, and daily operational routines, Akshaya Patra is adding value to stakeholder-relationships. The organization underscores investments in education – via enlarging infrastructure, raising educator salaries, providing educational resource materials, and ensuring nutritious school lunches – will all serve to promote effective learning.

The mid-meal meal provided in schools, especially in developing and underdeveloped countries, had been found to be the only nutritious meal for some students (Mendonsa, 2021). As such, Akshaya Patra addresses two of the Millennium Development Goals (MDGs): hunger and education (MDGs are discussed at https://www.un.org/millennium

goals/). Many of the employees of Akshaya Patra believe that they were doing nation's work. "*Food signifies unity, love…, so many people are involved. When it is a matter of food, we are no different… Whether it is offered to God or blessed by us, it is the same…*", mentioned Rev. Father C Moses, a parish priest, and also a manager at a school where Akshaya Patra provided mid-day meals (*The Akshaya Patra Foundation*, 2017). Referring to the ethos of serving food, the founders of the programme mentioned, "*Food is the fundamental spiritual stuff that goes into everyone's life. Food feeds praana… praana is life. Without life, there is nothing. So the first aspect of existence is food. And spiritual means spiritual existence. So food is very, very fundamental*" (*NDTV*, 2017).

History and Inspiration

Madhu Pandit Dasa, associated with International Society for Krishna Consciousness (ISKCON), Bangalore, was one of the pioneers associated with the endeavour that began in mid-2000 (Swami Prabhupada is recognized as the founder of ISKCON, a faith-based organisation, also known as the "Hare Krishna movement"). The Akshaya Patra website mentions:

> Looking out of a window, one day in Mayapur, a village near Calcutta, His Divine Grace A. C. Bhaktivedanta Swami Prabhupada saw a group of children fighting with stray dogs over scraps of food. From this simple, yet heart-breaking incident was born a determination that no child within a radius of ten miles from our centre should go hungry. His inspiring resolve sowed the seeds of The Akshaya Patra Foundation.

Addressing the origins of the program, Madhu Pandit Dasa mentioned in an interview with the BBC in 2007 that: *We realized that this programme needs to expand to very large scale…. within a radius of 50 kilometers around this center here, there were 300,000 children, going to a school without a meal, in the afternoon.*

The word "AkshayaPatra" signifies a "Vessel of Abundance" in Sanskrit, from a legend in the Indian epic *Mahabharatha.* Akshaya Patra's school lunch programme started in Bengaluru two years before the Government of Karnataka started the mid-day meal scheme in the state (an article in the *Scroll* stated that: *The origins of the midday meal scheme (in India) go back to the 1920s, when the then Madras Municipal Corporation in the Madras Presidency introduced the programme for disadvantaged children…*). In 1995, the Government of India adopted the idea. In 2001, the Supreme Court of India mandated that mid-day meal be extended to all government schools. The leadership at Akshaya Patra acknowledges the paradox that *India is a rich country with a lot of poor people. There is money in our country. The last-mile-delivery is the challenge.*

Scaling up the project required optimum usage of resources, both human and material. Akshaya Patra mechanized its kitchen facilities. A centralized kitchen was established to prepare food for all the schools in Bangalore that were associated with *Akshaya Patra*. This hub-and-spoke model was replicated in other regions of India when *Akshaya Patra* started offering its services there. The kitchen at Hubli (a city in the state of Karnataka, India) – considered to be one of the largest kitchens in India – cooked more than 180,000 meals daily. The total quantity of rice processed approached 15 tons (15,000 kgs) and 26,800 litres of *Sambar*, a lentil-based broth popular in southern India, was produced.

Madhu pandit dasa explained: *Centralised control of food quality, hygiene, variety of taste, food safety, and fortification with micro nutrients are the specialisations that goes into producing an akshaya Patra meal* (PMO India, 2019).

The centralised kitchens provided Akshaya Patra with certain advantages including control over distribution, storage, preparation, delivery, and maintenance. These kitchens were equipped with cauldrons, trolleys, rice chutes, and dal/ sambar tanks. However, when Akshaya Patra started serving rural schools, the centralised model of industrial design and automated efficiency became ineffective. This was due to the increased transportation costs associated with dispersed location of schools and difficulty of reaching these schools.

The concept of decentralization was adopted whereby small individual kitchens were built in villages to serve the local schools. *We ran a pilot to feed 600 tribal children in five villages of Baran district in April 2005; a self-help group of women was formed in each village and these women were trained in various aspects of cooking, hygiene and nutrition*, said Madhu Pandit Dasa (Akshaya Patra's Success Story, 2016). This provided employment to impoverished women from the villages. The sourcing of food items from local areas also helped in improving the local economy.

Partnerships

Collaboration is key to marshalling organizational resources, stimulating new areas of capital investment, and recruiting new members into the workforce. Partnering with other entities gives each access to the others' experiences and skill sets and gives both companies the opportunity to focus on a combined objective (Watenpaugh, 2018). Akshaya Patra does not enjoy a separate endowment but rather relies upon its team members' ethereal contributions as well as outside donations. Chanchalapati Dasa, Vice-chairman of Akshaya Patra, explains:

> *We don't have a corpus. We don't have an endowment. Our endowment is, our confidence is, the goodness of people... We may have complex problems... but we have good people, talented people who can solve the problems. Thats the optimism we have.*

One example of a for-profit collaborator with Akshaya Patra is Los Angeles-based Tom's Shoes. Founded by Blake Mycoskie (who had witnessed children in Argentina running on the streets without footwear), Tom's Shoes set out to donate a pair of shoes for every pair of shoes purchased. During 2013-2018, Tom's Shoes gifted more than 15 lakh shoes to Akshaya Patra beneficiaries across India.

Media reports referred to the project as a mutually-beneficial marriage of missionaries and business people. While the project had its roots in faith-based beliefs due to its association with the International Society for Krishna Consciousness (ISKCON), the implementation had been secular – the distribution of food (referred to as *"Prasad"* – a sacred offering to the Divine and thus blessed) was done at government schools and government-aided schools. A *Harvard Business Review* blog cites, *Akshaya Patra serves as a model for partnerships among public, private, and non-governmental organizations in India and*

elsewhere...Table 1 sets forth some of the collaborating entities over the years.

Table 1: AkshayaPatra Contributors

ORGANIZATION	MODE OF CONTRIBUTION
Cisco, US Navy, Wells Fargo, Amazon India, Ingersoll Rand, BillDesk	**Employee Volunteering, Fundraising**
Michael and Susan Dell Foundation	**Health Screening and Health Education**
Jamsetji Tata Trust, Infosys Foundation, Hans Foundation, Texas Instruments, Hyatt Palace Hampi, NMDC, VasudevAdiga's, Cisco, GE Healthcare, SAIL, NALCO, Odisha Mining Corporation, Kusuma Trust, RC Infinity Foundation, Bank of Tokyo-Mitsubishi UFJ, Ltd., GT Foundation, Diya Systems, Westbridge Capital, MTR Foods, Deutsche Bank, Bank of America, Ching's Secret, Saavn, Mini Nom Nom's, Axalta Coating Systems, VGL, BlogAdda	**Financial Grant/Giving**
Aris Global Software, BHEL, SAIL, HDFC Life, Texas Instruments, AUMA India, LIC, Syndicate Bank, Corporation Bank, Airbus India, Applied Materials Inc., Caterpillar Inc., IKOCL, State Bank of Travancore, Bosch, Union Bank of India, HPCL, SBI Mutual, Vista Equity Partners, Laurus Labs, Vimta Labs, Isuzu, Himalaya, Facilities and Building Solutions (FABS), DHL, Vijaya Bank, Gemini Edibles and Fats India Ltd (GEF India), BillDesk	**Vehicles for Food Distribution**
SBI Foundation	**Insulated Vessels for Storing Food**
MINT (SPMCIL) Hyderabad, Caterpillar Inc., SAIL, Alstom Foundation, Stichting HoogeWoert	**Infrastructure Support (Reverse Osmosis Plant/ Steam Boiler, Waste to Energy Plant, Solar Plants, etc.)**
Balkrishna Industries, ABB India, Franklin Templeton Investments, SBI Capital, United Way, Airports Authority of India (AAI), Hindustan Aeronautics Limited (HAL), Oil and Natural Gas Corporation (ONGC), Infosys Foundation, Gujarat State Petroleum Corporation (GSPC), Hans Foundation, Kusuma Trust, NALCO, Odisha Mining Corporation, RC Infinity Foundation	**Centralised Kitchen**
Ashok Leyland, Cisco, Kellogg's	**Breakfasts for Children**
HDFC Life, HDFC Bank, JP Morgan Chase	**Academic Support**
Jamsetji Tata Trust	**Food Safety and Quality Control (FSQC) Laboratory**
Infosys Foundation	**Drinking Water**

The menu is simple, nutritious, and suitable to the palate of the region. For example, the weekly menu adhered to by Akshaya Patra in Assam includes rice, mix dal, alu matar, rajma, veg pulao, kabuli chana, khichdi, kheer and rice cakes (pitha), whereas the menu in Gujarat includes dal dhokli, thepla, sukhdi, churmu, chakri, and cookies that are

regionally popular.

Akshaya Patra's meal programme contributes to the health of the children (Sandhya, 2015). It has also been established that the mid-day meal programme furnished by Akshaya Patra results in encouraging children to continue schooling and education. The program has resulted in increased enrolment and retention of children and enhanced classroom performance by students, as the nutrition status has shown improvement. *Akshaya Patra* had been considered to be an effective "strategic intervention" that has enhanced the value of all prevailing governmental spending on children's education. This was because *Akshaya Patra* caters to the basic need of alleviating hunger, which if not taken care of, would retard any effectiveness on spending on textbooks, school building, and other educational-related infrastructure. *Akshaya Patra is one of those organizations that has taken up the important work of handling the nutritional requirements of below-the-poverty-line children in schools because unless your stomach is full, it is very unlikely you will be in a position to concentrate on what is taught*, explained N. R. Narayana Murthy, co-founder of Infosys Technologies Pvt. Ltd. Murthy also credited Akshaya Patra as an organisation that has been continuously practicing *positive constructivism*. Mohandas Pai, former member of the governing board of Akshaya Patra and former CFO, Infosys Technologies, mentioned, "*We have wiped the tears off the eyes, of a million children. We have given them food. And our lives have changed, because we found new meaning in life.*"

CSR Alignment

India has been one of the few countries that has mandated spending on Corporate Social Responsibility (CSR) initiatives. Section 135 of India's *Companies Act of 2013* mandated that at least two per cent of the average net profits of a company made during the three immediately preceding financial years needs to be channelized towards CSR endeavours and this is applicable for all companies having a net worth of rupees five hundred crore or more, or turnover of rupees one thousand crore or more or a net profit of rupees five crore or more during any financial year.

Akshaya Patra has enabled for-profit organisations to work in areas such as strategic philanthropy through funds and in-kind contributions. There have also been opportunities for cause-marketing initiatives, sponsorship of events, and innovative project solutions that benefitted children. The vision of Akshaya Patra that "No child in India shall be deprived of education because of hunger" addressed two of the Millennium Development Goals (MDGs) – addressing hunger and poverty, and that of achieving universal education. As explained by the organization's CEO, Sridhar Venkat, the vision of Akshaya Patra Foundation had twin objectives:

- *Ending classroom hunger, by providing nutritious mid-day meals in government schools and government-aided schools;* and
- *Making basic education accessible and encouraging more and more children to enroll in schools as a hot meal becomes an incentive for children to attend school and deter dropping out.*

As of 2018, 92% of total funds had been channelled toward programme costs and 8% toward management costs (*Table 2*).

Table 2

COST ELEMENTS	COST PER MEAL (RS)*
Program Costs (materials and utilities, distribution costs, and factory overhead including workforce, repairs, and other factory operational expenses)	11.42
Administrative Overhead (costs of activities relating to general management and administration)	0.42
Outreach Cost (Cost of publicity, communication, Donor Reporting, Advocacy and travel related)	0.62
Gross Cost per Meal (in Rs.)	12.46
Less: Subsidy from Government per meal	6.28
Less: Interest and other income	1.38
Cost to be absorbed by TAPF per meal through donations	4.8
National Average of school working days in an academic year	232
Cost to run the MDM program for 1 child per year (in Rs.)	1,113.96

Note: Refers to Rupees. As of November 9, 2021, 1 Rupee = USD 0.014.

Akshaya Patra acknowledges that its CSR partnerships with for-profit companies helped in augmenting its scalability as well as in developing sustainable models. By providing materials including web-banners and e-posters, Akshya Patra provided opportunities for individual e-volunteering and fundraising campaigns associated with special occasions such as birthdays, marriages, and anniversaries. Individual fundraising helped in increasing commitment, familiarity, and accountability. The long-term focus of Akshaya Patra aligned with organisations that wished to associate with CSR projects having a multi-year perspective. Akshaya Patra also reached across multiple states and locations in India. In 2021, it had served 13 states and one union territory.

Quality Management

Serving 1.8 million children daily, Akshaya Patra's mid-day meal programme has been considered the world's largest mid-day meal programme managed by a not-for-profit organisation. When Akshaya Patra reached one million children, Barack Obama, former US President, sent a congratulatory note to "the largest mid-day meal programme in the world."

Cooking in the kitchens begins as early as 2:00 a.m. Food handlers and visitors to the kitchen must wear foot covers, masks, and head covers. Jewellery and loose metallic objects (such as hair-clips) are not allowed inside the kitchen. The Food Safety Management System (FSMS) ensures that hygiene standards at Akshaya Patra are met and even exceeded. FSMS parameters are considered as part of the supply-chain process, from the selection of suppliers to the actual cooking to the delivery of food. Supplier Quality Management System (SQMS) ensures quality of the supplies.

Practices such as "First In First Out" (FIFO)) and "First Expiry First Out" (FEFO) are implemented during the usage of raw materials. Akshaya Patra prepares and distributes meals on the same day, while vegetables procured are used within a few days. Critical Control Points (CCPs) such as cooking temperature and temperature of the prepared food are checked and recorded at periodic intervals. Food quality is also ascertained through quality checks.

Labelling is added to the containers. Food storage vessels and the food storage areas in transportation vehicles are steam-sterilised. Vehicles are customised with a honeycomb structure in the storage area that holds multiple decks of storage containers in an upright position. The puffed body of the vehicles mitigates the temperature loss.

Feedback from schools has been solicited and received on a daily basis, and improvement actions initiated where necessary. Pamphlets advocating food safety and hygiene while serving meals were also circulated among the schools. GPS and the usage of path-optimising software not only helps in cost-optimisation, but also in the timely delivery of food to the schools. The vehicles recollect the vessels on their return journey.

The efficiency of Akshaya Patra emerged from its centralised kitchens. The organisation plans to increase its reach to 5 million children by 2025 – almost three times the number of school-going children it served in 2021. Akshaya Patra has not been adverse to adopting internet- enabled technologies in its daily operations in several of its kitchens (Mahadevan, Sivakumar, Dinesh Kumar, & Ganeshram, 2013; Chavan & Breyer, 2020).

Table 3 mentions some of the documents used at Akshaya Patra, in synchronisation with the daily work flow:

Table 3

DOCUMENT	DATA PARAMETERS AND IMPLICATIONS
Food Delivery Register	Food requirement from the schools for the next day, number of vessels, date and time of delivery, collection of the food vessels (from the schools) used during the day
Food List	List of all the schools, the number of schools in a route, and the vehicle numbers associated with the route, menu for the following day, lunch time of schools, quantity of rice and dal required
Food Indent	Recipe, dal, masala oil, seasoning materials, required (food indent goes to store)
Grocery Sheet Data	Opening stock, quantity issued, daily consumption
Goods Receipt Note	Goods received, wastage noted; vendor assessment, if wastage is due to low quality
Vegetable Processing Record	Cutting and peeling, time-taken
Dal and Sabji Seasoning Document	Materials and quantity used in preparation of masala, time-taken
Rice Record, Sabji Record, and Dal Record	Number of cooking vessels, batch number, sterilisation, water addition, timing, and temperature
Packing Sheet	Quantity of boxes to be filled and packed; timing noted

Batch Wise Record	Boiler number and route number used to find which batch went to which school
Loading Register	Route-number, number of boxes to be loaded, time noted
Report and Daily Issue, Return of Distribution Vessels, and Gate Pass	Vehicle number, name of driver and helper, number and type of vessels, date and timings, route taken, reading of kilometres while leaving and entering the campus

Kaizen, Continual Improvement Process (CIP), Six sigma methodologies resulted in cost optimisation. Streamlining of processes across the value-chain was enabled through Enterprise Resource Planning (ERP) systems. *"We have to use appropriate technology... technology that's appropriate to our country, our situation..."*, explained Chanchalapati Dasa for the Akshaya Patra Foundation (2019a).

Advocate of Transparency

Higher standards in operational practices are visible across the operational spectrum. Akshaya Patra has been following the highest standards in financial transparency and has complied with International Financial Reporting Standards (IFRS), required since 2008-09. The organization won the ICAI Gold Shield Award for "Excellence in Financial Reporting" for five consecutive years beginning in 2008-09 and was then inducted into the "Hall of Fame" of the Institute of Chartered Accountants of India (ICAI). *Every donor expects transparency and accountability from an NGO. A corporate foundation would not partner an NGO that does not follow this principle. Since inception, Akshaya Patra has demonstrated and upheld the highest standards of transparency, accountability and trustworthiness*, mentioned Madhu Pandit Dasa (Noronha, 2018).

In India, similar to many other countries, not-for-profit organisations are not mandated by law to publish their audited financial statements in the public domain. However, these organisations must file their annual financial returns with the governmental authorities. Transparency in financial reporting by Akshaya Patra occurred in an operating environment, where only ten percent of the not-for-profit organisations filed their returns with governmental authorities (as per a report made by the Central Bureau of Investigation, India's federal investigation agency, with the Supreme Court of India). Transparency helped the organisation in sustaining its partnerships with the governmental authorities. By making available the financial and annual reports in the public domain, Akshaya Patra went beyond compliance norms, and by doing so, Akshaya Patra was not just raising the bar in corporate governance practices amongst not-for-profit organisations in India, it was also communicating respect for all stakeholders, both external and internal. Existence of robust governance mechanisms helped the organisation to produce an annual report that has been credited as one of the best annual reports from the not-for-profit sector in India.

Attractive Workplace

Young people want ethical organisations, compassionate organisations, good governance, transparency... and if we provide these features, it has been our experience in Akshaya Patra that we are able to attract good people.
— Chanchalapati Dasa, Vice-chairman, Akshaya Patra (The Akshaya Patra Foundation, 2019a)

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At Akshaya Patra, employees are rewarded for their suggestions, and these suggestions also fuel continuous innovation. Akshaya Patra was also certified as a "Great Place to Work" and has won recognition for its HR practices. It complied with the minimum wage requirement at all locations. In 2018, the government programme included an honorarium of ₹ 1,500-2,000 per month. Akshaya Patra personnel were paid an average salary of approximately ₹ 11,000. Almost 7500 people were employed (full-time and part-time) by Akshaya Patra. By providing jobs to many people who belong to the marginalised and disadvantaged sections of the society, Akshaya Patra was contributing towards alleviating hunger in their homes. One of the reasons that inspired some of the employees at Akshaya Patra, as cited by Shridhar Venkat at a TED talk, was that the employees' children were also beneficiaries of the mid-day meals served by Akshaya Patra.

Conclusion

When COVID stuck India, schools were closed, and Akshaya Patra effected changes in its modes of operational delivery. Some of the initiatives of Akshaya Patra involved providing freshly cooked meals to people in need, supporting school children with essentials, supplying grocery kits to affected families, feeding homeless mothers, and supplying kits to expectant mothers ("Shakti kits"). According to Shridhar Venkat, Akshaya Patra CEO:

> Whether it's people innovation, process innovation or technology innovation, Akshaya Patra has always taken steps to ensure that children will get a hot, nutritious meal, day after day … Akshaya Patra could have built toilets. We could have gotten into teaching. We could have diversified into many other areas. But we stayed focused on providing a simple, hot, nutritious meal. We believe that simplicity is the key to scaling up.

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Reflecting on Crucibles:
Clarifying Values in Authentic Leaders

Abstract
This qualitative study explores the role of crucibles, life-triggering moments, parents' life mottos and definitions of success, and holding values in the lives of authentic leaders. This research used the life-story approach to explore the experience of such concepts on authentic leaders. Self-identified leaders with more than five years of experience in a leadership position or in a role of managing and developing others were invited to this research. Qualified authentic leaders (between 65 to 80 in ALQ) were invited to a qualitative interview utilizing the life story approach to explore significant forming factors of their leadership qualities. An inductive coding method was used in analyzing the transcription of interviews. Significant themes and codes show that life-triggers, crucibles, parents' life mottos, their definition of success, and holding values play a significant role in authentic leadership development. Leadership scholars should emphasize the forming experiences of authentic leadership in their leadership development studies. In other words, the experienced dynamics of parents (life mottos and definitions of success), the experience of crucibles are suggested as antecedents of authentic leadership. The research shows that parents' dynamics, crucibles, and life-triggering moments resonate with Erikson's stages of development on authentic leadership development.

Introduction

The purpose of this phenomenological study of authentic leaders is to see how crafting one's life story using crucibles contributes to the experiential learning that helps leaders to clarify their values (Michie & Gooty, 2005). According to Bennis' seminal work, experiencing crucibles help to form authentic leaders (Bennis, 2004). However, there has been a little systematic study of how these crucibles contribute to the leadership development process. An important question is how individuals use these crucibles to develop their authentic leadership. The present research assumes that leaders are much more made than born (George et al., 2011). However, this begs the question of how they are made. How do the leaders' life experiences and learning from life experiences contribute to the authentic leadership process? In this present research, the focus is on a leader's internal processing, such as self-reflection on external events and other influences to arrive at a greater understanding of the authentic leadership development

process. The research question is how are crucibles and other life events (Bennis, 2004) processed by those engaged in authentic leadership? Furthermore, the present research asks what insights on authentic leadership are gained by opening the black box of the individual's internal processing through self-reflection and experiential learning.

For a leader to lead authentically, self-awareness needs to be predominant (Steiner, 2016). This element involves a fairly deep awareness of one's strengths and weaknesses, and triggers (Shannon et al., 2020). Furthermore, the authentic leader can interact with others who may have a completely different worldview or hold an opposing opinion on a controversial issue (Ladkin & Spiller, 2013). To engage mindfully with those with opposing views, the authentic leader may need to practice emotional regulation (Kotzé & Nel, 2015) and resiliency (Fernandez, 2016) to overcome any other's natural antipathy or negative view. The authentic leader can successfully resist seeing those who have opposing views as an opponent. Instead, they view them as a co-worker with divergent views who can improve problem-solving and collaboration by integrating differences and divergent opinions. This issue is one of the reasons authentic leaderships is closely associated with organizations that are successful in diversity, equity, and inclusion (Cottrill, Lopez, & Hoffman, 2014).

Those striving to lead authentically are willing to go a step further and reveal their views on controversial issues, letting go of the need to have everyone like or approve of them. This also means that leading authentically involves resiliency and emotional regulation (Peus et al., 2012) to work through the possible disruptions in the harmony and closeness of relations with co-workers when one engages authentically in controversy (Fernandez, 2016; Hashemi, 2019). This emotional regulation is associated with emotional intelligence and mindfulness (Kinsler, 2014).

However, there is an argument that the most important authentic leadership dimension and perhaps the hallmark of this leadership style is the moral dimension (Ladkin & Spiller, 2013). The present research frames authentic leadership as the next step from transformational leadership (Gardner et al., 2011). Authentic leadership picks up on the give and take among leaders and co-workers by making it more explicit that this involves revealing oneself more and involves sincere listening and engagement with co-workers and stakeholders who see things differently. While transformational leadership emphasizes the moral dimension and thus distinguishes itself from charismatic leadership (Tonkin, 2013), authentic leadership takes that moral dimension to the next level (Luthans, Norman, & Hughes, 2006). The moral dimension is based on the idea that authentic leaders make decisions congruent with their own moral principles (Mats, 2019). The moral choices that authentic leaders face have to do with engaging with their individual system of values that guide decision-making and action (Michie & Gooty, 2005). The moral dimension also extends to agreed-upon principles of conduct informed by cultural dimensions such as parental influence and the processing of life experiences (Sciarretta, 2014). This present research uses the life story methodology and the concept of crucibles to explore the moral dimensions of authentic leadership. The assumption underlying the research is that these individual moral values and codes of conduct are not fixed or immutable, they change over time, and this research argues that a driver of that

change is the experiential learning that emerges from one's processing of life's experiences.

The question for consideration in this research is how authentic leaders engage in self-reflection on their experiences to uncover their oral principles. We suggest that authentic leaders have to grapple with those seminal influences that were most impactful in the development of their moral code. A life story methodology can uncover what those elements are in ourselves and others (Pursak et al., 2012).

In particular, the literature suggests that the influence of the parents' worldviews (Ferguson et al., 2006) and the processing of challenging experiences in one's life (Shannon et al., 2020) are two sources of defining influences on one's moral values. The present research views these two elements as providing opportunities for the experiential learning that is so crucial to the leadership development process. In order to focus on the authentic style of leadership, we wanted to choose life story elements that were most likely going to have an influence on the moral development of the leader. Without a doubt, the influence of parents has a strong influence on the moral development of an adult. However, crucibles offer another opportunity for self-reflection and leadership development (Bennis & Thomas, 2007).

Crucibles can be seen as an opportunity ('oh, great another growth opportunity sights the authentic leader') can invite leaders into deeper self-reflection. These crucibles also provide an opportunity to question their assumptions, clarify their judgment, and engage in moral sensemaking (Shamir & Eilam, 2005). Parental images of success and the general impact of parent's general influence on one's leadership sensemaking. Parents' definition of success on one's leadership experience. Parent's life mottos and their impact on one's leadership experience. Self-reflection on one's life crucibles and examination of parental mottos of success can support authentic leaders to clarify their values.

Literature Review

Authentic leadership is increasingly being shown to have a positive impact on work engagement and other innovative work behaviors. (Putra et al., 2020; Goestjahjanti, et al., 2020). The concept of authentic leadership is about being true to one's values and transmitting and upholding those values to co-workers (Oh, Cho, & Lim, 2018). For a leader to align leadership decisions with moral values requires a deep understanding of one's moral values (Avolio & Gardner, 2005). Such an understanding requires self-reflection and a deep dive examining the origin of these closely held values.

One's values are in part formed by being socialized in a cultural context. The greatest emissaries of the culture, the ones who have the most impact on one's moral development initially typically, begins with parental influence. The values that parents pass on to children are not authentically held by the individuals until they are tested in the cauldron of life, the crucibles that form not only one's values but in turn one's leadership approach according to the work of Bennis and Thomas (2007).

Bennis (2004) identifies the role of experiential learning in the authentic leadership development process. Experiential learning and how it helps form authentic leadership is

an intriguing idea that needs greater specificity to be used in the development of authentic leadership. It is values that are at the center of authentic leadership (Ogunyemi & Ogunyemi, 2020). Trigger events and crucibles are considered essential building blocks in authentic leaders' development (Shannon et al., 2020).

Method

This paper uses the narrative method to study the antecedents of authentic leadership and explores the role of adversities, crucibles, parental life mottos, and definitions of success on authentic leadership development. The life story approach is lessons from the experience that enable leaders to self-reflect on their life events and create learning experiences. This approach includes four subsets: self-knowledge, self-concept, clarity, and internalization (Boje, 2001; Turner & Mavin, 2008). The life story analysis invites leaders to be grounded and embrace self-observation, prevent fragmentation in biographical context (self-concept); and bring clarity by internalizing values and attending to the feelings through experience (Dawson, 2015; Kerns, 2018; Michaud, 2004; Steiner, 2016; Turner & Mavin, 2008). Leaders would discover themselves by revising, reviewing, and retelling their stories about themselves (Lieblich, 1998 as cited by Turner & Mavin, 2008; Lindsay, 2011; Steiner, 2016).

This study was part of a mixed-method project, including surveys and interviews intended to study the relationship between authentic leadership and emotional intelligence with the moderating impact of resilience. The interview portion of the study was 13 questions. This paper only focuses only on three significant questions. The three interview questions of this research cover the idea of personal forming experiences, from childhood memories and parents' life-mottos and their definitions of success to the life-triggering events and crucibles, on authentic leadership development (Bennis & Thomas, 2008; Ferguson et al., 2006; Keller, 2003; Whitehead, 2009).

Interview Question

George, Mclean, and Craig (2010) assert that there are unique characteristics in authentic leaders formed through their life experience, and leaders' values suggest their level of authenticity. One of the essential premises in the life story approach is that the learned lessons are more important than the reliability of the report. Therefore, this research was not intended to take any measurements for fact-checking. The life story approach is not looking for the realistic image of a leader's life the message that the leader is carrying from that image is the primary focus of this study (Ladkin & Spiller, 2013).

Keller (2003) draws a line between parents' attachment styles and leadership approaches and contends that events and childhood memories play a significant role in forming leaders' values and authenticity. The significance of this paper is to study the role of life parental mottos and parents' definition of success on authentic leaders. Life mottos are messages from childhood that leaders are carrying through their lives (Ferguson et al., 2006; Popper & Amit, 2009), and through their reflection, they will realize how these mottos impact their approach. Another essential factor that Ferguson et al. (2006) suggest

in parenting style is parents' definition of success. Therefore, the other significance of this paper is to explore the role of parents' definition of success on authentic leaders.

Another forming factor that plays a significant role in authentic leadership development is crucibles. Crucibles are defining moments that lead the individual to a meaningful definition of life (Bennis & Thomas, 2007). Shannon et al. (2020) asserted that crucibles play an essential role in authentic leaders' life experiences. This research explores the existence of life-triggering moments and the meaning creation behind them that leaders interpreted throughout their lives.

The third question of this research is regarding the holding values of authentic leaders. For Turner and Mavin (2008), values are "lasting beliefs that certain modes of conduct are more desirable than others" (p. 380). That is to say, values are a list of achievements, pursuits of power and success, gratification, and dominance (George et al., 2011; Turner & Mavin, 2008). This paper explores not only the relationship between values and authentic leadership, but also studies the notion of change in values among leaders. In other words, one of the essential antecedents of authentic leadership could be the experience of change in values, whether caused by a necessity or adversity (Peus et al., 2012).

Question 1: Looking back through your early-life experience, can you briefly explain:
   a. *Any Life Mottos that your parents frequently used in your life? What defining influences does it have in your current leadership experience?*
   b. *How did your parents define a successful person? From their point of view, what does an influential leader look like? Can you compare yourself with that image?*
      i) *In your opinion, who is a successful leader? Three characteristics*

Question 2: Do you recall any adversities/hardship/life-triggering moments that you think, have a significant impact on your life?
   a. *What was your learning from that experience?*
   b. *When was the very first moment that you were responsible for something?*

Question 3: As a leader, what would be your holding values? Can you list them in three items?
   a. *What experiences, if any, had formed such values? Did you face any changes in your values? Why?*
   b. *What do you tell your followers frequently?*

Participants

This study was part of a larger research undertaking, where 126 participants completed a survey on authentic leadership. At the end of the survey, all participants were invited to do a follow-up interview. 22 participants agreed to do the interview. For this present research, only ten of these volunteers were included as the criterion for inclusion was at least 65 out of a possible score of 80 on the ALQ (Hashemi, 2019). This was to ensure that we explored authentic leadership's antecedents in a sample of high authenticity leaders. These ten organizational and community self-identified leaders participated in an in-depth one-hour self-exploratory interview with 13 open-ended questions. Interviews were conducted online at their convenience. Participants had the age range of 36-72 with a

mean of 49 years. Four leaders were female, and six were male, and the average number of years of experience in a leadership position was 12.1 years. Recruited leaders were from five industries: education (3), medical science (3), entertainment (2), military (1), information technology (1).

Table 1: Demographics of Participants

Category		# of participants
Age		**Mean = 49; range = 36-72**
Gender Identification	Male	6
	Female	4
Years of Experience; approximate mean = 12.1	5- 10	2
	10-15	2
	15-20	4
	20+	2
Field	Education	3
	Medical Science	3
	Entertainment	2
	Military	1
	IT	1

Coding

The results of interviews were transcribed and analyzed using NVivo software. NVivo provides a reliable set of controls in qualitative analysis and coding formats. We used two steps for the coding process. First, we reviewed the transcriptions, and themes and nodes were identified. These themes were repetitive patterns, surprising comments, essential concepts, significant actions, notable activities, distinguished feelings, recognized reflections, and thoughtful opinions that participants showed in answering questions. In the interview process, the interviewer used mirroring skills to create a reflection experience for participants. This idea was one of the fundamental approaches of life story analysis. The interviewer uses active listening skills and mirroring techniques to invite participants to get grounded and think about their responses. It is necessary to note that we all engaged in the inductive coding process. The inductive coding process consists of several steps of reading and interpretations. Through these steps, notes of significant patterns, interesting interpretations, and repetitive themes were exchanged between authors. For instance, when a participant indicates their concern over their purpose over actions and the importance of having direction in life in several questions, authors identify the pattern of purposefulness through the inductive coding process.

In the second step, significant nodes were inducted through the coding process using similar themes, root words, synonyms, or possible interviewees' articulation. The authors created a coding mind map that illustrates the spectrum of possible themes and words that participants might use. This coding manual and mind map were shared through the software among authors. Another source of coding, especially in addressing emotional and facial reactions (video camera observation) and nonverbal clues, was the interviewers' personal notes, which suggested meaningful insights. For instance, some participants

showed significant emotional reactions after thinking about their crucibles and contemplating their personal values (Shamir & Eilam, 2005; Shannon et al., 2020).

Results

The results of the present research were analyzed using thematic analysis. In the following, in addition to the significant responses, we will discuss surprising themes, important concepts, and essential observations. In some questions, we share responses and exclude codes to show a better view of the coding process.

Question 1: Parents' Definition of Success

Asking the question about parents' dynamics and their definition of success created a self-reflective moment for leaders to see themselves through the journey of leadership development and make some comparisons and contrasts against their parental image (Ferguson et al., 2006). Authentic leaders, in this case, may be more open to realizing such images (self-awareness), accept the reality of themselves (relational transparency), and draw a line to their personal definition of success (balanced processing). Though in some cases, participants reported a deconstructive parental influence.

Participant 2 responses:

So, [...] influences on me as I've never felt I was good enough to be that engineer. He talked about, or he possessed that identity [that I will never be good enough]. And my mother, you know, when I got my job at UCLA, she said, what if they fired you. She couldn't imagine me exceeding coming out of that family. They had never been to college, but they thought that they were smarter than everybody, especially me.

Table 2: **Comparison Between Personal and Parents' Definitions of Success**

Participant	Parent's Definition of Success	Personal Definition of Success	Characteristics of a Successful Leader	Do I see myself as a successful leader?
P1	They didn't see success in being rich or wealthy. Having self-satisfaction.	Being satisfied by what I'm doing and having an impact on others.	Being able to make decisions in critical situations, build a coherent team, strong effective communication.	Yes
P2	Being an engineer Providing stuff for the family.	Rebellious, activist, philosopher.	Ethical, leading like ensemble, "Power with"	Yes
P3	Being a doctor or lawyer	Self-righteous, focused, goal-oriented	Think more, know yourself, Awareness, being a philosopher.	Not yet
P4	Being independent, self-reliant, strong	Independent, responsible, decisive in decisions	Gentle, flexible, adaptable, purposeful, strong communication skills	Yes
P5	Organized, focused, considerate	Embracing different perspectives, focused, strong social skills	Organized, compassionate, discerning, servant leadership	Not yet

P6	Going to college, having an influence on others	Responsible, organized, happy,	Improve, helper, strategic decision-maker, Self-awareness, being mindful	Yes
P7	Good academic degree, good marriage, being religious	Persistent, focused, purposefulness	Persistent, serious, strategist	Not yet
P8	Financially stable, responsible	Focused, committed, inspired	Considerate, servant leader, inspiration to others	Yes
P9	Survival, being able to live and support the family	Finding own voice, focused, resilient	Authenticity, emotional intelligence, being special, connectedness, mindfulness	Yes
P10	Academic degree, fulltime job, married in time, making money	Academic degree, Job fulfillment, making money	Purposeful, advisable, Know the difference between management and leadership, Making money	Not yet

The general theme of responses (*Table 2*) shows that leaders either projected on their parents' definition of success or created a contrasting image. The divergence between parents' vision of success and personal characterization sometimes gets so extensive, suggesting that an opposite image is formed based on a leader's experience with his/her parents, and in fact, it has resulted in the leader's success.

Participant 6 addresses that her parent's perception about failure has changed her point of view regarding blind spots in her life:

It's okay to fail because that's how I grow, and not that I look forward to failing, but I look forward to finding out my blind spots. I look forward to finding out new things about myself, and I look forward to learning more about who I am, and I've done enough studying about leadership and growth and all that kind of stuff. Now that I have realized when I see something a little different about myself, I get curious about it.

When participants' responses were mirrored, they reflected upon what they heard, measured the learned lessons, and presented a balanced opinion regarding the impact of their parents' definition of success on their lives (balanced processing). That is to say, authentic leaders are prone to accept their past and manifest their learned lessons.

Defining Influence and Life-motto on Leadership Experience
The significance of this paper regarding the parental influence on authentic leadership development is the impact of life mottos on participants' leadership experience. When leaders are invited to get focused and think about their memories and parental images, life mottos are the most important and significant memories they recollect. Furthermore, this question invited leaders to think about their own frequent sayings and compare how their leadership values are formed based on their parental life-mottos and their frequent

sayings (self-awareness). These influences, as it might be expected, could lead in either positive or negative directions for participants.

Table 3: **Most Common Life Mottos and Learning Experiences**

	Life Motto	Learning Experience	Associated Code
P1	This world is the mountain, and our action the shout: the echo of the shouts comes to us. (Rumi Quote).	Do good and the universe will give you back. Always be in service of the community. This is basically why I went to medical school and even choose a specialty that wasn't based on money-making.	Moral Compass Purposefulness Altruism
P2	Release yourself. Leave a place better than you found it.	If I go in the wilderness, I would make sure I pack out everything I brought in. It gives me the chance to be rebellious, activist, and curious.	Adventurous Creativity Honesty Curiosity
P3	You don't start a fight. You finish it. Just always do your best.	I see the world through combat. There are winners and loser I teach engagement to others. I teach them no matter you fail, it is important to keep it up.	Courage Righteousness Honesty Purposefulness
P4	Do the best. You snooze, you lose.	I don't remember ever sleeping past 8:30 in the morning when I was a teenager because she never let us. I always kept pushing myself. I've controlled myself a lot.	Perseverance Consistency Purposefulness
P5	Be a hard worker. Be great as you can.	I've raised myself to be strong and be great as I can. As an African-American young girl that was my motivation and still is.	Perseverance Honesty Meaningfulness
P6	Yeah, you could do anything you put your mind to. We love you.	I have done anything I wanted to. I can do anything, and I'll always be loved.	Courage Purposefulness Decisiveness
P7	Because they had a religious background, it was important for him to make money by solvent.	Despite religiosity that though I respect them, I don't follow, I've always made money by a solvent.	Honesty Moral Compass Purposefulness
P8	No matter what you do, believe in God first. Telling me that I never finish anything I'm always daydreaming. Lock your door because somebody is going to try to take your stuff.	I distanced myself from religiosity. Because those my values used to be very conservative very protective people, you know, be generous to the people that you know.	Religiosity Purposefulness Cautiousness Perseverance
P9	Thy Own self be true.	That's been a guiding light for me. Throughout my life. I think. So, I really appreciate the loyalty and the love from my mom and dad.	Moral Compass Honesty Self-Awareness
P10	If we were not present, no one will feed you. Nowhere is like your parent home, even if you are in the king's castle.	Being attached to every place that I go. I will enable others to be dependent on me.	Attachment Meaningfulness Protection

Participant 10 responds:

Their life motto was: If we were not present, no one would feed you. Therefore, I got attached to every place. Especially when I have a job, I would think that my job is the only place in the world that I can be and anywhere else will be worse. It is hard for me to detach from others. And for the second motto, I will enable others to be dependent on me. Or I will be so good that they will get to the point that none will feed them.

Table 3 shows responses to life-motto questions. The first column is the life motto that they remember, and the second column is the learned experience that they are carrying from that motto. When leaders were asked about their recalled life motto, most of them associated positive meanings out of the motto. However, this influence could be seen in both constructive and deconstructive ways. Two participants mentioned negative emotional connotations in their life mottos. In addition, two participants drew a line between parental religiosity and their life mottos. Most of the mottos indicated building confidence, moral values, or wisdom of life.

Question 2: Adversities, Hardship, and Life Triggering Moments
War, immigration, hardship on livelihood, and parents' divorce were significant adversities that leaders identified as forming factors on their leadership mindsets. The Afghanistan, Iran-Iraq, and Vietnam wars were among notable wars that participants mentioned their parents were impacted directly or indirectly and those incidents have formed values to their leadership experience.

Participant 1 responses:

My brother got wounded during the war. I was planning to study physics. Then after this tragedy, I decided to study medical science and devoted my life to others. Taking my brother's body in a very dangerous situation to the capital of Iran for being treated when I was only 17 was the first and biggest responsibility that I had.

One of the important elements of authenticity is one's reaction against recalling crucibles. Authentic leaders can identify their crucibles, express their feelings at that moment (internalized moral perspective), and share their learning experience or the change in their values. Another notable quality of authentic leaders was their ability to self-reflect on their life stories and connect the causes and facts in a way to show how their leadership values were formed.

Theme	# of occurrences
Life-triggering experience	15
Being responsible at an early age	15
Hardship in livelihood	15
War	13
Poverty	10
Divorce	7
Immigration	5
Fear	19

Anxiety	17
Anger	13
Depression	9
Loneliness	9
Sadness	9
Disappointment	8
Frustration	7
Shame	7
Guilt	4
Hope +	4

Table 4: **Significant Codes on Adversities and Associated Emotions**

Participant 2 responses:

I left my dysfunctional family for the Vietnam war, and even though I was not in the combat division, I suffered a lot from war trauma. After this traumatic experience of childhood and war, I decided to build my own life and gain knowledge on my own.

Poverty, financial situation, and perception about money were other significant codes that participants pointed out as essential forming experiences for their leadership perception. Financial problems confronted some leaders in their childhood, and parents were not able to cover expenses. This memory had a lot of impacts on their lives. In addition, participants' perception about money, whether it is abundant or scarce, hard-to-achieve or easy-to-get, unworthy or essential, taboo or on-the-table, was rooted in their childhood memories.

Participant 6 responses:

Oh, as a child, we didn't have a nickel to rub between our fingers [...] But I remember my dad. I remember a circumstance where one of the classes was having a sale or something. They were selling popsicles or something. I don't know what it was, but I asked Dad if he had a dollar, I could take to school to buy the shoelaces. I don't know what it was. And he opened his wallet, and he had one dollar in it, and he took it out, and he rubbed it, and he said: Yes, you can have it.

One of the participants mentioned the race and community issues as hardships in her livelihood. P5, a 43-year-old African-American female in the entertainment industry, highlighted her race as one of the potential hardships in her life: "Just Being African-American. I didn't have any disadvantages at all. But for me, as I'm living in the community that being African American is a disadvantage, I faced a lot of challenges."

Question 3: Holding Values

In order to identify participants' values, they were asked for their frequent sayings to followers. Frequent sayings are great reflections of individual values and personal mindsets. In addition, it shows the level of authenticity with followers. Following quotes are participants' frequent sayings that reflect their values. Each sentence has its value and is not necessarily coherent. *Table 5* shows a summary of significant codes of holding values.

Participant 1 responds:

When life hits you, be happy that it didn't knock you out! "Stick to sb's gun" is not correct. I don't believe in being persistent blindly. Do not compel the easygoing wrong task with the complicated, correct task. When I get to a goal, I will do whatever is in my hands to accomplish it. I'm greedier for honor than seeking wealth.

Participants 5 responses:

You can be a person who can face a lot of challenges. Don't be afraid of being yourself. It's okay to stand out and be yourself. You don't have to be a follower. Push the limits, do not hold anything back. When you are doing something, make sure you are all into it.

Participant 9 responds:

When all you've got to hammer, everything looks like a nail. I don't care what you think. I only care what you do because what you're doing will change your thinking. It's either what love causes walls to come down. Fear causes walls to go up. You know the old Enlightenment saying before enlightenment chop wood and carry water After enlightenment chop wood carries water.

Participant 2 responses:

So, the lemmings and lemmings are everywhere. And if you want to go out, you have to go outside the hierarchical boxes. To find people that you're calling authentic, and yeah, we're going to take some risks and do something.

Table 5: **Summary of Significant Codes on Holding Values**

Processed Category / Codes			# of occurrences
Holding Values		Honesty	9
		Responsibility	8
		Empowering others	7
		Respect	6
		Leading others	6
		Gaining power	5
		Resilience	4
		Independence	3
	Change in Values	Openness to change	7
		Purposefulness	6
		Perseverance	5
		Mindfulness	5
		Meaningfulness	5

One of the significant findings on holding values of authentic leaders is the relationship between Eriksonian stages of development and authentic leadership (Slater, 2013). The phrases and words that participants used to address their holding values, in addition to the changes and crucibles they reported showed a strong connection between authentic leadership values such as sensemaking and purposefulness with generativity and

stagnation. Leaders who learn from their life stories and revisit their values are prone to lead authentically.

Observations

Table 7 shows the leadership characteristics that participants mentioned during the interview. These characteristics are divided into two categories to identify how leaders use authentic leadership features. The second column of the table shows phrases and words that leaders used that could be categorized as authentic leadership elements. It is essential to note that researchers did not ask about authentic leadership in their lives individually, and they asked a general question regarding their life experiences. Thinking outside of the box and being rebellious, for instance, were among the unique features that the three leaders pointed out. P2 stated that authenticity would be gained by learning from stories: "So, the lemmings and lemmings are everywhere. And if you want to go out, you have to go outside the hierarchical boxes. To find people that you're calling authentic, and yeah, we're going to take some risks and do something."

Table 6: **Significant Codes in Leadership Experience and the Number of References**

Leadership Experience # of Occurrences		Authentic Leadership # of Occurrences	
Power over	3	Power with (rather than Power over)	4
Using force and power	4	Building a coherent team	7
Strong communication	6	Change of tactics	6
Activist	5	Learning from experience	7
Goal-oriented	6	The ability of Storytelling	3
"Working as you've been told"	7	Rebellious mindset	5
"Expecting from followers"	7	Philosopher	2
Being blunt	4	Doing the right thing	8
"There is always right and wrong"	7	Engaging follower	7
People following us.	3	Accepting the responsibility of actions	6
Clear job responsibility	6	Ethical values	9
Making decisions	4	Being value-driven	5
Improving social skills	4	Purposefulness	6
Servant leadership	4	Respect, Impact on others	7
Concluding from past	2	Learning from past	6

Strong commitment	3	Strong imagination	3
Providing and supporting others	5	Inspiring others	4
Following hierarchical structure	5	Using emotional intelligence	5

The comparison between the two columns in table 6 shows that authentic leaders who are invited get grounded and think about their life stories, values, crucibles, parent dynamics, and leadership qualities show signs of self-reflections, sensemaking, purposefulness, and resilience through their perceptions and thoughts.

Conclusion

Interviewing these authentic leaders revealed deep processing of life experience in a way that extracted meaning and influenced the refinement of their individual values. As we analyzed their reflections on their life experience and the crucibles of the participants, we noticed patterns that emerged. The life stage of the participants, using chronological age as a marker, exhibited some consistent patterns. One theme among those high authentic leaders was purposefulness. This was noted for the majority of those in the 45-65 age range, see *Table 7*. This corresponds to Erikson's stage of psychosocial development he called "Generativity vs Stagnation."

Erikson's theory describes how humans move through various, sequential stages from infancy to death. In each stage, humans grapple with a central, internal crisis or conflict that needs to be resolved (Erikson, 1950; Slater, 2003). The majority of participants in our sample in that age range, which is roughly equivalent to middle age in most cultures, processed their life experiences with a view to purposefulness. Other participants in our sample in that same age range, similarly, grappled with issues closely related to purposefulness, such as moral compass and meaningfulness. This pattern recognition is very exploratory, and no conclusions can be drawn with such a small sample. However, it could be confirmed in future research, but it does suggest that the theoretical contribution of this present research is that grappling with the content and processing of life experiences in the journey through authentic leadership gives insight that might be used to support authentic leaders in different ways depending on what stage of life they are in.

Table 7: **Erikson's Stages of Development & Authentic Leadership**

Participant #	Erikson's Stage of Development	Theme of Conversation
1	Generativity vs Stagnation	Purposefulness
2	Integrity vs Despair	Sensemaking
3	Intimacy vs Isolation	Creativity
4	Generativity vs Stagnation	Righteousness

5	Generativity vs Stagnation	Perseverance
6	Generativity vs Stagnation	Courage
7	Generativity vs Stagnation	Purposefulness
8	Generativity vs Stagnation	Purposefulness
9	Generativity vs Stagnation	Moral Compass
10	Generativity vs Stagnation	Meaningfulness

Mindfulness is a present element in the processing of life experiences. One of the significant outcomes of this paper is looking at the content of the processing of one's life experience using thoughtfulness, mindfulness, and self-reflection of ones' life story. When leaders are invited to get grounded, contemplate on their life journey, reflect upon their story, and observe how values and crucibles have formed their leadership qualities, they are closer to leading authentically. The results of the interview analysis are showing that authentic leaders are often open to such deep meaningful experiences where crucibles and life triggers are being processed, parental images and holding values are being self-reflected, and as a result, they may cultivate a deeper level of self-awareness. The empirical implication for future studies is to verify whether or not the interview process, the life story analysis, and asking such questions have a positive effect on leaders' value and authenticity.

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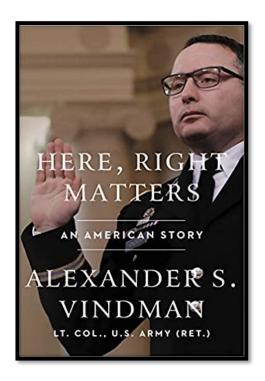
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Dr. Eissa Hashemi is an organizational development consultant with more than 15 years of experience in consulting, teaching, training, and coaching in several capacities: from personal development plans to leadership alignment strategies. After obtaining his masters' degree from his home country (University of Tehran, Iran) in agricultural & environmental economics in 2006, he started pursuing depth psychology (Jungian Psychology). His driving factor in learning deep psychology concepts was reading and listening to people's life stories and the difference in their personalities. He is an extrovert intuitive with a passion for teaching and engaging with communities, which led him to connect Jungian psychology concepts with organizational development studies and pursue his Ph.D. degree in organizational leadership from The Chicago School of Professional Psychology. His specialty on leadership theories is Authentic leadership. He is now a member of SOIP (Society of Organizational and Industrial Psychology), providing coaching and consulting services for leaders in different industries. He has his private practice and is teaching as an Assistant adjunct professor at the TCSPP.

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BOOK REVIEW

Here, Right Matters
An American Story

Author: Alexander S. Vindman

Reviewer: Noreen Ohlrich, Project Staff Associate – Research Foundation for the State University of New York

Publisher: Harper (August 3, 2021)

Language: English

Hardcover: 256 pages

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A few questions emerge when approaching a book written by someone as well-known as retired Lt. Col. Alexander Vindman. He did, after all, play a central role in the impeach-ment of former President Donald Trump. What does he have to say about that? What was it like to report the conversation exposing perhaps one of the greatest abuses of U.S. presidential power? Why did he do it considering various risks one can imagine? Indeed, this book is an American story that reveals the background behind perhaps one of the most blatant political dramas and executive office leadership disappointments of our time. Yet, it is more than that.

The title of the book suggests that Vindman's decision to expose the former President was an organic one. It perpetuated itself from a pure, profound homage to an American

patriotism encouraging people to do what is right in a country well-renowned to empower people to do just that. Per his testimony during Trump's impeachment hearings – *here, right matters*. Vindman further explains in this book:

> ... *I didn't see it as going up against President Trump personally. I was carrying out my sworn duty...Another question I've been asked is how I knew so quickly and firmly what I had to do. Where did I get the moral compass and the courage to act so decisively? The answer to that question is really what this book is about* (p.23).

This book contains 12 chapters, and an epilogue of leadership lessons learned followed by acknowledgments to those who inspired them. Vindman's "American story" evolves throughout these chapters through the telling of how his own American dream came to surface: belonging to a Russian-Jewish immigrant family in Brooklyn. Yet, this is not done though any cliché chronological narrative. The power behind his story-telling lies within his recognizable self-reflection, and approachable, yet palpable, senses of nostalgia conveyed to readers.

Chapter 1 introduces Vindman's telling of what happened the morning of Thursday, July 25, 2019 in one of the White House Situation Rooms. This is not a typical editorial recount of a controversial conversation that took place between Trump and Volodymyr Zelensky, President of Ukraine. The chapter does its due diligence by debriefing the reader about concerns regarding U.S. foreign policy in the Russian Federation and Ukraine. Yet, the reader is also given insight into what it is like to be in his shoes at that moment. This reviewer appreciated how this was accomplished – in a natural, conversa-tional sort of way. Remarks like "I'd been in this room many times, but you don't stop getting a kick out of it" (p. 2) welcome the audience into his world. He seems to want us to sit down with him, make ourselves comfortable, and prepare us for the gravity of what is to come. This initial chapter may already give the reader a sense of how hard a fall Vindman took to do what is right and the complexities and inherent tragedy behind his story. One begins to take in the great heights Vindman reached in his career by the time he encountered the day that would change everything for him. The author appears very aware of this as he iterates his impressive background, and hard-earned successes. As a forty-four-year-old, he was already a U.S. Army lieutenant colonel "assigned to a position equivalent to that of a two-star general, three levels above [his] rank. Since July 2018, [he'd] been at the National Security Council, serving as the director for eastern Europe, the Caucuses and Russia" (p.2).

Chapters 2-3 divulge into Vindman's family background, and its influence on who he was to become. What struck this reviewer most about these compelling stories is the manner in which Vindman tells them. He tells us about his childhood with his twin brother in an "exclusive" Soviet sanitorium. Years later, these two brothers were to work in exclusive posts in offices across from one another in the White House. While his father came from a notably high rank in 1970s Ukrainian Soviet Socialist Republic, he escaped to come to America with his sons and mother-in-law with the equivalent of only a few hundred dollars left in his pocket. It is here that leadership lessons begin to emerge as he recalls his familial inspirations and fatherly advice telling him to not be afraid to *start over... and keep starting over*. The details of how this came to be are compounded through Vindman's

telling of a family history imbedded in the tumultuous timeline of foreign policy in the very area he would be in charge of later in life. His family witnessed Nazi invasions into southeast Europe and Jewish expulsions into the Ural Mountains. He talks about Operation Barbarossa and the Wehrmacht, his grandfather's death as a soldier, and his grandmother's resulting escape from a train full of Ukrainian refugees with his father and his aunt when they were children. Memories about what his family told him about their very difficult, impoverished refugee life along the foothills outside the Volga River are given further substance in the way he draws in his own later life experiences with the region.

The ways in which these chapters connect the past with the present will prove to fascinate its audience as Vindman details his life growing up in 1980s Brooklyn. This reviewer was particularly moved by these stories; their potential to resonate well with others, like herself, who grew up in south Brooklyn amidst immigrant families in the Brighton Beach and Coney Island areas. Readers should pay close attention to the many glimpses Vindman's childhood and youth experiences give in answering the question that this book is really about: Where did he get the moral compass and the courage to act so decisively when he witnessed improper presidential conduct? You will find answers here that lead to more in the chapters to come - chapters that are riddled with anecdotes about constant reflection throughout his leadership development such as *committing to your passion(s)* and *not self-deterring.*

Chapter 4 helps us understand why and how the military ends up being Vindman's destiny – where he wants to be. This chapter proves to be yet another example of meaningful story-telling as it dovetails his professional clarity with meeting his future wife, Rachel. Chapter 5 (The Moral Compass) is when lessons about leadership – that later prove to have underscored the entire book – float more clearly to the surface. Vindman starts repeating more mantras he learns from the military, such as alerting oneself to both *the absence of the normal and the presence of the abnormal,* and how *navigation is everything*. Chapter 6 denotes lessons he learns from personal losses that lead to revelations about *knowing your role* and being cognizant of the strength and sustenance of family.

Chapters 8-10 take us to the pinnacle of Vindman's story, and his moral compass. It is here that we learn how he was warned that working for the White House National Security Council would prove to be the "…most dangerous and challenging environments…" (p. 127) to work in despite his multiple deployments and dangers he faced in Afghanistan and Iraq. It is here where Vindman expresses admissions to self-doubt, and even hubris as he talks about the Greek mythological story of Icarus – the dangers of being a leader who, at the height of a career, can risk getting burnt.

> *Certainly I'd risen high and fast, with growing confidence. There's no doubt, too, that at times in my life, my inclination against self-deterrence and my all-important trust in my gut have led me astray…But I'd matured - partly thanks to the lessons I'd learned from mistakes…I don't think the Icarus reference is apt. I didn't fall because I flew too close to the sun. I fell as a result of a midair collision with something I couldn't have seen coming in a million years…* (pp. 128-129).

Once can understand why chapter 8 (entitled *Danger*) includes personal photographs of the author's life- from pictures of his childhood to one taken of him submitting his retirement request after experiencing blatant retaliation and mobbing from the Trump Whitehouse, and how that all trickled into ways that the military distanced themselves from Vindman as a result.

This book is highly recommended based on the author's gripping accounts of how his ordeal transfigured him into being a stronger leader and public servant in ways that he perhaps never imagined. His *American* story proves to inspire and can galvanize others to join in advocacies to hold unethical leaders accountable for breaking their oaths meant to advance the interests of their people.
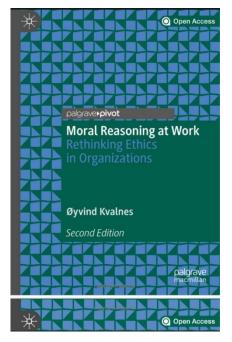
About the Reviewer

Noreen Ohlrich is a researcher and adult educator with over 10 years of experience developing programs that serve vulnerable populations. She earned her BA from the New York Institute of Technology, and MA from the University of Wales, UK before completing her EdD at Nova Southeastern University in Fort Lauderdale, Florida. Noreen was awarded with distinction for her overseas doctoral research exploring the workforce integration experiences of migrant South-Asian women in Germany. A current affiliate of the SUNY Research Foundation, she now looks forward to furthering her research into teaching about human trauma and resilience on individual and societal levels.

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Moral Reasoning at Work: Rethinking Ethics in Organisations (2nd ed) (2019)

Organisational ethics is a cross-disciplinary study associated with a spectrum of disciplines such as business management, behaviour economics, moral philosophy, social psychology and criminology. As titled, the reviewed book, *Moral reasoning at work: Rethinking ethics in organisations*, aims at rethinking and restructuring ethics in enterprises, for which it addresses moral dilemmas in the workplace that not only affect formulation of codes of conduct and decision-making related to organisational effectiveness, but also directly impact individual career development and corporate competitiveness. It offers a comprehensive overview across 14 chapters regarding theories, assessment tools, examples (such as scandals in the oil industry, investment management, Cambridge Analytica, an Icelandic fishing company, and a Norwegian waste management company), and case studies (for instance, moral dilemmas in a material company, and a private bank).

In light of individual workplace ethics and corporate morals (including social responsibilities), the book discusses three assumptions: ethical challenges due to skill development, right decision making reliant on morally responsible persons, and positive impacts on organisational achievements. Particularly, this second edition adds new ethical challenges in this digital era: these comprise automation, the use of artificial intelligence to manage avoid-harm ethics and do-good ethics, and the utilisation of big data in and through social media. Involving various stakeholders, these challenges rise across intra-organisational (operational issues, employer-employee relationship) and inter-organisational (staff-competitor relationship, inter-company relationship) contexts.

This book presents fundamental theories of ethics such as utilitarianism, which supports the view that outcomes (the good) are more important than conduct (the right); duty ethics,

representing the opposite view from utilitarianism; moral dissonance, elaborating on conflicts between the decision-maker's moral beliefs and convictions; and moral neutralisation, which releases an individual from moral dissonance. It also illustrates how theories can apply to daily life; examples include abortion for a pregnant woman with a serious illness and unemployment due to an organisational restructure. The Doctrine of Double Effect allows for harm if the outcome does not come from an agent and with a foreseen consequence. The Principle of Equality provides five criteria considering gift acceptance from domains of intention (purpose of action), roles (giver and recipient), timing, value (amount of the gift), and culture. The Golden Rule guides inter-personal behaviour through means of mutual care. The Principle of Publicity encourages decisions that align with public scrutiny.

The author analyses a Navigation Wheel, an evaluation tool for ethical decision-making, from six dimensions. *Law* concerns legal issues; *identity* complies with values; *morality* considers right actions; *reputation* avoids negative impacts on goodwill; *economy* fits business objectives; and *ethics* retains justification for decisions. Such a model is also valid for individual concerns within a business environment.

The book may also open up more areas of thought. First, it reveals an ethical awareness of strategic formulation and daily operation within entities, for which ethics training is significant; especially for human service professionals such as healthcare practitioners, accountants, lawyers, social workers and financial advisors who may encounter conflicts of interest with clients that likely to induce criminal penalties. If it could have elaborated on such training more structurally and systematically, this would have enhanced its role of guidance. Second, the book presents limited discussion on referral ethics, in how it intertwines with professionals, clients and intra-field colleagues. This topic becomes noticeable in various professional bodies; therefore, it should be specified cautiously so as to minimise moral dilemmas, moral blindness and moral muteness. Third, culture reflects moral beliefs and standards of a specified territory. Local values influence business; in particular, joint ventures, acquisition and mergers in globalisation. This review suggests some debate on such discordance and on the importance of culture on ethics, which may enable practitioners to equip themselves better for international business. Fourth, diversity in the workplace marks acceptance and harmony for vulnerable groups; for example, sexual minorities, as well as those with physical and psychological disabilities. The book should have paid attention to this issue. Fifth, responsible companies become responsible for climate change and environmental protection, for which relevant policies should comprise core corporate programmes. The book could have delved into such a worldwide theme. Lastly, this review proposes that a mechanism through which theories and practices are adopted to produce a model and show ethics in the contemporary workplace in a constructive manner could have been presented as a conclusion.

The book offers insights into the academic and practical principles needed to identify real and false dilemmas that occur within organisations, despite a need of improved discourses on social environment and events that affect corporate leadership related to organisational ethics. In short, it serves as a reference not only for employers, employees and organisational leaders in various business sectors to stipulate required and expected behaviour and diminish ambiguities in work settings, but also for business consultants, researchers, students and scholars who are interested in further exploration.

About the Reviewer
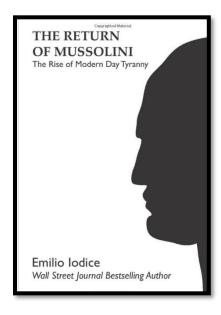
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LEADERSHIP

The Return of Mussolini:
The Rise of Modern Day Tyranny

Author: Emilio Iodice
Reviewer: Elizabeth Gingerich, JVBL Editor-in-Chief
Publication Date: 2021
Pages: 206
ISBN-13: 979-8529502594

"Those who cannot remember the past are condemned to repeat it."
— Spanish philosopher George Santayana

Troubling national shifts in policies throughout the world beg retrospection and analysis to determine the proper course of conduct for the future. To do otherwise than wholeheartedly protect both nascent and developed democracies signals irretrievable losses in personal liberties. This is the resounding message of this historical narrative.

Like Adolph Hitler, Benito Mussolini (Il Duce) was a product of World War I and the devastation caused thereby. Grappling with mass unemployment, a shattered economy, and overwhelming budget deficits in Italy, a dominant seat of power was there for the taking by a figure who could control the citizenry, the press, and the military.

Iodice provides the following summary of Mussolini's ascent to power:
The rise of Fascism and Mussolini were predicated upon a concatenation of events which provide parallels to governments in the 21st Century. From the ravages of World War I, Europe had become a fertile breeding ground for the rise of charismatic, jingoistic dictators and Mussolini proved to fit the description. His dominance spawned a cult of personality in Italy, based on the promise of remaking the Roman Empire and therefore, making the country great again. Delusions of grandeur and repressive tactics made him immune from open criticism and political challenge.

Benito Mussolini arrived on the political scene in the early 1920s and was supported by an unsettling alliance of science denial, bigotry, violence, extremism, and nationalism. Care and concern of the collective was quickly exchanged for the call of the cult of one.

Mussolini quickly augmented his control over the media and the military. The formal end to Italy's democracy occurred with Mussolini's solidification of political might in 1924 and the transferal of power from King Victor Emmanuel III, making Il Duce Prime Minister of Italy and the Parliament wholly subservient to his directives. Constitutional guarantees of oversight were promptly eliminated and legislators were manipulated to favor his reign. The descension down the rabbit hole was marked by incessant bullying and outright ridiculing of opponents which quickly led to mass incarceration and the loss of free and uncensored elections.

The author then details those salient circumstances leading to Mussolini rapid ascent to power. Mussolini stoked the seeds of discontent by promising to revive the great days of the Roman Empire which he insisted could be replicated under his rule. His lies were so pervasive and so repetitive, they led to belief in his own outrageous conspiracy theories. In this way, Mussolini's drive to rebuild an Empire justified Italy's invasion in Ethiopia, participation in the Spanish Civil War, and ultimately acquiring the Axis brand in World War II – all of which turned his delusions of grandeur into utter chaos and failure.

Part of the momentum for this disturbing rise to power (and the parallels of power grabs today) and acquisition of unfettered control point to playing to constituencies who felt alienated or simply prone to anger. After igniting internal forces by fiery, galvanizing speeches, Mussolini manipulated the press, claiming that those in power were indifferent or incompetent. The reviewer notes the similarities of Mussolini's rise to dominance, supported by angered citizens, to the state of the former Donald Trump administration and the assault on the Capitol on January 6, 2021. The message both then and now was perceived marginalization and anti-immigrant bias, perpetrated by the man at the helm of power and control.

The author adeptly emphasizes that Fascism in America (and throughout the world) is no longer a rhetorical threat, but a disturbing reality and highly reminiscent of the rise of Mussolini in Italy. At both times in history, there was a cult of personality and abject hypnotism by an autocratic leader upon the masses. History has shown that there is no more dangerous combination than narcissism, bigotry, and power in a person aspiring to the highest seat of power. This toxic mixture inevitably gives rise to violence and suppression.

Iodice lists other notable characteristics of this Fascist leader drawing parallels with modern-day heads of government and the rise of a totalitarian regime:
- The rise of populist forces.
- The subservience of women to men and the rewarding of reproduction through the bestowal of government benefits and favorable policies.
- Reigniting the country's death penalty.
- The execution and/or expulsion of dissidents.
- The regular invocation of the name of God.
- The building up of military forces.
- Controls on industry and agricultural sectors.
- Voter intimidation and the implementation of voting restrictions.

JOURNAL OF VALUES-BASED LEADERSHIP

Mussolini, provided the framework for creating a society controlled by fear, fanfare, audaciousness, and ultimately violence. The fascism born in Italy in the early part of the 1900s became a playbook for successive regimes and autocratic rule. Iodice also points out that Mussolini's rise to power was born through a series of failures in attempted careers. No doubt the experience of rejection and repeated failure along the way bred one who was intent upon winning despite the odds. He successfully channeled dissent and those previously disgraced. His love of violence and weaponry aided his ascent and the beginnings of mass murders and utter destruction. He replaced pacifism with annihilation of pacifistic organizations.

The rise to power was augmented by consolidation of disgruntled masses in the form of the populist army of Black Shirts (the reviewer cannot help but be reminded of the tiki torches and khaki shorts donned by the white supremist marchers in Charlottesville). With a might-is-right mentality, Mussolini fought the trend of the extreme left and set the direction of a country now bent on oppression and suppression – all bolstered by a captivated media. He quickly set out to convince the people that the state should control all facets of life. He started the process of indoctrination at a very early age and make it the central core of the Italian education system. This drive was aided by symbols and mottos infused with conspiracy theories to taint any dissidents. He rendered religion to a symbiotic position with government policies and suppressed the labor movement (again, the reader cannot help but picture Donald Trump holding up a Bible blocks from the White House in an attempt to disband a Black Lives Matter rally in 2020). Mussolini excoriated intellectuals ("I love the poorly educated" simile). Mussolini championed crime and punishment and sought to equip police forces with unbridled governance. Cronyism and corruption ruled the day. He understood that the key to power stability would be to ensure a managed voting system. Mussolini elevated a perpetual notion of nationalism. He welcomed Catholicism by controlling it, gaining the allegiance of the Vatican by exempting the Catholic Church from taxation.

Quoting the author, "Mussolini promised to make Italy great again and restore the glory of the Roman Empire." Conquest and bloodshed were his calling cards to ensure this promise. Yet by attacking a poor and defenseless country like Ethiopia, Italy could not now claim the rebuilding of an Empire. He was sanctioned by the League of Nations and as the military and Italy suffered tremendous losses, all paving the way for a German alliance and a symbiotic relationship with Adolf Hitler. Mussolini declared a policy of "non-belligerence" until the eve of the fall of France and the perception that Hitler would gain control of the world. Involvement in World War II signaled the beginning of the end of Mussolini's reign. Germany had already bailed Italy out making the nation wholly supplicant. His attempt to impose racial laws designed to target Jewish communities were largely unworkable. The Grand Council in 1943 voted against him and removed him as Prime Minister, having him arrested. He was rescued by Hitler and brought to Germany. His political detractors were soon rounded up and executed. Rome fell in June of 1944. In the end, military defeats and economic devastation made Mussolini bitter and scorned; in this of humiliation, he suffered exile, and ultimately execution.

Iodice's book is more than a historical primer and narrative. It provides lessons of the past which must be heeded today. Although the situations in America compared to 1920s and 1930s Italy are vastly different, insecurities have been heightened and citizenry divided with the rise of Trump coupled with the restrictive freedoms levied by the pandemic. Instead of populist speeches from balconies, the last five years have witnessed the rise of disinformation on social media, breeding mistrust and supplanting facts in favor of falsities. Seeds of oppression have been shown with the rise of Trump, accentuated by racial overtones and fear mongering in Charlottesville, Virginia shortly after his election. Lessons from history need to be respected.

Iodice exhorts the reader to realize that the rise of Fascism and individual control in Italy can happen again. And global democracies must take heed. As power begets power and is stoked by fear and unbridled emotion, the author properly notes that this dangerous mixture ultimately results in failure and unforeseen disaster. Iodice emphasizes that the Italian leader's delusions of grandeur were stoked by his autocratic messages and subversion of democracy. The masses are controlled by further delusions of self-rule and individual sovereignty. In the United States, furthering a sense of "us versus them" was not just a nationalist ideology, but one that waged and is waging within its own borders against those historically marginalized.

No democracy is immune from the elements of Fascism and Russia and China are two prime current examples. The hallmarks of these present-day regimes carry forward control of media, manipulation of data and facts, and the control and shaping of the masses. Practices of political harassment, and the incarceration and murder of political opponents continue on. Media is now the new form of repression and control. The emphasis on economic power and technology are the modern-day weapons of choice.

Lastly, Iodice's selection of Lord Acton's famous aphorism: "Power tends to corrupt and absolute power corrupts absolutely" wholly summarizes the salient theme of this powerful book.

— Elizabeth Gingerich, JVBL Editor

LEADERSHIP

Reimagining Waste

...an interview and dialogue with Founder Robert Powell

Overview

With the occurrence of the United Nations' COP26 Climate Change conference in Glasgow, Scotland in November 2021 and the ultimate passage of the *Infrastructure Investment and Jobs Act* in the United States, serious attention has been given to planetary demise, the activities contributing to this existential reality, and possible solutions that can be explored and implemented. Many clean-energy operations will undoubtedly be promoted and innovation in clean, carbon-reducing technologies incentivized within the next decade.

And while there are many burgeoning business entities touting cleaner futures, there must be a strict analysis of each company's business strategy, mission, and vision. "Waste to energy" indicates a promising trend, but the processes used must be closely scrutinized to determine whether the footprint is deadlier than the greenhouse gas emissions (GHG) savings. Additionally, the prospect of closing an established "waste-to-energy" business facility may come into play, especially if the amount of waste is curtailed and no longer an attractive motive to keep operations going. Thus, if the *raison d'etre* no longer exists, it would make little sense to begin or to perpetuate such a time-consuming and expensive operation. And if successful, why wouldn't consumers be encouraged to generate more trash - the accumulation of which guarantees business longevity?

Ostensibly, one area requiring immediate global attention is the rapidly growing problem of plastics pollution. According to the *UN Environment Program* (UNEP), 300 million tons of plastic are produced and disseminated annually - equivalent to the weight of the entire human population. The majority of plastic items are discarded in landfills and in waterways and oceans, with only a very small percentage actually being recycled. Plastic straws, bags, and single-use bottles are being banned, community by community, but the pace of production, use, and disposal greatly outweighs any of these efforts. Rather, education in the subject must be advanced and reduction efforts accelerated by new laws, business policies, and revised consumption habits. The toxicity of these plastics is widely documented as posing known carcinogens to those communities impacted by their manufacture and disposal. A general rethinking of how plastic waste should be handled is critical.

In this vein, the San Francisco-based company Brightmark was formed. Its founder, Robert "Bob" Powell, self-titled "Head Changemaker," implemented a vision of converting hard-to-recycle-plastics into gases, new plastic products, and energy through this new company. Brightmark is developing its largest facility to date in Ashley, Indiana. The corporation was founded at a time when the accumulation of plastics had become globally ubiquitous and the disposal of same via recycling or reuse practically inconsequential.

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On October 16, 2021, JVBL editor Elizabeth Gingerich engaged the team leader in the following discussion with assistance from Brightmark's SVP and Chief Marketing Officer, Chrystal Boone, and Marketing Specialist Kendal Powell.

EG: Good morning. Preparing for this interview reminded me of readying a discussion with the late Ray Anderson, founder and former CEO of Interface Flor, who had a similar vision for a sustainable business and was a fellow Georgian.[20]
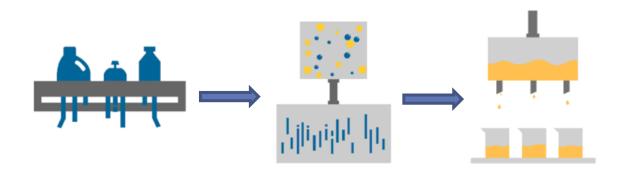
RP: *Yes.*

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[20] See *JVBL.* "Climb to Sustainability: interview with Ray C. Anderson" at https://scholar.valpo.edu/jvbl/vol2/iss1/3/.

EG: You have spent a number of years in the energy sector. And now a refocusing of sorts with Brightmark at a time when plastics have become incredibly endemic to our economy and to our way of life – but poorly managed at their end of use. With Brightmark's operations, are you using a type of polymer science to place plastics into more of a circular economy?

RP: *I believe that maybe the main motive is what is the best way to solve the problem, in this case, plastic waste, and we think about other forms of waste that as well. One of the solutions is definitely polymer science – chemical engineering – and we think that if you are trying to solve the problem, you shouldn't be beholden to just our one solution, so there are things like the reduction of the use of certain plastics, like plastic straws. I actually will pause before I use a plastic straw...does it have anything to do with our solution? No, not really. But I really believe that it has to do with what our team is centered around: how do we solve the problem and be genuine about the solutions? Is our technology one great tool to solve the problem of plastic waste? Absolutely. However, we need many solutions and preventative measures.*

EG: Now does this involve incineration? You mention on Brightmark's website that the company is diverting objects from going into either landfills, waterways, or incinerators. But isn't the heating up of pellets that have been created – isn't that a form of incineration or is this more like the process of conversion?

RP: *Yes, this is conversion. However, there are two different processes that we are talking about here. The fundamental thing that we are doing is that we are taking bales of post-use plastics and turning them into pellets. Then we put them into long, stainless steel containers, 8' in diameter, 60 feet long, and in an oxygen-starved environment, heat those pellets up to create the liquids and gases for making usable products. We are not*

incinerating the plastics, as no burning occurs without oxygen. This Plastics Renewal is the optimal solution to create the maximum amount of reused products out of plastic waste. If we were incinerating, the value would be much lower because we would effectively be destroying those really important hydrocarbon effects. We do heat the vessels up – currently with natural gas – and that heating process does create emissions, however the emissions are at a level of roughly a medium-sized hospital.

EG: To better understand the process of conversion – is this pyrolysis[21] or gasification[22] of plastic waste?

RP: *It's pyrolysis. Not gasification. Gasification actually involves using oxygen to combust materials in order to create a send-gas type of thing. So, it is a unique type of pyrolysis.*

EG: So, are you restoring the used polypropylene to produce more of a virgin-like quality to these plastics?

RP: *We are. Currently, a portion of the stream we create is converted into transportation fuels. The life cycle analysis (LCA) issued recently shows the offset of fossil fuels that are extracted from the ground offer a -39% to -139% improvement in GHG emissions. Additionally, another large portion of the products that we create is used as feedstocks to remake plastics.*

EG: In terms of using natural gas to heat up these elements, are you doing anything to offset that carbon footprint?

RP: *It is in our plans in the future to do that and this journey that we are on began with the original plans 20 years ago, leading to this point of the commercialization stage. As this is the first plant of its kind, some of our goals are set further on in the journey. So envision us in the future, for example, instead of using combustible materials that utilize electricity to heat our vessels, they could be powered by solar or other forms of renewable electric generation. For now, that isn't the case … you've heard that term, "Don't let perfect be the enemy of good." We are on this path to a better, more perfect solution.*

EG: How many acres do you own or are you leasing in Ashley, Indiana, with your new facility?

RP: *I am not sure.*

EG: I am just wondering if there is enough room for renewables. Is it ownership or leasing?

RP: *It's ownership.*

EG: So is there enough room to install solar PV or even to plant trees for that matter? I was looking at Milliken's[23] website and they have 130,000 acres, I believe, of sustainably-managed forests basically used to offset their carbon footprint. I was just wondering if that scenario is feasible here.

RP: *I love it. In Ashley, we do not have a sufficient footprint to employ solar in that particular location, however we do anticipate expanding that location. I will say, we announced that with the next facility that we build which is in the middle of Georgia – Macon, Georgia – our design elements for that include interaction space for folks in the community and a lot of green space around it. We are also trying to figure out how we*

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[21] The pyrolysis process refers to the thermal decomposition of materials at elevated temperatures in an inert atmosphere, resulting in a change of chemical composition.

[22] Gasification refers to the technological process that can convert any carbon-based raw material such as coal into fuel gas – in essence, synthesis gas.

[23] Milliken & Company is a global industrial manufacturer and manufacturer.

integrate into an innovative building design the solar elements, for example on the rooftop. One of my thoughts about these projects in reducing the carbon footprint is to create sustainable solutions. We are changing the landscape in sustainability and reimagining waste, and our goal is the add value to these communities. And part of that is the green space, the ability of people in communities to interact and come together with the common ground of bettering our world.

EG: As long as everyone is masked and vaccinated....

RP: *Right. I have to remember what state I am in ... so I am back home in California right now and I walk in yesterday to a restaurant and grab lunch and I had to show proof of vaccination, but you go to Georgia or Indiana, you are not required to do that.*
CB: *Did you mention the circular recycling program that we employed throughout the construction process in Ashley as well? Throughout the construction process at our Ashley facility, we have reclaimed all plastic waste from the construction process and recycled all of it through our proprietary pyrolysis process.*

EG: How about the other construction materials in addition to plastics?

CB: *The plastics were our focus but our goal was to create minimal waste impact from the entire construction process ... and Bob, I think that something else that is notable if you want to elaborate on it are some of the circular elements in our process and the energy that run our processes at that facility.*

RP: *There are a couple of things there that Chrystal is referring to so, for example, when I told you that as we heat the plastic pellets up in our stainless-steel pyrolysis or plastic conversion units there is a liquid stream that comes out and a vapor stream that comes out. That vapor stream we feed back into the heating elements down below and so we reutilize the gas stream that come out of our process to displace pulling natural gas which traditionally would come from fossil fuels out of the ground. The other part of the process that we don't often talk about is we are utilizing a patented water technology that allows the water quality of our processes to be superior to typical wastewater treatment processes. In addition to the fact that earlier you spoke about creating new plastics out of the plastic waste. The circular nature of what we have now, we would seek to maximize in the future. You can't theoretically get to 100% of re-making plastics out of plastics but probably somewhere in that 80% to 90% range fully creating plastics out of plastics in the future.*

EG: After I interviewed Ray Anderson, I toured Interface's plants in LaGrange, just south of Atlanta. The company takes even its competitor's used carpets, and breaks down the product into its various elements after which the renewed materials are appended together through a heating process. The energy used to create the new product comes from capturing methane from area landfills. Now Indiana as well as Michigan – where I believe that Brightmark also has a facility – have had the greatest number of landfills per capital in the United States at least in the near past. Michigan has taken in Toronto's waste and Indiana Chicago's. There is a tremendous methane market. Also, with the presence of Tradebe in East Chicago (hazardous waste) and Pratt Industries (corrugated cardboard recyclers) in Valparaiso, Brightmark appears to be completing a triangle of waste

management facilities. Were there specific reasons as to why Brightmark chose Ashley? Are there specific tax incentives?

RP: *There are a couple of reasons but the most important reason is that the community wanted us there. They recognized the better environmental outcomes and they wanted us to come to the community.*

EG: Did they reach out to Brightmark? How did they know about Brightmark?

RP: *Yes – they knew about us via our early partners, and they brought attention to Ashley area including Ashley, Angola, Auburn. We were connected to Wayne Plank and his trucking company as well as to others. Once those connections were made, it was pretty clear to us that the community wanted us there. They supported what we were doing and they also thought that it was great to create long-term sustainable jobs that were paying good wages and they wanted us to be there. I could say that that Northern Indiana area is quite interesting because of where resource materials are from, that southeastern portion of Chicago, Detroit, and then Indianapolis. It's a really good triangle as well in terms of sourcing the end-of-life. plastic feedstocks necessary for our process.*

EG: I'm going to ask you something a little more personal. Over the years with interviewees, I always want to know what makes them tick. What were your influences growing up? With Ray Anderson, it was largely about an instance in the mid-1990s when he was handed a book – *The Ecology of Commerce* – and it turned his whole life and his whole business mindset around. And Ray changed me. On Brightmark's website, you mention Richard Schwartz who was influential. Where there other people who had an impact on you; that stimulated an awareness, ultimately creating a visionary?

RP: *That's nice of you to say that, but I am one of many who are trying to solve problems. There are some very personal moments in my life that brought me personally – and everybody has a different story – to where we were able to found Brightmark. The first one was my grandmother – my sweet, amazing Southern grandmother. When I was young, I used to spend time with her in the garden. She had this amazing green thumb, and I remember her talking about what we should and shouldn't be putting into the garden. She had these amazing beefsteak tomatoes – what we should and shouldn't be doing in terms of what pesticides. When she told me that, it wasn't as much about the impact just on the vegetables but it was the impact on the environment. She told me "Hey, you need to think about what you put into the garden because the pesticides – when it rains – will go into the creek over there and then flow down (we have this big river in Atlanta – the Chatahoogi flow out there) and it impacts the whole environment. We are talking about a long time ago before environmentalism as we know it really hit. So that stuck with me but it wasn't the only impetus for my current mission.*

When I was a partner at Arthur Anderson, I helped clients in the energy industry buy power projects or companies that owned power projects and I got to travel internationally. I flew into Indonesia, to Jakarta, and I went from the airport to my Western hotel and in incredible traffic, the taxi would take me around through all of these neighborhoods. First off, I was not a well-traveled kid from the States in this amazing international environment. I saw a small mosque and all of the colors just astounded me.   There was a lot of goodness

with this. But there were kids who were about the age of my oldest, Shawn, who was about 4 to 5 years old at the time, who were playing in open sewers. They were running back and forth over them and there was just garbage strewn all over the place. And that was a moment of awakening – wow, what is this, right?

EG: I lived in Brazil – a very similar situation. Playing in the sewers, the garbage.

RP: *Where did you live?*

EG: Niteroi. Across the Guanabara Bay from Rio de Janeiro.

RP: *I love Brazil and I saw the same thing there. That was after I had the experience in Indonesia. But are they not some the most wonderful people?*

EG: Yes. Except for Bolsonaro taking down the Amazon Rainforest.

RP: *Don't even get me started. There were other things on my journey. I would do due diligence work for clients who were buying our projects, and I remember looking at environmental reports for 5th generation plants around the ash ponds. They throw the dust into this big pond and in the early days there were no liners on the pond. I looked at the environmental reports and all of them had trace mineral elements – all of the bad stuff that happened to the water tables. What blew me away was the view of the companies that was not "How do we prevent it?" but "How do we figure out how big the liability could be?" So after the fact – even when we know all of the bad stuff we are doing – we just want to know how big the liability could be measured in the financial statements. As I looked at more and more of these reports and did research, I kept thinking this is not the way we should be approaching things. We need to deal with the waste and not after creating environmental issues. We've got to figure out how to deal with it at the source. That was the final turning point. I was then recruited to come to San Francisco and become the chief financial officer of a utility right here in San Francisco.*

EG: Was this PG&E?

RP: *Yes. Pacific Gas & Electric. Literally across the street from where I am sitting right now. Pretty amazing. This was about 16 years ago. We were right at the beginning of renewable energy in the State of California. We were among the leaders in the world and we had this goal that by 2020, 20% of our electricity needed to be procured renewable energy. We were scared that we would never make it. Well, PG&E blew it out like way before they hit 2020. Contrast that to not dealing with waste but quantifying it to how do we fix it – with a big ambitious plan. That was the final point for me and then ultimately, I thought that I wanted to be one of these folks who is actually doing projects on the ground. That's when I left and became the CEO of my first company in solar energy in the early days. That was the journey of realization. But it started with my grandmother in the garden.*

EG: So she introduced you to the concept of stewardship?

RP: *Very interesting you say that. Absolutely she did. Let me also introduce you to this book.*

EG: I believe I saw that as one of the notes on Brightmark's website?

RP: *The "Unnatural History of the Sea" by Callum Roberts. I have someone who has become a friend, Guy Harvey, I don't know if you are familiar with Guy but he's an artist and an environmentalist and his art is all about the oceans. We've actually partnered with his foundation to create educational programs that we are super excited about, but the reason I bring up this book is because the journey is not over. This particular book has blown my mind in terms of the impact we as humans have on the environment. The abundance of life that used to be there – it is now gone and first-hand accounts of what different explorers saw in the 15, 16, 1700s and so on, and the progressive destruction of the habitats…*

EG: And you have seen the recent reports of species extinction – are we not just going down the rabbit hole as quickly as possible?

RP: *Yes, we are. And I think that some of it is irretrievable. One of the other lights I got out of this book – I sort of dove into it about a year ago – is that our current baseline is different than the baseline that he talks about in the book. What I worry about is that the youth of today – I don't know about you but I'm not a youth. When you talk to the divers who went down to look at a coral reef, it's not what you see now. I am worried about our changing baseline. I think that we need to be more ambitious about trying to restore it back to the original state and I think that if we lose that memory of what it used to be like, we're doomed.*

EG: Two verbs associated with climate change are *mitigation* and *adaptation*. Too many people are worried that we have reached a state of complacency by just embracing adaptation. We keep raising that baseline, we adapt, we do not mitigate. We don't fight. We are Thelma and Louise holding hands going off the mountain; that is basically what is happening here.

Let me just ask you – as I have taken this from your website: "As we scale this footprint, we are going to need a lot more plastic…So we also launching the largest solicitation for plastic waste." Now when I read that, I think of the 3 Rs – reduction first, not "bring me more plastic!" but "Let's reduce the plastic we have." Obviously, you are not saying that everyone create more plastic. We just want to collect the plastic that's there – that's what I understand. And then are you adding a couple more Rs? I already heard you use the word, "restore." We have been working with Subaru over the years – sending our MBA students to its facility in West Lafayette, Indiana. The company has gone beyond the 3 Rs and begun to restore the original brownfield it was located upon to restore wetlands around their facility. It is just amazing what they have done. And then the other R is "regenerate" – it seems to me that Brightmark is engaging in those 2 Rs – restore and regenerate.

RP: *Absolutely. So restore and regenerate are really a big deal. When you think about the model that we have had which is, take from the environment, use, and dispose – it's a straight line. That's not restorative at all.*

EG: That is not circular.

RP: *It is not circular. We do have to take from the environment. As living creatures, we have to eat, and things like that. When we take, we need to restore and regenerate. The ideal state is to have zero impact on the environment. It may not be totally achievable to have zero impact but absolutely – restore and regenerate are important to us.*

So let me highlight something here. There are other areas where we can touch lives beyond just the plastic renewal process that we have, beyond the intensely negative carbon renewable natural gas projects that we have. One of the examples we partnered with is this amazing company, RecycleForce, in Indianapolis. In fact, I was there for the groundbreaking recently in Indianapolis for their new facility that they are building that in 18 months is going to provide them with an even bigger hub, so what do they do at RecycleForce? Well nominally, they take electronic waste and then pull out the useful products and send to us the plastics so that we can renew and regenerate. What they are really doing is renewing and regenerating lives because their workforce is formerly incarcerated individuals. One of the tragedies of our society is that waste of human capital.

EG: Especially in light of the 13th Amendment's sanctioning of slavery in the form of incarcerated individuals working for free or for very low wages.

RP: *Exactly. And if you look at the makeup of who's in prison.*

EG: Disproportionately black males.

RP: *It's a societal ill. The team at RecycleForce are regenerating the lives of those formally incarcerated men and women, certainly of various races, but if you look at the makeup of Marion County, predominantly African-American, Black individuals and they give them training, jobs, mentoring, and are really helping to regenerate and restore lives that may otherwise might be lost. Their recidivism rate is about 20% whereas the average in Marion County and certainly nationwide is 70%. 70%!*

EG: But you have to wonder who is making the arrests and who are the arrestees. With recidivism – that's a whole other topic – with recidivism, you have been re-arrested. But for what? Who arrested you? Was there a bias in making that arrest?

RP: *It is! The system may continuously perpetuate the problem here. So do realize if they do not pay – and I forget what it is – it's for folks who almost have no income and no skills oftentimes. If they do not pay for the monitoring bracelets, effectively for their parole officers, they go back to jail. So it is set up that when they leave prison, they are already below – they are in a negative hole.*

EG: The justice system is designed to do that. There's a circularity right there.

RP: *We are so delighted that Gregg Keesling and the team there at RecycleForce are breaking that cycle and hopefully creating a virtual cycle. We are working on ways that when some of the folks graduate from the RecycleForce program, to hopefully work with us at the facility in Ashley. We are extremely excited about it. And you know that they reprocess e-waste. Since we started up, they have been sending crews to work with us; they have been doing this for much longer than we have. We view our work as being more*

than just the things that we are directly doing. If we can positively touch our communities with restoring and regenerating lives and the waste products, then it is this amazing goodness that we are creating. Something that is larger than just products.

EG: You opine for environmental justice within segments of your website. In terms of your workforce at Brightmark – what percentage of your workforce is people of color?

RP: *Brightmark has ambitious long-term goals to improve diversity, equity, and inclusion throughout the organization. I come to this topic humbly. I'm still learning, and I focus a lot on listening when these conversations arise. Diversity, equity, and inclusion is one of Brightmark's core values. We're holding ourselves accountable to build a deeply inclusive workplace that we are proud of.*

EG: Of course, when you are looking at environmental justice, you're also looking at where the plastics, the chemicals, are generated in relation to poor neighborhoods. So your facility in Michigan – I believe that it is close to Benton Harbor – where they just uncovered a lead-in-the-water crisis, a second Flint. Ashley I am assuming is not diverse in its population?

RP: *I would agree.*

EG: Pretty much all white, right?

RP: *Yes.*

EG: As a member of a family that worked to desegregate the Valpo community since 1970, it is hard…it has been a constant war. Ongoing racism is percolating in our schools and throughout our nation. It is a constant struggle. So I applaud Brightmark for consciously making sure that its workforce reflects its morals, principles, and values. I'm just wondering in terms of populating these sites (Benton Harbor is predominantly Black and Ashley is predominantly white) – if you have liaisons to make housing, for example, possible for new workers in these areas. With respect to your 5-year plan, you must be constantly adding to it.

RP: *Right. In some way.*

EG: You really came upon the scene in 2019 – and were given much national attention and recognition.

RP: *Yes, I think that is true. We were founded August 1 of 2016 and we spent a lot of time, sort of away from the public, making sure that our strategy was right from the projects and the solutions that we were offering. I think the coming-out party if you will was as we broke ground at Ashley. It isn't coincident that at that time, we began to tell the story. I think that telling the story is certainly, in part, about telling the Brightmark story but I think that it is just part of a broader movement. If you look at what we are talking about on social media and other public fora – it's about the broader movement, the village. I closed the finance package in April of 2019 for that plant – we have become more visible. I think that visibility and the positive outcome about what we do are important stories to tell so that gives people hope – hope that they could do things like this and then hope that Brightmark will become part of that solution.*

EG: Speaking of the larger village, will Brightmark have any influence or representatives at the COP26 in Glasgow next month?

RP: *We won't but I would love to. I would say that our hyper-focus right now is on completing the start-up of Ashley, as well as we have a lot of carbon-negative natural gas projects that are under construction. We look forward to supporting COP26 outcomes and exploring how Brightmark will become a part of the solution- and how we can support in the broader sense.*

EG: You are just one person.

RP: *No, I'm not. If it were just Bob, this all would not be happening. There is a team. In my role, I need to be very focused on execution. But I look forward to being able to participate in some of the broader environmental initiatives. And you will see me doing more. You can probably tell, like you said, I've traveled extensively. I try to do as much as I can.*

EG: Do you travel by private plane?

RP: *No.*

EG: Well that's how it should be with one's carbon footprint too. Every time I fly it has to be out of necessity.

RP: *You should know that one of the products we create is jet fuel. I would rather make plastics out of plastics but believe it or not, we can create jet fuel.*

EG: In relation to your renewable natural gas projects, it is interesting to note that one of the largest student-run biodigester projects is in Lansing, Michigan, on the campus of Michigan State University. You are not that far away in Ashley.

RP: *I toured that a few years ago; I love what they do.*

EG: We would love to replicate that on this campus with a partnership with United Airlines in Chicago with its use of biofuels, sustainable aviation fuels used currently in flights from Los Angeles and San Fransisco.

RP: *Bio jet fuel? Yes – one of the companies participating in that is a company that we have spent a lot of time getting to know well, Neste. They are based in Helsinki and I think that it is really cool what we are doing there. It still is a combustable material but if you displace fossil fuels and use a process like that, all of the incredibly inefficient methane emissions that come out of both the wells and the transportation system are avoided. In turn, we are displacing all of the greenhouse gases that occur when you extract fossil fuels from the ground. I think that's a great solution while we transition to different states to determine what we use to power airplanes, and cars, and all of that stuff.*

EG: Last comment on the "don't let great get in the way of good." It reminds me of my interview with the former Minister of Environment in British Columbia. That province operates on 100% (97% of which is hydro) clean renewable energy with the exceptions of their transportation and agricultural sectors. And I asked as to how those remaining sectors could be brought into compliance – and here is the "great versus good" analogy.

The Minister replied, "it's like that overweight person losing the first 100 pounds very easily but that last 15 pounds is just so stubborn… that takes awhile." I see that there are some synergies between visionaries there.

RP: *But this is where baselines are good – like shipping baselines because what is the last 20 pounds. We look at the last 20 pounds and then determine how we tackle that. And that if we even get 80% of that, we shift the baseline on that remaining amount. So that is really what the process is doing. You cut off that 80% and you have 20% remaining – that's now the new 100%. How we tackle 80% of that. And ultimately you can get to that. I think that perfection is ultimately not achievable although I am hopeful, but you can go a long, long way if you are constantly changing your baseline. And I talked about the 2020 targets? 20% by 2020 in the State of California? They did exactly that. Now, if you look at the procurement levels, they changed the targets, increased them, and in the State of California we have done an amazing job here with getting the next bit out.*

EG: As reflected by the City of San Fransisco – you have ordinances that need to be replicated…in terms of gas appliances indoors, in terms of new construction solar. You are the 5th largest economy in the world so what California does, what San Fransisco does, really sets the pace for others.

RP: *I think so. And I think that the leaders in the State of California have done some amazing things. I think that renewable energy, energy efficiency – all of those things that you talk about are great examples of what can be done. Germany, Italy, Spain, the State of California, the New Jersey REC standards (Renewable Energy Certificates) all helped what was once very expensive in solar and wind and drove down the costs. In 2009, when I became the CEO of my first company Solar Partners, the price of solar electricity was 10 times what it is now. We are now at 10%. So what happened? If you look at the marginal cost of electricity, you now find that solar and wind are better priced, on average, than coal-fired generation, natural gas generation…although natural gas generation is pretty close…and nuclear would be the only one where, you know, long-term may be lower. It went from being non-economic to be economic because of the goals and targets as well as the investment that communities made in terms of doing more of it, because when you do more of it, people get better at it so that's how we went from 10 times the price in 2009 to where we are now: to be competitive with a cleaner profile.*

EG: Last question. With "the village," you obviously know how important networking is in business. I am looking at some of your past and some of your current partners: Chevron, BP, and you have a MOU in the EU, you have Indonesia through Singapore, 4-H… I'm looking at a long list. In terms of waste, especially with respect to the import tariffs that were levied between China and the US starting in 2017, stymying recycling…so much of that electronic waste goes to developing nations, developing economies. Has there been an attempt to make a connection with what emerging economies in Latin American, within the African continent, extracting what has been dumped there? Because usually what has been deposited there is just incinerated or simply just dumped. Mining the waste. Bringing it back. Anything in the network happening to this effect?

RP: *When you say network, you are referring to Brightmark and what we are doing?*

EG: Yes. Potential partners or programs.

RP: *One example would be … earlier this year we announced that we signed an MOU with SK (Global Chemical) out of Korea. While Korea is more of a developed nation as opposed to developing, that partnership is a sign of what we would like to do in Asia-Pacific. You talked about Latin America and Africa – those are areas that we need to focus in on. But if you look at the plastic waste issue in the oceans…8 of the top 10 polluting rivers come from the Asia-Pacific region in terms of what's going there. So we believe that with the plastic removal, that if we are going to be a participant in solving the problem, we need to be in the developing countries in Asia. You will see more. There*
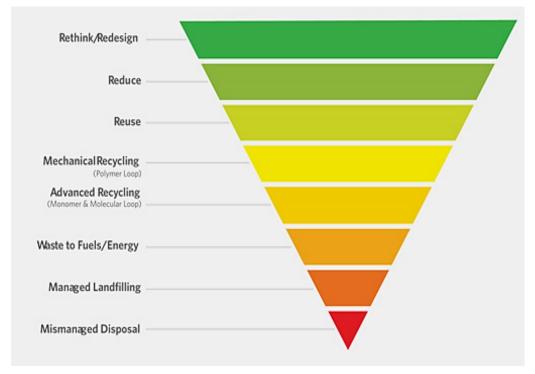

Figure 1: Milliken's Zero Waste Hierarchy

are challenges but opportunities in developing Asia. One of the challenges is the infrastructure on waste management and not being as robust in some of the more developed communities. There are folks that we admire and who knows - maybe in the future we will work with. We admire folks like 4ocean. I have got 2 bracelets on me right now and we are extremely excited about what they do. We hope that with folks like them we can solve the waste management issues because they are finding ways to collect in communities that would otherwise have challenges with traditional waste management systems.
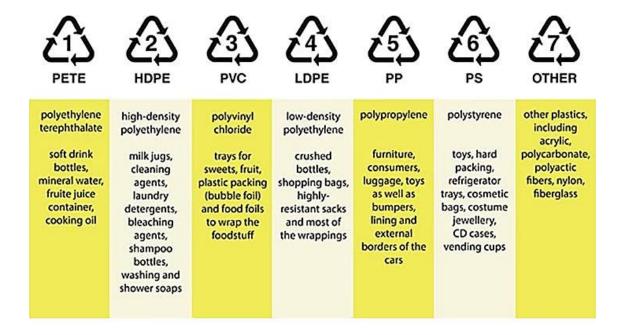
EG: Are you on the "Mechanical Recycling" level on the Milliken scale?

RP: *No, we are not. Pyrolysis is different than mechanical recycling because we effectively break apart the molecules into smaller micro-carbon chains. Mechanical recycling is not breaking apart the molecules per se; it's in the preexisting lattice of hydrocarbon material. Just chopping them up and maybe melting them a little bit. Mechanical recycling currently*

represents about the 9% of plastics - of all the plastics we use and dispose of that are reused. Mechanical recycling is great, but it can't deal with the larger 91%. So what we do? We are very fortunate that the inventors who invented the plastics renewal technology over 20 years ago were able to figure out how to recycle ALL plastics. Mechanical recycling generally only deals with the 1s, the 2s, and then the 4s sometimes. We can deal with the all plastics types 1-7 and as you can tell at our Indiana facility and with the announcements in Georgia, Europe and South. Korea we can do it at a scale that makes a difference globally.

EG: So would you be at "Advanced Recycling?"

RP: *Yes.*

♺ 1 PETE	♺ 2 HDPE	♺ 3 PVC	♺ 4 LDPE	♺ 5 PP	♺ 6 PS	♺ 7 OTHER
polyethylene terephthalate soft drink bottles, mineral water, fruite juice container, cooking oil	high-density polyethylene milk jugs, cleaning agents, laundry detergents, bleaching agents, shampoo bottles, washing and shower soaps	polyvinyl chloride trays for sweets, fruit, plastic packing (bubble foil) and food foils to wrap the foodstuff	low-density polyethylene crushed bottles, shopping bags, highly-resistant sacks and most of the wrappings	polypropylene furniture, consumers, luggage, toys as well as bumpers, lining and external borders of the cars	polystyrene toys, hard packing, refrigerator trays, cosmetic bags, costume jewellery, CD cases, vending cups	other plastics, including acrylic, polycarbonate, polyactic fibers, nylon, fiberglass

EG: So you are above "waste-to-fuels" energy then.

RP: *Yes, we are. We do not produce monomers but sort of the molecular part is what we do. We actually can produce monomers. We are right in that advanced recycling block. So if you look at our social media and public facing messaging? This is about solving the bigger problem. We talk about re-think, re-design, reduce, and even reuse. We are fully in favor of this Zero Waste hierarchy and people will say, "well gosh, does that mean that if we find a way to do all rethink and redesign and solve the plastic problem, don't you folks at Brightmark fear that?" I don't fear that at all because we are about solving the problem; if we solve the plastic waste crisis that we have with other means, we are going to do other stuff. We'll find other environmental problems to solve. I really believe that if you are true to the cause, you look at what are the best ways of solving the problem.*

EG: So it all comes down to the question as to why we are on earth. If it's not serving people and solving problems, what's the point?

RP: *Then you are solving for the means and not the ends and I have a huge issue with solving for the means. We end up serving this beast that doesn't solve problems and we become so dogmatic about the means that we totally lose sight of what are we trying to do here. The term "stewardship" is so spot on. My business partner from the Jackson Investment Group uses the term "stewardship" all the time and I think it's a lovely thought. Stewardship is a theological belief that humans are responsible for the world and should take care and look after it. So let's do that.*