

**MODULE I**  
**CORE LEADERSHIP**

<b>Content</b>	<b>Page</b>
I. Introduction	2
II. Decision-making	4
III. Union growth and union impact	14
IV. The Leadership's responsibility	18
V. The Leadership's Policy	32
VI. Module's summary	38

**Note:** Some pages which are intended for exercises and work during the course are omitted in the Participant's version. They will be handed out during the course.

## I. INTRODUCTION

There are many different ways of defining leadership. Leadership means different things to different people. Regardless of the type of leadership, people in the lead need to define leadership according to the role they take on. It is up to the leader or the leadership team to define what leadership means for the people they lead. Leaders want their followers to look up to them and allow them to define leadership for them.

This course will help you discover the leader within you. With your motivation and personal effort, through the lectures, exercises, self-study and group work the course will help you increase your capabilities as an effective leader and strengthen your self-confidence, vision, wisdom, motivational impact and the delivery skills which are the hallmarks of the most effective leaders. Through your own work you will become the person to whom, quite naturally, other people turn for direction.

To some, leaders are those people who have the “magic” quality of building teams effortlessly, teams whose members work together effectively and positively; they are those who bring exceptional performance improvements and success, from whom we receive unexpected rewards, whom we unconditionally respect, and who make us grow and become effective in achieving goals we would never have aspired to alone. Effective leaders are those under whose guidance we feel satisfied with our own accomplishments and willing to do more.

But leadership has nothing to do with magic attributes. Lee Thayer<sup>1</sup>, in the stimulating orientation pages to his book Leadership: Thinking, Being, Doing, explains that you cannot learn to be a leader. He proposes that History decides that. All you can do is be prepared if you are called upon to provide leadership. He argues that leadership is a specific role in a specific ongoing story. The leader’s role is to change the course of that story. Since you cannot learn to be a leader as such, he concludes that you can change the course of the story through learning how to perform leadership and preparing to fulfil that role, if by chance you are called upon to perform a specific leadership role.

How successful you are depends on how you think, because that determines who you are. And who you are determines how you will do what you do. In these words he describes the title of his book, adding that if thinking, being, doing are not in synergy within you, your leadership will not amount to much. There is no point in learning about leadership unless you have a cause that demands extraordinary performance. All the words about leadership ever written are worthless unless a great and worthy cause is at stake. He focuses on high performance and the kind of leadership required to pursue a great and worthy cause.

Through this course, we intend to provide you with the Thinking, Being, and Doing tools you will need. As Thayer suggests, you need to know not only what the territory looks like when you are crossing it, but the whys and wherefores of the journey. This Effective Leadership course intends to equip you with the ideas and navigational tools forged by us and leadership experts working directly with successful executives and leaders and from many years of researching the best that has been said or written about the subject of leadership. The only people who really understand what it takes are the people who have done it. They can tell you about their successes and failures, what works and what does not.

Some may say that great leaders are born. Our research demonstrates that great leaders have been born in challenging and stimulating environments and have made the most of their interaction with mentors and the situations they have lived through or learnt from, and from access to private or public resources, to develop their abilities. This course opens a door to resources or, if you already have them, to improvement.

---

<sup>1</sup> Leadership: Thinking, Being, Doing, New and Revised Edition, Lee Thayer, WME Books, Windsor Media Enterprises, LLC, Rochester, New York, USA, 2007.

Successful leaders start by taking the initiative to define leadership for the group and in doing so they show everyone they are ready to lead the group to reach common goals. Successful leaders know how to listen to others, too; if people do not feel comfortable enough to share their ideas and suggestions with the leader, there will be little chance for the leader to get the best out of everyone. A successful leader is aware that he or she is not the only person in the team. While it is true that the leader is responsible for execution and the team, the leader cannot take all the credit for success or put all the blame for failure on the team.

John P. Kotter<sup>2</sup> summarises the leadership function in three major and interdependent actions:

- *Establishing direction*: developing a vision of the future - often the distant future - and strategies for producing the changes needed to achieve that vision.
- *Aligning people*: communicating direction in words and deeds to all those whose co-operation may be needed so as to influence the creation of teams and coalitions that understand the vision and strategies and accept their validity.
- *Motivating and inspiring*: energising people to overcome major political, bureaucratic, and resource barriers to change by satisfying basic, but often unfulfilled, human needs.

Is the journey towards effective leadership difficult? More difficult than you can imagine. Is there a simple formula? No, there is no magic formula. In this course, you will find tools that will help you resolve the challenges you will encounter on the journey and structured thinking to perform the leadership role with a clear and realistic vision and with honesty and integrity about your successes and failures.

The course will demonstrate that effective leadership abilities are acquired through human interaction, knowledge of the organisational and external environments, personal insight about the effort effective human relations demand and determination.

To support the learning, the course will provide indispensable tools through practice and interaction between participants and exercises on the application of these tools. The course will also provide the background for continuous learning and improvement as participants apply these tools back in their own organisations developing their own leadership approach further to lead sustainable and effective companies and organisations with efficiency, coherence and integrity.

---

<sup>2</sup> Leading Change, John P. Kotter, Harvard Business School Press, Boston, Massachusetts, USA, 1996. – (See also A leader's Manual, Union Network International, 2002, Theory, p.11).

### III. UNION GROWTH AND UNION IMPACT

#### Vision<sup>4</sup>

Without a vision that can be clearly defined, explained and understood, leading has little sense for most people and the Leadership will have a very hard time convincing members of the reasons for which they have to move. However, if the vision is clear, logical and easy to understand, members will take action on their own will.

Example: *Imagine that three groups of ten individuals are in a park at lunchtime and rain is threatening.*

- *In the first group, someone says: "Get up and follow me." When he starts walking and only a few others join in, he yells to those still seated: "Up, I said, and NOW!"*
- *In the second group, someone says: "We are going to have to move. Here is the plan. Each of us stands up and marches in the direction of the apple tree. Please stay at least two feet away from one another and do not run. Do not leave any personal belongings on the ground here and be sure to stop at the base of the tree. When we are all there, we will... .. the reason for..."*
- *In the third group, someone tells the others: "It is going to rain in a few minutes. Why don't we go over there and sit under that huge apple tree. We'll stay dry, and we can have fresh apples for lunch."*

The Leadership's Vision should not be confused with the union's "Mission Statement" which is usually stated in its constitution as principles and objectives, or in some cases translated into an easily comprehensible statement of a few paragraphs that is distributed at large in campaigns seeking support or increased membership.

The Leadership's Vision triggers strategic action within the union towards meeting the union's mission objectives in the present, medium and long terms. The development of a vision is the Leadership's responsibility, often developed first as a draft and eventually refined and circulated through the union's structures as a declaration of the Leadership about how they see their role in leading the union into the future. Often, before the Leadership circulates its visionary declaration they will have obtained the support of the National Executive Committee. It will highlight a variety of results projected over time.

#### Examples:

- *"Based on the organising capabilities we have already developed, on our commitment to continue to develop them and on the support received from our current membership so far, we see our union increase membership reaching a coverage of 75% of all our sector workers in 5 years, and 95% in years 10 years from now."*
- *"We foresee that technological development will facilitate the exchange of information and allow us to set a fully computerised on-line training programme for all Branch staff and officials within the next five years."*
- *"Based on the planned implementation of the Congress' decisions, our understanding of membership aspirations, and the support received from members so far, we see our union achieving a minimum of 80% of membership participation in all public demonstrations planned during our leadership period."*

Vision is a picture of the future with some implicit or explicit commentary on why people should strive to create that future. In a change process, a good vision serves three important purposes: it clarifies the general direction by stating it in specific terms; motivates people to take action in the right direction, even if the initial steps are painful; helps co-ordinate the action of different people, even thousands of individuals, in a remarkably fast and efficient way.

---

<sup>4</sup> Adapted from A Leader's Manual, Union Network International, 2002, Theory, p.13-16.

An effective vision declaration shows a situation that is *imaginable*, conveying a credible picture of what the future looks like. The effective vision declaration is also *consistent*, and fits within the Organisation's Mission. It is also *desirable*, appeals to the long-term interests of members and stakeholders. It is *feasible*, comprising realistic and attainable goals; *focused*, clear enough to provide guidance in decision-making and *flexible*, general enough to allow individual initiative and alternative responses in light of changing conditions.

Very important: the Vision is *communicable*, which means it can be easily communicated and successfully explained and understood in a very short time.

Most important: the Vision is valid, responds to the explicit or implicit genuine concerns or desires of members and/or to important and demonstrable threats that endanger the survival of the union.

#### Creating an effective vision

- *First draft*: the process often starts with an initial statement from a single individual, reflecting both his or her dreams and real "labour market" needs.
- *Evolution*: the first draft is always modelled over time by the Leadership, sometimes with the help of an even larger group of people. For example, specific members of the N.E.C., Department Directors in the Central Office, or others with specific capabilities who may be called upon to join the Leadership in this task.
- *Importance of teamwork*: a minimum of effective teamwork is required to ensure that the group process works well to create the vision.
- *Thinking process*: both analytical thinking and considerable imagination are essential throughout the activity.
- *Initial confusion*: vision creation is usually a process of two steps forward and one step backward, movements to the left and then to the right, and so on.
- *Time frame*: the creation of vision requires multiple meetings. The activity may take weeks, months, sometimes years, and as the world changes it must be periodically adjusted.
- *End product*: the process results in a direction for the future that is desirable, feasible, focused, flexible, valid, and can be conveyed in five minutes or less.

#### IV. THE LEADERSHIP'S RESPONSIBILITY

##### 1 Definitions

**The Leadership** is understood here as the group of people who lead a union. They are usually elected officers and top level staff with roles such as President, Secretary General, Treasurer, Chief Legal Officer, Chief Executive Officer, Managing Director or other denominations that bestow the incumbents with top level responsibilities vis-à-vis members, staff, suppliers, interested parties and society at large.

**Supplier** is understood here as any organisation or person that provides hard, soft or virtual inputs to the union

**Process** is a set of interrelated or interacting activities which transforms inputs into outputs (Inputs to a process are generally outputs of other processes. – Processes in a union are generally planned and carried out under controlled conditions to make a desired impact or achieve a specific improvement of workers' conditions).

**Stakeholder** is any person who works for or belongs to the organisation or receives benefits or provides inputs to the organisation or has an interest in receiving benefits or providing inputs to the organisation or is affected by the organisation's outputs. In other words: anyone who has a "stake" in the organisation.

##### 2 Case-Study

One of our case-studies shows what members of an organisation demand from their association's leadership. After a discussion on the Leadership's responsibility, the association of professionals referred to in this case-study came up with ten responsibilities. They cover in a generic manner the most commonly known responsibilities of the Leadership taught in leadership courses.

#### Brainstorming on Ten Responsibilities of the Leadership<sup>5</sup> – (Analysis on the comments and conclusions proposed)

*ASEA & The Center for Association Leadership<sup>6</sup> asked the members of one of their associations to brainstorm on the responsibilities of the Leadership, and chose the ten most important. Participants were also asked to comment on each responsibility. Participants' opinions have been edited by our experts to adapt them to trade unions, eliminate repetitions and facilitate understanding. When asked to put them in order of importance, our experts concluded they all are equally important and ordered them in the way they felt was easier to read with no special preference for one another.*

##### 1 **The Leadership sets the example.**

This is a fundamental responsibility. If members of the Leadership demonstrate weak ethics, members and staff will pay little attention to the union vision and mission. If there is no responsibility, integrity, and pragmatism at the top, bad habits will proliferate throughout the structures and results will be failures rather than successes.

.../.

<sup>5</sup> <http://www.asaecenter.org/PublicationsResources/whitepaperdetail.cfm?ItemNumber=24226>

<sup>6</sup> Ten Responsibilities of the Leadership, Robert A. Hall (article) – ASAE & The Center for Association Leadership – ASAE & The Center Building, 1575 I St. NW, Washington, DC 20005, USA – Source: Center Collection, 2007.

**2 The Leadership leads, manages and pays attention to members and staff.**

In a well-organised union the Leadership hires, supervises, compensates, and, when necessary, terminates staff but also pays attention to the staff's welfare and training needs of both staff and members. Most important, the Leadership has the responsibility to lead staff and members, to stimulate their interests and to develop their enthusiasm for the union mission.

Depending on the type of union, it is common that members of the Leadership have certain privileges to facilitate their work. However, the leaders must demonstrate, through their competence and behaviour towards staff and members that they deserve such privileges and that they use them to the benefit of the union and not for their personal profit. Otherwise they will lose their respect and their careers as union leaders will soon become meaningless.

**3 The Leadership maintains ethics and integrity within the union.**

The Leadership always speaks up for what is right even when there is a price to pay for it. In the long run, the price is much higher when things are done behind the backs of those who should be informed, or for things that benefit a small group at the expense of many. The effective Leadership has the moral courage to lead with integrity.

**4 The Leadership helps the N.E.C. to focus on the big picture.**

The Leadership has the challenge of running the union on a daily basis, an advantage and an opportunity they must use to guide the National Executive Board towards the issues that count most. Our evaluation experience demonstrates that the National Executive Committee members who operate under different daily pressures, may sometimes influence the N.E.C. into focussing attention on the micro level or on issues of minor importance, drifting away from the main issues that affect the union or from strategic plans where expected results are more important, although more difficult to define and achieve.

Some people may find this controversial and would say that the Leadership's responsibilities lie with the N.E.C. or the Congress, and they would be right if referring to the authority for political decision-making. But when talking about those who have been given the task to lead operations in the field, it becomes a natural responsibility for the Leadership to help the N.E.C. and the Congress to take political decisions with due knowledge of the situation on the ground.

**5 The Leadership members are competent and know their role well.**

Leading quickly becomes a profession and the Leadership members must have knowledge not only of the union as a whole but of many subjects required to lead the union effectively and efficiently<sup>7</sup>. No one can know it all and the amount of information and knowledge available grows more rapidly than anyone can cope with. If union leaders are not aware of all the disciplines necessary to lead and manage the union, the respect of staff and members will be lacking.

Therefore it is vital that the Leadership members keep up-to-date with knowledge and information, that they attend meetings and training events to increase their capabilities and read books and publications and consult the Internet on the subjects that benefit the union.

.../.

<sup>7</sup> Late professor Peter Drucker pointed out in the 1970s that effectiveness is 'doing right things, while efficiency is doing things right'.

**6 The Leadership is committed to the union's mission.**

The members of the Leadership must feel a real commitment to the union's mission, vision and purpose. They are expected to continuously drill these ideas so they are kept alive in everyone's mind. By the same token, staff and member will notice the Leadership's lack of enthusiasm very quickly if leaders become lazy and complacent. A decline in overall performance and achievement will result in and cause damage to the union and its members.

**7 The Leadership puts in practice the N.E.C.'s and Congress decisions fully and enthusiastically.**

The N.E.C. and the Congress directs the goals, priorities and political direction of the union. If the Leadership believe what they are doing is counter productive, it must tell them. But once they decide, the Leadership must go forward, unless the course is unethical or illegal. However, if after having told them, the decision is still contrary to what the Leadership believes, this team or the members who cannot follow must find another engagement.

**8 The Leadership asks the tough questions.**

Through our evaluation experience we have seen trade union leaders take important and difficult decision that have benefited their unions. We have also seen other leaders stuck in old models, and put "roadblocks" in the way of needed development programmes: people who have become "too conservative" and "out of touch with the changing times." We have even seen stubborn leaders divide unions instead of building strengths and listening to their members' needs.

Before a badly-managed project produces bad results and costs more that foreseen, before the finger-pointing begins, a good leader knows he or she may be putting his/her role on the line, but asks: Is this really the right way forward? Should we change the strategic plan? Can the budget afford it? Does it agree with the mission? Is this legal and ethical? Have other unions done this and with what results? Is this feasible? Are there references to help us decide? Better to ask the tough questions first than take the risk which might weaken the union.

**9 The Leadership leaves the union in better shape than when they took on their functions.**

Flashy projects may make some one popular. Quick fixes to members' problems may be tempting. But the Leadership's job is to make sure that the union is more fiscally sound, better operated, more respected and stronger the day you as a leader leave than the day you took on these functions. Leaders are expected to be the catalysers, the facilitators of growth, improvement and success.

**10 The Leadership ensures that the union will still exist in ten years time to carry on the good work.**

Of course, it is possible that due to the impact of changes in the economy, or of the changing pace of technology, or political or social turmoil, the National Executive Committee, even the Congress, or a segment of the membership, can push the ship onto the rocks despite the Leadership's best efforts. But if your union has become a world where short-term thinking is endemic, and where geese are regularly slaughtered in the vain search for golden eggs, someone has to be focused on the long term. That someone is the Leadership or even you alone as the only effective leader left.

### 3 Making the Leadership's responsibility effective

A trade union is an organisation where people interact for a common cause seeking a sustainable impact to improve workers' conditions and welfare. For effective leadership, worker organisations must be understood as systems where inputs, if properly channelled and transformed by the union structures, will produce the desired outcome and impact. The central responsibility for ensuring that inputs are converted into the appropriate outputs is the union's top Leadership. In the next paragraphs we provide a set of suggestions that can help the Leadership increase their effectiveness in performing their responsibility, based on guidelines published by ISO for performance improvement<sup>8</sup> and adapted to the conditions of workers' organisations:

#### 3.1 General suggestions

Commitment and the active involvement of the Leadership are essential for developing and maintaining effective and efficient union processes to achieve benefits for members and workers in the union's sector and beyond. To achieve these benefits, it is necessary to establish, sustain and increase membership satisfaction.

The Leadership should consider actions such as:

- establishing a vision, policies and strategic objectives consistent with the purpose of the union;
- leading the organization by example, in order to develop trust within its people;
- communicating strategic direction and values regarding efficiency of operations;
- participating in improvement projects, searching for new methods, solutions and impact,
- obtaining feedback directly on the effectiveness and efficiency of the leadership and the outcome of operations;
- identifying the operations' implementation processes that provide added value to the cause of the union;
- identifying the support processes that influence the effectiveness and efficiency of operation processes;
- creating an environment that encourages the involvement and development of members and other workers and supporters, and
- providing the structure and resources that are necessary to support the union's strategic plans.

The Leadership should also define methods for measurement of the union's performance in order to determine whether planned objectives have been achieved.

Methods include:

- financial measurement;
- measurement of the effectiveness of operational processes throughout the union;
- external measurement, such as benchmarking and third-party evaluation;
- assessment of the satisfaction of members, workers and other supporters such as global federations and solidarity support organisations (SSOs);

---

<sup>8</sup> ISO 9004:2000(E), Quality management systems — Guidelines for performance improvement, Second edition, International Standards Organization, 2000.

- assessment of the perceptions of members, workers and other supporters such as global federations and solidarity support organisations of the impact of products, services provided and operations undertaken by the union;
- measurement of other success factors identified by the Leadership, and
- constant monitoring of all processes and activities that have an impact on the union's life and future.

Information derived from such measurements and assessments should also be considered as input to the Leadership review process in order to ensure that continual improvement of the operational systems is the driver for further development and impact of the union.

### 3.1.1 Principles of effective union leadership

When developing, implementing and managing the union's operational system, the Leadership should consider the efficiency principles outlined below.

These principles have been developed for use by the Leadership in order to lead the union toward improved impact. Efficient leadership principles internationally recognised as standard principles for systemic leadership of organisations are stated below as they apply to unions' operational systems.

Unions should:

#### a) Focus on members, workers and supporters

Unions depend on their members, workers and supporting institutions and therefore should understand the current and future needs of their members and supporters. They should meet members' and supporters' requirements and strive to exceed their expectations.

#### b) Have coherent leadership

Union leaders establish unity of purpose and direction of the union. They should create and maintain the internal environment in which people can become fully involved in achieving the union's objectives.

#### c) Involve people

People at all levels are the essence of an organization and their full involvement enables their abilities to participate for the organization's benefit in pursuit of its objectives.

#### d) Apply a process approach to operations

A desired result is achieved more efficiently when activities and related resources are managed as a process.

#### e) Apply a system approach to operations

Identifying, understanding and managing interrelated processes as a system contributes to the union's effectiveness and efficiency in achieving its objectives.

#### f) Pursue continual improvement

Continual improvement of the union's overall efficiency and impact should be a permanent objective.

#### g) Use a factual approach to decision-making

Effective decisions are based on the analysis of data and information.

#### h) Strive for mutually beneficial supplier relationships

A union and its suppliers are interdependent and a mutually-beneficial relationship enhances the ability of both to create value, achieve objectives or make a desired impact.

Successful use of the eight principles of effective leadership by a union will result in benefits to all interested parties, such as improved membership, improved financial situation, achievement of objectives, impact and increased stability.

On the basis of these principles, the Leadership should demonstrate leadership in, and commitment to, the following activities:

- understanding current and future members', workers' and supporters' needs and expectations, in addition to requirements;
- promoting policies and objectives to increase awareness, motivation and involvement of members and supporters of the union;
- establishing continual improvement as an objective for all processes of the union;
- planning for the future of the union, and managing change;
- setting and communicating a framework for achieving the satisfaction of all supporters.

In addition to ongoing continual improvement, the Leadership should also consider breakthrough changes to processes as a way to improve the union's performance. During such changes, the Leadership should take steps to ensure that the resources and communication needed to maintain the functions of the operations system are available.

For example, the Leadership should identify the union's operational processes, as these are directly related to the success of the union. The Leadership should also identify those support processes that affect either the effectiveness and efficiency of operations or the needs and expectations of members and supporters.

Then, the Leadership should ensure that processes operate as an effective and efficient network. The Leadership should analyse and optimize the interaction of processes, including both operational processes and support processes.

Consideration should be given to:

- ensuring that the sequence and interaction of processes are designed to achieve the desired results effectively and efficiently;
- ensuring process inputs, activities and outputs are clearly defined and controlled;
- monitoring inputs and outputs to verify that individual processes are linked and operate effectively and efficiently;
- identifying and managing risks, and exploiting performance improvement opportunities;
- conducting data analysis to facilitate continual improvement of processes;
- identifying all those who are responsible for process and giving them full responsibility and authority;
- managing each process to achieve the process objectives, and
- the needs and expectations of all supporters and interested parties.

### 3.2 Needs and expectations of interested parties

The needs and expectations of interested parties are at the origin of organising workers, each party having different but not necessarily opposite needs and expectations.

#### 3.2.1 Stakeholders

In Organisational Development, interested parties are often referred to as “stakeholders”. For a union, stakeholders include:

- present and potential members and their families;
- other workers and their families;
- staff and volunteers working with the union;
- employers and investors;
- public and private sector institutions;
- solidarity support organisations (SSOs);
- individual supporters;
- suppliers;
- partner unions and organisations;
- potential partners;
- non-governmental ally organisations (NGOs) and institutional sponsors, and
- society in terms of the community and the public affected by or benefiting from the union or its operations.

#### 3.2.2 Handling stakeholder needs and expectations

The success of the organization depends on identifying, understanding and satisfying the current and future needs and expectations of stakeholders.

Examples of stakeholder needs and expectations, for a union, include among others:

- conformity,
- dependability,
- availability,
- delivery,
- post-implementation processes,
- membership cost
- operational costs and other financial efforts required from members, supporters or suppliers,
- safety,
- liability,
- reliability,
- environmental impact.

Stakeholders can be internal and external. Therefore unions should identify needs and expectations of both in the areas where the union is making a difference or can make a difference. This identification should include, too, needs and expectation for recognition, work satisfaction (for staff), satisfaction with roles and functions assigned, satisfaction with operational outcomes, and with personal development acquired through participation in union activities. Such attention helps to ensure that the involvement and motivation of people are as strong as can be expected.

In order to achieve appropriate understanding of stakeholder needs and expectations, the Leadership should:

- identify the union's stakeholders by categories;
- use appropriate research techniques and research systems to identify the needs and expectations of each group of stakeholders.
- jointly establish a clear understanding of the stakeholders' needs and expectations and where valid those of, commercial customers;
- translate identified needs and expectations into requirements, and
- communicate the requirements throughout the union.

To satisfy stakeholder needs and expectations, the Leadership should:

- design responses to identified needs and expectation that fall within the unions mandate and capabilities;
- implement and monitor responses in a systemic way that ensures efficiency and avoids waste and unnecessary risk;
- establish open two-way communications with stakeholders to ensure that needs and expectations are being satisfied and that stakeholders understand the union's impediments for unsatisfied needs and expectations;

In relation to the trade union market<sup>9</sup>, the union should be sensitive to market opportunities, weaknesses and competitive advantages over other unions, worker organisations, associations, NGOs or other organisations' activities or products attracting the participation of workers in the union's sector. Therefore, the Leadership should:

- identify and assess competition, rivalry, duplicity, unattended needs and expectations;
- consider the potential benefits of establishing partnerships with suppliers to the union, so as to create mutual trust, share strategies, and achieve compatible objectives for both parties.
- assess government mediating capabilities and the union's capabilities to influence government decisions;
- assess employers' capabilities for negotiation and ensure that the union's capabilities for negotiation match those of employers;
- define financial and other objectives that satisfy explicit or implicit agreements with employers, investors and institutional supporters such as SSOs and donors.
- ensure that the union's development, education and training programmes respond to the market's needs.

In relation to society at large, the Leadership should ensure that the union:

- demonstrates responsibility for health and safety;
- considers environmental impact, including conservation of energy and natural resources;
- identifies applicable legal, statutory and regulatory requirements, and applies them, and
- identifies the current and potential impacts on society in general, and local communities in particular, of its operations, outputs, processes and activities.

<sup>9</sup> The Trade Union's market – A Leader's Manual, Union Network International, 2002, Theory, p.19-22.

Overall, the Leadership should establish a system to:

- review and improve operational processes to ensure adequacy of responses vis-à-vis change.
- assess the continued validity of partnership goals;

### 3.2.3 Statutory and regulatory requirements

The Leadership should ensure that everyone in the union has knowledge of the statutory and regulatory requirements that apply to its operations, processes and activities and should include such requirements as part of the operational system. Consideration should also be given to:

- the promotion of ethical, effective and efficient compliance with current and prospective rules (the Constitution to begin with) and requirements;
- the benefits to interested parties from added-value beyond established requirements, and
- the role of the union in the protection of common interests.

### 3.3 Policy on operational efficiency

The Leadership should use the Leadership's Policy as a means of leading the union toward improvement of its performance.

At the same time the Leadership should elaborate an Operational Efficiency Policy which should be a consistent part of the union's overall policies reflected in the union's Mission Statement and strategies which should be known, understood, and applied by everyone who has a role or a task to accomplish for the union.

In establishing the Operational Efficiency Policy, the Leadership should consider

- the level and type of future improvement needed for the union to be successful;
- the expected or desired degree of member, stakeholder and supporter satisfaction;
- the development and training of members and staff in the union;
- the needs and expectations of other interested parties;
- the resources needed to go beyond the Congress, N.E.C. and current strategy requirements, and
- the potential contributions of suppliers, potential members, SSOs, partners and supporters.

The Operational Efficiency Policy can be used for improvement provided that:

- it is consistent with the Leadership's vision and strategy for the union's future;
- it permits operational efficiency objectives to be understood and pursued throughout the union;
- it demonstrates the Leadership's commitment to efficiency and the provision of adequate resources for achievement of objectives;
- it aids in promoting a commitment to operational efficiency throughout the union;
- it includes continual improvement related to satisfaction of the needs and expectations of members, stakeholders, supporters and other interested parties, and
- it is effectively formulated and efficiently communicated.

As with other union policies and regulations, the Operational Efficiency Policy and Mission Statement should be periodically reviewed.

### 3.4 Planning

Planning is the act of formulating a programme for a definite course of action including the process of delineating what should be done in the event of unexpected circumstances impeding the union to follow the programmed route.

The planning process has its foundations on the Leadership's Vision, policies and strategies and is characterised by the application of logic to define the goals and objectives and to formulate projects and procedures to realise them within a perspective of time and mobilisation of resources.

#### 3.4.1 Efficiency in setting effective objectives

The union's strategic planning and the policy on operational efficiency provide a framework for the efficiency in setting objectives.

The Leadership should establish these objectives with a view to improve the union's performance. When establishing these objectives, the Leadership should also consider:

- current and future union needs and the needs in the labour markets served;
- relevant findings from Leadership reviews;
- current operations and process performance;
- levels of satisfaction of members, stakeholders, supporters and interested parties;
- self-assessment results;
- benchmarking, competitor analysis, opportunities for improvement, and
- resources needed to meet the objectives.

An efficient method to set effective objectives is the technique called "SMART Objectives"<sup>10</sup>. The spelling of the term "smart" should remind planners of the five basic requirements of an effective objective. (See frame below)

SMART Objectives
<p><b><u>Specific</u></b></p> <p>Specific objectives are clear and well-defined. This helps both the performers and the leaders, as the performers know what is expected of them and the leaders are able to monitor and assess actual achievement against the specific objectives.</p> <p>Specific objectives may well include a scope description, which includes details of what is and is not included.</p>
<p><b><u>Measurable</u></b></p> <p>Progress on the way towards achievement of objectives often needs to be monitored whilst work is under way. It is also very useful to know when that work has been done and the tasks completed. A measurable objective helps to find timely options when initially planned activities face unexpected obstacles to achieve the objective.</p> <p style="text-align: right;">.../.</p>

<sup>10</sup> The origin of the term is unknown, but Peter Drucker, in his 1954 seminal work, The Practice of Management outlined a system that was very similar to SMART objectives while discussing objective-based management. Later in the 1970s and 80s together with many others adopted the SMART acronym to synthesise the method.

### **Achievable**

Achievable objectives ensure that everything is in place. The person or team in charge has the skills and resources (personnel, equipment, software and other means) necessary to achieve the set objectives including full access to required key people and the support from the Leadership.

### **Relevant**

Objectives should also add useful value to the union's mission within its sector and the labour market in general and within the specific context where they are being set. They must also be aligned with the union's strategies and higher goals.

### **Time-bound**

Descriptions of objectives should specify when they will be achieved and include timescales of what is required in the time-frame. This may also include details of delivery of inputs required and completion of intermediate progress. When the achievement process will take considerable time, the inclusion of milestones provides a useful reference for efficient monitoring.

Objectives should be communicated in such a way that members can easily understand them and contribute to their achievement. Responsibility for disseminating objectives should be defined. In addition, objectives should be systematically reviewed and revised as necessary.

A monitoring system should exist to follow-up on the process of objective-achievement so that the Leadership can easily be aware of the progress, take corrective actions if necessary and learn from evaluation and review.

#### 3.4.2 Effective and efficient planning process

The Leadership should take responsibility for the efficiency of the union's planning process. Planning should focus on defining the processes needed to meet the union's objectives and requirements effectively, efficiently and in line with strategies.

Inputs for effective and efficient planning include:

- union strategies;
- defined organizational objectives,
- defined needs and expectations of the members, stakeholders, supporters and other interested parties;
- evaluation of statutory and regulatory requirements;
- evaluation of performance data of the union's operational results,
- evaluation of the effectiveness of monitoring systems;
- lessons learned from previous experience;
- indicated opportunities for improvement, and
- related risk assessment and mitigation records.

Outputs of effective and efficient planning for the union should define the operational results and support processes needed in terms such as

- skills and knowledge needed by the union,
- responsibility and authority for implementation of process improvement plans,
- resources needed, such as financial and infrastructure,
- metrics for evaluating the achievement of the union's performance and improvement
- needs for improvement including methods and tools, and
- needs for documentation, including records.

The Leadership should systematically review outputs and results to ensure the effectiveness and efficiency of the processes of the union.

### 3.5 Responsibility, authority and communication

Responsibility, authority and communication are interdependent

#### 3.5.1 Responsibility and authority

The Leadership should define, delegate and then communicate the responsibility and authority for processes and activities in order to implement and maintain an effective and efficient operational system.

Members throughout the union should be given responsibilities and authority to enable them to contribute to the achievement of the union's objectives and to strengthen their involvement, motivation and commitment.

#### 3.5.2 Delegation

The Leadership should delegate as much as possible and give authority to key officers to manage, monitor, evaluate and coordinate the operations. These appointments should strengthen effective and efficient operations and improvement of the union's operational system. Thus, these officers become the representatives of the Leadership and should report to the Leadership and communicate with members and other interested parties on matters pertaining to the operations delegated upon them.

#### 3.5.3 Internal communication

The Leadership of the union should define and implement an effective and efficient process for communicating the policy on operational efficiency, requirements, objectives and accomplishments. Providing such information can aid in the union's performance improvement and directly involves members in the achievement of the union's objectives. The Leadership should actively encourage feedback and communication from members as a means of involving them and promoting bottom-up flow of information.

Activities for communicating include, for example:

- Leadership-led communication in work, operations and impact areas;
- team briefings and recognition of achievement;
- notice-boards, internal journals/magazines,
- audio-visual and electronic media, email and websites, and
- member surveys and suggestion schemes.

### 3.6 Leadership review

Effective leadership has the task of matching human behaviour with a continuously changing world in order to meet human needs through organisational means. Therefore, the process of leadership requires that often after advancing a few steps forward a need to ensure that the union is still going in the right direction becomes critical. Sometimes, a few steps back are necessary to redirect the organisation appropriately. The only way to ensure that the path being followed is the correct one is an efficient review of where the union is in relation to the route marked on the map.

#### 3.6.1 General suggestions

The Leadership should develop the Leadership review activity beyond verification of the effectiveness and efficiency of the union operational system into a process that extends to the whole union, and which also evaluates the efficiency of review systems that should be platforms for the exchange of new ideas, with open discussion and evaluation of the inputs being stimulated by the Leadership.

To add value to the union operations from the Leadership review, all those with an assigned responsibility within the union should control the performance of operational and support processes by systematic review based on the Principles of effective union leadership (3.1.1). The frequency of review should be determined by the needs of the union, for example: prior to N.E.C. statutory meetings, or equivalent statutory regulations for regional and local levels, or prior to the Congress. Inputs to the review process should result in outputs that extend beyond the effectiveness and efficiency of the union's operational system. Outputs from reviews should provide data for use in planning for operational performance improvement of the union and for strategic decision of the various executive-level and Congress decisions.

#### 3.6.2 Review inputs

Inputs to evaluate efficiency as well as effectiveness of the union's operational system should consider the members, potential members, supporters and other interested parties and should include:

- status and results in achieving objectives and improvement activities;
- status of Leadership review action items;
- results of evaluations and self-assessment of the union;
- feedback on the satisfaction of interested parties, even to the point of their participation;
- issues related to the union's market such as technology, research and development, and competitor performance;
- results from benchmarking activities;
- performance of suppliers;
- new opportunities for improvement;
- control of process and failures;
- union marketplace assessment and strategies,
- status of strategic partnership activities;
- financial effects of efficiency related activities, and
- other factors which may have an impact on the union, such as financial, social, political, economic or environmental conditions, and relevant statutory and regulatory changes.

### 3.6.3 Review outputs

By extending the Leadership review beyond verification of the union's operational system, the outputs of the Leadership review can be used by the Leadership and by statutory decision-making bodies as inputs to improvement processes. The Leadership can use this review process as a powerful tool in the identification of opportunities for performance improvement of the union. The schedule of reviews should facilitate the timely provision of data in the context of strategic planning for the union. Selected outputs should be communicated to demonstrate to members of the union how the Leadership review process leads to new objectives that will benefit the union.

Additional outputs to enhance efficiency include, for example:

- performance objectives for operations and processes;
- performance improvement objectives for the union;
- appraisal of the suitability of the union's structure and resources;
- strategies and initiatives for advocating operations, and satisfaction of members, supporters and other interested parties;
- plans for prevention and reduction of losses under identified risks (e.g. financial resources, membership, political support), and
- information for strategic planning for future needs of the union.

Records should be sufficient to provide for traceability and to facilitate evaluation of the Leadership review process itself, in order to ensure its continued effectiveness and added value to the union.

## V. THE LEADERSHIP'S POLICY

### 1 Definitions

**The Leadership's Policy** is a contract between the members of the Leadership that defines the Leadership's common objectives, their areas of authority and responsibility and the methods of internal and external communication between themselves and towards their union and their union's stakeholders.

The Leadership's Policy is not a statutory requirement but a voluntary agreement amongst top leaders – a gentlemen's agreement between high level people who have been given the responsibility for the efficient development of their union. Whether verbal or in writing, it rules the way they interact, the frequency of individual and team interaction and provides the parameters for strengthening mutual trust amongst the Leadership team members.

**Contract** is an agreement between two or more persons that creates an obligation to do or not to do a particular thing. In most cases a contract is a legally binding agreement, but in this case it is an agreement between the members of the Leadership that creates or modifies an existing relationship.

In psychology, contracts are often tacit or verbal agreements between the doctor and the patient, and in business, a tacit or verbal contract is generally called a "gentlemen's agreement".

### 2 Introduction

#### 2.1 Do leaders need to have management capabilities?

Yes and no: Leaders need to know about running (managing) organisations and about the techniques needed to run the union to show credibility. But Leadership is not managing. Managing is a job in its own right, and a good manager is not necessarily an effective leader. Similarly, a leader may not be the best person to manage a project or programme. The difference between leadership and management is an important one: Leadership is what opens the possibility for a future and inspires other people to get into action to bring about that future; Management is what gets things done, with real results, on time and under or within budget.

#### 2.2 What makes leaders successful?

##### 2.2.1 Passionate commitment

This is not simply wanting some result or object; rather, it is being deeply committed to something, or standing firmly for a new future to occur-especially a future that would not otherwise come about. Being only at the forefront of a movement that is already heading in a direction is not leading. Potential leaders have to desire something that is bigger than they can accomplish on their own, something that is big enough that they need to have other people participate. A leader may be without authority, power, or position, but she or he believes that things could be other than they are and is willing to do extraordinary things to move people to bring change. Perhaps, because everyone has a passion in some area of life, everyone can be a leader in his or her own area.

##### 2.2.2 Collective feasibility

Without leadership, our society, professions, organizations, and projects will have a reasonably predictable future. But a deep desire can create a new future and open the possibility that events and processes can take a different path and go toward a different end. A leader has this desire and gives other people access to it, and the desire becomes their fuel to go somewhere they did not know they could go to or commit to alone. Some people call this the Vision aspect of leadership. What makes leadership visionary is that the leader sees and wants something that will not happen,

given the natural drift of events, without his or her action. The Vision may be for a future that is grand and spectacular, desirable and at the same time feasible only if done collectively. By his/her action the leader makes this Vision a collective goal.

### 2.2.3 Demand for attention

Leaders lead by demanding that others pay attention to their passion, by making it clear to people what their commitment is and by asking them to participate. And this is not ordinary asking but is stronger than that. Leaders' demands generate opportunities in which other people can take action and contribute.

Demand for attention or action is about communication. It arises after the leader recognizes his or her passion is feasible and worth the risks of attracting the attention of others for it. No matter how great the passion and how feasible the possibility, there is no leading without communication to share the passion, the commitment, and vision for a new future. The result depends of course on the quality of the communication methods and the means used to demand the required attention.

### 2.2.4 Re-designing oneself

Passion and communication will take the leader far. But if the leader wants to sustain followers' attention and the impact of collective work on a complex mix of people and rules, passion and communication alone are not enough. The leader must be willing to "reinvent" her/himself over and over again to appropriately respond to followers' expectations, listen to them, become public, modify his/her behaviour to continue to be the exemplary figure everyone wants, and confront both praise and resistance serenely. The Leader must be ready to face the fact that the greater the degree of success in leading the union, the greater the demands to perform as a leader will be, and the greater the need to excel in guiding the union.

## 3 The Leadership's Policy

It is appropriate to recall at this point that the union's Leadership is formed primarily of elected or designated national officers and top level staff of the union. (See definitions at the beginning of the section "The Leadership's Responsibility").

A number of practical steps are explained below to facilitate the understanding and importance of elaborating a Leadership's Policy as a fundamental organisational basis for the success of the Leadership's role.

### 3.1 Organisation of the Leadership

Once the Leadership team has been designated, its internal organisation should be achieved and communicated at the shortest possible delay:

### 3.2 Vision

In their first team meeting, the Leadership members should agree on their common vision of the union in a medium and long-term perspective and on the contribution towards that vision they will be able to make during their mandate.

### 3.3 The Leadership's Policy

In the first team meeting, they should also elaborate the policy they will apply to themselves as a team and in their interactions with other team members. Members of the Leadership should consider this policy as a solidarity contract between themselves on the basis of trust.

The Leadership's Policy should:

- define the relationships between the members of the team and the team's modus-operandi. This will strengthen their role as "the Leadership" for the period of their mandate and facilitate their work as a team. The method to reach this agreement will depend on the members of the Leadership themselves;

- include a commitment to comply with the union's rules and regulations, and to continually improve the efficiency and effectiveness of the Leadership's operational system;
- define the Leadership's "modus-operandi", the ways and methods the team will use to operate in an organised manner;
- ensure that the Leadership will pull in the same direction and act with the same purpose, and
- establish a method for review and improvement of the policy.

If the Leadership decides not to issue a document in this respect, at least a record of the meeting should be kept outlining the main elements of the policy.

### 3.4 The union's Operational Efficiency Policy

Once the Leadership team has defined its internal operational policy, the team should elaborate, or if it already exists, review or confirm, the union's Operational Efficiency Policy.

The Operational Efficiency Policy should:

- be appropriate to the purpose of the union;
- facilitate the realisation of the Leadership's Vision of the union;
- provide the framework on which to elaborate the union's Mission Statement, and
- define the method for review and improvement of the policy.

### 3.5 The union's Mission Statement

Although the union's mission is usually well defined in the Constitution, it is not always easy to single it out or easily relate it to the current vision, policies and immediate needs of the union.

A Mission Statement however, is a much more flexible document than the constitution and can be updated when needed to explain the union's mission in the context of present conditions. It helps advocate priorities of the times and gather membership support for the Leadership's strategies to implement statutory decisions.

Most Mission Statements are never longer than a page or a few paragraphs: a brief, motivating and brief presentation linking the Vision and the Operational Efficiency Policy to the union's mission as defined by the Constitution.

The mission should cover:

- core values;
- core purpose;
- visionary goals;
- methodologies to attain goals (feasibility), and
- include a motivational conclusion.

The latter should be understood as introducing a clear Leadership's demand for attention to impending priorities and a passionate call for united and collective work. A document that defines direction, the Mission Statement should be periodically reviewed and if necessary revised and updated.

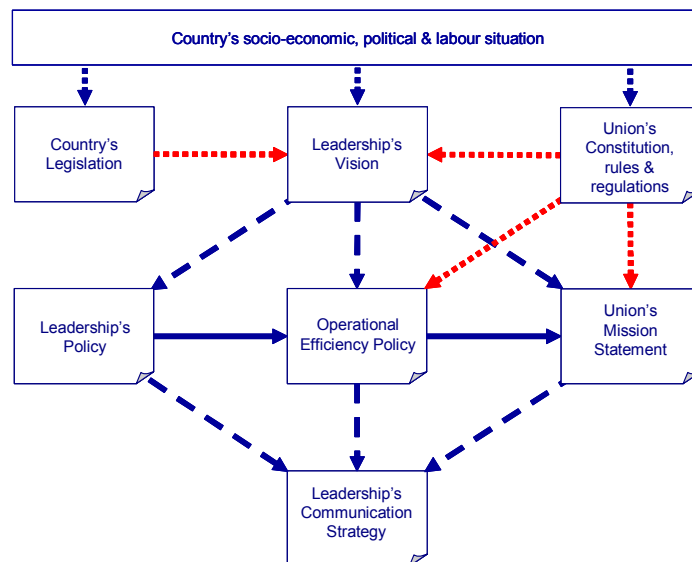
### 3.6 Communication

As already mentioned, communication is a fundamental function of the Leadership. Furthermore, without efficient and effective communication no-one will follow the Leadership, and in such a case the Leadership would be a failure leading to chaos, internal hostility and self-destruction of the union.

In order to ensure constitutional viability, acceptability and strength, the Leadership should have the union's Operational efficiency policy and Mission Statement approved by the N.E.C. They must become the corner-stones for leading the union and particularly the Mission Statement should be disseminated to and understood by all members as well as by people beyond the boundaries of the union.

Once the Mission Statement has been cleared, a systematic Communication Strategy should be designed and carried out making the Mission Statement widely known. Figure I-V-325 shows the influential forces and documents that nurture and condition the Leadership's Communication Strategy.

This strategy should include periodic communications supporting the Mission through an ongoing communication-campaign to keep the membership informed and motivated. The strategy should also include parameters to measure its impact and methods for review and improvement.



**Fig. I-V-325 – Determining factors of the Leadership's Communication Strategy**