

## LEADERSHIP



*Macharia Waruingi MD, DHA is CEO of the Ustawi companies and Publisher of MJoTA. Picture taken in New York City during the September 2008 United Nations Assembly. Photo by SJD.*

### **History of the Ustawi Companies**

**1997:** Emerald Pademelon Press registered as a dba in New Jersey. Signatory Susanna J Dodgson.

**2002:** Emerald Pademelon Press LLC registered in New Jersey. Signatory: Susanna J Dodgson.

**2004:** Kenya Development Network incorporated in New Hampshire as a not-for-profit 501(3)(c). Signatory: Macharia Waruingi.

**2004:** incorporated in New Hampshire as a for-profit. Signatory: Macharia Waruingi.

**2006:** Kenyan Edge name changed to Ustawi International Incorporated.

**2006:** Medical Journal of Therapeutics Africa copyright registered by Emerald Pademelon Press LLC. Signatory: Susanna J Dodgson.

**2008:** 18 May. Board meeting of Ustawi International Incorporated. Macharia elected CEO, Susanna elected COO.



*Susanna and Ambrose Alli University faculty at Pax Herbals 09 August 2007.*



*Susanna J Dodgson BSc(Hons), PhD is COO of the Ustawi companies and Editor-in-Chief of MJoTA. Picture taken at Kenyan Diaspora event in Paterson, New Jersey, July 2008. Photo by MW.*

### **Leadership in Ustawi**

*by Susanna J Dodgson BSc(Hons), PhD*

Macharia and I have been busy compiling documents to make blueprints so the Ustawi companies will function smoothly now and in the decades to come. As part of this process, I pulled off the KDNC website a paper that Macharia had written on leadership. This has been edited, changed and reviewed, and is the basis of Macharia's essay on the theory of leadership that follows.

What Macharia and I are trying to do in Africa needs companies, brilliant African professionals, and more than anything, it needs leadership. Macharia and I are in a privileged position in the United States, we live in a prosperous town, enjoy excellent health, and are 2 to 3 hours drive from the World Bank in Washington DC and the United Nations in New York



*Crossing Nelson Mandela Road, Glasgow, Scotland. Photo by SJD.*

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City. We can do things in the United States that cannot be done in Nairobi or Lagos or Accra; and our success as leaders depends on us knowing these things. Our success also depends on the understanding of the professionals we work with, and all of us understanding that things are happening in Africa that we need to react to or ignore; and we cannot lead unless we trust our people.

Since Emerald Pademelon Press first published MJoTA on Martin Luther King Day in January 2007, I have purposefully included stories on successful leaders. Some leaders have huge global impact: such as Bill Gates and Florence Nightingale and some Nobel Laureates. Others have local impact: such as Macarthur Fellow Dr John Rich. Leadership done well is a beautiful thing, and leaders are by definition unique, rising to turn a vision into a mission that may look foolish, and can be dangerous.

Two highlights of my life were listening to speeches by transformational leaders. The first, in Philadelphia in 1986, was given by Archbishop Desmond Tutu. He told us that we are all held in the palm of God's hand; an image that has sustained me in the years since. The second was in Barcelona in 2002. On the same podium Bill Clinton, and then Nelson Mandela, both pleaded for international empathy and support for HIV/AIDS prevention and therapies. I walked away from those speeches convinced that every human has the power to change the world, as these great leaders have. In South Africa during the era when the white minority had terrorized the black majority because of financial superiority, Archbishop Tutu and Nelson Mandela led a movement (Mandela from jail) that led to partner-



**Raising awareness for Ustawi at a Quaker community event, the annual Mt Laurel Peach Festival, New Jersey, 02 August 2008. Photo by Patience Dodgson.**

ship with the then-new President of South Africa, FW de Clerk and the end of apartheid. In April 1994, when Bill Clinton was President of the United States, I vividly recall a magazine picture showing humans in South Africa stand in a long slow-moving snaking line so they could claim their rights as humans by voting for their government leaders.

My own vision of leadership led to creating the *Medical Journal of Therapeutics Africa*, because I want a complete indigenous pharmaceutical industry in the countries of Africa. My vision has led me to Nigeria thrice (July 2007 to April 2008) and to Kenya (August 2008). I am putting all my efforts into realizing my vision first in Kenya; with this aim I teamed with Macharia in May 2008. We pooled resources, contacts, companies and offices, and we are creating more companies. We need to be leaders in these companies, and in the early stages, a lot of what we are having to do is learn to work together, and to trust our people.

I believe that leadership is based on trust, and trust comes from love. I can only lead because I trust in my own vision, in my own instincts that led to creating *Medical Journal of Therapeutics Africa* and creating a leadership team with Macharia. I must trust in the mystical power of my own faith and love of humanity that makes me understand the importance of every human life.



**Susanna looking over the 1000-acre lot belonging to Kenyatta University, which is on the Nairobi-Thika Road, Kenya, on 31 August 2008. Photo by Charity Mooz.**

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"...the society we seek to create must be a people-centred society. All its institutions and its resources must be dedicated to the pursuit of a better life for all our citizens.

That better life must mean an end to poverty, to joblessness, homelessness and the despair that comes of deprivation. This is an end in itself because the happiness of the human being must, in any society, be an end in itself.

At the same time, we are intensely conscious of the fact that the stability of the democratic settlement itself and the possibility actually to create a non-racial and non-sexist society, depend on our ability to change the material conditions of life of our people so that they not only have the vote, but they have bread and work as well."

— Nelson Mandela. Speech 03 Oct 1994 to United Nations 1994 as President of South Africa.

### Leadership Theory

by *Macharia Waruingi MD, DHA*

My experience with leadership is largely through the 2004 creation of a global health development organization that works with 5 key stakeholders to develop a shared vision for global health leadership: the Kenya Development Network, known as KDNC.(22)

Through the Kenya Development Network I learned that critical to sustainability is transformational leadership, known also as level 5 leadership.(13) I give here a brief history of how the concept of leadership evolved to explain, first, why my goal in KDNC and the Ustawi Companies is transformational leadership, and second, the relationship of transformational leadership with innovation.

#### HISTORICAL PERSPECTIVES OF LEADERSHIP

The word leader was not used in English until the 1300s and the word leadership until 1821.(Shirakashi cited in ref 5) Leadership was defined by the Ancient Greek philosopher Plato, who lived 427-347 BCE as:

- a. timocratic, ruling by pride and honor
- b. plutocratic, ruling by wealth
- c. democratic, ruling by election
- d. tyrannical, ruling by coercion. (cited in ref 5)

After Plato, leadership thought has been modeled to explain leadership and leader behavior, indicating societal need to understand the makings of a great leader.(5,11,15,19-21) The search for a great leader is a central preoccupation of humanity, and development of criteria for identification a great leader is a subject of social conversations everywhere. (5,6,15,16)

#### THEORIES OF LEADERSHIP

##### *Great Man, Luck, and Inheritance*

The 18th-century rationalists thought that personal endowments plus luck was critical to great leadership by great men.(5,11,26) Studies of the hereditary background of great leaders spawned theories that leadership was an inherited trait that endowed the leader with superior qualities that differentiated him from the followers. This concept of leadership was repeated certainly until the mid 20th century.(5) In 1922 Freud, and in 1964 Erickson suggested that the leaders' political behavior could be traced to early childhood and family development.(cited in 5)

##### PERCEPTION OF CO-WORKER

Studies in the 1950s showed that how a leader perceived the least preferred coworker (LPC) determined leadership style.(16,17,18) Fiedler posited that leaders were either task motivated or relation motivated.(16) According to Fiedler, orientation to task, or orientation to relation are 2 primary motivations that do not change, suggesting a hard dichotomy in leadership style. In his leadership studies from which he developed the contingency model, Fiedler found that task motivated leaders had low least-preferred co-worker (LPC) scores, focused on details, and were tough and autocratic on getting a failing subordinate to perform a task. In the contingency model, the task-motivated leader's self-esteem came from completing tasks and the leaders were only considerate when tasks were going well. By contrast relation motivated leaders had high LPC scores, got bored with detail and focused instead on pleasing others, getting loyalty and being accepting. Their



*This picture describes Ustawi's vision. Macharia is pointing up and his finger looks to be grasped from above. He was touring the Christ Apostolic Church community hall in Hyattsville, Maryland in May 2008. The Ustawi mission is to connect resources with African professionals who have reached as far as they can by themselves. Photo by SJD.*

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"And to all who would be leaders we will issue the challenge that if met will speak louder than any document, reach out to children and adolescents themselves involve them engage them and listen to what they have to say. Make certain that the global partnership for children includes children."

—Nelson Mandela, 06 May 2000 speech for UNICEF, Johannesburg, South Africa.

self-esteem came from interpersonal relationships. From these findings, Fiedler concluded that leadership has 3 interrelated variables:

- a. leader-member relationship
- b. task structure
- c. power position.(16)

These variables worked together in these ways:

1. In good leader-member relations, the group was cohesive and supported the leader, and in the bad leader-member relationship the group was divided and unsupportive of the leader.
2. When the task structure was high, there was clarity of task, clear goals and procedures and few pathways to get to the goal. The outcomes were easy to measure. In low task structure, the goals, procedures, paths, solutions, and outcomes were unclear.
3. In high position power, leaders had official power and influence over hiring, firing, rewarding and punishing subordinates. In low position power, all influence and power was informal.

### PEOPLE OR TASK

The leadership model of Blake and Mouton had 2 principal criteria: concern for people and concern for task.(9) In this model each leadership style corresponds to the degree of emphasis on task or people:

- a. authoritarian style: high on task, low on people
- b. team oriented style: high on people, high on task
- c. country club style: high on people, low on task
- d. impoverished leadership: low on people and task

In the Blake and Mouton model, great leaders are high on people and task at the same time, and they are highly transformational.(5,9) This work explains how the ability to hold 2 different attitudes leads to great leadership and transformational results.(9,13)

### SUPPORT OR DIRECTION

A study reported in 1969 that 2 dimensions of coaching (1 was supervision, the other was arousal) guided leaders' actions.(19) Hersey and Blanchard's situational leadership model described supervising-oriented leaders as directing, and arousal-oriented leaders as supporting.

In the situational leadership model, the supervising leaders used employee skills and knowledge to



"I wanted to find out what is needed for a leader to be effective in Africa. I am a physician and my concern is with health. When I was growing up on the slopes of Mount Kenya I saw the effects of the leadership of the World Health Organization and the World Bank devastating children and adults. I studied medicine so I could help my people. When I was a medical student I traveled all around my country educating my people about epilepsy; after that I trained as a neurologist in France and worked in cardiology in Kenya.

Yet I saw that my people were getting sicker, and I wanted to find out what leaders of organizations need to know to make my people healthy and prosperous. I traveled to Harvard in Boston to find the answer because I had read *The Fifth Discipline* by a systems engineer and teacher at MIT, Dr Peter Senge, who understood the questions I was asking. I found that the Harvard School of Public Health had created leaders who had caused a lot of the misery in Africa, and realized I had to find the answers myself.

While I was working in Harvard hospitals I started a Doctorate in Health Administration at the University of Phoenix to find out what it is that leaders don't know that they don't know; why good decent hard-working leaders cause disease and death when they are trying to heal. This book is a description of my journey I took with Dr Senge in answering my questions."

Macharia Waruingi MD, DHA in *The Tacit Dimension of Global Health Leadership*, KDNC Publications 2009.

**Kenya Development Network**

<http://www.kdnc.org>

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"The world is full of brilliant people who have all the right solutions to the problems of the world. However, if they don't have the ability to turn their ideas into reality they remain spectators and arm-chair commentators in the great game of life. Becoming a leader isn't an easy process....."

Leaders must have the ability to make a cool and impartial assessment of the situation. Real leaders must be able to climb above the day-to-day hustle and bustle and take a critical view of the direction in which events are moving.

And if they see that their people are moving in the wrong direction they must have the ability to persuade them to change course. Nearly all great leaders have had this ability."

—FW de Clerk, President of South Africa 1989-1994; Nobel Peace Prize winner 1993. Speech on 09 Apr 2007 to Salisbury Univ, Maryland, USA.

determine the amount of supervision required. Hypo-supervision led to miscommunication, lack of coordination, and the perception by subordinates that the leader did not care. Hyper-supervision, stifled initiative, generated resentment, and lowered morale. Hypo-arousal under-stimulated, while hyper-arousal over-stimulated the performer. The conclusions from this study were that leadership is the act of providing the correct amount of supervision and arousal, which in turn produces the best learning environment. Further, Blanchard argued that hyper-supervising leaders have a directing style and define roles and tasks, supervise the followers closely, make and announce all decisions and communication is unidirectional. This form of leadership is not transformational.(11,5,13) According to Blanchard, leaders who are both coaching and directing are great at combining two styles—they define roles and tasks, and seek ideas and suggestions from the followers.(13) In this combined style, decisions remain the leader's prerogative, but communication is bi-directional—this leadership style is transformational.(5,11)

### TRANSFORMATIONAL LEADERSHIP: INNOVATION

The foregoing discussion indicates that the challenge of leadership—the capacity to translate vision to reality—requires the ability to hold 2 paradoxical values at the same time.(5,28) Collins and Porras described the phenomenon of holding 2 contradicting ideas at the same time as the "genius of the AND" and demonstrated that it is a primary ingredient to greatness.(14) Great leaders are both people oriented, and task oriented; both directing and coaching.(9,19) Collins and Porras found that instead of choosing between A or B, visionaries figure out a way to have both A and B, breaking free

from "the tyranny of OR".(14) The ability to hold 2 contradictory positions at the same time requires great discipline personal mastery, and the creative ability for realizing extraordinary results.(14,35,36) In the theory of the "U" Dr Senge's group defined depths of perceiving reality and commensurate actions critical to transformation at each level.(36) According to Dr Senge's group, the process of perception and change involves 3 key stages or elements which include:

- a. observing to become 1 with element,
- b. retreating and reflecting to allow the inner knowing to emerge,
- c. acting swiftly with a natural flow.(36)

The 3 stages which represents sensing, presencing, and realizing, are critical to developing a high level of awareness that is requisite for breaking away from the tyranny of "OR"—presencing is a perhaps the special discipline behind the powerful transformational actions by great visionary leaders.(36)

### COMMUNICATION

Great leadership depends on the ability to communicate the personal vision of the leader, and to build a shared vision among the followers.(35)

Communicating the message is critical because this process translates vision into policies.(29) Communicating vision starts with a deep awareness of the current reality, which in turn requires the discipline of personal mastery—the ability to focus on ultimate intrinsic desires, continually clarifying and deepening the personal vision, focusing personal energies, developing patience, and seeing reality objectively.(30,35,36) Personal mastery is critical to leaderly planning and communication—an iterative process that continually clarifies the reality.(31)

### LUCK

Great leaders know that luck is only attributable to meiotic events of gametogenesis and on which haploid pairs are involved in the zygogenesis, which lays the complete template of the developing embryo after fertilization.(1) What shapes leadership after zygogenesis is an array of environmental factors such as education, mentoring, and acquired disciplines.(3,6,9,10,12-14,20,26,27,35,36,38) While great genes provide foundation for capacity to do great things, great work comes out of great personal effort and by design.(1,28) In fact, Maxwell believes that great leadership is a residue of design, and good luck is what happens when opportunity meets preparation. Maxwell stated that the concept of luck encourages laziness, observing that luck does not occur people who are unwilling to take control of their lives.(26)

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Luck and heredity are closely related.(1) However, since no-one can choose heredity, the capacity for holding contradicting attributes at the same time is a primary requirement for greatness.(13,14) This transformational ability was a primary finding by Blake and Mouton, who concluded that great leaders are able to be both high on people AND high on task.(9) The greatest leaders are those who could strike a balance between arousal AND supervision—they were both directing AND coaching. Their work is transformational and innovative.(13,14,19)

### EXCELLENCE

Leaders become great by developing a deep awareness of the need for self discipline (26), or personal mastery.(35) Diligence is necessary for successful accomplishments, and success is measured by achievements.(13,14,28) Great leadership comes from constantly practicing excellence.(36)

### Focus

Great leaders know that a sharp focus is critical to achieving transformational results.(27) According to Maxwell, to be effective, leaders must prioritize and focus on what is required, what gives the greatest returns, and what brings the greatest reward A leader cannot drift with the crowd: a great leader is willing to stand alone, and is not afraid of looking foolish.(13) Transformational leaders are innovative and are hyper-focused on details, and can envision clearly how inventions, ideas, thoughts, theories work.(2,11,34) Great leaders are single minded and set out to prove the worth of an idea or concept and do not let the perceptions of others or major barriers sway them away from their intellectual and scientific pursuits and the capacity for finding the truth.(36)

### LEGACY

Great leadership is committed to legacy and develops its followers into leadership.(30) The primary function of leaders is to set the tone, develop the vision and shape behavior of all those involved in organizational life.(10,15) Leaders bring together followers around common values, and superior performance beyond normal expectations is only possible by transforming follower values, attitudes and motives to a higher plane of arousal and maturity.(7)

### TRANSFORMATION OF FOLLOWERS

Great leadership leads to transformation of followers.(11) The concept of transactional and transformational leadership is based on seven leadership factors, which include charisma, inspirational, intellectual stimulation, individualized consideration, contingent reward, and management by exception, and laissez faire leadership.(5) Bass noted that although charismatic and inspirational leadership

“We stand here today as nothing more than a representative of the millions of our people who dared to rise up against a social system whose very essence is war, violence, racism, oppression, repression and the impoverishment of an entire people.”

— Nobel Peace Prize speech Dec 1993, by Nelson Mandela, President of South Africa 1994-1999.

were unique constructs, they were empirically indistinguishable.

In the transformational model, the leader and the follower may have a different starting point but are eventually transformed in to a common goal.(4) Bass found that transforming leaders are elevating, mobilizing, inspiring, uplifting, extorting, and exalting: transformational leadership is ultimately moral raising human conduct and ethical aspirations of both the leader and the led.(5,11) Such leaders are said to align visions with follower needs and aspirations, propagate open communication, and generate team motivation.(29) Transformational leaders are risk takers who build confidence and promote teamwork.(4) Transformational leaders create sufficient energy to launch and sustain a transformation process within an organization.

Authentic transformational leaders persuade others on merit of issues, are morally uplifting, and are concerned about developing their followers into leaders.(8) According to Bass and Steidlmeir, pseudo-transformational leaders are more concerned about maintaining dependency, while the inspirational appeal of an authentic transformational leader focuses on the best in people—transformational leaders are outwardly and inwardly concerned about the good that can be achieved for the group, the organization, and the society for which they feel responsible.(8)

### TRANSFORMATIONAL LEADERS: METHODS AND APPROACHES

Transformational leaders are visionary and inspirational in approach.(13,15,38) They communicate a clear and acceptable vision and goals.(5) They tend to engender intense emotion in their followers.(15) Transformational leaders promote the self-concept, goal identification abilities, as sources of motivation.(13,29,33-36) They work by building ownership by involving the group in the decision process.(2) Successful transformational leaders move followers from external to internal control, making the desired behaviors or behavioral patterns become internalized rather than being driven through extrinsic exchange, which results in great reduction in the need to monitor employee behavior.(5,35) The transition from external to internal control is facilitated

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by:

- a. changing the mental models of employees,
- b. linking desired outcomes to values held by employees,
- c. creating employee ownership in outcomes so that positive outcomes validate the self concept of employees,
- d. building strong employee identification with the group or organization—the cult-like culture.(13,14,35).

### TRANSFORMATIONAL LEADERSHIP: PRODUCTIVITY

Transformational leadership emphasizes leadership sharing and transcendence.(31,38) Indeed, transformational leaders ask followers to transcend their own interest for the good of the whole, group, organization, or society, promoting interdependence, and long-term thinking.(11) Transformational leadership results in more productivity at a lower cost, and more growth.(23) Further more transformational leaders bring about greater profitability, greater share of the market, and better debt/equity ratios.(2) Transformational leaders are more effective, productive, innovative, and satisfying to followers than transactional leaders.(24) Transformational leadership holds great promise for advancing associations, businesses and society.(4) In transformational leadership, both the leader and the led are transformed in performance and outlook.(8)

### PSEUDOTRANSFORMATIONAL LEADERS

Howell and Avolio found that transformational leaders promote within their organizations ethical policies, procedures, and processes.(21) According to Bass and Steidlmeier, authentic transformational leader calls for universal goodwill.(8) They found that inspirational appeals of the authentic transformational leader tend to focus on the best in people. Authentic transformational leaders bring about changes in follower values by the merit and relevancy of the leader's ideas and mission to their followers' ultimate benefit and satisfaction.(20) Need for power is a key characteristic of leadership, and unlike pseudotransformational leaders who may use power primarily for self-aggrandizement, authentic transformational leaders channel the need for power in socially constructive ways into the service of others.(5,8,15,21) Bass found that the product of authentically transformational is to increase awareness of what is right, and help to elevate follower needs for achievement and self-actualization.(6)

### INNOVATION

This personal leadership statement lays special emphasis on innovation—the fundamental transformation of an organization's core tasks.(3) There is a

complex relationship between innovation, transformational leadership and organizational performance.(11,13,14,27,35,36) Maxwell stated that life is about adventure, and venturing out is the hallmark of innovation.(28) Great leaders are open to change.(35) Initiative and psychological safety work in tandem, and support the quality of work in an organization.(3) Innovative companies tolerate risk well, which gives their employees (who may be share-holders) confidence to experiment. Change is central to innovation, and a culture that supports innovation accepts risk-taking and failure.(26-29) The leader must involve the led in the innovation process to support what they help create—innovation changes deep structures permanently.(26-29,35) Maxwell observed that innovation takes great courage, stating that the greatest glory comes from daring to begin. Innovation can fail to deliver the envisioned results, primarily due to groupthink.(34)

### CONCLUSIONS

Steps towards creating a leadership statement for transformation requires defining a plan that:

- a. is personal,
- b. focuses on specific development needs,
- c. is practical,
- d. relies on job and learning experience,
- e. is owned by the person wanting transformation,
- f. is a living document.(37)

My personal statement is informed by the idea of transformational leadership and by the understanding that interdependent relationships promote a safe climate for innovation, in contrast to promoting independent climatic situations that undermine the innovative process.(3) The interrelationship between the transactional and transformational models was best explained by complexity science, the fractal theory and power law, the 5 disciplines of leadership, and the ability for presensing desired reality.(25,35,36,39) This leadership statement is informed by these disciplines plus other statements by thought leaders, all of which I follow with zeal as guiding principles in my personal leadership plan.

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*Hills outside Nairobi, Kenya. Photo by SJD.*