



“EFFECTIVE LEADERSHIP”

**A Program
for
Rising Mid-Career Leaders in Louisiana**

Created and Managed by

**The United States-Southern African
Center for Leadership and Public Values
of the
Terry Sanford Institute of Public Policy
Duke University**

In Partnership With

**The College of Business
Southern University (Baton Rouge)**

The Program in Brief

Over the next three years, The Center for Leadership and Public Values at Duke University and the School of Business at Southern University will recruit, train and provide reinforcing support for seventy-five (25 per year), predominantly African-American, mid-career leaders from Louisiana, women and men who are on fast tracks to take senior positions in the state's non-profit, public and private sectors. These men and women will be trained in the traditions of "servant" or "transformative" leadership, ways of thinking and being that, over the long run, consistently produce value-driven leaders who are responsible and effective, rather than merely, efficient. Our intention is that this will be a program that will run well beyond the initial three years.

We will recruit candidates and make final selections of first year Fellows in the Fall of 2007 and inaugurate their formal Fellowship year in the Summer of 2008.

Building on the experience of the Center's highly effective binational Emerging Leaders Programme (ELP) conducted in partnership with the University of Cape Town, the Effective Leadership program (EL) is structured as a year-long, in-service development experience. Each class of Effective Leadership Fellows will work individually and together through a rigorous series of learning components aimed at widening their perspectives on what leadership for a democracy requires, enhancing their skills for empowering those they lead, their institutions and their communities, and building their capacities for influencing policies that affect the common good.

This will be a collaborative effort between the Center at Duke and Southern University's College of Business and the University's Alumni Center. While the Center at Duke will assume the initial intellectual and practical leadership in devising and implementing the program's content, structure and procedures, the most appropriate home for that work, as will be explained later, is Southern. It is expected that at the end of this first three-year cycle, leadership and program management will be passed to that institution with continued curricular support from the Duke Center.

Objectives and Indicators of Success

1. Program objectives for the first year are to:

- Recruit and select first class of 25 mid-career leaders from all three sectors
- Train selected Fellows through a seven element curriculum oriented towards principle-based servant leadership (see below, pages 4-6)
- Undertake a continuous cycle of evaluation-based learning and course improvements
- Establish an alumni organization for on-going encouragement and reinforcement
- Build the partnership with Southern University's College of Business and the Alumni Center with an eye to transferring full management of the program to Southern at the end of the first three-year program cycle
- Document the program (presentations, Fellows, processes, outputs) for marketing (within Louisiana) and archival purposes – via video

2. Short-term indicators of success are that:

- The initial class of Fellows is viewed by the Center, Southern University and the Ford Foundation as highly qualified – its members likely to use the Fellowship to appropriate and intended purposes and, ultimately, to rise to senior positions
- Fellows, individually and collectively, fulfill the program’s curricular requirements
- Fellows’ assessments across the year of retreats, coaching and other curricular components are high, candid and useful
- Fellows’ public advocacy plans and planning processes for them are deemed by reviewers as positive and likely, once implemented to raise public consciousness and shape public policies
- The partnership between CLPV and Southern University is deemed satisfactory to both parties, leading toward a successful transfer over time of primary responsibility of the program
- An incipient but promising alumni organization is created
- The public – especially key political, business, media and non-profit opinion leaders – become aware of and positively disposed toward the program and its Fellows

3. Longer-term indicators of success will be that:

- By the end of the first three-year program cycle, 75 Fellows will have graduated and most will still be serving Louisiana and will be advancing on their leadership tracks
- Initial (and then on-going) longitudinal surveys of graduated Fellows will provide convincing evidence that the Fellowship experience is having on-going, positive impact on the way most Fellows’ think about leadership and make decisions as leaders
- Fellows will form a mutually reinforcing, effective cadre of servant leaders on behalf of the people of Louisiana and especially those who have historically been denied the full benefits of citizenship
- The College of Business at Southern University will become recognized nationally as a center for promoting effective, servant leadership
- The public – again, especially but not only key opinion leaders – consider the program an essential element or model for strengthening leadership in the State
- A public conversation has developed that promotes ethics in public life and servant leadership

Rationale for the Program

Hurricanes Katrina and Rita unmasked many longstanding and deeply vexing flaws in the economic, social, and political landscapes it devastated, none more so than those of Louisiana, the state hardest hit by the storms. These newly exacerbated problems combine to pose critical challenges, often having to do with ensuring that social justice is served as the State and its communities, large and small, rebuild. For example, Louisiana’s political and cultural traditions of discounting the voice of those of lower “social standing” – its poor in general and its African-American citizens in particular – continue to reverberate today. They undercut the public sector’s capacities at all levels to meet basic needs adequately as well as the emergencies arising as a result of the two natural disasters.

In many respects Louisiana’s problems are leadership problems. At issue is leadership capacity – how to build and support it across the nonprofit, private and public sectors alike. Representatives

of foundations and other organizations committed to assisting in Louisiana's recovery often talk of this. Is it possible, they wonder, to develop leaders who have the appropriate values and related skills for creating out of present despair a true commonwealth, one that enjoys strong institutions across the breadth of civil society, an economy that is sustainably vibrant and works well for all citizens, and public institutions that effectively serve their many constituencies? Can leaders work across sectoral boundaries to ensure such a result? Are there sufficient numbers of leaders in all three sectors who give priority to advancing the common good?

The Effective Leadership program (EL) will seek to enhance the capacity of its Fellows to serve others, strengthen their organizations, more fully meet the needs of their constituencies, identify best practices of public accountability and, above all, contribute to the common good, with particular emphasis on empowering low income, historically disadvantaged people and their communities. Central to the program's design will be the identification and promotion of those practices that have proved to be effective in promoting systemic change.

We do not pretend that the program can serve directly more than a small percentage of key leaders in the next three years, the trial period for the program. However, the Center has already demonstrated that it can build a cadre of appropriately trained leaders, who individually and collectively are using their status and influence as rising leaders to make the kinds of decisions that are transformative.

Origins of Effective Leadership

Six years ago CLPV, in collaboration with our sister institution at the University of Cape Town, created the highly effective twelve month in-service Emerging Leaders Programme (ELP) for rising Southern African and American leaders from all three sectors. By mid April 2008 that Programme will have identified, selected and trained 136 Fellows in effective leadership. This is a cadre of people who are now better prepared to lead, much more inclined to square the use of their personal and positional power with their values. Indeed, the consistent testimony from Fellows strongly supports the conclusion that the program has had profound influence on the ways they think about and practice leadership.

We will adapt what we have learned to the Louisiana setting and, in so doing, create something which is effective and can also be adapted by others (or will stimulate the creation of analogous programs), thus building a larger leadership development movement in the state and the region. Moreover, we expect that our partnership with the College of Business at Southern University will enhance the evaluation and effectiveness of the curriculum as we adapt it to the needs of mid-career leaders in Louisiana. Assuming the continuing need for and relevance of the Effective Leadership program, the Center would transfer primary responsibility for its management to Southern after the initial three-year trial period.

Underlying Premise of the Effective Leadership program (EL)

EL's transformative premise is that effective (rather than simply efficient) leadership is a way of being – in which each Fellow's personal and professional growth and actions become increasingly consistent with universal moral values. Such leaders, highly sensitive to ethical considerations in all their dealings, are more likely to enable their organizations (of whatever

type) and communities to achieve sustained and equitable success than are leaders who have not integrated their own lives and values. Further, we believe that it is important that the State's media and its opinion leaders become aware of and see the program and its leaders as exemplary forces for positive change.

Curricular Components

The Effective Leadership program will include the following ten mutually-reinforcing components:

- 1. Initial Readings.** We will require selected Fellows to study, prior to the initial Retreat, articles and book chapters on servant leadership, the role of civil society in building healthy democracies, and relevant historical literature on the uniqueness of Louisiana in the national context, current reverberations of slavery, segregation, the civil rights movement, as well as issues of poverty, race and class in the State.
- 2. Opening Retreat (6.5 days).** Our experience with the Emerging Leaders Programme confirms that this, along with personal executive coaching, is the Fellowship's pivotal experience. Fellows have especially appreciated our approach to adult learning: the selection of relevant themes, the way they are treated as already experienced but improvement-seeking leaders, and the time the schedule allots for discussion, reflection and the small group discernment.

Both the Retreat and the general program will be organized around the following themes:

Leadership in Transformation: The Role of Culture and Context: a day-long examination of leadership as a way of being, illustrated through the lives of "struggle" leaders in the U.S. civil rights and South African anti-apartheid movements and emphasizing the roles of context and culture in the ways we portray and experience leadership. Work includes presentation (typically by Ambassador James A. Joseph, the Duke Center's founding director) on the uses of power across all three sectors, discussion, personal reflection and small group discernment process. Special attention will be paid to the unique cultural, political and moral culture in Louisiana

Leadership Ethics and Accountability: a day-long exploration of this theme, emphasizing the intersection of personal ethics and public values in developing organizational accountability. Presentation (typically by Ambassador Joseph), case study and presentation, moderated discussions, personal reflection and small group discernment are on the agenda.

The Necessity for Personal Renewal: a day-long assessment and initial application of the case for personal renewal as a key to long-term effectiveness for transformative leaders. Presentations (by the program's director of coaching on the renewal imperative and on coaching), group discussion, introduction and selection/assignment of executive coaches, and initial or "intake" coaching sessions will fill the day.

Effective and Ethical Communications and Public Policy Advocacy: This is an enhanced version of what ELP offered its Fellows, designed specifically for the Louisiana program. We

envision activities revolving around “communications for a democratic society” and the “necessity for advocacy” themes, using presentation, case study, discussion and self-reflection/ discernment formats. In particular, a full day will be dedicated to establishing advocacy project teams and initial development, presentation and critique of their respective advocacy planning projects. CLPV hopes to engage faculty and/or advanced students of the Sanford Institute of Public Policy at Duke and the College of Business at Southern as practicum advisor/interns, as needed by teams in pursuit of their respective projects.

The Critical Role of Networking. Fellows will spend a half day focusing on how the disciplined development and use of personal networks is essential for pursuing the sort of changes effective leadership seeks to make.

The final eight hours of formal Retreat time will be dedicated to personal reflection on lessons learned, setting personal leadership development goals, small group discernment, and developing and providing feedback on the Retreat and Program (to date), with closing remarks on “Returning to the Real World of Service.”

3. **Self-Assessments:** The Center for Leadership and Public Values’ “Intellectual Context and Sought Competencies” document, developed for the Emerging Leaders Programme will serve as our general introduction to servant leadership principles and statement of expectations of Fellows. It is the basis for the Effective Leadership program’s Self-Assessment Tool, which Fellows will be required to take three times over the course of the Fellowship year. Also adapted from the ELP, the Tool will help Fellows in charting their individual progress as transformational leaders and for developing their own learning and coaching goals for the year (and afterwards). There is an additional advantage for the Center and for EL – comparing and contrasting the experience of Fellows in the two programs.
4. **Policy Advocacy Projects.** Over the year, the cross-sectoral teams developed at the opening Retreat will work on improving the plans for their policy projects, each aimed at successful advocacy on behalf of greater equity for low-income people in Louisiana. Teamwork, a test of servant leadership in action, will be emphasized.
5. **Mid-Year Retreat (3.5 – 4 days).** This also is an element devised specifically for this program, made feasible owing to geographic proximity among participants. It will serve as a mid-Fellowship deadline for advancing joint advocacy projects; and be organized to reinforce EL’s lessons for Fellows, undertake joint project assessment and make appropriate adjustments to project plans, provide feedback to program staff, and strengthen networking among Fellows (across the whole Fellowship). We will develop the specific agenda for the Retreat based on our experience with the opening Retreat, on our assessment of the progress Fellows are making with their projects, and with the input from public policy professionals.
6. **Personal Executive Coaching.** Each Fellow will be assigned a professional coach over the Fellowship year and will be expected to engage in 15 hour-long coaching sessions with his/her Coach. (See 2 above on the initiation of the coaching component at the opening retreat.) Consistently across the years 85-90% of Fellows in our Emerging Leaders Programme have reported that this is a critically important part of their learning experience. This is so particularly in light of the fact that the program – as will this – engages Fellows in a process of demanding, sometimes fundamental changes in the way they think and act as

leaders. Regular interactions with skilled Coaches, Fellows find, helps them work through these changes.

Center staff will hire an experienced and respected professional executive coach who will work with us to select the coaches for the Program, monitor coaching progress (without inappropriately interfering in what are a set of confidential relations), administer and interpret periodic Coaching effectiveness surveys (taken by Fellows), undertake trouble-shooting (unforeseen incompatibilities, for example, between a Fellow and her/his Coach), and work to build a “community of practice” among the Coaches to reinforce one another’s own learning experience in what most will find a unique program.

Two special notes on coaching: 1) We will seek to create a diverse coaching staff. 2) We will seek Coaches who not only are experienced and highly competent but who are willing to offer their services at a rate below what they normally charge. We have been successful in recruiting and retaining such people for the Emerging Leaders Program. Exploratory talks with similarly-skilled Coaches regarding the Effective Leadership program suggest that we can realize this objective.

- 7. Final Retreat (4 days).** This will allow Fellows individually and collectively to sum up and reflect on personal development, report and discuss public policy projects, create/join a functioning alumni network of ongoing support, and evaluate the Fellowship experience. This has been for the Emerging Leaders Programme a true “capstone” event. We expect it will serve that function for the Effective Leadership program. As with the mid-year Retreat we will build the agenda based on accumulating experience over the year and, this time, with advice and suggestions of Fellows themselves.

Note on Retreat location: We believe this retreat should be held in Cape Town, South Africa. Holding it there would go far in meeting our expectations that the Fellowship should broaden as well as restructure the Fellows’ sense of their worlds and of what moral leadership requires. A day’s visit to the Robben Island Prison and reflections on the contemporary meaning for leadership of that experience in the lives of its anti-Apartheid inmates would reinforce for Effective Leadership Fellows every lesson this Program has to instill – in ways no other experience we can imagine can. The incarceration of Nelson Mandela and other Struggle leaders on Robben Island became the crucible in which they perfected their values-based approach to leadership, to community, and to social, political and economic justice. To the person, Fellows in the Center’s Emerging Leaders Programme discovered or, for many of them who are South or Southern African, re-discovered how servant leadership – using moral power to empower – can and should be practiced, even in the direst of circumstances. We understand that holding this capstone event in South Africa entails significant costs, but sincerely hope that our funders will appreciate the long-term value for our Fellows and for Louisiana that the experience ensures.

- 8. Mentoring.** Fellows will be encouraged, though not required, to find one or more Mentors (more senior men and women who can provide feedback, encouragement, counsel about fields/professions/institutions of mutual interest and about career choices and advancement). We’ve found that mentoring – a process quite different from coaching in several crucial respects – works when individual Fellows are motivated to select their own mentors (people

with whom Fellows have previous relationships) and manage the interaction schedule and process.

9. **Continuous Assessment.** Not only do we require Fellows to engage in regular self-assessment (component 2 above), we demand it of ourselves. We pride ourselves on being a learning community. We require Fellows to give us feedback through informal daily retreat assessments and formal, detailed end-of-retreat and end-of-year evaluations of their experiences (lessons, learning, program inputs and design, staff support, suggestions for improvements, etc.) We structure time in retreats for feedback and discussion. As noted above, we ask Fellows to assess the progress of their coaching. And we intend to seek information via survey from graduates three years out from their Fellowship experience about the lasting influences on thinking and behavior that program may have had. (We are doing this with respect to the Emerging Leaders Programme.).

We take Fellows' ratings and feedback through all these channels very seriously. We analyze and write reports on Fellows evaluations; staff members discuss that feedback regularly and with an eye to how we might improve. We don't make change for change's sake, but we do make program adjustments on an on-going basis when the evidence suggests that the Fellows' experience and their learning will be enhanced by doing so.

10. **Alumni Organization** One of the major failures of most leadership development programs is the want of mechanisms for building functional and permanent networks of those they train. The transformative goals of this program make such a mechanism even more important – as a vehicle for ongoing encouragement, renewal, and societal impact. We propose to establish an alumni organization beginning with the first class of Fellows. And we hope to connect it with the alumni organization now being built by the Fellows in the Emerging Leaders Programme. The similarities between the two programs are obvious and the likelihood for productive cross-program synergies quite high.

Recruitment

We envision this program as enrolling primarily, but not exclusively, mid-career leaders from or serving historically disadvantaged communities. In the Louisiana context and because we are committed to appointing up to one-third of each class from among qualified Southern University graduates, the majority of our Fellows will be African-American. We believe that this segment of Louisiana's already existing pool of leaders, and their communities, have the most to gain from the program and, in turn, the most to contribute in addressing Louisiana's historic patterns of exclusion and inclusion, patterns that Katrina rendered so clearly.

Recruiting and selecting qualified leaders are keys to the success of this, or any, program. We believe that anyone can learn to be a good, achieving leader. But this program needs people who are both principle-centered and highly motivated to move forward with their personal and professional development and are seen by others to have the potential for assuming increasingly senior positions. We see recruitment as a three-staged process – beginning each year nine months, and concluding at least three months, prior to the opening Retreat (see above): 1. nominations by senior leaders; 2. applications from those among the nominated who are interested in the Fellowship; 3. careful selection by program staff.

1. CLPV's experience with the Emerging Leaders Programme is that asking senior leaders – from any sector – to nominate persons is effective both as a focused recruitment tool and as a way of building the program's visibility and support. We would, as we do with the Emerging Leaders Programme, work to build a large pool of nominators in Louisiana and nationally. We will look initially to our networks of institutions and friends across all three sectors in Louisiana and nationally (Southern University of course, funders, associations, etc.) We will provide nominators with sufficient information about the program, its goals and objectives when we solicit their assistance.
2. We will be very clear, in inviting nominees to apply, about what the program aims to do, how it will do it, what is required in the application process (providing basic CV material, writing essays about the sorts of values and experiences that have shaped their lives and moral beliefs) and what is required of Fellows during the Fellowship year. Our experience with the Emerging Leaders Programme is that we receive at least three times the number of applications than available slots. Every year the ratio widens.
3. We would be extremely deliberate in making selections among applicants. "Program staff" for EL means representatives from this Center and from Southern University. We are open to the notion that the selection committee might include one or more persons representing statewide organizations committed to strengthening civil society.

Persons selected as Fellows would be required, before final admittance, to review and sign a "Terms of Participation" document that spells out specifically what each is committing to do in Effective Leadership. This "contract" includes full participation in each of the curricular components. The fact is that each Fellow is taking a slot that might well have gone to another qualified person, so faithful participation is in itself an act of equity.

Duke-Southern Partnership

The Effective Leadership program is a partnership between the School of Business at Southern University and the Terry Sanford Institute of Public Policy at Duke University. The program will be hosted by the Alumni Center at Southern University. Further, the Center plans to transfer full management and further development of the program to Southern University's College of Business after the first three-years of operation. The Duke Center would continue to be involved, but in a supporting role. Our recruitment goals, as we've described above, will include awarding up to one third of the Fellowships to qualifying graduates of Southern.

Why Southern? Southern University is the only historically black university system in the United States of its size (15,000 students). Of the five institutions that make up the system, Southern University Baton Rouge is the oldest and largest. The College of Business on the Baton Rouge campus has recently established an MBA program and is eager to aid the larger society in meeting not just management needs, but in resolving socio-economic and leadership issues as well. In the post-Katrina/Rita era, Southern University is ideally suited by reputation, reach and influence to host and provide the support needed to strengthen the effectiveness of leaders serving historically disadvantaged communities.

Why Duke? The Terry Sanford Institute of Public Policy at Duke University is CLPV's home. The University and the Sanford Institute have been very supportive of our work. More

specifically, the location of CLPV within the Sanford Institute provides resources that will enhance the capacity of Fellows in the Effective Leadership program to analyze policy issues and to help develop strategies for promoting systemic change

Former United States Ambassador to South Africa (1996-2000) James A. Joseph, a Southern University graduate who also serves as Chair of the Louisiana Disaster Recovery Foundation established by Governor Kathleen Blanco, is the founder and director of the Center at Duke. He has undertaken significant leadership roles in all three sectors of American democracy. His work at the CLPV caps his career of service, including creating a large body of writing on leadership and ethics in public life. The Ambassador has agreed to modify the leadership program he created at Duke and the University of Cape Town to help meet the leadership needs of mid-career leaders in Louisiana. He tasked Dr. Lance Buhl, Deputy Director of the Center and principal architect of the ELP curriculum, to adapt that program to the needs of the Effective Leadership program, to oversee its initial implementation and assessments, and help effect its transfer to Southern University's management. The Ambassador has also pledged to be actively involved in the academic leadership of the new program.