

[insert organisation name/logo]

Leadership Policy

Document Status: Draft or Final

Date Issued: [date]

Lead Author: [name and position]

Approved by: [insert organisation name] Board of Directors on [date]

Scheduled Review Date: [date]

Record of Policy Review

Review Date	Person Initiating/Leading Review	Other People Consulted

Triggers for Policy Review (tick all that apply)

- Standard review is timetabled.
- A gap has been identified
- Additional knowledge or information has become available to supplement the policy.
- External factors
 - Policy is no longer relevant/current due to changes in external operating environment.
 - There are changes to laws, regulations, terminology and/or government policy.
 - Changes to funding environment, including requirements of funding bod(y)ies
- Other (please specify).
- Internal / organisational factors
 - A stakeholder has identified a need, eg by email, telephone etc
 - A serious or critical incident has occurred, requiring an urgent review.
 - Need for consistency in service delivery across programs and organisations.
 - Separate, stand-alone policy is now warranted
 - A near miss has occurred, requiring a review to prevent a serious/critical incident in the future

Additional Comments

[for example, policy now covers details related to new legislation].

Leadership Policy

1. Purpose and Scope

The purpose of this policy is to provide guidance to **[insert organisation name]** in the effective leadership throughout the organisation.

2. Definitions

Heifetz (1998) defines Leadership as an *activity*; the mobilization of the resources of people, or of an organisation, to make progress on the difficult problems it faces.

- With a routine problem, one can look to authority (experts) to come up with the solution and to implement it (“*exercising authority*”¹).
- With difficult problems, leadership is orchestrating the process of getting factions with competing definitions of the problem to start learning from one another; leadership is the mobilisation of people to face, define, and solve problematic realities (“*exercising leadership*”²)

When employees are in a position of authority and focus on specific, knowable strategies to guide a leader-centric group, they are “exercising authority”³.

Through exercising authority, an authority figure maintains equilibrium in the organisational system; people expect an authority figure to be comforting.

Exercising leadership means

- raising issues or asking questions that disturb people and force people to come to terms with points of view or problems that they would rather not consider; and/or
- protecting other people in the organization who are creating disequilibrium.

Adaptive leadership focuses on eliciting full participation from community members to create previously unknowable responses to complex and difficult questions. It is essential for mobilising innovation and change.

A key requisite for effective leaders is Emotional Intelligence, the components of which are self-awareness, self-regulation, motivation, empathy, and social skill⁴.

¹ Heifetz (1994); Heifetz & Linsky (2002)

² Heifetz (1994); Heifetz & Linsky (2002)

³ Heifetz (1994); Heifetz & Linsky (2002)

⁴ Goleman (1998)

- Self-awareness is the ability to recognise and understand one's own moods, emotions, and drives, as well as their effects on others
- Self-regulation is the ability to control or redirect disruptive impulses and moods; the propensity to suspend judgment to think before acting.
- Motivation includes a passion to work for reasons that go beyond money or status, and a propensity to pursue goals with energy and persistence.
- Empathy is the ability to understand the emotional makeup of other people, and skill in treating people according to their emotional reactions.
- Social skill is proficiency in managing relationships and building networks; an ability to find common ground and build rapport.

Role fluidity refers to being adaptable in how we take up our roles, changing them according to increasingly complex and changing working environments.

3. Principles

Exceptional leadership skills are required to navigate an increasingly complex environment.

Leadership is not about relying on authority figures to “have the answers”; it is about shared challenges and the orchestration of problem-solving processes.

Principles and accompanying tasks critical for effective leadership include⁵:

1. *“Communicating a shared vision.*
2. *Centralizing by mission and decentralising by operations.*
3. *Creating an organisational culture that identifies and tries to live by key values.*
4. *Creating an organisational structure and culture that empowers all employees.*
5. *Ensuring that staff are trained in a human technology that can translate vision into reality.*
6. *Constructive relating between all employees.*
7. *Accessing, and using, information to make change a constant ingredient of the organisation.*
8. *Building the organisation around exemplary performers”.*

The exercise of leadership by people with a high level of authority requires pacing the rate at which people are challenged to do the work.

⁵ Anthony & Huckshorn (2008)

Community pressures, resource constraints, regulatory changes and challenges arising through the unique individual journeys of people with lived experience of mental illness / recovery are creating new and uncertain situations, whereby relying on past experience is not enough. We are required to “adapt” in an evolutionary sense to new situations and environments.

To exercise leadership, employees need the “*capacity to deliver disturbing news and raise difficult questions in a way that people can absorb, prodding them to take up the message rather than ignore it or kill the messenger*”.⁶

Particular leadership initiatives may succeed or fail due to our ability to:

- deeply understand the environment of leading and change, and
- act with purpose and awareness

4. Outcomes

[insert organisation name] builds and maintains practical partnerships and engages in collaborative problem solving.

[insert organisation name] goes beyond conventional ideas of leadership and technical solutions in order to impact on the harder underlying issues which act as obstacles to progress.

There is high leadership capacity throughout **[insert organisation name]**.

[insert organisation name], and the sectors within which it operates, encourage alternative views as sources of new ideas rather than threats to harmony.

5. Functions and Delegations

Position	Delegation/Task
Board of Directors	<ul style="list-style-type: none"> • Develop and endorse Leadership Policy • Compliance with Leadership Policy • Exercise authority and leadership • Encourage and support the CEO/Manager to exercise leadership
Management	<p><u>CEO/Manager</u></p> <ul style="list-style-type: none"> • Implement all decisions and strategic direction of the Board. • Implement key processes and systems.

⁶ Heifetz & Linsky (2002)

	<ul style="list-style-type: none"> • Enable and ensure all employees understand and implement the organisation's values and principles, select new employees that will mesh well with the culture, and reward those who display desired cultural behaviours. • Exercise authority and leadership • Encourage and support staff to exercise leadership
Staff	<ul style="list-style-type: none"> • Understand and implement the organisation's values and principles • Exercise leadership

6. Risk Management

[insert organisation name] ensures mechanisms are in place to demonstrate that decisions and actions relating to leadership are transparent and fair.

All staff are provided with ongoing support and professional development to assist the organisation to engage in effective leadership.

7. Policy Implementation

This policy has been developed in consultation with employees and has been endorsed by the **[insert organisation name]** Board of Directors. It is reviewed via the Quality Improvement Program.

[insert organisation name] ensures that all employees, managers and Board Members are aware of the core requirements of exercising leadership⁷:

- clarity of purpose
- responsibility
- partnering
- adaptive work
- working with uncertainty
- creating the right environment for change
- reframing issues
- challenging existing values
- insight and wisdom
- strategy
- innovation
- maintaining hope
- keeping a focus on core values.

⁷ Williams (2005)

8. Policy Detail

8.1 Organisational infrastructure to promote effective leadership

[insert organisation name] ensures its infrastructure includes the following:

a) Communication about a shared vision

[insert organisation name]'s vision has been developed collaboratively and is communicated via the [insert organisation name] strategic plan.

In relation to particular issues, a positive and sustainable connection is made between the manager and his/her staff on aspects which relate to [insert organisation name]'s vision.

Updates about progress are provided by staff to the manager, who in turn feeds back to staff on group progress.

b) Centralised by mission and decentralised by operations.

[insert organisation name]'s mission statement provides clarity of purpose for employees. [insert organisation name] strategic and operational plans and organisational structure enable and reflect decentralisation of operations.

[insert organisation name] ensures clear delegations of authority are in place, as well as responsibility and accountability requirements.

Key procedures are defined, understood and agreed to by managers and employees. The impact of implementation of these procedures is measured.

c) An organisational culture that identifies and tries to live by key values.

[insert organisation name] has a principles-based culture; [insert organisation name]'s Statement of Values provides underlying principles to guide the behavior of employees.

d) An organisational structure and culture that empowers all employees.

[insert organisation name] holds that leadership is not about relying on authority figures to "have the answers"; it is about shared challenges and the orchestration of problem-solving processes. As such, all employees are expected to, and are supported to, exercise leadership.

Employees are acknowledged for a solution-focused approach to technical problems, and for an adaptive approach to difficult problems outside the scope of their expertise.

e) Staff are trained in a technology that can translate vision into reality.

[insert organisation name] ensures that employees participate in education which enables them to take actions to, as relevant to their position, develop and/or implement the **[insert organisation name]** strategic plan.

f) Constructive relating between all employees.

In order to ensure employees are supported and gently challenged, **[insert organisation name]** supports employees to:

- develop networks, partners, and allies.
- take time out and learn about the context they are operating in, to reflect on the main challenges, and investigate their role in it.
- see alternative views as sources of new ideas rather than threats to harmony.

[insert organisation name] supports and recognises collaborative efforts of staff.

g) Access and use information to make change a constant ingredient of the organisation.

[insert organisation name] uses Quality Improvement to continually better its systems and services.

[insert organisation name] encourages and supports all employees to engage in adaptive leadership to mobilise innovation and change.

[insert organisation name] aims to:

- provide safe spaces in which employees can raise difficult matters
- take up, and reflect on, and act on, difficult matters raised

h) Building the organisation around exemplary performers.

[insert organisation name] is acknowledges the exemplary performance of individuals and teams.

Exemplary performance is considered in relation to:

- embodying and expressing **[insert organisation name]**'s values
- technical skills
- exercising authority
- adaptive leadership
- **[other]**

8.2 Building Leadership Capacity

[insert organisation name] seeks to identify, and contribute to solutions relating to, underlying system dynamics that stop **[insert organisation name]**, and the sectors within it operates, from progressing.

[insert organisation name] builds leadership capacity throughout the organisation through mechanisms such as:

1. Building practical partnerships
2. Education and support for employees to:
 - develop key understandings around factions, complexity, dominance, avoidance and crises⁸
 - develop problem solving capabilities
 - develop latent abilities
 - deal with crisis situations
 - understand the importance of role fluidity
3. Creating safe spaces for employees to:
 - analyse the reality of situations
 - question values
 - generate new options
 - consider alternatives
 - explore possibilities and
 - reach creative solutions.
4. Encouraging employees to embrace role fluidity.
5. Embedding leadership development for employees in the context of the flow of engaging work, and incorporating reflective practices.
6. Assessing **[insert organisation name]** capacity for, and resistance to, leadership development initiatives prior to their implementation.

8.3 Exercising Authority and Exercising Leadership

Exercising authority is more direct than exercising leadership and is more comfortable for employees; it may be so comfortable that employees frequently seek a technical solution even when an adaptive response is more appropriate.

In regard to specific adaptive challenges **[insert organisation name]**, supports staff to:

- analyse the undercurrents,
- tease out the contradictions,
- assess the opportunities and threats,
- build partnerships,

⁸ Williams (2005).

- make critical interventions and
- prepare for resistance and attacks.

8.4 Employees in Positions of Authority

For employees in positions of authority, **[insert organisation name]**:

- provides written expectations
- supports personal and skills development
- reviews, and provides feedback on, performance
- provides information on the implications of exercising leadership when in a position of authority

9. References + Resources

9.1 Internal

Governance and Management Policy
 Strategic and Operational Planning Policy
 Organisational Values
 Feedback and Complaints Policy
 Privacy and Confidentiality Policy

9.2 External

Legislation

Community Services (Complaints, Reviews and Monitoring) Act 1993
 Privacy Act 1988 (Cth)
 Work Health and Safety Act 2011 (Commonwealth)
 Model Work Health and Safety Regulations 2011 (Cth)

Resources

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<http://dev.hcamag.com/news/opinion/leading-leaders-a-new-approach-to-leadership-development/83713/> Accessed 26th November, 2011

Williams, D. (2005). *Real Leadership—Helping People and their Organizations Face Their Toughest Challenges*, Berrett Koehler, San Francisco, 288pp, ISBN 1 5767 5343 3.

9.3 Quality and Accreditation Standards

EQuIP4

N/A

EQUIP5

N/A

Health & Community Service Standards - 6th Edition

N/A

9.4 National Mental Health Standards

Standard 8: Governance, Leadership and Management

Criterion 3.3: The organisation provides training and support for consumers, carers and staff, which maximize consumer and carer(s) representation and participation in the organisation.

9.5 Recovery Oriented Service Self-Assessment Tool (ROSSAT)

Evidence items are:

Item 2.5: Leaders advocate, champion and model:

- Human rights informing service delivery
- The consumers' voice as central to care and service provision
- The belief that recovery is possible and probable for every person
- Hopeful and optimistic attitudes in dealing with workers, consumers and carers.

Item 2.1: Management supports and encourages workers in adopting recovery oriented service delivery.

Item 2.2: Management proactively and constructively challenge non-recovery oriented attitudes and behaviours among workers (e.g. stigmatising and discriminatory attitudes and behaviours).

Item 2.6: Management:

- Is aware of Commonwealth and State policy directions around recovery orientation and integrates these into practice
- Identifies information relevant to the organisation to increase the knowledge base on recovery and recovery oriented practice, including information for consumers, carers and their families.

Item 5.1: Workers are regularly provided with the opportunity to reflect on /self-evaluate the recovery orientation of their practice. This includes:

- Identifying strengths and areas for improvement
- Identifying what does and does not work
- Sharing learnt and useful skills with the team, team leaders and supervisors.

9.6 NSW Disability Services Standards (DSS)

N/A