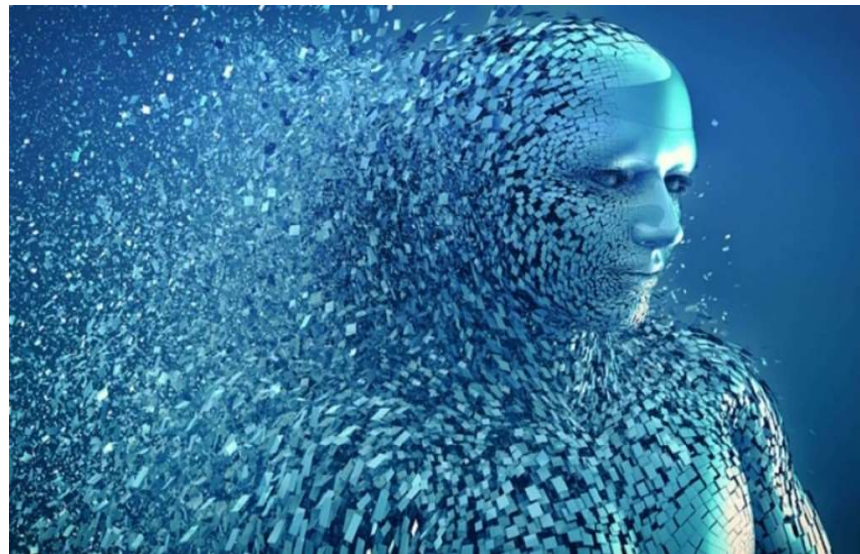




*A Leadership Critique and Portfolio submitted for the fulfilment of the
requirements*

for the Doctor of Business Leadership program.

***LEADERSHIP IN BUSINESSES ADOPTING THE
ETHICAL USE OF ARTIFICIAL INTELLIGENCE(AI)***



Author:

Leanne Ward

Supervisor:

Prof Heinz Herrmann

28th September 2020.

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Certificate of Authorship.

I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no materially previously published or written by another person nor material which to a substantial extent has been accepted for the award of any other degree or diploma at any educational institution, except where due acknowledgement is made in the portfolio. Any contribution made to the research by colleagues with whom I have worked during my candidature is fully acknowledged.

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Signature of Candidate:

Student Number: 00199567T

Date: 28th September 2020

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I would like to express my sincere gratitude to Professor Heinz Herrmann for his endless encouragement, support and challenges to my work which took me to the very limits of my discomfort zone. It was here that authentic and meaningful reflection occurred and discovery flourished.

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To Ira Chaleef – author of the book *Intelligent Disobedience*, my sincere gratitude for accepting my LinkedIn request and subsequent emails as I went on this journey. Your wisdom and insight will be with me forever. The lessons of the past are not forgotten, and I hope I will do them justice.

To all my family and friends who have understood my priorities changed over the last few years and who showed genuine support and interest in my research – thank you and I will make up for lost time with you. A special thankyou to my son William for so often taking the opposite view to me – we have had some of our best conversations in thoughtful and respectful debates – take this with you in life. Thank you for doing the role of proofreader and I am sure I will return the favour as you continue your journey through university and beyond.

My last thank-you must go to my Dad who with little formal education showed me how you could learn through immense curiosity. I still remember when we would lie on the grass and dream of endless possibilities of life amongst the stars at night. *I hope I have made you proud.*

Intellectual Property Rights.

Authority is given to The Australian Graduate School of Leadership, Torrens University, and any University library with whom it has a formal agreement, the right to allow access to this thesis either digitally or in hardcopy subject to the Copyright Act 1968. The author and researcher retain all Intellectual Property Rights and all rights are reserved. Use of this document for any commercial use requires a licence from the owner.

Contributor Approvals.

The research included an on-line survey using Survey Monkey and a series of semi-structured interviews. In all cases, the participants were asked to complete a Research Response Form. In the case of Survey Monkey, this was constructed as a series of questions where the participant could not proceed if consent was not given. For the interviews, this was an electronic form which was signed and returned prior to the interview occurring.

The interviews are anonymous and no personal or identifying data is included. All consent forms, interview notes and the files containing the output from Survey Monkey are available to the examiners and faculty at any time.

A copy of the consent form is in Appendix 8.



Signature of Candidate:

Student Number: 00199567T

Date: 28th September 2020.

Ethics Statement.

Each respondent was:

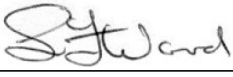
- Provided with a clear explanation as to why the particular information, documentation and/or artefacts were being sought.
- Informed that it was their right to withdraw their participation in the research at any stage.
- Assured that any information or personal details gathered in the course of the research are confidential and that neither their name nor any identifying information will be used or published.
- Assured that the information, material(s) and/or instruction(s) provided would be held in a safe, secure location whilst being utilized and after use would be destroyed or disposed of in a manner that would not jeopardize its confidentiality;
- Advised that a recording device was to be used whenever this was necessary and their permission was obtained prior to this use; and
- Advised that if they had any concerns or complaints about the research to contact:

Professor Ramzi Fayed

DBL Admin, AGSL within Torrens University Australia

Phone: 02 8211 0634 or Email: dbl@imia.edu.au

DBL Subject code: DBL 710

Signed:  Date: 28th September 2020.

Student Number: 00199567T

Referencing Style.

The style of referencing used is Harvard, Deakin Guide to referencing, last updated 19 May 2019. This style was in use by the Australian Graduate School of Leadership at the commencement of my research.

(https://www.deakin.edu.au/_data/assets/pdf_file/0004/392305/Deakin-guide-to-Harvard.pdf)

Layout of document conforms to the DBL710: Leadership Critique and Supporting Portfolio (2017), retrieved 20 July 2020 except for some appendices which are downloads of original documents and the format was not able to be changed.

Glossary of terms.

Algorithm: ‘A process or set of rules to be followed in calculations or other problem-solving operations, especially by a computer’ (Oxford English and Spanish Dictionary, Thesaurus and Spanish to English Translator <https://www.lexico.com/definition/algorithm>).

Artificial Intelligence (AI): ‘The theory and development of computer systems able to perform tasks normally requiring human intelligence, such as visual perception, speech recognition, decision-making, and translation between languages’ (Oxford English and Spanish Dictionary, Thesaurus and Spanish to English Translator <https://www.lexico.com/definition/algorithm>).

Authentic Leadership: ‘Authentic leaders use their natural abilities, but they also recognize their shortcomings, and work hard to overcome them. They lead with purpose, meaning, and values. They build enduring relationships with people. Others follow them because they know where they stand. They are consistent and self-disciplined. When their principles are tested, they refuse to compromise. Authentic leaders are dedicated to developing themselves because they know that becoming a leader takes a lifetime of personal growth’ (George 2003, p12).

Bias: ‘Also known as algorithmic bias, it is what we experience when a machine-learning model produces a systematically wrong result’ (Nelson 2019, p220). ‘Bias reflects the data algorithm authors choose to use, as well as their data blending methods, model construction practices, and how results are applied and interpreted. That is to say, these processes are driven by human judgments’ (Nelson 2019, p220).

Constructivism: Constructivism is ‘an approach to learning that holds that people actively construct or make their own knowledge and that reality is determined by the experiences of the learner’ (Elliott et al 2000, p. 256).

Courageous follower: ‘Courageous followers assume responsibility for themselves and the organisation. They do not hold a paternalistic image of a leader ; they do not expect the leader or organisation to provide for their security or growth, or to give them permission to act’ (Chaleef 2009, p6).

Intelligent Disobedience: ‘Intelligent Disobedience is the refusal to follow orders that are either unlawful or will produce harm. While this often takes courage to do so, failure to find and act on that courage often does more damage to a career and life than the risk that would be taken by disobeying’ (Chaleef & Thomas 2017, p59). ‘In a business context, intelligent disobedience is an act performed with the intent to create a better outcome than would be achieved by following standard rules, practices, or current management direction’ (McGannon 2018, p3).

Machine Learning: ‘Machine Learning is the science of getting computers to learn and act like humans do, and improve their learning over time in autonomous fashion, by feeding them data and information in the form of observations and real-world interactions’ (Faggella 2020, <https://emerj.com/ai-glossary-terms/what-is-machine-learning/>).

Personal Contingent Leadership Paradigm (leadership paradigm or PCLP): ‘Is a justified set of theoretical propositions and personal values that logically underpin a

set of practice guidelines to guide how the leader perceives and responds to leadership challenges’ (Australian Graduate School of Leadership 2016, p39).

Robotic Process Automation(RPA): ‘RPA incorporates different tools and methodologies aiming to automate repetitive and structures service tasks that were previously performed by humans. This is achieved by the application of software algorithms known as software robots or bots, which are imitating the execution flow of humans on the front-end’ (Astani et al, 2020, Business Process Management: Blockchain and Robotic Process Automation Forum Proceedings, p. 204).

Reflective Learning: ‘Reflection/reflective learning is a form of mental processing-like a form of thinking-that we may use to fulfil a purpose or to achieve some anticipated outcome or we may simply ‘be reflective’ and then an outcome can be unexpected. Reflection is applied to relatively complicated, ill structured ideas for which there is not an obvious solution and is largely based on the further processing of knowledge and understanding that we already possess’ (Moon 2004, p8).

Servant Leadership: ‘ Servant leadership seeks to involve others in decision making, is strongly based in ethical and caring behaviour, and enhances the growth of workers while improving the caring and quality of organizational life...a set of ten characteristics of the servant leader that are of critical importance...: listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, commitment to the growth of people, and building community’ (Spears 2010, p25).

Storytelling: ‘Sharing of knowledge and experiences through narrative and anecdotes in order to communicate lessons, complex ideas, concepts, and causal connections’ (Sole & Wilson 1999, p6).

Transformational leadership: ‘...transformational leadership as a process that motivates followers by appealing to higher ideals and moral values. Transformational leaders must be able to define and articulate a vision for their organizations, and the followers must accept the credibility of the leader’ (Tracey & Hinkin 1998, p220).

Transactional leadership: ‘Transactional leadership is based on bureaucratic authority and legitimacy within the organization. Transactional leaders emphasize work standards, assignments, and task-oriented goals. In addition, transactional leaders tend to focus on task completion and employee compliance, and these leaders rely quite heavily on organizational rewards and punishments to influence employee performance’ (Tracey & Hinkin 1998, p220).

Abstract.

My Leadership Critique is a longitudinal view at how my Personal Contingent Leadership Paradigm (PCLP) has evolved and consists of propositions regarding my values and leadership practices that have evolved as I respond to the unique set of conditions I have worked in.

Case Study Research with 20 embedded units of analysis is used to identify and demonstrate my values and to justify my starting PCLP. Through reflection, I identified my persistent worries and how I will address them in my aspirational PCLP. As a result of my research, I have reflected and evolved how I coach others.

The research question considers how my PCLP Paradigm should evolve to lead in businesses to encourage, inspire and facilitate the ethical use of AI.

My persistent worries concern how and why some people make the choice to do the wrong thing even when there is another alternative and this is explored as it is relevant to the ethical or non-ethical use of AI and will improve my aspirational PCLP. I explore the proposition of how we could allow people to have a voice and take a stand in our businesses in an effective way.

My research into how to lead to encourage the ethical use of AI comes about as several elements converge which have not in the past. Our world is globally connected as it has never been before, as a result of almost three decades of the internet. Versions of what is called AI technology have been around for many decades but only in recent times have we had sufficiently cost-effective storage and compute power to allow AI technology to rapidly develop. With this growth comes the

opportunity to make significant profits and grow market share and businesses need to make choices to do so ethically and not to misuse AI technologies for pure gain.

The literature review covers contemporary ethical issues with AI including a review of recent cases where employees have taken a stand against their employers' choices where they viewed an AI project as being unethical. I review several historical experiments and cases for insight into why people choose to do the wrong thing even when they have a choice not to, to understand what could be adapted to encourage our businesses to use AI ethically. A review of leadership theories to support my starting and aspirational PCLP is included.

As a result of this research, I have developed a set of Leadership Practices which underpin how I operationalise my aspirational PCLP and these could be implemented by other leaders in similar environments. These will be discussed in Chapter 7 and are summarised below:

- Creating the best environment for people
- Educate, communicate and share stories on Ethics and AI
- Diversity of our teams that engage in AI projects
- Governance led by an 'AI Ethics' Council
- Servant Leadership, co-creating the future and reverse mentoring

As with all research, my research has limitations which are identified in Chapter 8 as well as opportunities for future research.

Chapter 1: Summary of the Research Context and Approach.

Impact of the DBL Program on my PCLP.

This chapter describes the impact the DBL program has had on my PCLP as well as describing how my Leadership Critique is structured. The Leadership Critique is how I demonstrate I have met the requirements of the Doctor of Business Leadership (DBL) program undertaken through the Australian Graduate School of Leadership, Torrens University, Australia. This program is aimed at people with leadership experience who through exploring their PCLP and the opportunities to change and adapt this paradigm, seek to develop their leadership.

The DBL program consists of four double subjects completed over four trimesters covering Leadership Theory, Critical Reasoning and Ethics, Research Methodologies, and contemporary business leadership issues. These foundation subjects are important as they build up to the research stage and the work completed via each subject's final assessments provide input into the final Leadership Critique.

My PCLP is unique to me and is contingent on the environment and experiences I have had. As experience is gained my PCLP continues to evolve in response to these changes, and as I complete this research, I am continuing to learn new ways of leading during COVID-19. My Leadership Critique along with the Supporting Portfolio, uses twenty embedded units of analysis to justify how my PCLP evolved into its current form, recognizing that my journey is unique. Through reflection and the use of a survey and semi-structured interviews I have developed my aspirational PCLP.

Prior to starting my research, I developed a model of my starting PCLP which reflected the first 30+ years of my career and the leadership experiences and growth I had experienced as shown below. This PCLP is predominantly a transformational style with authenticity and transactional leadership integrated into my leadership model, and a strong emphasis on the importance of storytelling to coach others and assist in creating a vision. My values encircle my PCLP acting as a buffer against some of the negative aspects of transformational and transactional leadership.

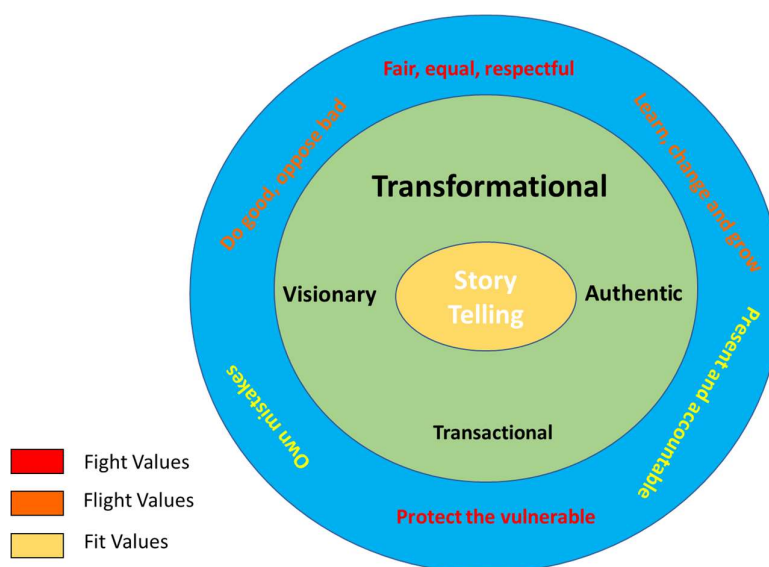


Figure 1: My PCLP at the commencement of the DBL program. (Source: Author 2019)

My aspirational PCLP evolves to servant leadership reflecting my strong desire to give back to others through coaching and applying my skills and experience to co-create the future with the next generation of leaders.

Overview of Leadership Critique Structure.

Chapter 2 is a Literature Review relevant to the areas explored in this Critique. The first part of the literature review focuses on AI and the issues regarding its implementation in business from an ethical point of view, as well as recent cases where employees have taken a stand. Historical cases are examined where people have made the choice to do the wrong thing which goes to seeking to understand my persistent worry about people doing so. In one significant case, I examine how globally scientists took a stand to do the right thing to protect the human genome sequence from being the property of company(s). I review what may be some effective ways for people to take a stand against unethical AI but looking at Courageous Followership and Intelligent Disobedience to complement other methods such as ethical design. A review of the key leadership theories that underpin the current and aspirational PCLPs is included.

Chapter 3 describes the research methodology, research question and the propositions to be explored through Case Study research and outlines the twenty embedded units of analysis.

Chapter 4 explores my starting PCLP, core values, coaching maxims, and my model for learning. This is then evidenced in the embedded units of analysis.

Chapter 5 explores the longitudinal cases using embedded units of analysis such as reflections on key events and feedback from various sources including psychometric tools and assessments, as well as the results of an online survey and eight semi-structured interviews. The first case represents the time prior to joining the

professional workforce and further cases are reviewed which represent the different companies I have worked in. The company names are used as these are all identifiable from my Linked-In profile, press and social media. However, the people involved in the cases are not identified.

Chapter 6 incorporates all that has been reviewed and learned to create an aspirational personal contingent leadership paradigm for leadership practice in the future, although transition to the aspirational PCLP is already underway.

Chapter 7 proposes Leadership Practice Guidelines to operationalize the aspirational personal contingent leadership paradigm and represents a plan for me to bring the aspirational PCLP into being.

Chapter 8 includes concluding remarks and limitations to this research are identified as well as opportunities for future research.

This Chapter has given an overview of the DBL Program that I have completed as well as the structure of the Leadership Critique and Supporting Portfolio.

Chapter 2: Literature Review

Introduction to Literature Review.

This Chapter covers a literature review that as described in Chapter 1 is broken into several part covering ethical issues facing businesses deploying AI, historical cases around why good people do bad things, a review of moral courage, intelligent disobedience and courageous followership as potential strategies to use in businesses deploying AI and lastly the leadership theories that pertain to my starting and aspirational PCLPs.

The complexity of ethical issues facing businesses adopting AI technologies is discussed, as well as a review of several high profile cases in the last five years where employees in companies using AI technologies have taken a stand against their employers and what the results have been. As this research was undertaken, there has been significant developments as a result of the Black Lives Matter movement which has caused several high-profile companies to act on facial recognition software and these are discussed in the literature review. As these events are contemporary, and there are no published research articles, media articles are used instead. These examples are useful to demonstrate the type of ethical issues that exist in businesses today with implementing AI technologies and these will persist into the future.

The next part of the literature review looks at several well-known historical cases and the circumstances in which good people choose to do bad things even when presented with an alternative. This draws together my persistent worry regarding why people choose to do the wrong or unethical thing and leads to exploring how to

empower people to take an effective stand in businesses using AI when they observe this happening.

There are four historical cases that are examined. The Milgram experiments were designed and conducted by a Jewish researcher, Stanley Milgram from Yale University in 1963, after the Holocaust and events preceding and during World War 2 and sought to provide insights into human behaviour and specifically the defence used by many perpetrators that they were just following orders. (McLeod 2007, para. 1)

The second example is the Stanford Prison Experiments, designed and conducted by Dr Philip Zimbardo at Stanford University to understand whether the brutality reported in American prisons was due to the environment of American prisons or due to sadistic personalities of the guards. (McLeod 2008, para. 2) The third example examines war crimes committed at Abu Ghraib, a prison in Iraq which became known for acts of abuse and torture by US military personnel. (James 2008, p. 1) There is an informative link between James who investigated the Abu Ghraib War Crimes as an Army psychologist and Dr Philip Zimbardo and his work on the Stanford Prison Experiments and both collaborate as to why the lessons learnt in the Stanford Prison Experiment were not translated into the US Military practices. (Zimbardo 2007, p. 440) Recognising that situational factors or *context matters*, allows us to propose interventions to the process of good people doing bad things. (Zimbardo 2007, p. 20)

The last example is a contemporary example of genomic research and provides a significant contrasting example of how scientists collectively took a stand against

powerful corporations to preserve access to the human genome sequence and not allow corporations to own the Intellectual Property Rights and provides an example of intelligence disobedience that operated globally within a community of likeminded people. (Reardon 2017, p. 17)

Literature Review Part 1

Ethical Issues facing businesses using AI.

To understand the complexity of ethics and AI it is useful to consider technology in two related ways, as things that extend our ability to act and as having the capacity to influence how we live. (Beard & Longstaff 2020, p. 23) Technology is an *instrument of free will* (Beard & Longstaff 2020, p. 23) and technologies consist of how artefacts are made, how they are used and what purpose they serve which are fundamental to ethical considerations. (Beard & Longstaff 2020, p. 23)

In a recent survey conducted by Deloitte Insights in 2018 covering 1400 US executives it was found that strategic, operational and ethical risks were rated as either major or extreme by over half of the AI adopters and that only 25% of businesses believe they are ready to address them. (Ammanath, Janis & Hupfer 2018, *Actively address risks*) Executives are realising they are ill equipped for the ethical concerns from the implementation of AI and the legal framework is not in place to guide them. (Davenport & Katyal 2018, para. 3)

The single biggest risk identified by respondents was ethical risk and other risks included the lack of explain-ability and transparency for AI derived decisions as

well as job losses due to automation and the potential to manipulate the way people think and act. (Ammanath, Janis & Hupfer 2018, *Attending to the ethical risks of AI*)

Only one in three organisations have established policies or a Board to guide ethics in AI and about the same proportion are working with external parties leading the authors to recommend more consider doing so. (Ammanath, Janis & Hupfer 2018, *Attending to the ethical risks of AI*)

Law makers are proposing bills which would require algorithms to be both transparent and accountable and this is necessary and slow. (Pasquale 2019, para. 2) The first wave of algorithmic accountability research centred on targeting existing systems and the second wave caught up with the bias built into our data and algorithms. (Pasquale 2019, para. 7) An example is the recent backdown by the Australian Liberal Government on the *Robodebt* collection of alleged debts which is an example of human designed and implemented algorithmic issue. (Pasquale 2019, para. 7) Algorithms effect how people gain access to social services and their rights, and we should hold a business or government department accountable for the outcome regardless of arguments over complexity, which is a design issue for the business or department to address. (Martin 2018, p. 836)

Designers and developers must accept responsibility for their designs and designers are better placed than ethicists to determine the best way to implement these principles and to publicly show how the principles have been applied. (Beard & Longstaff 2020, p. 11)

Until the legal framework catches up, and as AI is progressing rapidly, companies using AI technologies must put in place their own ethical frameworks to guide them as there is an enormous difference between how AI can be used and how AI should be used, and hence the temptation for businesses to do the wrong thing in the pursuit of profits and new markets. (Davenport & Katyal 2018, para. 1) Further, Davenport and Katyal (2018) recommend the following seven actions:

- Discussion, education and governance at Board level.
- Avoid bias in applications to promote fairness
- Transparency to users about the use of AI
- Protection of privacy is paramount
- Educate and communicate with employees to remove fear and suspicion
- AI should be human-centric
- Consider the big picture with AI and adjust course as necessary (Davenport & Katyal 2018, Nerney 2019)

Ammanath, Janis & Hupfer (2018) identify four strategies being used by more experienced businesses in the Deloitte 2018 report:

- Training practitioners to recognise and deal with ethical issues when implementing AI (36-43%)
- Collaboration with external parties on best practice implementation of AI (31-43%)
- Ensuring there is no bias in third party data and systems (29-39%)
- Establishing policies and/or a Board function to guide ethics (35-37%)

It is proposed that leaders implementing AI should exhibit seven common traits:

- learn the technologies that make up AI
- establish clear business objectives and boundaries around AI use
- set ambitious but achievable outcomes for AI projects
- have a vision and commitment that does beyond the pilot
- appropriately prepare people for the changes and
- understand that AI is only as good as the data it relies on. (Davenport & Foutty 2018, *The Seven Attributes of AI-Driven Leaders*)

The most important ethical issue is to design and build systems that respect human dignity and autonomy and reflect the values of society and while it is difficult to foresee how these rights might be violated, companies must try to do so and take action against harm and threats. (Davenport & Katyal 2018, *See the Big Picture*)

There is some scepticism that companies facing financial pressure if they divulge an issue involving the use of AI in their business, will do so willingly unless the potential cost of not doing so is greater and hence the need for regulation. (Nervey 2019, para. 8) The conversation around AI and ethics is only at its beginning and has a long way to go. (Nervey 2019, para. 11)

The European Commission's High-Level Expert Group on Artificial Intelligence (AI HLEG) was appointed by the European Commission (EU) to develop a set of AI Ethics guidelines released its guidelines in October 2019. (AI HELG, 2019) The creation of the AI HLEG recognises the tremendous value AI can deliver to individuals and society but is cognizant of the risks involved and that these must be

managed through a focus on human-centred design and that the goal must be to improve human well-being. (AI HELG, 2019) There are seven considerations they recommend be taken when developing AI solutions:

- human agency and oversight of AI at all times
- technical robustness and safety are key
- Privacy must be respected and data must be governed
- Transparency of all AI use and outcomes
- Diversity, non-discrimination and fairness of all AI decisions
- Focus on the well-being of society and the environment
- Accountability of AI results (AI HELG 2019, *Next Steps*)

AI technologies rely on algorithms that access data to create an outcome and algorithm accountability has become an important area of focus for lawyers, social scientists, journalists and computer and data scientists. (Pasquale 2019, para. 1) Algorithms have been used both deliberately and through bias in programming to discriminate against groups based on gender, age and ethnicity. (Pasquale 2019, para. 1) By using deceptive dark patterns algorithms have been used in AI to trick consumers into purchasing items and to manipulate others into extremist sites. (Pasquale 2019, para. 1) The responsibility for algorithms is not clear and how responsibilities are divided between the developer and the company who owns the algorithm. (Martin 2017, p. 836)

Given the enormity of the ethical issues that arise from advanced artificial intelligence, or superintelligence, these should be considered now even though the

existence of these technologies may be decades away. (Bostrum 2006, p. 1) Some of the applications likely to be developed are extremely powerful computers, advanced space travel, advanced weaponry, the elimination of aging and the ability to upload human cognition, very refined control of human emotions and moods and reanimation of cryonic patients. (Bostrum 2006, p. 1) The emergence may well be sudden and Bostrum (2006, p. 2) argues we need to consider the existence of this technology now and that we should not extrapolate the history of other technologies and attempt to apply it to super-intelligence. He states ‘to the extent that ethics is a cognitive pursuit, a superintelligence could do better than human thinkers....the same holds for questions of policy and long-term planning....a superintelligence would outperform humans’ (Bostrum 2006, p. 3)

The Committee for Classical Ethics in Autonomous and Intelligent Systems (A/IS) points to the difficulty in applying classical ethics in algorithmic design and that machine learning may or may not be able to emulate human thinking. (IEEE 2017, p. 193) The IEEE report into Classical Ethics and AI states: ‘...the critical difference between human autonomy and autonomous systems involves questions of free will, predetermination, and being (ontology)’ (IEEE 2017, p. 196) Not everyone agrees that human life is special and view this as prejudiced and arrogant pointing to a difference in values and ethics. (Beard & Longstaff 2020, p. 15)

Ethics at its most fundamental relies on purpose or our reason for being, values or what we believe is good, and principles or how we identify what is right. (Beard & Longstaff 2020, p. 17) The view of ethics by the Ethics Centre (Beard &

Longstaff 2020) is based on mainly western philosophies such as consequentialism, deontology, teleology, virtue ethics, contractualism and existentialism which provides the reflective equilibrium for their work.

The application of western ethics centred on the domains of the individual (ethos), the family (oikos) and the public (polis) produces a way of approaching ethics that is distinct. (IEEE 2017, p. 194) There is an urgent and critical need to expand ethical considerations beyond western values and to include others such as Buddhism, Confucianism and Ubuntu traditions amongst others to ensure that discrimination is not caused due to the ethical framework that is taken. (IEEE 2017, p. 203) The IEEE states that: ‘Standardisation is an inherently value-laden project, as it designates the normative criteria for inclusion to the global network’ (IEEE 2017, p. 204) Buddhism in contrast to Western ethics does not concern itself with the source of normativity or what actions constitute a good or virtuous life, but rather is concerned with what leads to liberation, and as stated by the IEEE: ‘The relevant question in Buddhism is not about methodological reflection, but about how to attain liberation from the necessity of such reflection’ (IEEE 2017, p. 206) The difficulty in designing ethical algorithms and AI is more complex than most businesses consider in a global scenario where multiple ethical frameworks co-exist with varying importance placed on the person, the act and the outcome. (IEEE 2017, p. 204)

Beard and Longstaff (2020) recommended eight principles for ethical design on AI. These are:

- **‘PR00: Ought before can: the fact that we can do something does not mean that we should’** (Beard & Longstaff 2020, p. 4). We should question the need to build anything at all and whether this makes a better possible world and not build it just because we can. (Beard & Longstaff 2020, p. 4) In Jurassic Park, reflecting on whether dinosaurs should be recreated, Ian Malcolm states ‘Your scientists were so preoccupied with whether or not they could, they didn’t stop to think if they should’ (Beard & Longstaff 2020, p. 61).
- **‘PR01 Non-Instrumentalism:** Never design technology in which people are merely part of the machine’ (Beard & Longstaff 2020, p. 4). People, ecosystems, some forms of animal life and political systems must be beneficiaries of design and not reduced to components of the design. (Beard & Longstaff 2020, p. 4) An example is the Whanganui River in New Zealand that has been granted the same rights as a human being. (Beard & Longstaff 2020, p. 63) Teleological ethics says that we should treat things in a way that reflects their nature and purpose, and deontology says if something has dignity we must treat it as an end in itself and not as a means to our ends. (Beard and Longstaff 2020, p. 63)
- **‘PR02 Self-determination:** Maximise the freedom of those affected by your design’ (Beard & Longstaff 2020, p. 4). Technology should be an extension of our free will and freedom and must not restrict this. (Beard & Longstaff 2020, p. 4) We should allow people to choose how technology affects their lives, including non-users so as to protect self-determination.

(Beard & Longstaff 2020, p. 72) Nudges are design choices that influence the decisions people make and these should nudge towards rationality, virtue and without benefit to the designer but rather benefit those being nudged, such as a fitness tracker reminding us to move more. (Beard & Longstaff 2020, p. 73)

- **‘PR03 Responsibility:** Anticipate and design for all possible uses’ (Beard & Longstaff 2020, p. 4). We must imagine all possible uses of our design and identify how we can safeguard against misuse and realise the potential benefits through good design .(Beard & Longstaff 2020, p. 4) Designers must continually update their technology to progressively reduce the impacts or harm and maximise the benefits and maintain transparency of provenance and take all ethically allowable steps to minimise harmful repurposing. (Beard & Longstaff 2020, p. 81)
- **‘PR04 Net Benefit:** Maximise good, minimise bad’ (Beard & Longstaff 2020, p. 4). Even if our technology does more good than bad, ethical design means we must minimise the bad. (Beard & Longstaff 2020, p. 5)We must anticipate the side effects and minimise harm even if it is inefficient to do so. (Beard & Longstaff 2020, p. 88)
- **‘PR05 Fairness:** Treat like cases in a like manner and different cases differentially’ (Beard & Longstaff 2020, p. 4). We must be able to justify why our design would treat one person or one group differently to another to reduce bias. . (Beard & Longstaff 2020, p. 5) Natural justice must be available to users who have a complaint to allow them to be heard and

treated in a fair manner. (Beard & Longstaff 2020, p. 96) Moral Hazard refers to the person who stands to gain but bears no risk but rather passes this to someone else which is not an ethical way to implement AI. (Beard & Longstaff 2020, p. 96)

- **‘PR06 Accessibility:** Design to include the most vulnerable user’ (Beard & Longstaff 2020, p. 4). Consider all possible users without dismissing some users as being an outlier and take all reasonable steps to close the accessibility gap. (Beard & Longstaff 2020, p. 5) How a design is created, developed and changed over time must be transparent and available for anyone to inspect and should include design principles and how these are met as well as any harmful effects and how these are mitigated. (Beard & Longstaff 2020, p. 104)
- **‘PR07 Purpose:** Design with honesty, clarity and fitness of purpose’ (Beard & Longstaff 2020, p. 4). Be clear and transparent about what your design can do and its limitations. (Beard & Longstaff 2020, p. 5)
Primary ethical questions must consider the goal of technology and whether that is just or unjust and artefacts that serve just goals through acceptable means are ethical pieces of technology. (Beard & Longstaff 2020, p. 25) The failure to consider or anticipate alternative uses and uncertainty around the effects of new technologies are recent ethical concerns and we must be able to act in an agile manner to unintended consequences when they occur even when it was impossible for us to foresee these. (Beard & Longstaff 2020, p. 25)

Review of recently reported cases of employees stands against AI.

As part of the literature review, recent cases of employees taking a stand against their employer's use of artificial intelligence were researched. This is used to give insight into the employee's objections, and the methods they used to be heard by their organisations and whether these were effective. Insights are then drawn from these events and the on-line survey was used to identify areas to explore further in the interviews as to what may be the most effective approach to leadership in businesses using AI.

Google and the use of Open Source Object Recognition Software and Project Maven

Project Maven is a Pentagon project that uses machine learning to interpret and potentially act upon surveillance footage provided by drones. (Simonite 2018a, para. 2) It was reported that over 4000 employees signed a letter of protest addressed to the CEO Sundar Pichai calling for the project to be cancelled (Tiku 2018, para. 5; Simonite 2018a, para. 2) Google's well-known mantra of *don't be evil* was at the centre of the controversy and employees stated in their letter that the company 'should not be in the business of war' (Macaulay 2018, *The Google AMI Program*). Some employees including engineers have quit and another group of engineers refused to build the security tool that was required for Project Maven. (Tiku 2018, para. 5)

A spokesperson for Google confirmed that Google was providing TensorFlow application program interfaces (APIs) which assisted military analysts in their role to

detect certain images amongst non-classified data. (Frisk 2018, para. 11) Frisk (2018) went on to say the spokesperson had claimed that the data was only for human consumption as opposed to machine learning and only for non-offensive uses. The US Department of Defense subsequently announced Phase 2 of Project Maven, with the stated objective to turn expansive data sets into actionable intelligence which when combined with AI technologies could enable decisions to be made at speed. (Frisk 2018, para.12)

Shane and Wakabayashi (2018) point out an opposing viewpoint that improvements in the way drone footage was analysed could be used to pick out military targets more accurately while reducing collateral damage to innocent civilians.

A Google spokesperson is quoted as saying:

The Pentagon is using open source object recognition software available to any Google customer and based on unclassified data...the technology is used to flag images for human review and is intended to save lives and save people from having to do highly tedious work (Shane & Wakabayashi 2018, para. 12).

A relatively small number of employees at Google feel uneasy about the use of AI and this is unlikely to affect the company's growth but at the same time in the war for talent in AI, some talent may be turned off by any company's participation in warfare. (Shane & Wakabayashi 2018, para. 4)

Employee concerns led a call for ethics training within Google to ensure they were developing *virtuous technology* and participation in Project Maven was not renewed. (Macaulay 2018, para. 3) Google appointed McDowell to lead the Artists

and Machine Intelligence (AMI) Programme which is a group of diverse minds including artists, philosophers and engineers who attempt to incorporate differences in viewpoints into the thinking and training at Google regarding Ethics and AI and to better reflect the needs and values of Google's billions of users. (Macauley 2018, para. 6)

In an interview with Macauley, McDowell is quoted as saying:

There is a big problem in Silicon Valley, which is that STEM education makes it possible to miss out on a lot of knowledge about human culture and humanities... and when you are developing a civilisation-level technology like AI, that much like the internet will have unforeseen consequences, it's really important to get a broad range of expertise and visibility into aspects of culture that are excluded from big technology corporations right now...Just by shifting our point of view ontologically we are able to escape from certain assumptions that always sneak into the design process....this type of thinking will never happen unless you bring in experts from other fields (Macauley 2018, para 8-10).

Google and the Dragonfly Project – a tailored search engine for mainland China.

Project Dragonfly was in place for over a year and was designed to create a limited search engine for use in mainland China, which in the eyes of some employees violates human rights by restricting their access to full and complete information. (O'Donovan 2018, para. 10) This led to a call to establish an ethics review structure with representation from all employees, the appointment of an Ombudsman and ethical assessments of key projects like Dragonfly and Maven. (O'Donovan 2018, para. 3)

Further, employees pointed out that the company's mission statement which states: *Organise the world's information and make it universally accessible* was at direct odds with censorship. (O'Donovan 2018, para. 14. An anonymous employee is quoted as saying 'It seems like the lessons we thought had been learned from Maven were not learned in the way we thought' (O'Donovan 2018, *A debate over ethics*).

Another google employee is quoted on an important issue regarding lack of explicit awareness of what their code is used for: 'That's a special type of exploitation of an employee' (O'Donovan 2018, *Keeping Dragonfly Secret*).

The following is a direct quote from the petition by employees to the CEO of Google, Sundar Pickai posted Nov 28, 2018 which is signed by employees. A full extract is provided in Appendix 1 and the web link is included in the References:

WE ARE GOOGLE EMPLOYEES AND WE JOIN AMNESTY INTERNATIONAL IN CALLING ON GOOGLE TO CANCEL PROJECT DRAGONFLY, Google's effort to create a censored search engine for the Chinese market that enables state surveillance.

We are among thousands of employees who have raised our voices for months. International human rights organizations and investigative reporters have also sounded the alarm, emphasizing serious human rights concerns and repeatedly calling on Google to cancel the project. So far, our leadership's response has been unsatisfactory.

OUR OPPOSITION TO DRAGONFLY IS NOT ABOUT CHINA: WE OBJECT TO TECHNOLOGIES THAT AID THE POWERFUL IN OPPRESSING THE VULNERABLE, WHEREVER THEY MAY BE.

Many of these rely on advanced technologies, and combine online activity, personal records, and mass monitoring to track and profile citizens. Reports are already showing who bears the cost, including Uyghurs, women's rights advocates, and students....

We join with Amnesty International in demanding that Google cancel Dragonfly. We also demand that leadership commit to transparency, clear communication, and real accountability. Google is too powerful not to be held accountable. We deserve to know what we're building and we deserve a say in these significant decisions. (<https://medium.com/@googlersagainstdragonfly>)

Google and the Joint Enterprise US Dept of Defense Infrastructure (JEDI) project.

Nix (2018) reported that Google including its subsidiary Alphabet decided not to compete for the JEDI project in response to employee concerns. Project JEDI has as its stated objective the movement of a massive amount of US Department of Defense data into a commercially operated cloud model. (Nix 2018, para. 2) A Google spokesperson stated ‘We are not bidding on the JEDI contract because first we couldn’t be assured that it would align with our AI principles and second we determined that there were portions of the contract that were out of scope with our current government certifications’ (Nix 2018, para. 4).

Google CEO Sundar Pichai put in place ethical guidelines for the use of AI at Google in response to employee concerns and stated that one thing Google will not do is AI for weaponry, however, much is still left to executive discretion. (Simonite 2018a, para. 1) Google also stated it would not use AI for any system that perpetuates racial, gender or sexual orientation bias. (Simonite 2018a, para. 5)

Peter Eckersley, Chief Computer Scientist for Electronic Frontier Foundation is quoted as stating: ‘If any tech company is going to wade into a morally complex area like AI defense contracting, we’d recommend they form an independent ethics

board to help guide their work...Google has a real opportunity to be a leader on AI ethics here, and they shouldn't waste it' (Simonite 2018a, para. 9).

2018 cited as the year AI comes in question.

2018 was the year that companies starting to put boundaries around the use of AI technology. (Simonite 2018b, para. 1) Project Maven and the use of algorithms to ease the workload on military analysts to identify objects sourced from drone footage is cited as the project that started internal dissent within Google. (Simonite 2018b, para. 3) Google pledged that it would not use AI or 'other technologies whose principal purpose or implementation is to cause or facilitate injury to people' and that was at least in part the reason why Google withdrew its bid for Project Jedi in October 2018. (Simonite 2018b, para.3)

Google CEO Sundar Pichai was heavily criticised when he demonstrated a human like voice robot, or bot called Duplex taking calls from users for restaurant and hair salon bookings but failing to identify it as a bot, allowing the potential for people to be misled into believing this was human contact. (Simonite 2018b, para. 4) Objections to this approach led to Google announcing that it would in future disclose the use of a bot in its applications, which Google has implemented on Google Pixel phones. (Simonite 2018b, para.4)

Facebook's Director of Applied Learning, Joaquin Candela shared a moment of realisation that AI needed careful consideration for unintended consequences and said: 'For the past few years I've been obsessed with making sure that everyone can

use it a thousand times faster. I started to become very conscious about our potential blind spots'. (Simonite 2018b, para.5) Facebook has a program called Fairness Flow used by engineers to test for potential demographic bias in applications such as automated job ads. (Simonite 2018b, para.6)

In contrast claims that Facebook has an unhealthy culture, encouraged by Mark Zuckerberg's culture of solidarity and that you *don't betray the family*, manifests itself in behaviours that even when under pressure, employees rally around Zuckerberg and their leaders rather than taking a constructive stand which was evidenced when application developers were harvesting user's profile information in 2018. (Omerus 2018, para. 9)

In a study in February 2018 by Joy Buolamwini and Timnit Gebru, it was shown that facial recognition and analysis software and services, offered by Microsoft and IBM, exhibited unintended but significant bias against women with darker skin, leading both companies to immediately address such bias through increasing the diversity of their training data and for the researchers to propose this will be an area where companies are more likely to put limits in place. (Simonite 2018b, para.9)

Another example is Axon, a manufacturer of tasers and body cameras which has stated that it will not deploy facial recognition software to police agencies due to the risk of incorrect or hasty decision making, which could lead to adverse or tragic consequences. (Simonite 2018b, para. 10) Microsoft has requested that governments regulate the use of facial recognition technologies and Google has stated it will not

offer facial recognition software to cloud customers as the risk is of misuse is too great at the present time. (Simonite 2018b, para.10)

Amazon in contrast does offer facial recognition software to US policing organisations even though the risk of incorrect or inconclusive data is not currently able to be mitigated or managed. (Simonite 2018b, para.10) A seeming oxymoron is Amazon's membership in the consortium called *Partnership in AI* whose purpose is to create an ethical understanding of the societal impact of AI. (Simonite 2018b, para.10)

In 2019, shareholders of Amazon put two proposals to the annual meeting to prohibit the sale of facial recognition software Rekognition, to government agencies unless the Board concluded it did not violate Human Rights and a second resolution called for an independent report into whether Rekognition threatened civil, human and privacy rights. (Singer 2019, para.3) On June 10, 2020, following the Black Lives Matters protests triggered by the death of George Floyd, Amazon announced a one-year moratorium on police use of Rekognition but stated it would allow Human Rights Organisations to continue in their work around missing children and human trafficking. (Amazon 2020, para. 1)

Despite Google's stance on Project Maven and JEDI, and the self-imposed rules and direction to establish an expert advisory Board, this does not mean Google will not work with the military and the principles remain open to interpretation. (Simonite 2018b, para. 11)

In another contrast of position, Microsoft disclosed a contract with the US Immigration and Customs Enforcement Agency (ICE), which would enable the agency to potentially deploy AI and facial recognition software in contentious areas under President Trump's policies on illegal immigration, and the forced returns of refugees to their countries of origin which led to protests by Microsoft employees regarding the ethical use of AI . (Simonite 2018b, para. 12)

In late June 2018, following the success of Google employees taking a stand, the employees of Microsoft, Amazon and Salesforce made petitions to their executives against contracts with US Immigration and Customs Enforcement Agency (ICE) and other Policing Agencies, and their unprecedented moves challenged the views of leadership on the ethical use of AI and implicit trust in leadership decisions. (O'Donovan 2018, *A workers' movement in tech*)

A Google employee stated 'When people see successful, worker organised efforts, it makes them more likely to attempt to organise in their own companies' (O'Donovan 2018, *A workers' movement in tech*). Another employee stated 'Even though a lot of us have really good jobs, we can see that the difference between us and the leadership is still astronomical. The vision they have for the future is not our vision' (O'Donovan 2018, *A workers' movement in tech*).

Microsoft had 457 employees sign a petition to drop its contract with US Immigration and Customs Enforcement Agency (ICE) and two days later Amazon workers petitioned to stop the sale of facial recognition software to Policing

Departments and more than 650 employees petitioned Salesforce to reassess their relationship with US Customs. (Tiku 2018, para. 6)

Some technology workers involved in recent protests have raised the work of IBM in Nazi Germany. (Tiku 2018, para. 21) Edwin Black, author of *IBM and the Holocaust* is quoted as saying when asked about why employees are taking a stand ‘You wouldn’t have even asked me this question a year ago. Now we have to ask, is it a political revolt, or is it a revolt of consciousness about the capabilities of the technologies being implemented’ (Tiku 2018, para. 21). A decade earlier, Black wrote about the role of the IBM Hollerith machines in the early decades of the 20th century, to take huge quantities of census data to sort, select and process large numbers of people based on factors such as ethnicity to enable the Nazis to efficiently exterminate people in large numbers. (Black 2001, p. 16) ‘Mankind barely noticed when the concept of *massively organised information* quietly emerged to become a means of social control, a weapon of war, and a roadmap for group destruction’ (Black 2001, p. 7). Further, the author claims that while the Holocaust would still have happened without IBM, there is a need to understand ‘the crucial role of automation and technology. Accountability is needed’ (Black 2001, p. 11). He further states ‘Unless we understand how the Nazis acquired the names, more lists will be compiled against more people’ (Black 2001, p. 16).

In two of the semi-structured interviews in Chapter 5 by Respondent D and E, there was reference to current projects which involved working in a consortia of

companies, where one was involved in using data to track the Uyghur population in China and having to make decisions on the ethics of participating in a project.

Amazon's use of AI and investor's opinions.

Amazon's facial recognition software called Palantir, under the program called Rekognition, lead to a protest by 457 employees who petitioned the CEO Jeff Bezos to cease supporting the work of the US Immigration and Customs Enforcement Agency (ICE) in tracking and deportation activities. (Carbone 2018, para. 2 & 4)

Shareholder activism is on the rise as demonstrated in the Amazon proposals (Singer 2019, para. 3). It is not clear whether all 11 non-binding resolutions were rejected simply because the number of issues spanning everything from climate change, hate speech to facial recognition software was too complex. (Levy 2019, para. 9) In a statement from Amazon, it asserts that its customers have used Rekognition for beneficial purposes such as identifying victims of human trafficking, and 'we have not seen law enforcement agencies use Amazon Rekognition to infringe on citizen's civil liberties' (Singer 2019, para.14).

Prominent institutional shareholder adviser firms, Institutional Shareholder Services and Glass Lewis, both recommended that shareholders vote in favour of the resolution calling for an independent report on the risk of Rekognition and both firms expressed concerns that Amazon should have clear guidelines on the use of facial recognition software when working with governments and that they had not

put in place internal governance structures such as an AI committee nor formed any partnership with civil liberty groups and as such were well behind their peers. (Singer 2019, para. 21)

Scott Stringer, the New York Comptroller to the funds stated: ‘ We want Amazon’s Board to oversee and disclose how Amazon is addressing the significant risks posed by the sale of facial recognition software’ (Singer 2019, para. 24).

In response, Jeff Bezos, Amazon’s CEO is quoted as saying ‘Technologies always are two-sided. There are ways they can be misused...that’s always been the case and we will figure it out. The last thing I’d ever want to do is stop the progress of new technologies, even when they have dual use’ (Singer 2019, para. 26).

Amazon tried unsuccessfully to circumvent the proposals by appealing to the Securities Exchange Commission to stop the proposals coming to a vote. (Singer 2019, para.27)

ACLU had used Amazon’s software on a test of 28 members of Congress, most of whom were of colour and were subsequently falsely matched with stored photos of known offenders pointing to the problems of bias and inaccuracy in such programs. (Carbone 2018, para 4)

Amazon has signed a US\$600M contract with the CIA and is a likely player in the US\$10B contract for cloud storage, Project JEDI with the US Pentagon. (Carbone 2018, para. 6) The decision on Project JEDI is currently paused under claims that Amazon has been unfairly favoured and a Pentagon statesperson is

quoted as saying ‘Keeping his promise to Members of Congress and the American public, Secretary Esper is looking at the Joint Enterprise Defense Infrastructure (JEDI) program...and no decision will be made on the program until he has completed his examination’ (Kelly 2019, para. 2).

The reasons for the pause are unclear and President Trump has suggested that Amazon was colluding to win the deal and create a Ten Year US Department of Defense Cloud Monopoly, and further stated that the Washington Post Newspaper, owned by Amazon CEO Jeff Bezos was a Russian asset, which followed receiving unfavourable coverage. (Kelly 2019, para. 4)

Black Lives Matter (BLM) and Facial Recognition Software

Large corporations responded quickly to the Black Lives Matter movement caused by the shooting of George Floyd by Police in the US and IBM, Amazon and Microsoft all reacted by stating they would no longer sell or develop facial recognition software for Police use or in the case of Amazon, have announced a one year moratorium. (Fowler 2020, para. 3) As a result of this event a linkage between facial recognition and police racism has been raised in the public arena. (Fowler 2020, para. 10) It was viewed as a success for activists and follows years of research by Joy Buolamwini, founder of the Algorithmic Justice league, who investigates bias in facial recognition data. (Fowler 2020, para. 16) A test was conducted by ACLU which demonstrated that Amazon’s facial recognition software mis-identified 28 law makers as people arrested for crimes. (Fowler 2020, para. 15)

It is not expected though that the announcements will do much to stop the use of facial recognition software as other more important players such as NEC Corp., Idemia and Clearview AI has not joined in. (Fowler 2020, para. 11) A spokesperson from NEC stated it could fight racism, by helping to ‘correct inherent biases, protect privacy and civil liberties, and fairly and effectively conduct investigations for social justice’ (Fowler 2020, para. 13). Clearview AI stated: ‘Clearview AI is also committed to the responsible use of its powerful technology and is used only for after-the-crime investigations to help identify criminal suspects’ (Fowler 2020, para. 12). Buolamwini has asked for a pledge to be signed by technology companies to prohibit the use of facial recognition technologies in contexts where lethal force may be used such as by the Police and the military. (Fowler 2020, para.18)

As a result of community pressure, IBM stated it would cease all sales, development and research into general facial recognition software. (Statt 2020, para. 2) IBM’s CEO Arvind Krishna in an Open Letter to Congress stated:

IBM no longer offers general purpose IBM facial recognition or analysis software. IBM firmly opposes and will not condone uses of any technology, including facial recognition technology offered by other vendors, for mass surveillance, racial profiling, violations of basic human rights and freedoms, or any purpose which is not consistent with our values and Principles of Trust and Transparency...Artificial Intelligence is a powerful tool that can help law enforcement keep citizens safe. But vendors and users of AI systems have a shared responsibility to ensure that AI is tested for bias, particularly when used in law enforcement, and that such bias testing is audited and reported. Finally, national policy also should encourage and advance uses of technology that bring greater transparency and accountability to policing, such as body cameras and modern data analytics techniques
(Arvind 2020, *Responsible technology policies*).

Amazon announced that it would have a one year moratorium on Police use of its facial recognition software, Rekognition but it would continue to allow the use of this software by organisations like Thorn and Marinus Analytics who rescue people from human trafficking and exploitation and further stated that it had advocated to government for stronger regulations on govern how AI is used ethically. (Amazon 2020, para. 1)

Microsoft followed with restrictions on how it provides its software and although it does not currently provide facial recognition software to the Police, it will not do so until federal laws are in place to allow the technology to be deployed safely and that there is adequate protection for human rights. (Statt 2020, para. 1)

Literature Review Part 2

This second part of the literature review is to investigate my persistent worry around good people choosing to do the wrong thing and to seek to understand how prevalent this is and how I might act as a leader to prevent or mitigate this occurring. To do this I investigate two well-known experiments by Milgram in 1961 and Zimbardo in 1971 as well as findings from the Abu Ghraib War Crimes. This is contrasted by a case of scientists taking a global stand against the commercialisation of the human genome to allow our genetic sequencing to be available for everyone to use.

The Milgram Experiments.

The Milgram experiments, conducted by Stanley Milgram at Yale University, commenced in 1961 and are one of the most well-known research studies which focus on the conflict between obedience to authority and personal values and conscience.

(McLeod 2007, p. 1) After the trial of Adolf Eichmann, Milgram created the experiment to understand the justification of obedience or just following orders used as a defence for acts of genocide by those accused at the Nuremberg Trials. (McLeod 2007, p. 1)

The experiment involved two participants who were designated as a learner or a teacher although the experiment was rigged so that the volunteer was always the teacher and the learner was one of Milgram's confederates who pretended to be a real participant. (McLeod 2007, p. 1)

The learner was attached to electrodes and the teacher and the Milgram, went into a separate room which appeared to contain a device to generate electric shocks ranging from a mild shock of 15 Volts to a lethal shock of 450 Volts, although the device was not active and the learner participants were never harmed and were engaged to actors. (McLeod 2007, p. 1) The learner was to learn word pairs and each time this was recited incorrectly, an electric shock was to be administered which increased in strength for each wrong answer. (McLeod 2007, p. 2) The researcher Milgram, was dressed in a lab coat to represent an authority figure and purpose of the research was to see how far the teacher would go with administering shocks that caused harm or potentially death, as a means of simulating obedience to obeying

orders and when they would cease and listen to their personal conscience. (McLeod 2007, p. 2)

The teacher participants consisted of 40 males between 20-40 years old who responded to an advertisement and were paid to participate. (McLeod 2007, p. 1) The results showed that 65% of teacher participants continued to administer shocks to 450 Volts and all participants went to 300 Volts despite the pleas from the student participants to stop. (McLeod 2007, p. 2) The conclusion was that ordinary people are likely to follow orders when given from an authority figure and that this obedience is instilled in all of us during our lives. (McLeod 2007, p. 2)

A full transcript of the experiment has been written in the article by Milgram in 1974 Harper's Magazine. In this he states:

The legal and philosophical aspects of obedience are of enormous import, but they say very little about how most people behave in concrete situations...Stark authority was pitted against the subject's strongest moral imperatives against hurting others, and with the subject's ears ringing with the screams of the victims, authority won more often than not. The extreme willingness of adults to go to almost any lengths on the command of authority constitutes the chief finding of the study and the fact most demanding explanation (Milgram 1974, *'The Perils of Wisdom'*).

Milgram viewed people as having two possible states, one was of autonomy where choices are made on what a person believes is right or wrong and the other was agentic where the person is an agent of a hierarchical decision-making authority. (McLeod 2007, p. 4) The Milgram experiment showed that there were two conditions that made it likely that an ordinary person would enter an agentic state where they would follow orders even to the extent where they would hurt or kill an innocent

human being, these being that the person giving the order had to be a legitimate authority and the authority had to be seen to accept responsibility for what happened and in effect leave the perpetrator free from the results of their actions. (McLeod 2007, p. 4)

Milgram went on to complete 18 separate experiments involving 636 participants and the results have been replicated across different countries and sometimes have shown in some cases higher obedience rates although all have been western cultures. (McLeod 2007, p. 6) There were several variations on the experiment to draw out additional insights which included:

- Removing the uniform which reduced the researcher to an ordinary citizen reduced obedience to 20%
- Changing to location to a rundown office reduced obedience to 47.5%
- Having the participant direct someone else to administer the shock increased obedience to 92.5% for a 450 Volt shock supporting Milgram's agency theory
- Having the participant force the person's hand down onto the shock plate after 150 Volts reduced obedience to 30% as they could see the direct consequence of their action
- The presence of other participant who refused to obey reduced obedience significantly to 10%
- Physically removing the researcher (authority figure) from the room and instructing via telephone reduced obedience to 20.5%. (McLeod 2007, p. 5)

It should be noted that there are ethical issues with this experiment including the use of deception and exposing the participants to extremely distressing circumstances which Milgram argues was short term and was mitigated by a full debriefing session. (McLeod 2007, p. 7) Afterwards, 83.7% of participants said they were glad they participated. (McLeod 2007, p. 7)

Milgram also found that once a person was in an agentic state, it was difficult for them to move back to an autonomous state as this would rebut the system that supports the person's very survival. (Chaleff 2015, p. 143) It would therefore be beneficial for us to teach people about these two states and the importance of moving between them. Chaleff (2015) proposes a model to do this:

- Create an understanding of the two states of agentic and autonomous
- Create a conscious awareness within people of the state they are operating within
- Teach people to self-regulate how to use the two states effectively
- Create awareness of when each state is appropriate
- Create a bridge between both that retains personal accountability
- Create the ability to speak and turn accountability into action. (Chaleff 2015, p. 143)

An analysis of the Milgram films of the experiments found that the earlier a subject questions or objects, the more likely that the experiment would end early. (Chaleff 2015, p. 163) Further the clash between values must be resolved into either obedience or disobedience and should the subject blindly obey authority this can have a mesmerizing effect that can only be changed by an intervention such as a third

person voicing discomfort or asking questions, which can lead to breaking the mesmerisation when answers are not convincing. (Chaleef 2015, p. 165)

The Stanford Prison Experiment.

The Stanford Prison experiment was conducted by Philip Zimbardo in 1971 as a result of an undergraduate class project at Stanford University into the psychology of imprisonment looking at the effects both on prison guards and prisoners. (McLeod 2017, p. 1) Specifically, Zimbardo sought to understand if the violence experienced by prisoners in American prisons was dispositional or associated with sadistic guards or situational and related to the prison environment. (McLeod 2017, p. 1)

After converting the basement of the Stanford psychology department into a prison, 24 male college students were selected, one subsequently dropped out, from 70 applicants to take place in a paid research study where they would be randomly assigned as either a guard or a prisoner. (McLeod 2017, p. 1)

Students were assigned to be one of the 11 prison guards or 10 prisoners, two being in reserve and Zimbardo acted as both the researcher and embedded himself into the experiment as the prison administrator. (McLeod 2017, p. 2) The experiment was designed to run for two weeks but was terminated after six days when Christina Maslach, a recent PhD student and Zimbardo's partner, expressed such strong concern about the effects on the participants that the experiment was halted. (McLeod 2017, p. 5) This seemed to act as an extremely useful intervention, breaking the mesmerisation effect observed by Chaleff (2015) to stop the experiment.

The guards were dressed in identical khaki uniform and carried a whistle and billy club borrowed from the Palo Alto Police and were instructed to do whatever was required to maintain law and order and command respect from the prisoners without resorting to physical violence. (McLeod 2017, p. 2) The prisoners were arrested by the local Palo Alto Police, fingerprinted, photographed and booked and then blindfolded and taken to the created Stanford Prison where they were stripped naked, deloused, deprived of any personal possessions and given identical prison uniforms. (McLeod 2017, p. 2) Further their prison smock had a number on it, there were no underclothes and they wore a tight nylon cap on their heads and a locked chain around one ankle as part of the dehumanisation process. (McLeod 2017, p. 2)

Prisoners would be awoken by whistle blasts in the early hours to commence a frequent process of counts where they were only known by their number and were further dehumanised and deindividualized by being given pointless things to do and physical punishments such as push-ups while a guard stood on their back. (McLeod 2017, p. 3)

The experiment concluded that people will readily conform to the social roles they are given especially when they are well defined such as a prison officer or inmate and the prison environment was essential to create the guard's brutal treatment supporting the situational explanation rather than the dispositional one. (McLeod 2017, p. 5)

Zimbardo (2007) found that rather than the line between good and evil being quite distinct, and personality based, it was much more linked to situational factors

leading to a conclusion that good people could under the right conditions, do bad things. The most important lesson according to Zimbardo is that situations are created by *systems* which enable situations to occur as they provide the institutional authority, support and resources and it is the power of the system that provides the authority and institutionalised permission to behave in a certain manner and can give validation to actions that would in another setting be unlawful or immoral. (Zimbardo 2007, p. 226)

The human need to belong and to be part of a group that follows norms has been called the Inner Ring by C.J. Lewis (1944). This concept describes how this need can be distorted into excessive compliance and conformism while the need for autonomy and self-control, which is fundamental to self-direction can degenerate into excessive use of power to dominant others, as observed with the prison guards in the Stanford Prison Experiment, or into learned helplessness as was the case with the prisoners. (Lewis 1944, p. 154)

The experiment has been replicated in several different countries including the University of NSW research into custodial factors in medium security prisons which found that the hostile and confrontational relations in prisons, was a result of the prison *system* rather than the personal characteristics of the guards or prisoners. (Lovibond et al 1979, p. 273)

Zimbardo (2007) proposes ten lessons from the Milgram Studies that can create the situation and system that underpin good people doing the wrong thing and these insights could be used these to teach and lead people to recognise and react to a situation differently. The conditions are:

1. Some form of written or verbal *contractual* obligation is created to control and individual's behaviour in a pseudo legal manner
2. Each person is assigned a meaningful role that carries positive values by the role assigned such as a teacher or learner
3. Rules are presented that make sense which are then incrementally tweaked but the mantra of *rules are rules* persists
4. Semantics are used to justify an act such as a *small amount of pain to make a large gain*
5. Others are responsible if something goes wrong thereby removing accountability
6. Small, insignificant transgressions gradually become bad acts following the classic *slippery slope* analogy
7. Each act is only slightly more progressively bad to be tolerable, barely noticeable and hence action is not taken
8. In a similar manner, the authority figure very gradually changes from someone who is just, to someone who is grossly unjust creating a situation where compliance later becomes confusion and the transformation is ignored as followers enter into blind obedience not able to rationalise or deal with the inconsistency in the leader.
9. The cost to exit is high such as loss of livelihood and life or harm to family members which makes behavioural compliance more likely
10. Use of an ideology or *big lie* to justify the use of any means to an end such as in fundamentalist causes (Zimbardo 2007, p. 273)

A form of ethical relativism, called craft ethics is relevant to draw out that people become agentic when looking to what their profession deems as the norms of behaviour and do not enter into meaningful reflection on their actions. (Browne et al 1995, p. 23) Employees are rewarded for conformity and a person will do one thing in a business environment which they would not do outside the business context. (Browne et al 1995, p. 23)

Whistle blowers demonstrate the ability to resolve the clash between ethical standards and the practices of their organisation by refusing conformance to craft ethics but maintain loyalty to their organisation by challenging the hierarchy and trying to see an organisation get back on track. (Browne et al 1995, p. 24) A serious shortcoming of many whistle-blowers is the absolutist view they engage in around ethics where actions are either right or wrong, rather than reflecting on the complexity of ethical issues in many business situations. (Brown et al 1995, p. 225) Whilst they should be praised for their moral courage especially in light of what Milgram observed with blind obedience, it is not always evident how they move a corporation forward towards being more moral or ethical when much damage can be done by an absolutist approach. (Brown et al 1995, p. 225)

Abu Ghraib War Crimes.

Having worked in Guantanamo Bay (GITMO), Cuba and Abu Ghraib, James (2008) is able to draw conclusions around the similarities of the environments where bad acts and war crimes occurred, and most notable was the physical absence of leadership in key periods such as the overnight shift where most interrogations occur. The importance of situational and systemic forces that shape thoughts, feelings and

actions are imperative to understand, comprehend and act on. (Zimbardo in James 2008, p. xvi)

As stated by Zimbardo (2007) where we would like to believe there is a line between good and evil, it is far more permeable than most people would like to believe or feel comfortable with. Any act no matter how atrocious or offensive, is possible for any of us to commit if we are placed in the right situational circumstances and while this does not excuse the acts, it democratises them rather than excusing these acts as those of deviants. (Zimbardo 2007, p. 226)

The conclusions reached by an independent panel led by James Schlesinger released in a report to the public in August 2004, into the Abu Ghraib war crimes was that the potential for abusive treatment was predictable based on the current understanding of social psychology and while this does not absolve individuals of responsibility, the Stanford Prison Experiment provided a precedent which was relevant and would predict the outcome in Abu Ghraib under the circumstances that prevailed. (Zimbardo 2007, p. 353)

It was identified in Schlesinger Report, that deindividualization, dehumanisation, enemy image, groupthink, disengagement from morals and social facilitation were all present and created the perfect environment for seemingly normal people to act in extraordinarily bad ways and that the 'landmark Stanford study provides a cautionary tale for all military detention operations' (Zimbardo 2007, p. 402).

Zimbardo gave evidence at the military trial for Ivan Frederick, who had pleaded guilty to War Crimes, related to the social dynamics that were present at the Stanford Prison Experiments and at the Abu Ghraib Prison. (Zimbardo 2007, p. 373) These were dismissed by the prosecutor on the basis that Frederick knew right from wrong, was trained for the job and made a rational decision to engage in immoral and detrimental behaviours. (Zimbardo 2007, p. 373) Zimbardo (2007) draws a comparison to the atrocities at My Lai (1968) during the Vietnam War when chronic stress, frustration and fear experienced by the soldiers erupted into a ferocious and terrifying attack by US military personnel against the local population resulting in over 500 deaths. (Zimbardo 2007, p. 373)

LTG Anthony R. Jones assisted Major General George R. Fay in leading an investigation of allegations concerning detainee abuse by the 205th Military Intelligence Brigade at Abu Ghraib, commonly referred to as the Fay/Jones Report, and noted six of the systemic conditions identified by Zimbardo as factors that created situational and systemic failures resulting in an environment conducive for people to do bad acts and only one dispositional factor. (Zimbardo 2007, p. 392)

Although never absolving them of their responsibilities, these factors were identified as:

- Individual criminal propensity related to reservist MPs (dispositional)
- leadership failures (systemic)
- dysfunctional command relationships (systemic)

- multiple agencies/organisations involved in interrogations and unclear boundaries (systemic)
- failure to screen, certify and assimilate contractors who served in key roles as interrogators, linguists and analysts (systemic)
- lack of delineation between roles of Military Police and Military Intelligence in interrogations (systemic)
- lack of safety and security (systemic) (Zimbardo 2007, p. 393; Jones & Fay 2005, p. 11)

The Fay/Jones Report concludes by declaring 27 individuals as culpable in the abuse and torture that occurred at Abu Ghraib although a number of people knew, witnessed or did nothing to stop or intervene in these acts providing the *social proof* that the acts were acceptable and they should continue. (Zimbardo 2007, p. 396) In the Fay/Jones report (2005) Jones wrote:

The actions of a few undisciplined Soldiers at Abu Ghraib have overshadowed the selfless service demonstrated every day, twenty-four hours a day, by the vast majority of our Soldiers and civilians on the battlefield. We, as a Nation, owe a debt of gratitude to our service members who have answered our Nation's call and are in harm's way, every day. This fact became perfectly clear to me as I conducted my investigation (Jones and Fay 2005, p. 18).

Failure of leadership is a key systemic issue. (James 2008, p. 257; Zimbardo 2007, p. 27, p. 393) This is in stark contrast to the viewpoint of politicians who used the analogy of a few bad apples in the barrel to present the view that the crimes were committed by rogue soldiers. (Zimbardo 2007, p. 323) The metaphorical barrel represents the environment considered the role of leadership and was portrayed as

fundamentally good although some improvements could be made but rather it was a few apples, or soldiers that were bad. (Zimbardo 2007, p. 273; James 2008, p. xviii)

James (2008) noted that it was only 8 soldiers out of 2200 that actually were charged successfully for crimes, noting that none of these soldiers were actually involved in the interrogations and the crimes were contained physically to two cell blocks. James observes in his role as a military psychologist that while the eight soldiers may have had a disposition towards bad acts, these may never have surfaced if the conditions were not so conducive. (James 2008, p. 194)

It is important to note the physical conditions were appalling for both the prisoners and the guards consisting of overcrowding, frequent mortar attacks, a lack of toilets and bathrooms and overflowing portable conveniences, no mess or recreational facilities as it was too dangerous to be outside and working conditions that were unpleasant, unhygienic and unsafe. (James 2008, p. 110)

Similar failures had occurred at Andersonville in the Civil War (Zimbardo 2007, p. 335), Guantanamo Bay (GITMO) (James 2008, p. 3) and My Lai (1968) (Zimbardo 2007, p. 373). After his time at GITMO James had written Standard Operating Procedures (SOPs) that were to be implemented so that this could never happen again but as the view was Abu Ghraib was only short term, these procedures were not rolled out. (James 2008, p. 3)

The concept of moral disengagement was proposed by Dr Albert Bandura and is described as a condition that occurs when human beings are stretched beyond their emotional and psychological capacity leading to disengagement with events around

them that can result in a person to reconstrue or use strained logic to justify their actions and is one possible explanation around the failures of soldiers who make have reached this point. (James 2008, p. 149; p. 258)

James (2008) analysed the Stanford Prison experiment and found four areas that he considered flaws in the design of the experiment which can then be used to inform real situations.

- There was no detached observer and Zimbardo played the role of researcher and superintendent and subsequently became embroiled in the experiment.
- There was a lack of clarity around which behaviours were clearly prohibited.
- There was no assessment made of the psychological impact of punishments such as food and sleep deprivations
- The study lacked supervision as Zimbardo was the researcher and a key player in the experiment. (James 2008, p. 93)

James(2008) used this analysis to create guidelines he used in his work that enabled him to separate himself from the situation and remain detached, allowing him to focus on how to turn the situation around. His guidelines were:

- Do no harm, either physical and psychological to prisoners, guards, interrogators, linguists or others
- Everyone is safe and no one dies or is injured
- Obey the law and codes of conduct such as the Geneva Convention
- Be ethical and comply with the code of conduct from the American Psychological Association

- Improve effectiveness by teaching the operators how to interview prisoners properly. (James 2008, p. 95)

As a result of his experience at Abu Ghraib and his extensive experience over his career, James came up with eight rules. These are adapted for my aspirational PCLP.

The eight *Be* rules according to James (2008) are:

1. Be with your people. *'Eat at their tables in the chow hall, sleep where they sleep, everything. You got to be there with them and they will love you for it'* (James 2008, p. 236).
2. Be seen. *'Show up unannounced at all times of the day and night'* (James 2008, p. 236).
3. Be involved. *'Talk with and have fun with the lowest-ranking people you meet...that's where you will build morale and turn a failed mission into a successful one'* (James 2008, p. 237).
4. Be bold. *'Make the right hard moral calls. Your troops will love and respect you for it...Be bold and lead'* (James 2008, p. 237).
5. Be passionate. *'Your passion will spread to the rest of your unit like wildfire'* (James 2008, p. 237).
6. Be fun. *'As a leader, you set the tone. If you are miserable, they're miserable, if you're motivated and passionate, they will be too'* (James 2008, p. 238).
7. Be energetic. *'Do whatever you do with energy and people will want to be around you. It will be infectious'* (James 2008, p. 239).

8. Be clear. ‘...soldiers do what their leaders allow them to do. If you allow it, a soldier will do it’ (James 2008, p. 236-9).

The Postgenomic World.

“To the extent that a society is democratic, it provide scope for the exercise of the universalistic criteria of science....secrecy is the antithesis of this norm; full and open communication in enactment.”

Robert Merton 1942.

The Postgenomic condition describes the world after the Human Genome Project (HGP) was conducted over 10 years leading to a full sequencing of the human genome. (Reardon 2017, p. 2) Human genetics has a questionable past due to the negative connotations of racial profiling and eugenic policies of sterilization and immigration restrictions in our past led to scientists purging words like eugenics and sometimes race from our scientific language. (Reardon 2017, p. 5) In 1991, geneticists proposed the Human Genome Diversity Project to collect DNA samples from so-called vanishing indigenous populations. In 1994, the Brookings Institution set off wide ranging debate after it supported the release of the publication ‘*The Bell Curve: Intelligence and class structure in American Life.*’ which stated it was irrefutable that IQ was linked to genetics and that racial influence was undeniable. (Reardon 2017, p. 6)

John Sulston led the Human Genome Project (HGP) to sequence the human genome and like most geneticists was concerned that the project would fail in light of this publication, so the objective was restated to sequence *one* human genome which

drew clear boundaries between their work and that of the Diversity Project. (Reardon 2017, p. 6) Towards the end of the sequencing effort, the view was changed that we should compare the human genome to other species as this might help us understand evolution and the understanding of diseases leading to the International Haplotype Map Project (HapMap). (Reardon 2017, p. 6) Understanding the ethical issues that might prevail led to the unprecedented move to include ethicists in the project team to guide them. (Reardon 2017, p. 6)

The Bermuda Principles were created by US and UK scientists in 1996 and forged a landmark case where scientists agreed to a widely celebrated data sharing agreement which meant that the human genome could not be patented by an one company and would be preserved for the public good. (Reardon 2017, p. 29) Scientists agreed who was responsible for sequencing which segments and results were published daily for all to see and this prevented the ownership of any segment by corporations where some segments such as those associated with breast cancer were thought to be extremely valuable. (Reardon 2017, p. 32) As a result of this approach, all scientists today can access the human genome sequence free of charge to further their work. (Sulston & Ferry 2002, p. 9)

The size and complexity of the genome dataset makes it too complex for an individual to solve alone and impossible to complete without sharing information which is a political and moral imperative. (Sulston & Ferry 2002, p. 8)

The application of CRISPR gene editing is an extension to genome research and a relevant evolving example of ethical frameworks being created. (Smith &

Mitchell 2018, para. 53) Condemned by many scientists and ethicists, including in his homeland China, was the first known and publicised use of CRISPR gene editing technology to edit the genes of twin girls by Dr He Jianku to confer HIV resistance to twin girls. (Smith & Mitchell 2018, para. 2) These genetic modifications will be passed down through the germline and the concern by many but not all, is we have insufficient understanding at this stage and any unintended side effects. (Smith and Mitchell 2018, para. 26)

Humanity remains in control of its destiny and the use of genetic testing, selection and editing and the results that people fear such as designer babies and a super-race of people may well come to pass but it will be because we chose to allow it to be through a series of choices and not because we created the technology to relieve many of immense suffering such as with genetic diseases. (Beard & Longstaff 2020, p. 37)

Literature Review Part 3

The third part of the literature review explore the concepts of moral courage, intelligent disobedience and courageous followership as ways to potentially allow people to have a productive way to take a stand on issues regarding the unethical use of AI in business.

Moral Courage and Intelligent Disobedience.

The concept of Intelligent disobedience was initially derived from observing the training of guide dogs for visually impaired people. (Chaleef 2007, p. x) After initial training, the guide dog will go to a more experienced trainer to learn how to be intelligently disobedient when for example, the sight impaired companion orders that they cross a road but the dog can see an issue that the companion is not aware of and hence the guide dog works to keep the team safe. (Chaleef 2007, p. xi) 'Learning to disobey is a higher order skill' (Chaleef 2007, p. xi).

We are taught from a young age to be obedient and we must question how we ensure we are not *too obedient* that can lead to situations of blind obedience and the defence of *only following orders* which has been seen in many historical events involving crimes against humanity. (Chaleef 2007, p. xii)

Moral courage can be defined as:

Moral courage is the capacity to overcome the fear of shame and humiliation in order to admit one's mistakes, to confess to a wrong, to reject evil conformity, to denounce injustice, and to defy immoral and impudent orders (Miller 2000, p. 254).

In 1966, in his Speech at the University of Capetown, Robert F. Kennedy stated:

Few men are willing to brave the disapproval of their fellows, the censure of their colleagues, the wrath of their society. Moral courage is a rarer commodity than bravery in battle or great intelligence. Yet it is the one essential, vital quality for those who seek to change the world which yields most painfully to change (Kennedy 1966).

Intelligent disobedience is a critical application of moral courage according to Chaleff and Thomas (2017) which involves knowing both when and how to disobey, and to recognise that organisational culture together with operational imperatives can cause values and morals to become blurred. Intelligent disobedience encompasses how you give voice to your moral courage *effectively* but it is not a substitute for it. (Chaleff & Thomas 2017, p. 58) Intelligent disobedience is to ‘do the right thing when what we are told to do is wrong’ (Chaleff 2015, p. 182).

In the military it is a requirement to disobey unlawful orders in accordance with Nuremberg Principle IV, however *how this is done* is important as while this takes moral courage and can be personally uncomfortable and damaging, presenting other options can allow a means of achieving objectives without breaking the law. (Powers 2018; Thomas & Chaleff 2017, p. 59).

Chaleff and Thomas(2017, p. 60) point to the nuances in defining moral courage in the case of Edward Snowden, a contractor to the National Security Association (NSA). Snowden committed an act of *civil* disobedience, as distinct from intelligent disobedience, by breaking several laws he believed were unjust with the intent of creating public scrutiny so that they could be remediated, which in fact was done by Congress without ever approving of his methods. (Chaleff & Thomas 2017, p. 61) This is different to intelligent disobedience which seeks to work within the existing laws but to resist a harmful order whereas civil disobedience seeks to expose an unjust society and unjust laws. (Chaleff & Thomas 2017, p. 60)

After a series of fatal plane crashes in the 1970s, intelligent disobedience was adopted which empowered any member of staff to speak up if something was not right and subsequently, we saw a significant decrease in airline crashes and fatalities (Vozza 2015, para. 8; Chaleff 2017, p. 45) Similarly, this practice was adopted into medicine and operating theatres resulting in a decline in deaths due to human error. (Vozza 2015, para. 10; Chaleff 2017, p. 46)

Chaleef and Thomas cite two well publicized cases where both moral courage and intelligent disobedience could have had a profound impact being the Wells Fargo Bank case and Volkswagen. (Chaleef & Thomas 2017, p. 63) A total of 5,400 Employees at Wells Fargo were fired over creating two million fake accounts that generated paper based revenue from fees, as well creating PIN numbers and email addresses to enrol their existing customers in more accounts whilst Volkswagen equipped 11 million of its cars with software designed to lie about emissions tests for over a decade when their leaders knew they could not meet United States clean air standards. (Chaleef & Thomas 2017, p. 63)

A recent example of intelligent disobedience was by Rick Rescorla, Vice President of Security at Morgan Stanley who after the 1993 bombing of the World Trade Center tried hard to convince the Board to abandon their lease of the twin towers in New York City after he had unsuccessfully tried to get changes to the buildings. (Chaleef 2007, p. 159) He was unsuccessful with the Board as well but negotiated mandatory monthly evacuation drills of their 3700 employees in the towers in New York to prepare for such attacks. (Chaleef 2007, p. 160) When the first attack

occurred on September 11, 2001, Rescorda disobeyed the direction of the Port Authority that everyone should stay at their desks and immediately evacuated all staff in the south tower and the adjacent World Trade Center 5 building saving thousands of lives. (Chaleef 2015, p. 161) It was an act of Good Samaritan heroism where Rescorda gave his life when he went back for two missing employees which resulted in a total of three deaths. (Zimbardo 2007, p. 470)

An organisation that values personal accountability will create and support moral courage and teach intelligent disobedience to disobey when needed and to recommend alternatives that uphold core values. (Chaleff & Thomas 2017, p. 63) In a business context, a leader does not always know or see what people on the team do and hence may make a decision that is wrong and the role of the follower can be to intelligently disobey the leader to create a better outcome. (Nachman & Hardy 2018; McGannon 2018, p. 3)

Chaleff (2015) in an interview with Voza titled '*Why Companies should embrace Intelligent Disobedience*', states the difference between creating an environment for intelligent disobedience and whistle-blowing: 'We're trying to create an internal culture where candour is invited and respected...It's a place where problems can be internally corrected before there's a need for whistleblowing' (Voza 2015, para. 12).

Chaleef (2015) went on to further state that we need to train leaders in intelligent disobedience so they understand what it is, why it is important and how to create an environment that allows intelligent disobedience to occur:

Through experiments, we know that if one person speaks up, they will get shut down...If a second person supports him, and especially a third, they almost always get listened to. Mid-level managers need to understand that if an employee is speaking up about a potential safety issue or a very bad decision, they shouldn't leave them out on that limb... While speaking up isn't always welcome, that doesn't absolve the individual...It's no defense to say you're following orders...you violate safety protocols, and you have a responsibility to speak up (Vozza 2015, para. 16-17).

Chaleef (2015) concludes with a comment that CEOs have told him: 'What keeps me up at night is that my people aren't telling me what I need to hear' leading Chaleef (2015) to conclude 'A dog is a man's best friend, and I think of intelligent disobedience as a CEO's best friend' (Vozza 2015, para. 18).

The skills to know how and when to disobey an order is a skill of higher order than compliance and requires the leader to accept, trust and empower that those closest to what is happening will exercise disciplined initiative to adapt to changes, but remain within the intent of what they leader wants. (Chaleff 2015, p. xi)

Giving a voice to our values is a neglected part of our practice that can be addressed by building skills, confidence, moral muscle and then practicing this so we form good habits. (Gentle 2010, p. xiii) We tend to spend time on being aware of ethical issues and analysing them but not enough on the action plan to effectively address these issues. (Gentle 2010, p. xiii) According to a study by the Aspen Institute of rescuers in World War 2, it was found that individuals who risked their lives to save others at the hands of the Nazis, had a characteristic in common where they had anticipated the situation where their values would be challenged and shared it with

others as a form of pre-scripting or rehearsing what they would do. (Gentle 2010, p. xxxii)

Prior reflection on how we would respond to values conflicts is useful to build confidence and explore the boundaries of how we respond, possible options and anticipate probable outcomes. (Gentle 2010, p. 10)

Courageous Followers.

Supporting the leader and giving frank feedback on the leader's actions are characteristics of a courageous follower. (Chaleff 2015, p. 27) Both roles are distinct roles that should form a partnership where both the leader and the follower support each other, create mutual trust, have open and honest conversations all with the objective of mutual success. (Chaleff 2015, p. 28)

Chaleff (2015) cites an example which provided him personal inspiration of a US Army Field Commander who twice disobeyed a command to fire after stating he believed he was firing at his own troops or friendly fire and this was subsequently found to be correct. In this case his information was timelier and more accurate than that of his superiors and his act of intelligent disobedience saved many lives and was duly recognised. (Chaleff 2015, p. 40; Chaleff 2009, *Dedication*) There are many more followers than leaders, and most leaders are also followers so focusing on follower development could be as or more important as developing leaders to have the greatest impact. (Johnson 2009, p. 20) Followership development is important as leaders and followers are interdependent and followers are essential to group success, need

to make their own moral decisions and are an integral part of many leadership theories. (Johnson 2009, p. 20; Collingson 2006, p. 179)

Followers are gaining power while the influence of leaders is fading and hence responsible follower development is essential. (Kellerman 2008, p. 240) Separating leadership and followership is misleading as the two cannot be separated or understood without looking at the attributes, skills, and behaviours of both followers and leaders. (Johnson 2009, p. 21)

Courage is required to create balance in the leader-follower relationship as an individual who is not afraid to speak and act on what they believe is right, despite the inequity in the relationship requires courage. (Chaleff 2009, p. 20) Exercising courage involves risk when our natural tendency is to try to reduce risk. (Chaleff 2009, p. 20)

Courageous followers accept responsibility for their actions and the organization as a whole, and serve their leaders through their work but they also challenge leaders who choose to engage in inappropriate behaviour and through doing so help the leader to change their attitudes and actions leaving the organisation a better place. (Johnson 2009, p. 25) Chaleff (2009) states that a courageous follower recognises the power in their role and the need to support and develop the leader through courageous relationships with both the leader and other followers and that both the leader and the follower are responsible for stewardship and loyalty which must be correctly aligned with the *organisation's* objectives and its stakeholders, rather than the follower only aligning with the leader's objectives.

The courage required by the follower does present risk and a follower will recognise this to the extent of developing contingency plans in situations that may require a threat to personal livelihood. (Chaleef 2009, p. 21)

A leader's pre-occupation with self-development, self-awareness and self-improvements might restrict their understanding of followers and limit the leader's effectiveness as will failing to understanding the complexity and inter-dependence of their relationship. (Collingson 2006, p. 187)

Chaleef (2009) proposes seven elements of courage that are essential for a courageous follower. These are the courage to:

- assume responsibility
- serve
- challenge
- participate in transformation
- take moral action
- speak to the hierarchy and
- listen to followers. (Chaleef 2009, p. 8)

Courageous followship should be encouraged and developed in our current environment, or the age of the worship of leadership and viewed as a possible way to balance power to neutralise the deleterious leadership of organisational life. (Chen & Tsai 2013, p. 52)

Chaleef (2009) proposed a model that consists of four different followship styles and has created an instrument for individuals to assess their style as part of their

continued followship development. A completed survey is included in this Leadership Portfolio in Appendix 6. The styles are represented below:

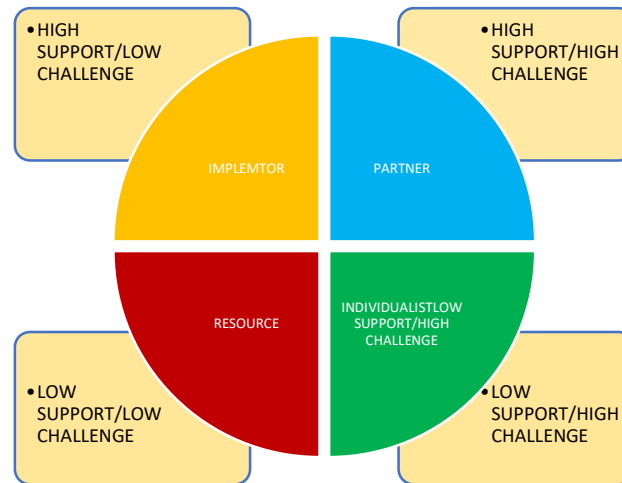


Figure 2: Courageous Follower Model (Source: Author's adaptation of model from Courageous Followship Survey model Appendix 6, 2020)

- Quadrant 1 – *Partner* – High Support/High Challenge: true partner who gives committed support and challenges appropriately
- Quadrant 2 – *Implementor* – High Support/Low Challenge – leaders prefer these followers quite often as they can be relied on to get things done with few questions or objections
- Quadrant 3 – *Individualist* – Low Support/High Challenge – followers are active in their challenges and can be useful in a group to do so but their commitment and energy to act is weak

- Quadrant 4 – *Resource* – Low support/Low challenge- followers tend to do their work and not cause issues. (Chaleef 2009, p. 40)

In servant leadership the leader puts the needs of the followers first and sets aside the leader's selfish behaviours and likewise servant followership discourages self-centred behaviour by encouraging individuals to remain in a follower role thus reducing competition and conflict for leadership positions. (Kelley in Johnson 2009, p. 25) It is possible to learn good followership and the key attribute is to provide feedback to the leader. (Maroosis in Chen and Tsai 2013, p. 49)

Review of Leadership Theories applicable to my PCLP.

Introduction

A literature review is conducted on Leadership theories that relate to both the current and aspirational PCLP. These are transformational and transactional leadership, authentic leadership and servant leadership. Storytelling is highlighted as this is a key method I use to practice my leadership.

Transformational and Transactional leadership.

My fellow Americans, ask not what your country can do for you; ask what you can do for your country.

John F Kennedy, Inaugural Speech 17 Jan 1960.

Robert Burns is attributed as being the first researcher in 1978 to propose two types of leadership, transactional and transformational, and he believed that leaders were developed into leaders as a reflection of their motivation, values and goals rather than any suggestion of *born leaders*. (Stewart 2006, p. 9)

Burns defines leadership as ‘leaders inducing followers to act for certain goals that represent the values and the motivations – the wants and needs, the aspirations and expectations – of both leaders and followers’ (Burns 1978, p. 19). Transactional leaders look to exchange one thing for another, for example hard work for extrinsic rewards whereas the transformational leader looks at the motive of followers and seek to satisfy higher order needs through intrinsic rewards for higher order needs. (Stewart 2006, p. 6) ‘The Transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower’ (Burns 1978, p. 4). The result of this leadership is a mutual relationship that sees followers transformed to leaders and leaders transformed to moral agents where leaders take responsibility for their leadership and aspire to satisfy the needs of the followers. (Stewart 2006, p. 9)

Transactional leaders focus on follower’s self-interests or what the organisation can do for you, whereas transformational leaders uplift their follower’s morale, motivation and morals to look beyond self-interest to a higher order goal, or what you can do for your organisation. (Bass 1999, p. 9) Transformational leadership is recognised as requiring higher moral development and a transformational leader

inspires and is intellectually stimulating as well as individually considerate of the followers. (Bass 1999, p. 12)

Transformational leadership is based on the use of intrinsic motivation and rewards to motivate followers to perform beyond their own expectations and thus bring out the best they can be. (Bass 1999, p. 11) Transformational leaders create enthusiastic followers who are committed to organisational objectives and empowered by the transformational leader to achieve them. (Yukl 1998, p. 2f) Transactional leadership can be adequate and effective but when combined with transformational leadership can lead to greater satisfaction in followers. (Bass 1999, p. 10) This is in contrast to Burns (1978) who saw leaders as either transactional or transformational. (Stone et al 2004, p. 350)

In order though for followers to go beyond their self-interests and to fully adopt the values and goals of the organisation, they place their trust and confidence in the leader who aligns follower's self-interests with the interests of the group or organisation using higher moral values. (Bass 1999, p. 11) Burns (1978) created the term transformational leadership stated: 'Such leadership occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality' (Bass in Johnson 2009, p. 22). Transformational leaders engage with those who follow in such a way that both the leader and the followers raise each other to higher levels of motivation and morality which translates into higher performance. (Johnson 2009, p. 22)

Transformational leaders can be both directive and participative depending on the circumstances and can exhibit both transactional and transformational leadership as required. (Bass 1999, p. 13) One area of difficulty arises with whistle blowers who must choose a conscience vote against unethical behaviour and the detrimental effect on the organisational goals caused, ahead of any self-interest as they cannot be aligned. (Bass 1999, p. 13)

Creating the right perception of a leader is an important enabler to a transformative leadership style is based on the leader's knowledge, competency and values to lead people in the right direction. (Bass 1999, p. 15)

Conger (1990, p. 44) argued that transformational leadership and its association with charisma could also have a dark side, and that if a leader's motives were unethical, this may lead to manipulation of others. Issues in cognitive dissonance arise when the leader's vision reflects the leaders needs rather than those of the market or constituents leading to under estimating the resources needed to achieve the vision or a distorted or overstated view of the market and a failure to recognise environmental changes. (Congor 1990, p. 50)

Leaders exhibit behaviours that are charismatic when they address the needs, aspirations, desires and fears of their followers and engage in encouraging behaviours such as being unconventional and showing personal commitment, confidence, knowledge and the ability to take personal risks. (Johnson 2009, p. 22) However, some charismatic leaders in large organizations encounter challenges when managing both upwards and sideways and their unconventional ideas can alienate others

including those above them and leave them without sufficient political support for their ambitious plans especially when they are brought in from outside the organisation. (Congor 1990, p. 53)

Avolio et al (1991) proposed four key behaviours that constitute transformational leadership:

- Idealised influence
- Inspirational motivation
- Intellectual stimulation and
- Individualised consideration.

Avolio et al (1991) preferred the use of the words idealised influence over charisma which had negative connotations from leaders in the past such as Stalin and Hitler. Idealised influence is characterised as leaders who become role models to be respected and admired and who lead ethically. (Johnson 2009, p. 351)

Transformational leaders create inspirational motivation by 'providing meaning and challenge to their follower's work' (Avolio & Bass 2002, p. 2). The team is inspired with 'enthusiasm and optimism are displayed' (Bass 1998, p. 5). Transformational leaders focus on creating more innovative and creative environments for teams to experience and harness their intellectual stimulation. (Bass 1999, p. 11)

Individualized consideration is displayed when leaders are focused on the development of their followers and leaders may engage in mentoring, coaching and delegating work as an opportunity for the follower to grow. (Bass 1999, p. 11) The Multifactor Leadership Questionnaire (MLQ) measures the frequency a leader

exhibits either transactional or transformational factors, and each leader's profile is found to be either more transactional or more transformational. (Avolio & Bass in Bass 1991 p. 12) Avolio and Bass (1991) proposed that transformational leaders were more satisfying for their followers than transactional leaders. Bass (1991) warns of the leader who appears to exhibit self-aggrandizing charisma and called this pseudo transformational to differentiate it as false. Importance must be placed on the ethical and moral factors that differentiate a truly transformational leader rather than a pseudo transformational leader. (Bass 1999, p. 15)

Transformational Leadership vs Servant Leadership.

Servant leadership as proposed by Robert Greenleaf in 1977 has been studied for its similarities and differences to transformational leadership (Stone et al 2004, p. 349) There are similarities between the two leadership styles and the most significant difference is transformational leaders focus on *organisational objectives* and inspiring people to achieve them whereas the servant leader is focused on service itself and their *follower's objectives* and trusts the organisational objectives will be met as a result. (Stone et al 2004, p. 354) Both leadership styles emphasize individualised consideration and appreciation of others through listening, mentoring, teaching and empowering others. (Stone et al 2004, p. 354) While transformational leaders rely on their expertise, strength of relationships and idealised influence, or charisma to influence others whereas servant leaders rely on the self-giving nature of the service itself to inspire others. (Stone et al 2004, p. 354)

Becoming a servant-leader begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. That person is sharply different from one who is leader first, perhaps because of the need to assuage an unusual power drive or to acquire material possessions. For such people, it will be a later choice to serve after leadership is established. The leader-first and the servant-first are two extreme types. Between them are the shadings and blends that are part of the infinite variety of human nature (Greenleaf 2008, p. 35).

Russell & Stone (2002) developed a model to compare and differentiate servant leadership and transformational leadership. (Stone et al 2004, p. 354)

Transformational leadership and Servant Leadership are both people-centred leadership models and share the following common elements as identified by Russell & Stone (2002):

- vision
- influence
- trust
- respect
- credibility
- risk-sharing through delegation
- integrity and
- role modelling.

Servant leadership and transformational leadership are most similar in respect to their consideration and emphasis on individualised consideration and appreciation of followers. (Stone et al 2004, p. 354)

Russell and Stone (2002) point out that while both transformational leaders and servant leaders are influential, servant leaders gain their influence through the non-traditional practice of serving others and they place more trust in their followers than other forms of leadership do.

The transformational leader has a greater concern for getting followers to engage in and support organizational objectives. The extent to which the leader is able to shift the primary focus of his or her leadership from the organization to the follower is the distinguishing factor in determining whether the leader may be a transformational or servant leader (Stone et al 2004, p. 354).

Authentic Leadership.

Authentic leadership is of great interest to researchers and practitioners and the most likely reason is because the effect of this leadership is greater than just business performance and extends to the wider community and society by tackling policy issues and societal problems. (George in Avolio et al 2004a , p. 2)

According to George (2000) to be authentic, you must know yourself and the defining moments in your life. The authentic leader understands and reflects on their life story which provides the context and inspiration for what follows. (George et al 2007, p. 2) ‘The story of your life is not your life. It is your story’ (Barth in George et al 2007, p. 2). George (2003, p. 9) states: ‘We need leaders who lead with purpose, values, and integrity; leaders who build enduring organizations, motivate their employees to provide superior customer service, and create long-term value for shareholders’ .

Authentic leaders are:

those who are deeply aware of how they think and behave and are perceived by others as being aware of their own and others' values/moral perspectives, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, optimistic, resilient, and of high moral character (Avolio et al 2004b, p. 4).

Authentic leaders have achieved high levels of authenticity and know who they are, what they believe in and place value on, and they act upon those values and beliefs. (Avolio et al 2004b, p. 3) An authentic leader cannot be one if they are imitating or emulating someone else, and while you can learn from others, people will only trust you when you are genuine and not a replica of someone else. (George et al 2007, p. 1)

Avolio (1999) stated authentic leaders could exhibit both directive or participative leadership styles and could even be authoritarian. It is not the behavioural style that differentiates an authentic leader but rather that the leader's behaviour is in accordance with their personal values and beliefs and this will build the credibility to earn the respect and trust of followers and forms the basis of the networks and collaboration with followers which leads to creating the view of authenticity in followers. (Avolio et al 2004b, p. 7) Followers will then in turn adopt their own style portraying authenticity to leaders, peers and customers which is the basis of cultural change. (Avolio et al 2004b, p. 7)

According to George (2003), authentic leaders really want to serve others and are most interested in allowing the people they lead to be empowered to achieve their

goals and are guided by caring and compassion for others rather than only by the qualities of the mind.

Avolio et al (2009) state that to live authentically you must have the ability to analyse data objectively before making a decision, be guided by a moral standard, share information and feelings appropriately and understand your own strengths and weaknesses. Authenticity requires a leader to be self-aware, reflective and have a willingness to learn and develop and impart knowledge to followers who in turn learn and grow and impart this to other followers. (George et al 2007, p. 2) Brown 2017 stated that a person is not authentic or inauthentic, but rather it is each moment, hour, meeting or encounter that is authentic and authenticity is a choice made *in action*.

Storytelling as a method to convey visionary leadership.

Narrative Paradigm Theory (NPT) is an exchange of information through storytelling and the stories are value rich and shared in a manner that is accessible to a diverse organisational population. (Barker & Gower 2010, p. 1) Stories should be easy to understand yet memorable and establish a common understanding which creates empathy from both a cognitive and emotional viewpoint to understand the views and experiences of others. (Barker & Gower 2010, p. 1)

‘Stories help us to make sense of what we are, where we come from, and what we want to be’ (Soin & Scheytt 2006, p. 55). The combination of a sender’s ability to tell stories and the NPT proposition of the receiver’s ability to logically evaluate content provides us with the opportunity to assess and apply NPT as an effective tool to be used

more regularly in the global business environment for organizational communication. (Barker & Gower 2010, p. 5) Many professions are recognising that storytelling is a powerful and relevant way to the exchange knowledge, consolidate learning and to build trust, emotional connections and cultivate norms. (Sole & Wilson 1999, p. 1) The importance of storytelling, described as the Narrative Paradigm Theory (NPT) by Barker and Gower (2010), is as a way of learning from the past and applying these lessons to the future, as a means of fostering trust, commitment and sharing norms and values. (Sole & Wilson 1999, p. 1)

Storytelling in business can be powerful and provide the means to spark action, communicate who you are, communicate values, share knowledge, provide for collaboration, quell the grapevine or rumour mill and lead people to the future. (Denning 2004, p. 5)

The act of telling stories or Narrative Paradigm Theory (NPT) is a powerful way to convey the right values and behaviours in organisations to build trust and commitment, as well as making sense of the past and possible futures. (Barker & Gower 2010, p. 1)

George et al (2007) draw attention to personalised storytelling in leadership as a means of expressing yourself authentically and the ability to reframe events to recognise their useful meaning as a lesson to be shared. (George et al 2007, p. 2)

This Chapter has covered a wide range of topics in the Literature review which is drawn together to identify the gaps the research questions seek to explore.

Chapter 3: Research Methodology and Research Questions

In this Chapter the research question, the propositions to be explored as well as the research methodology are discussed. The justification of the epistemology of Constructivism and the method of Case Study Research is given.

Research Question

How should my Personal Contingent Leadership Paradigm evolve to lead in businesses to encourage, inspire and facilitate the ethical use of AI?

Propositions to be explored:

- How and why do some people make the choice to do the wrong thing even when there is an alternative not to, and others choose the right thing?
- How can we create businesses that encourage people to make the right choice when using AI?
- How could we allow people to take a stand against the unethical deployment of AI most effectively?

Research Methodology.

The mode of enquiry for the research is case study research and the method of enquiry is the case study while the unit of enquiry is the case(s) examined and within each case there can be embedded units of analysis.(Yin 2018, p. xx, p. 48) The methodology of using a case study allows the researcher and author (myself) to

explore situations using qualitative data while recognising that there are situations where quantitative data may be used as well. (Zainal 2007, p. 1)

The epistemology framework of Constructivism is the basis of Case Study Research and constructivism seeks to explain how people learn through making meaning from what they are observing. (Ültanır 2012, p. 195) Meaning is constructed based on the person's previous experiences, knowledge, beliefs and the ideas and concepts they come in contact with and it is an individual process and has no external validity. (Ültanır 2012, p. 195) People generate knowledge and meaning through the interaction of their experiences and ideas rather than learning which can be acquired through repetition and imitation. (Mogashoa 2014, p. 51)

Meaning is obtained through constructivism where the learner or researcher is focused on thinking, reflection and insight and there can be no knowledge independent of the meaning attributed to experience. (Hein 1991, *Constructivism*) Constructivism can be described as:

What people gain through sensation and cognition make up the individuals' experiences and knowledge. Individuals benefit from previous experiences when resolving problems. Knowledge is constructed from the meanings one attributes to nature and the environment. In theories, it means that constructors depend on observation and when directly translated, the theory has the meaning of observation. In other words, we construct our own reality with those belonging to our social circle. For us, there is the world and we can't disregard that; however, the relationship between us and the outside world is a joining as materialistic and structural as in a social environment

(Ültanır 2012, p. 195).

This is further explained by Brooks & Brooks (1993, p vii) as ‘Constructivism is not a theory about teaching...it is a theory about knowledge and learning...the theory defines knowledge as temporary, developmental, socially and culturally mediated, and thus, non-objective’. A constructivism framework is used in case study research where the learner or researcher constructs knowledge as they learn either by themselves or with others involved such as in interviews. (Hein 1991, *Constructivism*)

According to Harrison et al (2017) there are three most common forms of case study research are from the work of R.K Yin, R.E Stake and S.B Merriman. Yin’s approach to case study research focuses on the scope, process and the method of case study research and places importance on the context of the case and the nature of enquiry being empirical. (Harrison et al 2017, p. 4) Stake focuses on what is studied as being the most important aspect and places less emphasis on the process described as ‘the study of the particularity and complexity of a single case, coming to understand its activity within important circumstances’ (Harrison et al 2017, p. 4). Similar to Stake, Merriman focuses more on what is being studied and that the investigation should be enlightening and empirical. (Harrison et al 2017, p. 4) There are instances where researchers seek insight and discovery rather than testing a hypothesis and case study research fits well here. (Noor 2008, p. 1602)

Multiple cases and embedded units of analysis are used to justify the identification of my core values and the development of my PCLP. Cases are examined longitudinally as this sequence matches how my PCLP has changed and adapted over time. Within each case, individual embedded units of analysis are

examined including reflections on key events, psychometric tools, 360-degree feedback, a published article, online survey and semi-structured interviews. This allows the information to be triangulated to reduce and eliminate bias. (Zainal 2007, p. 2, Yin 2018, p. 128)

Case Study Research is the preferred way to investigate events that are contemporary or current and exist in real life and is best used to answer questions of *How* and *Why*. (Yin 1994, p. 2) Case study research is an effective method to investigate real world events that are complex in nature and has been used in business and other disciplines to investigate a wide range of situations. (Harrison et al 2017, p. 1) Case Study Research is useful where the boundaries between the object being studied and the context are not clearly delineated and where there are many variables of interest rather than just data points to be gathered. (Kohlbacher 2006, *Case Study as a Research Strategy*) The main units of analysis for case study research are organisations and relationships and these are complex in nature and difficult to assess. (Easton 2009, p. 118)

Perry (1998) states that case study research fits in the critical realism paradigm and uses both induction and deduction to create theories and conclusions and the critical realism paradigm allows for a level of researcher objectivity in that there is an external reality although that is in all probability complex: 'A perception for realists is a window on to reality from which a picture of reality can be triangulated with other perceptions' (Perry et al 1997, p. 554). Critical realism is well suited to sit with case study research as it justifies any situation regardless of how many embedded units of

research are used but only if there is thoughtful detailed research into understanding things as they are and hence the external reality does not need to be justified. (Easton 2009, p.119)

Yin recognises that case study research is still evolving and cites three areas that need to be developed further, these being the use of plausible rival explanations and the complexity of human bias in selection of them; the use of variables in case study research and the identification of patterns and defining the relationship between case study research and qualitative research. (Yin 2018, p. xiii, p. 39)

A clear methodological path is required for case study research although the path is not the same for all research and a traditional path of completing a literature review and proposing research questions can work but equally you might start with some fieldwork first if you are proposing an alternative view for example, and then work back to the research questions and literature view. (Yin 2018, p. 27)

In assessing whether case study methodology is appropriate or whether another method of research should be used, Yin (2018, p. 9) proposes that we assess the questions to be asked, as well as whether we have control over behavioural events and whether the issues are contemporary.

The Case Study Research Method can be defined as:

The essence of a case study, the central tendency among all types of case study, is that it tries to illuminate a decision or set of decisions; why they were taken, how they were implemented, and with what result
(Shramm in Yin 2018, p. 14).

Case Study Research consists of the following 5 steps (Yin 2018, p. 27):

1. Case study questions(s)
2. Propositions(s) if any
3. The case(s)
4. Logic that links data to propositions
5. Criteria to interpret the findings

The case study research method is proposed as the appropriate method of research meeting these criteria. Further, we will follow the Type 2 approach of using one case study containing multiple cases with multiple embedded units of analysis and we draw cross-case conclusions based on the evidence presented in the cases. (Yin 2018, p. 48) The use of semi-structured interviews in case study research rather than structured interviews allows the researcher to have adequate flexibility to investigate different ideas while still being able to cover the same areas under investigation. (Noor 2008, p. 1604)

This Chapter has covered the research question, its propositions and the reasons why the epistemology of Constructivism and the method of Case Study Research are appropriate.

Chapter 4: Current Personal Contingent Leadership Paradigm (PCLP)

My starting PCLP is an integrated style which is predominantly transformational with elements of transactional leadership to provide positive feedback and rewards to people for their work to continue to inspire them to do even better. Authenticity is complementary and provides balance against the negative aspects of charisma in transformational leadership discussed in the literature review previously. Storytelling is the method used to create powerful visions that allow people to follow me as a transformational leader, and is a positive way to develop charisma and I will share authentic and appropriate stories of successes and failures to coach others.

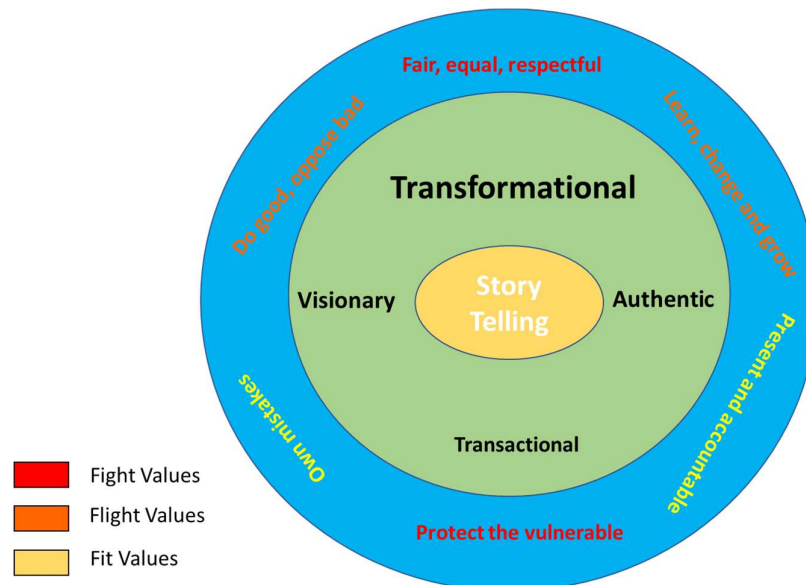


Figure 3: PCLP at commencement of DBL program 2017. (Source: Author)

The starting PCLP will be justified by fifteen embedded units of analysis focused on significant events in my leadership history, three embedded units of analysis refer to psychometric tool results and two embedded units of analysis consisting of an online survey and semi-structured interviews used to create my aspirational PCLP and leadership practices.

Aspirational leadership core values.

Through further reflection and identifying my *way of being* and *persistent worries*, it emerged that my values form a safe barrier around my leadership style. Without my values pushing in on the preferred leadership styles, it may be possible for my leadership styles to present in negative ways such as transactional management becoming punitive management or transformational leadership drawing on misuse of charisma and leading people to serve my purposes rather than that of the business or the people.

The aspirational leadership core values identified are listed below and categorised as fight, flight or fit. These categories are useful to describe the norms of behaviour that result from the core values when challenged. My values are aspirational and I recognise that I am not perfect and while I try to live my values every day, I too am tired, distracted, and imperfect and do not always exhibit my values in my behaviours. In that sense they remain aspirational and I remain humanly imperfect.

RED VALUES: FIGHT	ORANGE VALUES: FLIGHT	YELLOW VALUES: FIT
• Protect the vulnerable • Fair, equal and respectful	• Do good, oppose bad • Learn, grow and change	• Present and accountable • Own mistakes

Figure 4: Fight, Flight or Fit Values. (Source: Author)

The first two values are the *red* values which are so strong that they are also called *fight* values. When challenged, my reaction is to immediately defend others, both physically and verbally. With reflection, it is possible to see the value of protecting the vulnerable which was so deep rooted from an early age.

I recognise that my red values need to be tempered as my first reaction when challenged is a reflex action that can be too strong and have adverse effects, especially if I have misread a situation or my reaction is not communicated well. It is proposed that red values if not managed or tempered have the potential to de-rail. This was highlighted when completing a pre-employment assessment for Transfield in 2015 (Appendix 3) which found that my ethics and values were so pronounced that they could be detrimental and cause inter-personal conflict.

The next two values are my *orange* values or *flight* values. In this case, where values are challenged and this cannot be overcome by my actions, my preferred outcome is to leave the situation. If taking a stand does not create change, then leaving the role or business is a preferred outcome. A significant occurrence of this was leaving EDS which is included as an embedded unit of analysis. In another case where funding for all development was stopped over a number of years, I chose to

fund the company directors' course myself as well as professional memberships in AICD, Women on Boards and the Australian Institute of Management to ensure my skills stayed relevant.

The last two values are *yellow* or *fit* values. When a business environment for example, does not expect accountability or ownership of mistakes, as in a culture of blame, there is a choice necessary as to whether I can co-exist in the environment or not. In one organisation where the language of blame was evident, I consciously chose not to participate and to lead by showing how to make mistakes with integrity. With my yellow values, I choose to flex and coexist.

Leadership Theories and my PCLP .

The literature review explores the key leadership styles that go to make up my integrated leadership model. Transformational leadership with its emphasis on the future, optimism and leading a team to a better place forms my cornerstone. The importance of intrinsic and extrinsic rewards is recognised in the appropriate use of transactional leadership. Authenticity and being your true self and true to yourself is an important element and reflective of my values.

My leadership paradigm draws on authentic leadership and recognises the importance of early life experiences, using reflective learning, identifying key values, understanding motivational factors and recognising that authenticity is work and outside work experience. An important factor added to my leadership paradigm as it developed is that there must be consistency between the workplace persona and the

non-workplace persona to maintain trust, respect and integrity in relationships with followers which was recognised by George et al (2007). In my leadership paradigm, sharing appropriate stories from my life outside the workplace shows vulnerability and allows others to see me as more human, especially when some of these stories are about my shortcomings. Authenticity is viewed as complementary and necessary for the transformational leadership in my leadership paradigm as it creates transparent and genuine relatedness between myself and followers.

Reflecting on the past, using story-telling to contextualise ideas and vision to extrapolate into the future is an effective mix of transformation, visionary and authentic leadership styles, and it is authenticity that allows me to acknowledge when I am wrong and use that as a lesson for the future whilst maintaining integrity. This connection is noted by numerous researchers including Avolio & Gardner (2005); Gardner et al (2005) and Wang et al (2014).

Confronting my Persistent Worries.

You see Auntie Lee, the reason I survived the Army's basic training was I recognised that they have to break you down into your basic parts. When you are laid out bare, and at your most vulnerable, only then will they put you back together again - into someone far better. If you remember that you will last the distance. If you resist, you don't last long.

Paraphrased from a conversation with my niece in 2009

This discussion has persisted with me over the last decade and both inspires me and troubles me. Inspiration because the Army can create great men and women

and troubling because at its worst Defence is about war and the inevitable, painful consequences of all conflict.

After finishing my contract through my own company with Leidos and returning to Sydney, my mood would best be described as somewhat apprehensive and I entered into even deeper reflection of who I am and what could, would or even should come next. This was not designed but as I felt myself becoming more reflective, I embraced it.

I named this my Leadership Bootcamp drawing on the analogy of the Army breaking down recruits and rebuilding them into someone better, so I decided to adopt this approach. For me to really embrace the learning and development that I sought from the Doctorate program, I had to allow myself to be more vulnerable than I felt comfortable being and to confront some of my most difficult and painful memories. I have grown from this experience and I can see the impact to my aspirational leadership paradigm, however I am very aware and grateful that during this process I received considerable support from others.

As a result, I have identified my *persistent worries* and these are not necessarily rational thoughts but they will rise from my sub-conscious to my conscious thoughts prompted by a situation and are beyond my control to suppress them. Part of my personal growth is to name them as they intrinsically form me in all aspects of who I am including leadership and they are *my way of being*.

My persistent worries are ingrained, hard wired and unlike values that can change, they persist, and I have not found a way to shift them. The more I try to

research my worries, the more I validate them and I have drawn on research to create ways to mitigate my persistent worries in my aspirational PCLP.

Investigation of my leadership paradigm and the reflection involved has broken me down into my basic parts and in doing so has caused many memories to resurface that I had set aside. It took me some time to realise that the memories I needed to reflect on to understand the development of my values came from my childhood and adolescence, not just from my business career. Some memories were recalled easily, some resisted and there are still some I suspect in my metaphorical memory cupboard. Occasionally one will come out triggered by what I have read or seen. My personal development is not a perfect and I continues through my model for learning to make this a more directed and productive process.

Intrinsically linked to my persistent worries is my way of being which is my response to my persistent worries and underpins the formation of my values.

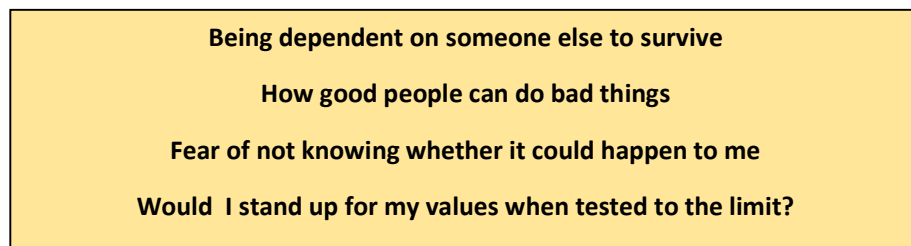


Figure 5: My persistent worries. (Source: Author)

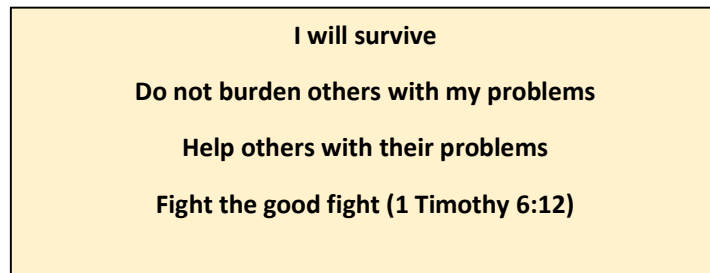


Figure 6: My Way of Being. (Source: Author)



Figure 7: The Voice in my head. (Source: Author)

My boot camp reflection has been important and integral to my way of being and how I show up for others. My way of being and my persistent worries can irritate me as its not necessarily realistic or reasonable and it would be better if I could let go of my persistent worries altogether. What I find though is regardless of what I consciously and rationally might want, they persist. Having uncovered my persistent worries, which derive validity from the voice in my head, which I identified in the Language of Leadership course examined in Reflection 11, it was essential for me to include this in the literature review to firstly understand what I could do to address them and to use what I learned in the creation of my aspirational leadership model.

Being able to identify and name my persistent worries has led me on a journey of personal growth which was necessary for me to be complete with creating my aspirational PCLP. Developing my leadership skills further than what I first anticipated is important not just to my business role but extends beyond that into society. Having consumed over 2000 pages about how good people have done bad

things had been difficult and confronting but I do now have answers to my persistent worries and in my leadership guidelines I will show how these are applied into my business context and operationalised.

Model for Learning.

Throughout the preparation for this thesis, a model for learning has been identified and refined and forms a key part of my leadership paradigm. From an early age, a curiosity to learn was instilled in me by my father, who left school at 14. His mother died early and in 1944 when he turned 18, he joined the Navy and went to war, joining his brothers and his father who re-enlisted and a sister who was an Army Nurse. My father was self-taught on many things and a real expert in citizen weather and regularly reported rain gauge readings to the Bureau of Meteorology twice a day in two locations until technology took over. My father instilled in me that you should always confront what frightens you as this creates understanding, tolerance and liberates irrational beliefs embodied in his saying: 'If you are afraid of the dark, step into it' and this I have done with my reflections of my persistent worries.

I have carried this practice into my business career and participating in thought leadership, especially at the start of disruptive trends such as mobile technology, social media and most recently artificial intelligence, instils in me a sense of obligation as to the ethical use of technology and the need to try to educate and protect against unethical usage. Listening to everyone's point of view is important to gather

insight even if in some cases I find the point of view objectionable. I will decide what is useful and what is put aside based on my values.

Learning in action necessitates taking risk and the ability to make and recover from mistakes. Making mistakes demonstrates vulnerability and a genuine desire to learn and appreciate different points of view that is at the heart of authenticity in my leadership paradigm. Thinking as well as a proclivity to imagine and reimagine possibilities for the future even when these ideas are knowingly unrealistic serves to provide indispensable emotional inspiration.

Peterson (2018) describes learning is like crossing a river, and having one foot on what you have mastered or understood and the other in what you are learning and exploring.

Then you have positioned yourself where the terror of existence is under control and you are secure, but where you are alert and engaged. That is where there is something new to be mastered and some way you can be improved. That is where meaning is to be found (Peterson 2018, p. 44).

The model below reflects on my preferred model for learning developed through the DBL program. Use had been made of the Gibbs (1988) Reflective Cycle as this tool considers the emotional aspect of learning and acknowledges this is difficult which resonates with my learning style. (Potter 2015, p. 336)

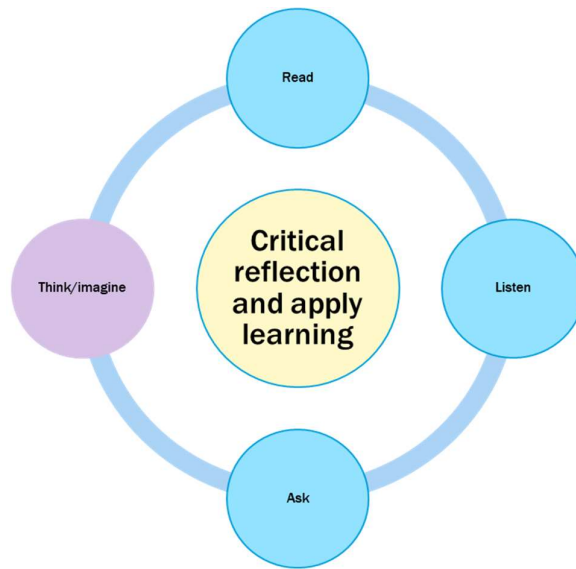


Figure 8: My Model for Learning. (Source: Author)

Gibbs' (1988) Reflective Cycle places theory and practice in an iterative circle which in Schön's model of Reflective Action (1983), this process is *reflection-on-action* rather than reflection-in-action. (Potter 2015, p. 336) Schön's model of Reflective Action (1983) is a complementary and powerful model and uses *reflection in action*. (Schön 1983, p. 2)

The blue coded circles are the sensory data sources that are used to collect information. From this point the purple coded circle is a cognitive process where it is recognised my preference is to have time to think, process and then imagine what could be done with this information and often involves asking more questions or consulting more sources and I make use of my early morning jogs to reflect.

My Coaching Maxims.

Looking outwards from my personal contingent leadership paradigm to others, I am prompted to record two important elements as they relate to leadership and to what I have learned from the coaching I have received over the years.

Firstly, there are two *life* gifts I would give to everyone. The first is resilience to be able to change and adapt and take whatever comes your way. The second gift is what enables resilience to be operationalised and that is a commitment to life-long learning (three Ls). To change and adapt means an enduring commitment to learning. Without this commitment, people risk being irrelevant and ultimately their skills redundant. My wish is that people leave the workforce *when they choose to* and not when someone else decides they are no longer useful.

The eight *Be* rules from (James 2008, p. 236-9) discussed in the literature review for Abu-Ghraib, has influenced my aspirational PCLP and as a result, two key changes were made. I have included in my revised coaching maxim of *balcony to the basement*. Transformational leaders tend to be on the balcony, but you also need to be on the ground experiencing what your people experience to understand and although I regularly do this, it is more powerful to explicitly state this and use in my coaching. As I apply this into businesses using AI and the literature reviews on holding designers accountable, it means leaders must be involved in the business development and activities to design *what* and *why* something is being proposed to a customer rather than just an approval after it has been proposed.

The last rule is also reflected in a coaching maxim of *the standard you walk past is the standard you accept* meaning *every time* sometimes is amiss, it must be addressed. I have not always done this and this is my commitment to build into my aspirational PCLP.

Intelligent Disobedience and Courageous Followership has been added as a result of my literature review and personal correspondence with Ira Chaleef author of *Intelligent Disobedience* and *The Courageous Follower*.

My coaching maxims are key life lessons that I have learned along the way from others and which I try to impart in my coaching. They are powerful when put into use to understand the world and to have the resilience to get through the many challenges thrown our way.

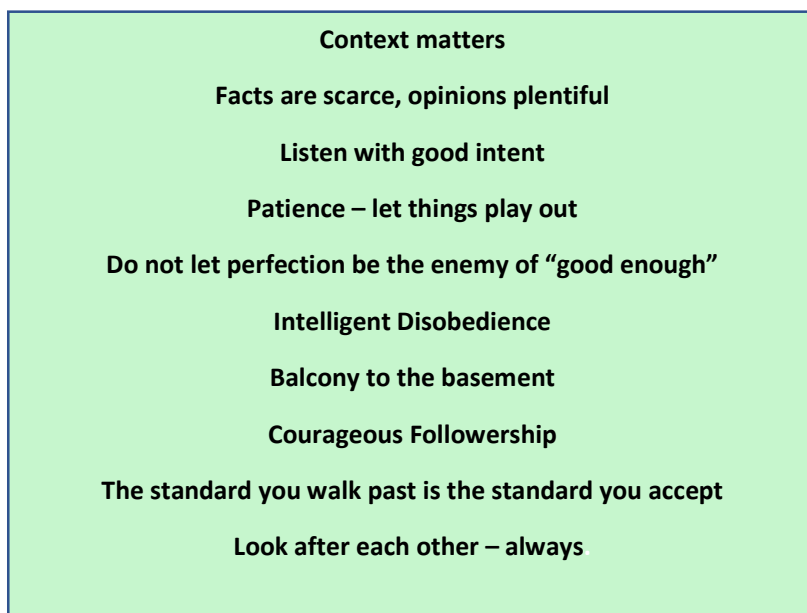


Figure 9: My Coaching Maxims. (Source: Author)

Context matters

The first maxim comes from my value of being fair and respectful. Investing time to understand the history and background of any issue or decision shows fairness and respect. My interest in history reflects my desire to understand context.

Facts are scarce, opinions plentiful and listen with good intent.

The second and third maxims comes from the Language of Leadership course and the realisation that the world mostly runs on people's opinions rather than facts. The imperfections of human memory and the complexities of forming memories with diverse experiences and perspectives means we waste too much time trying to be right and not enough time seeking to understand.

Silence can be uncomfortable but can be your biggest asset in just pausing and allowing people be open and let their thoughts flow freely often leading to break throughs in understanding. However, sometimes this means that more is said that probably should have been and it is a moral imperative to me that information is not misused and confidentiality must always be respected. While things cannot be unsaid, they do not need to be repeated.

Patience – let things play out.

The fourth maxim comes from both the development of pragmatism but also the realisation of how much emotional and cognitive function we can consume on

what *might* happen. Patience used wisely, is what is needed to allow things to play out and issues get resolved. The important thing here is to keep an eye on the situation and intervene if needed and not to confuse patience and procrastination.

Do not let perfection be the enemy of good enough

It has been a hard lesson for me as perfectionism has come into and out of fashion but I accept that even if something is not exactly as I would have done it often its good enough. Perfection it is often not required to make good decisions. Wisdom, however, is knowing when precision is required and demanding nothing less.

Intelligent Disobedience.

This maxim is an improvement on the maxim I called *being your values* and *taking a stand*.

In a time of several disturbing Royal Commissions in Australia such as the Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry and Insurance sectors (commenced 2017, final report 2019) and the Royal Commission into Institutional Responses to Child Sexual Abuse (announced 2012, final report 2017) and the commencement of a Royal Commission into Aged Care Quality and Safety (2018, final report due 2021) it appears that the ability to equip people to speak up against wrongful situations in a structured and effective way is both needed and well overdue.

This has led me to add Intelligent Disobedience which is also part of my response as to how to address my fear of how we can stop good people from doing bad acts especially in businesses using AI.

Balcony to basement

This maxim I have improved upon by reading about Abu Ghraib and Jame's observations. Previously my coaching maxim talked about being able to communicate from the shopfloor to Boardroom. This has now evolved after the literature review on transformational leadership styles and being on the balcony to see the bigger picture whilst balancing this with the putting my boots on the ground and *experiencing* what my people experience, as distinct to only talking about it.

Both are necessary but you never know what is really going on until you talk to the people on the front line and 'looking in every closet and every basement in every building'. (James 2008, p. 232) You must be amongst the people to find out what is really going on and you have to be a role model for the behaviours you want.

The standard you walk past is the standard you accept .

This phrase became well known when it was used by Chief of Army, Lieutenant General David Morrison in his 2013 Speech to the Australian Defence Force on unacceptable behaviour and gender equality in the Australian Army which included not

tolerating sexual harassment and discrimination. (*Note*: he later attributes the source of this phrase to Former Head of the Australian Defence Force, David Hurley)

Each time a behaviour is inconsistent with or does not meet the standards of the expected business conduct it needs to be addressed. If the standards of conduct are well communicated and visible, then our people know them and expect leaders to step up when transgressions occur. It is not an acceptable defence to say *I am too busy* to stop and address a behaviour and I need to make time for each and every situation.

Courageous Followership.

After completing the literature review and reflecting on my role as a follower, there is value in teaching people what a courageous follower can do and how much value this brings. Having acquired the nickname of the *Condoleezza Rice of IT* in Unisys which meant I was *the very best second in charge*, I have reflected that this role was a trusted advisor with significant influence and critical to the success of the team.

Look after each other – always.

The last maxim is deeply rooted in my values of looking out for people, especially the vulnerable. If we all did this and looked out for each other then I believe we not only solve business issues but many issues in society we have today. COVID-19 provides for future research opportunities into why this behaviour is present for most and absent in some.

Chapter 5: Case Study Research

In this chapter we cover the twenty embedded units of analysis that are used to justify the starting PCLP.

Introduction and Career Summary.

The cases that will be discussed longitudinally along with their embedded units of analysis, to show the demonstration of my core values and the evolution of the current leadership paradigm. The cases are as follows:

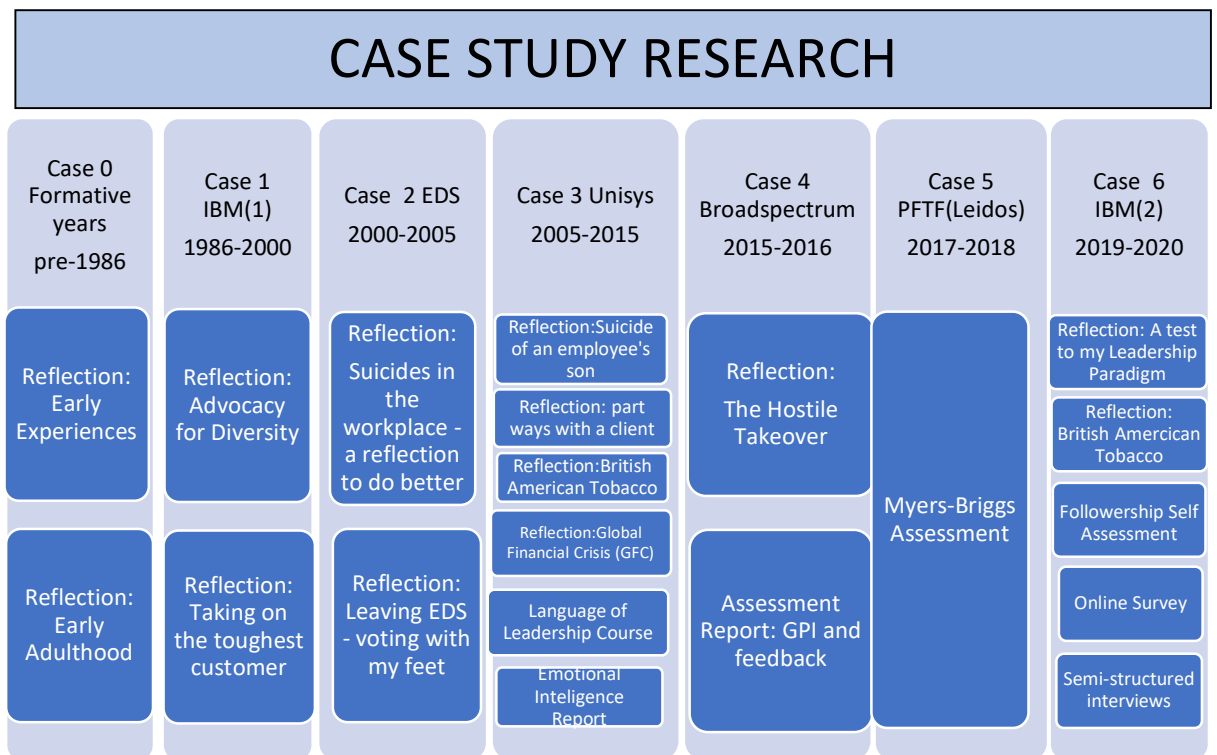


Figure 10: Case Study Research Taxonomy. (Source: Author)

Within each case there are embedded units of analysis which include reflections on significant events in that period, psychometric tools results, 360 feedback, surveys and interviews. This allows for cross-correlation of my values and leadership paradigm through triangulation. On the following pages is a summary of my career in tabular form.

Figure 11: Tabular Summary of my career. (Source: Author)		
Company/Period	Roles	Description
IBM (1986-2000)		<i>A solid foundation of values and business acumen that would serve me well in other companies.</i>
1986	<i>Graduate Hire</i>	After completing my degree, joined IBM where the first year was a combination of classroom and on the job training.
1987-1989	<i>Systems Engineer</i>	Appointed to our most prestigious account in Banking after performing well throughout training.
1990	<i>Systems Engineer Mgr.</i>	Identified as a candidate to be fast tracked into management.
1991-1992	<i>Branch Operations Manager</i>	Took responsibility for business operations (COO) for our branch that looked after clients in the Distribution Sector after a Voluntary Separation Program saw all the managers in the branch leave.
1993-1994	<i>Project Services Manager</i>	Built a team of project managers who would transition clients from running their own

		IT to outsourcing their IT Operations to our company
1995-1997	<i>Business Recovery Services Manager</i>	Responsible for a team who did business development, sales, delivery, and commercial negotiation in Business Continuity Services. I negotiated the buyout of my key competitor and novated all contracts over to IBM and launched a consultancy practice from scratch to generate US\$1M in less than 12 months. Overall, I was able to lead a 20-point increase in margin in less than 2 years.
1997-1998	<i>Enterprise Services Executive</i>	Responsible for leading 5 major service delivery centres including the building of the new centre in Victoria and taking over a centre in outer Sydney. I led an organisation of approximately 550 people in Australia and had an annual operating budget of US\$120M with annual growth of 30%. I was asked to take personal leadership for our most difficult client and remediate

		the account which I did successfully and has led to a reputation of being able to work with troubled client situations.
1998-1999	<i>Project Executive - ING account</i>	The CEO requested that I take on another troubled account and turn it around which led to not being able to take a role starting up Application Development in China. The account had a total contract value of 120M and I was able to turn this around and restore confidence and select my successor before taking 12 weeks off to have my son.
1999	<i>Director Commercial Sector</i>	Responsible for all business development, sales, growth and contract negotiation in the Commercial Sector and had P&L responsibility for US103M pa across a broad range of clients in mining, manufacturing and retail including dot.com customers. I also led the Marketing function for the company and re-engineered this to take

		advantage of established teams in our affiliated company to remove duplication and improve efficiencies.
EDS Australia (2000-2005)		<i>Accelerated growth and performance. Living my values and walking away.</i>
2000-2003	<i>Client Delivery Executive and Chief Operating Officer</i>	Responsible for the overall management and leadership of the 4th largest account globally which generated US\$300-350M pa during this period. After the client bought another bank, integrated their operations into our delivery model and completed the largest retail banking systems integration project at the time (US\$100M).
2004	<i>Enterprise Client Executive for mega-deal pursuit</i>	Led a global client pursuit for a major bank headquartered in London with operations in Singapore and Hong Kong worth US\$400M. Responsible for all aspects of the deal including sales, solution design, commercials, risk management, partner selection and executive relationships with a team drawn from the

		US, UK, Australia, NZ, Singapore and Germany.
2005	<i>Director IT Outsourcing and CIO Asia Pacific</i>	Responsible for an Operating Budget of US\$450M and led a US\$40M turnaround in performance in one year. I led approximately 3000 staff in 12 countries within Asia Pacific and led the offshoring strategy into Malaysia. I also held the CIO role for Asia Pacific.
Unisys (2005-2015)		<i>The opportunity to apply my skills in a different company but not a lot of personal growth</i>
2005-2008	<i>VP/GM ITO, BPO and Services Asia Pacific</i>	Led a major transformation project across all functions including IT outsourcing, business process outsourcing, application services, field services and consulting. Re-engineered and modernised to reduce the cost of services which allowed us to win significant new business.
2008-2010	<i>VP/GM IT Outsourcing & Services Asia</i>	Took on additional responsibilities for sales in Australia including lead

	<i>Pacific, VP/GM Sales Australia</i>	negotiator on a US216M contract. I led strategically through the GFC to work with our clients to reduce their costs and build strong relationships resulting in renewals, extensions, and a shift of discretionary services to us. Took on the Chair for the Superannuation Committee as the GFC hit and stayed with this until I left in 2015, seeing our employees through a tumultuous time.
2010-2014	<i>VP/GM IT Outsourcing and Services Asia Pacific</i>	P&L responsibility for US220M IT Outsourcing and Infrastructure Services business in Asia Pacific and re-engineered the Infrastructure Services business which led to improving our win rate on out of scope projects and new clients. Led the renegotiation of our largest contract to modernise it and meet the client's current needs.
2014-2015	<i>VP/GM Client Management</i>	Responsible for US350M of business in Asia Pacific across all lines of business

	<i>Services Asia Pacific</i>	including IT outsourcing, systems integration, professional services, consulting, and technology. I was the executive sponsor for our largest win and won several industry awards for our work with clients in Australia and New Zealand.
Transfield Services/Broadspectrum (2015-2016)		<i>Reinvention of my skill set cut short by hostile company takeover.</i>
2015-2016	<i>Executive General Manager, Business Services Commercialisation</i>	Responsible for assessing and commercialising shared services within the company to drive new business. I conducted a significant amount of research into current technologies and how they could be applied in business including robotic process automation and Artificial Intelligence. This was to be overtaken by events - a hostile takeover of the company which presented a new experience for me and one that is enduring. I went from being squarely on the strategic roadmap for

		Broadspectrum to being completely off the strategic roadmap for the acquiring company.
Partners for the Future – contract Leidos. (2017-18)		<i>Starting my own company in Management Consulting – and enjoying my work</i>
	<i>Commercial Director</i>	Commenced own company in 2017 and was introduced by a colleague to another US company and worked on contract for 14 months. Responsible for commercial leadership and negotiation on their largest contract approx. US 1B. Restored the relationship and confidence and negotiated approx. 300M of new contracts. We were unable to reach a proposition that worked financially for both companies at this stage.
IBM (2019-2020)		<i>Rejoining IBM and finding a very different company...</i>
	<i>Partner, Business Re-engineering and Transformation</i>	Contacted by IBM and after looking at two roles that were not the right fit, I was asked to describe what I would like to

		do and this led to being offered this role. Led our Practices responsible for Process Reengineering and outsourcing as well as data analytics, machine learning and artificial intelligence. During this period, was awarded the top growth platform award for contract signings and led negotiations on several contracts. One of two exec sponsors for our graduates and key objective is the co-create the future with them – which links quite directly to this research. However, the values and behaviors in IBM were at odds with my first experience and not one that was easy reconciled.
Partners for the Future – contract Leidos. (2020-)		Responsible for business development activities commencing 7 Sept 2020

Case 0: Pre-Career Summary

Context.

I was born in 1962 in Northmead, an outlying suburb of Sydney at the time, as the daughter of a mother from a comfortable Irish Catholic family and a father from a working-class Scottish Protestant family. They married in 1950 when mixed religion marriages were frowned on. There were no relatives at their marriage in the NSW Registry Office and my parents remained estranged from members of the family who disapproved.

The 2004 census identified 24.9% of the population as Catholic and 88.3% as Christian (ABS, 2004) in the period I grew up in which underpinned a deontological home and society. Religion prescribed what was right and wrong whereas Kant as discussed by Lopez (2012, p. 10) proposed we should reason what is right or wrong. Duties to God and avoiding wrongdoing to others and promoting the good in others as described by Pufendorf in Feiser J (2017, p. 8) were important in my upbringing.

My basic needs were always met and we were able to do the summer trip in the Holden station wagon to Queensland, always camping out in Army surplus tents and sleeping on hessian stretchers. The first McDonalds opened in Yagoona in 1971 and a Big Mac was 49c. (O'Connell 2020) Several years later one opened in Baulkham Hills where we now lived and was reserved for *special occasions*. Twice a year my sister and I were permitted fast food on our birthdays.

My parents favoured the Labor Party and trade unions, always bought the daily paper *The Sun* and watched the 6 o'clock news. My father smoked a pipe, a life-time

addiction developed from the Navy free tobacco issue, and had one Tooheys in the evening and two on the weekend. Milk and bread were delivered daily and groceries were bought on Saturday morning as shops would close at midday. All of our vegetables and most of our fruit was grown in the backyard and we had cracker night for the Queen's birthday. My parents belonged to the local RSL, NRMA and always paid for their television licence, which they detested.

The work ethic in our family was excruciating. My parents never took a sick day unless it involved surgery or a life-threatening illness like pneumonia and often worked when ill. As a result, even as a child I was expected to do the same. All operations like tonsils and appendix were scheduled during school holidays. On one occasion, when I was taken to the doctor after 3 days of a dreadful stomach condition, I was hospitalised immediately in a ward with children who were dying and unfortunately one child did die while I was there. This was very distressing as I was only 9 years of age and I thought the same was going to happen to me. When I was ill and attending school with undiagnosed glandular fever, my parents allowed me to go to the doctor after school where I finally collapsed and was prescribed much needed rest as the virus took hold in the school. A visit to the dentist always involved fillings and these were done without anaesthetic until my teenage years. It was a stoic life.

My father died on 24 Oct 2000 and my mother 6 years later on 12 Oct 2006 and both passed within 24 hours of being hospitalised. I can only suppose that had they accepted more medical help earlier both then and throughout their lives they may both have lived a lot longer than their early 70s. Whilst I have a strong work ethos and

that comes through in some of the comments in the psychometric assessments, it is not to the point of working through severe illnesses until you are hospitalised . Case 0 consists of two embedded units of analysis which are reflections on my early experiences and early adulthood.

Reflection 1: Early Experiences

Coming from a family with a mixed religion of Catholic/Protestant where the motto was ‘spare the rod and spoil the child’ meant that compliance was central to maintain harmony. Religious discrimination was understood and was always present in which relatives could and could not be visited, depending on their acceptance of a mixed religion marriage. Strict instruction and discipline by nuns who were not qualified and some quite cruel reinforced the constant need to comply. Working class roots meant that the limits of business exposure was to small business. Life was an arduous journey to be endured by the virtuous who in the next life would be rewarded (Ward 2017, p. 5).

In the 1960s inappropriate, immoral and illegal behaviour by adults towards children and women was all too often tolerated and hidden behind social norms of acceptance or turning a blind eye to sexual abuse, physical and emotional abuse. What happened in the home, stayed in the home and teachers, parents, police and authorities saw domestic violence as a family issue or at best a welfare issue to be dealt with by the state.

My deontological upbringing and growing up with parents who deferred to authority as unquestionably being right had a profound effect on how I developed values. I witnessed and received corporal punishment that was excessive and unjust at school. I heard stories from my friends of sexual abuse in their homes and had no way

to help them as I firstly didn't understand it as illegal and secondly had no concept of who would help in the society who chose not to see.

These were not called crimes but rather referred to by the term *welfare issues* and my friends and I were exposed to these crimes, in my case through the school system and neighbour(s). I understood what it was like to be vulnerable and not have people take a stand to help you and I suspect I am far from alone in this knowledge.

This is very clearly linked to my value to *protect and help the vulnerable* as an adult, which was something I could not achieve as a child. I understood that children were marginal, *less* than adults, not to be listened to and *least of all believed*. This was unjust and unfair and led to the early formation of the value of *fair, equal and respectful*. Children are equal, they are important and they must be listened to and believed. This value would grow as I understood to full breadth of inequality in the workforce and society.

By adolescence, I understood that the world is not a fair place and the seeds of rebellion were sown. You could not rely on adults to protect you and leaving home and being self-sufficient was a societal norm. My first job was bagging confectionary at night in our garage. I was aged 12 – the same age my father had left school to work on the farm.

Growing up with parents from the silent generation, who deferred to authority as unquestionably being right, led to instances where they did not take a stand on behaviours by authority figures when I desperately wished they had. I believe now, that when I do take a stand for others, I am also taking a stand for my child self. This

insight was surprising in its clarity during my reflections and painful in its comprehension. I am standing for myself by taking a stand for others.

Reflection 2: Early adulthood.

Prior to completing high school, this life was discarded and a journey of complete self-sufficiency began at 17...Completion of high school, followed by a Bachelor of Science while working throughout this period for financial support have formed a very strong work ethic and a high degree of resilience (Ward 2017, p. 7).

Leaving home three months before the Higher School Certificate (HSC), was an unavoidable consequence of being deeply unhappy. Next followed a poor choice of partner which led to 5 years of emotional and physical abuse. It was clear to me to escape this life I needed to complete my HSC and a university degree to be self-sufficient for the rest of my life.

I have not reflected on it for probably 25 years and I am not sure I understand the cycle of abuse and why I stayed so long, other than there were few other choices but to get an education and become self-sufficient. What I have learned is that once memories like this are allowed to re-surface, it is impossible to put them aside. The trauma triggered by the Domestic Violence case in late 2019 involving the murder of Hannah Clarke and her three children by her husband by being mercilessly set alight by their in their family car (Gleeson 2020) had a traumatic effect on me that I could not have foreseen. Perhaps because I can remember so vividly my own case and what it is like to have burns inflicted on you and how long the pain lasts. Deep reflection can come as a cost and needs to be carefully considered to ensure you are supported.

The commitment to lifelong learning, or my value to *learn, change and grow* developed as a survival skill and while the threat to my life may not be there anymore, the threat to livelihood is as we navigate uncertain times and I get older. There is no doubt these five long years were a source of building resilience and endurance which have served me well. Throughout both my early experiences and early adulthood the foundations were laid for my value of *protecting the vulnerable* which I could not achieve as a child or adolescent but which I could always try to do as an adult in many different ways which will be explored in the embedded units of analysis.

Case 1: IBM (1) Australia P/L

Context.

I joined IBM at the age of 23 in 1986 which was the same year I also got married. I had attended an on-campus graduate hire event and been successful in my application to IBM and Qantas. IBM was attractive as I loved computer science and this was their core business.

I was in awe of IBM. I did not understand large corporations nor had I even set foot in a corporate office. My mother worked for a small food distribution business in a warehouse environment and my father managed the paint department at the local BBC Hardware store.

Everything was new, shiny, clean with desks and harbour views and free tea, coffee and biscuits. It was a world away from my parents' experience. I had free health insurance, superannuation, could buy shares and insurance bonds and I could

dress nicely for work. People were smart, polite and welcoming and genuinely cared about each other. There was no doubt though that IBMers saw themselves as special and the best the industry had to offer. If you made it to IBM, then you have arrived. It was still in the era of life-long jobs and intense two-way loyalty. That would start to change in about 4 years time as a recession set in.

Re-joining again after a 19-year break created such a stark contrast that I have not been able to reconcile and will be explored later in the context of my leadership paradigm. Two embedded units of analysis are included here, the first is the role I played to operationalise diversity in our business in the 1990s demonstrating my core values of both protecting the vulnerable and being fair, equal and respectful. My transformational and visionary leadership style is demonstrated as well as having moral courage to make an unreasonable request.

The second embedded unit of analysis is taking on the toughest customer situation as a means of ensuring I am present and accountable for resolving this situation. There is a variation of my core value to *protect the vulnerable*, our people, from an unpleasant working environment. How it was resolved demonstrated a different way of being *fair, equal and respectful* to a client. It involved the use of intelligent disobedience to take a business stance despite legal advice to the contrary.

Reflection 3: Advocacy for diversity.

In the early 1990s I was first exposed to the concept of a Diversity Council in IBM through our US ex-pat CEO, Frank Kern (deceased April 2020) who asked a

rhetorical question: *where are all the women?* From this point I grew to understand what I had experienced in the last 4-5 years was not representative of where we could or should be and embraced trying to get Diversity in the company for both sound business reasons and because it was the fair and respectful thing I could do for all people, calling on my core value of being *fair, equal and respectful* to everyone.

This included obtaining funding for various groups and initiatives such as Women's breakfasts and lunches to inspire and create conversations about women in business and leadership. I reached out to members of LGBTQI community, after having lost a young next-door neighbour to AIDS a few years earlier to encourage them to use the funds to strengthen the community. The LGBTQI representatives considered this and after some discussion asked that we respect their wishes to be self-funded which we did. When I re-joined IBM the second time, part of my executive welcome pack included a rainbow lanyard with LGBT+ ally on it and I think our early work was instrumental in fostering this environment.

We proactively went about attracting people with physical disabilities including budgets to redesign workspaces and procure equipment for sight and hearing-impaired people.

One initiative stands out above all. In our third year, there was a visit to Australia coming up by a well-known champion against discrimination Jane Elliott, who created the *Blue Eyes, Brown Eyes* experiments in the 1970s teaching children how hurtful discrimination can be on a physical trait as arbitrary as eye colour. (Bland 2018) She went on to develop this education for staff and inmates of prisons and other

institutions and businesses and states 'If it can be learned, it can be unlearned' (Bland 2018). One of my HR colleagues on the Diversity Council approached me and asked whether I thought we could get funding for an employee event featuring Jane Elliot when she visited from the US. I had seen Ms Elliot's work in the news coming up to her visit and it was compelling and powerful. The problem was after investigation, the only way to do this was to hold a large event at the Sydney Entertainment Centre and the cost would use our entire annual budget approximately \$1M. The budget had specific intents and allocations to causes and this went against how it was constructed and approved.

Calling the CEO to discuss this was my role, with the backing of the Diversity Council. I positioned the request as being aligned to our values and the mission of the Diversity Council and that as a leadership team our people would value this decision and understand that our other programs would go on hold until the next budget year. Further it would be good to include our customers as they could experience IBM in a different and more humanising way especially the IBM Leadership team. If we had any capacity left, we could include some IBM family members as well to allow them to experience a different side of IBM.

One of my proudest moments was standing at the back of the Entertainment Centre and seeing a sea of enthusiastic and committed people and most significant was the entire front row was wheelchairs. From that point, I knew we had made an enduring difference to shift the culture from not just accepting diversity but to truly embracing it. I had not compelled people to attend or insist that they get a certain

number of customers not did I intervene in hiring decisions and employ all these people with disabilities, but rather we had taught, educated and modelled the behaviour. This embedded unit of analysis is used to demonstrate my core value of being *fair, equal and respectful* and the journey I went through to learn how to do this in the workplace in the early 1990s.

Reflection 4: Taking on the toughest customer

In line with the value of protecting the vulnerable, there is a need to take on the most challenging situations to protect my people from the worst. I have a strong belief that you lead from the front in these situations.

In IBM, there were a number of problem clients in the early days of IT outsourcing and as a junior executive, I was left to choose between the two worst. One was a client, with many millions of liquidated and consequential damages on the table and the other was fixing up the internal IBM customer service model. Believing the latter really needed just IBM leadership to pull bad behaviours in line, I chose the external customer where the impact would be greater and tangible.

My approach was to let the customer talk, and to listen with good intent which is one of my coaching maxims. The act of listening does not mean that I agree or disagree with their point of view but I can listen with good intent to understand their point of view and not use my cognitive function to work on a response. In this case, the client expected redundancy in the network design which equated to two separate network controllers. What had been designed was redundancy within the network

controller, that is a controller with two independent sides but which could still have a single point of failure.

Our legal team provided advice that we did not need to do anything as the statement of work was in our favour and the client should solve via a change order. I could understand both points of view and I erred on the side of the client with a pragmatic way to fix this. For \$145,000 I purchased a refurbished network controller and gave the customer the design he thought he had bought. I knew the client had made a mistake in not reviewing the design closely and that could damage his standing within the company or worse. I chose to take a stand against the advice of the legal team and made the decision to purchase the equipment to address the issue. I positioned that it was more important to keep the team or IBM's reputation intact as the customer was a media client, and the \$145,000 would be easily recouped from future project work. To ensure this was likely, I had an authentic discussion with the client that the issue would be fixed at our cost and in return could he allow us access to bid on more project work. He agreed and this indeed happened and we were able to make up the cost by winning new business.

It was concerning that so much time was consumed by our leadership team on this issue that it was distracting and meant we were not focused on growing the business. My act of intelligent disobedience to what was the advice of legal was endorsed by the executive team although I was held accountable to recoup the cost which I did. This demonstrates my core value of being present and accountable. Our legal team maintained their position by stating they advise management on the

contract to allow them to make informed decisions to run the business, including making concessions beyond the contract.

As a result, over \$10 million of claims for penalties were dismissed. Regardless of the position of whether these were enforceable, no more leadership time was wasted on this issue which is often overlooked. The customer trusted me personally and I needed that to translate to trusting the company. I appointed a new account executive who made the relationship one of the best I have ever seen and I coached her in the background. As a result, we grew our business and turned the client into a reference. A few years later, I was delighted to receive a thoughtfully written card by the client on the birth of my son which I retain to this day. This embedded unit of analysis is used to demonstrate my core values of *protecting the vulnerable*, in this case my people and the use of *authentic leadership* to resolve the issue with the client in an honest and transparent way. I accepted responsibility for taking an *intelligently disobedient* stand when advised by our legal team to do otherwise and was present and accountable to recoup our losses.

Case 2: EDS Australia P/L

Context.

I joined EDS in 2000 after 14 years with IBM. I had met an executive recruiter at a weekend conference in 1999 where I had been asked to present on possible uses for the internet. The role I was offered was much larger than any I had done before and involved running a US 10B contract with Commonwealth Bank of Australia

(CBA) as the Client Delivery Executive. One week after I joined, CBA acquired Colonial Bank which was another huge step up in complexity and responsibilities. At this time, outsourcing agreements mostly included employing all the client's people and grandfathering terms and conditions, whether or not an individual wanted this. This no longer allowed under regulations governing transmission of business. As a result, the EDS workforce on the CBA contract was more than 90% ex-CBA employees and this brought challenges trying to shift the culture to be more EDS aligned.

The contract was very profitable and sat in a Joint Venture between CBA and EDS – both parties taking 50% of the profits. A number of executives working for me were ex-CBA or from the Banking Industry as were a number of my colleagues and towards the end of my tenure, my leader and the CEO had joined from a competitor Bank.

There are two embedded units of analysis included:

- Suicides in the workplace is used to demonstrate my *core value of owning mistakes* and in the process of recovery to *learn, change and grow*.
- Voting with my feet is the most extreme example used to demonstrate my *core value of do good, oppose bad* and is a yellow value where I chose to leave the situation. At its core it is an example of whistle blowing and the fallout that follows.

Reflection 5: Suicides in the workplace: a reflection to do better

It is painful to remember that we had two suicides a few months apart in EDS. By co-incidence, my matrix leader from the US was visiting both times and he asked me why we had buses out the front of the building. On the first occasion, I explained we had experienced a suicide and it was to take our staff to and from the funeral. On the second occasion, when I gave the same reason, it was a very sombre and reflective time.

In the first case, a young male employee had told his team that he was leaving EDS to move on to other things and to the team he seemed happy with this decision. He was liked by the team although some knew that he has his challenges with his emotional health as we rarely used the words mental health back then. There was a farewell dinner and the team chipped in for a gift and everyone said their goodbyes and sent their best wishes. No one in the team knew that in fact he had made up the story and had stopped all of his medications and his tragic plan was to have a last happy event with his friends and then go home and end his life. The team was devastated and we supported them with external counselling and discussions with the management team.

Several months later we had another incident which was quite different and still disturbs me today as it is caused by a failure of leadership, myself included that we did not change the course of events. A young female shift worker had jumped to her death from a city hotel. Upon investigation I found that there was a pattern of absences due to illness which we now know was due to mental illness. As she worked on shift this meant a backfill had to be found and this entailed paying additional

overtime and allowances. The manager running the team was overrunning his budget and missing his KPIs as a result. The next level of management could absorb the issue in a much larger budget so did not really care. From there successive levels of management were not aware of the specific issue. The failure in my mind is why we were so uncaring to create a situation where we did not help this individual and reduced it to a financial problem for a junior manager who was ill equipped to deal with this.

I spent time with our HR team and my leadership team talking through the changes we needed to make to create an environment that was supportive of the individual and the manager to ask for help. I was very careful not to criticise the young manager involved but met with him to describe the changes we were making and to seek his input on whether he thought they would help both the employee and the manager in the future in a similar situation. The interventions put in place included the ability for any leader to come to me directly with a concern like this and to know that KPIs would be set aside and any budget concerns would be dealt with at my level.

We developed education for employees and leaders around mental health issues which really was not common at that time. It was also not aligned with an EDS Machiavellian culture espousing the mantra *deliver or die*. This was an act more strongly aligned with *moral courage* and the *value of protecting the vulnerable* to take a stand against the cultural norms and start making this issue visible in a culture that chose to ignore these issues.

As a post-script to this story, shortly after I had left EDS and joined Unisys there was another suicide. This time it was the US person who had signed the landmark CBA/EDS contract in 1997 and was considered a legend in the company. Some ten years later he went from being a hero to being made redundant. He returned home after being informed, went to his study, took out a handgun and took his own life. The news went through to global network of EDS and ex-EDS people in little more than 48 hours. This tragedy haunts me and I am committed in my role as a coach to ensure people do not mix their identity and value with a job title. I teach this and I look for signs in people's language and actions that would show they are mixing this up. Everyone is unique, special and valuable just being exactly who we are without any title at all. I like to add humour saying the only title that really matters to be is being called *William's mum* on the weekends. This embedded unit of analysis is used to demonstrate my *core value of owning mistakes* and in the process of recovery to *learn, change and grow*.

Reflection 6: Leaving EDS: voting with my feet

Leaving EDS was a very distressing experience. The person I reported to was involved in activities that were fraudulent and others than were unethical. While I will not explore give details here, there is no doubt his behaviour grated with my values on a daily basis.

After about 12 months in my first role as a Client Delivery Executive, my leader a US ex-pat returned home. The two candidates to backfill him were myself

and another woman colleague who I enjoyed a particularly good working relationship with. We discussed reporting to each other and genuinely had no issue who got the role as we had aligned values and were equally competent to do the role. We even discussed doing executive sharing of the role which could have been an interesting approach. At the same time there was a change of the local CEO and rather than even interview us, he chose to bring in one of his network for the role, who did not have the experience or track record of performing in these roles that either my colleague or I had.

There is no doubt I took an instant dislike to the person, as did my colleague as our values did not align. My colleague who was from the US, voted early with her feet and took a role back in the US. There were quite a few comments he made, especially regarding women that made it clear our values were not aligned and he came from an industry where women worked in large banking back office processing centres, often on shift work for low pay and were particularly vulnerable.

As time unfolded, information came to me from unsolicited sources to start with and then I started to questions. I became aware of irregularities regarding expenses and one exceptionally large pay rise.

I shared what I knew with my Security Executive who was responsible for Investigations and as a professional he just took it in and then went about his role of investigation and observation over several months. My disclosure was followed up by an investigation by lawyers who flew in from the US parent.

I had already started responding to calls from executive search agents as I knew I would be better off out of EDS as this was a major clash of values and impinged upon my *do good, oppose bad* value. After some time, I had two roles on offer that I was interested in. I left and joined Unisys and by then the investigation was well underway.

Investigations are exceedingly difficult and very intense and there is no doubt it took a toll on myself, my colleagues and my family. They divide people between those that support the person being investigated and those that do not. The lot of standing up for what is right can be lonely and there can be consequences in taking this side if the evidence is not strong enough or destroyed.

On many occasions I fielded calls from the EDS Ethics team in the US who were trying to substantiate information and it became clear that they were struggling to get the evidence needed to hold together. It appeared there was some collusion with another executive and some key evidence had been destroyed. About a month after I had left, I was at breaking point as I was constantly being dragged back with calls in the evening from the US. One time they left a voicemail and I called back and just broke down leaving a message requesting that they stop so I could repair my life and move on.

I certainly did not expect the next call which came from my previous US matrix leader sounding me out as to how I was, and then asked if I was looking for a payment due to the stress caused by this situation. To this day, it is my proudest moment to say I responded without stopping to think – no I did not want a payout, I

was just looking to move on. To me this was of the utmost importance to maintain my integrity as I do not want to make a gain from this or any other situation where I am called to do the right thing. It is obvious that I had been affected and suffered, but that is part of being a person. Life is not fair or just at times, but I do not believe it needs recompensing.

Taking a stand against someone more senior who is doing the wrong thing is an act of *moral courage* and while I do not regret it, I know that it has had repercussions within my network as there are some that inevitably do not agree with my actions. However, those that do agree with me, are lifelong colleagues who share a similar set of values and several followed to Unisys.

My decision not to accept a pay-out after leaving EDS when it was expected that I would, may be seen by some as taking too high moral ground, especially when I was genuinely hurt losing my employment continuity, experiencing personal distress and reputational damage. However, my view is that to accept a payout would be to profit from a bad situation which I had adequate skills and resilience to withstand. The company EDS no longer exists having been acquired by HP shortly after I left.

I have used this embedded unit of analysis to demonstrate *moral courage* which as discussed is different to intelligent disobedience and it is a strong example of my flight value of *do good, oppose bad*.

Case 3: Unisys P/L

Context

I joined Unisys in 2005 when it was a contract centric services company trying to grow in the expanding IT and Business Process Outsourcing market. The business needed to be transformed from a consulting style business focused on a specific contract to a delivery model focused on cost competitiveness and use a leveraged delivery model taking advantage of scale. I knew how to do this and had come from businesses where I had demonstrated this.

As a result of transforming the business, we then went on to win multiple large contracts with the Department of Immigration (Home Affairs), Defence, Macquarie Group and Cathay Pacific in quick succession.

I spent 10 years at Unisys and there are six embedded units of analysis used to explore how my values are demonstrated as well as my leadership paradigm and examples of moral courage and intelligent disobedience.

The first is the suicide of a son of one of my employees. My security executive had followed me from EDS and Unisys and we were sadly given the opportunity to show we could do better. We had together learned, grown and changed and put this into action.

The second is what my leader in EDS used as a phrase, sacking a client, or knowing when it is a better business decision to part ways with a client even though that is not the cultural norm. It was an act of intelligent disobedience.

Next is a decision I made to *no bid* on a new client British American Tobacco due to a lack of cultural alignment. This went against the norms of behaviour to relentlessly win new business and was an act of Intelligent Disobedience which did not work the first time but subsequently did.

The fourth was attending an event that changed my thinking forever, called *The Language of Leadership*. It has such a profound effect on me and permeates how I coach and live my values every day that it is included for completeness. It accentuated and rounded out my authentic leadership style.

The next is how I led strategically through the Global Financial Crisis and supported by an article in the Australian Institute of Management 2011 included in the Portfolio.

Lastly, the results of an *Emotional Intelligence Assessment* are shared. I had completed this three times and unfortunately do not have the first two. However, the results showed a marked improvement because I chose to work diligently to improve how I was perceived.

Reflection 7: Suicide of an employee's son

In Unisys we had a tragic suicide involving the son of an employee. My security executive had followed me from EDS and has always had my utmost respect as both a caring and fair person and a respected professional from both the Policing and Intelligence communities. Our employee approached him after the disappearance of his son to seek advice as he was not getting far with the Police and his son had a history of mental illness and had simply disappeared.

My Security Executive shared details of what he knew with me and we agreed he should use his network and skills to assist the employee, which was well beyond his job scope or what a company has to do. We had been through the previous two suicides together and our response had fallen short and we were going to do better.

Working with the authorities as a trusted ex-colleague, he was able to ascertain the details including purchases of a bus tickets and taxis and that the employee's son has taken his life at the well-known suicide jump at Watson's Bay. He worked to positively identify the body which had been lying in the morgue for over a month with no Police identification. He was there when our employee as the next of kin had to identify his son.

While no one wants this outcome, closure is incredibly important and our employee formed a special bond with us, not just as leaders but as people who cared to step out and help. We attended the funeral and shared the grief and relief of our employee and his family. The family lives close to me and I have moved on from that company, but each morning when I run past their street, I feel a connection to them and I reflect on how difficult it is to deal with mental health issues and how we must never stop trying. The compassion that my Security Executive and myself showed is much more aligned to my value system. Our employee was vulnerable and at the mercy of a Policing system that was letting him down.

We did not make visible our actions but I am sure that our employee probably did share that he was supported by his leaders and that it made a difference to him and his family. This embedded unit of analysis is used to show an example of my values

of protecting the vulnerable and also that I did learn, change and grow from the previous experiences of suicides in EDS. It is also a very tangible demonstration of being an *authentic leader* and showing people great care and empathy when they need it most. Our employee was at the mercy and the Police system and our combined actions worked to my core value of *protecting the vulnerable*.

Reflection 8: Understanding when to part ways with a client.

In Unisys, the worst customer relationship had been in a state of disarray for over 12 months when I joined. There were numerous remediation plans that once completed, were superseded with another plan. The Asia Pacific Senior Executive had resorted to bringing in an expensive assignee who could not get traction with the client. The P&L appeared to make a profit but the amount of executive time and assignee costs that were outside the P&L were way in excess of the annual profit.

After observing this through two monthly cycles of internal and external governance, I decided to make a stand of what needed to happen. My recommendation went against everything we normally do to save and retain a client. I recommended we offer them a termination for convenience and further that we would not charge any termination fees. This was to say the least, a shock to the way the company normally viewed these situations.

My intelligence gathering had indicated that the CIO was a so-called hostage in the outsourcing relationship and had no intention of the relationship working. Further he had a friend who ran the same service at a competitor and this site was

close to his home. I triangulated this intelligence first before making my recommendation.

. My direct leader was supportive based on the business evidence that there was nothing wrong with service delivery and the costs not attributed to the contract P&L were escalating. Further the client was not referenceable and did not buy any additional services. When the contract came up for renewal, they would almost certainly exit. We had to convince the Asia Pacific executive that the best result for the team was to free up our resources to work on growing our business and in doing so we would make more profit than what we on paper were giving up.

I then made the call on the client's COO and CIO, taking our Asia Pacific executive with me and advised them this was our position. They had clearly expected a different type of meeting. The termination for convenience fee was over \$1M and would be waived if they chose to terminate within 30 days and until then we would stand down on remediation plans but do everything possible to assist with a successful transition to another supplier.

The proposal was accepted on the spot by the CIO. The COO stated that he would not give the CIO any additional funds and there could be no increase in costs if he changed supplier. I was not surprised when the CIO called me about a week later and tried to convince me I should fund his \$1M relocation cost. I had calculated a rough order of magnitude for the move would be about 250K which he could not doubt find somewhere or have the new provider amortise over the contract. I politely

reminded him of the rules of disengagement and he accepted the offer and duly moved to the competitor as expected.

We removed a client who was not able to be referenced and would never give us more business and who consumed too many resources and executive time on issues that were not real. I use this story a lot in business as sometimes you need to make very tough calls that are counter to the norms of behaviour in a business for the very sake of the business. However, how you make the call is important and ensuring the team is in a better position afterwards is key and supports intelligent disobedience. This embedded unit of analysis was selected as an example of taking a stand for what you believe is right in the business and its related to *intelligent disobedience* in that it goes against the norms of behaviour expected.

Reflection 9: British American Tobacco bid.

Whilst I was standing in for my direct leader, a proposal came up for approval to provide IT services ongoing to British American Tobacco. Due to the nature of their business in the tobacco industry, attracting IT skills can be difficult and relying on service providers is a way around the shortage of skills. It was a sole source proposal and high margin. The salesperson thought it was an easy one to win.

As I was reviewing the proposal and thinking about why we would want to do business with a company whose product causes so much illness and death globally, a couple of my delivery staff asked to see me. In the conversation that followed, they raised that if Unisys were to bid on the work, they would prefer to opt out of

performing the work. They went on further to talk about a previous company one of them had worked for, who had allowed employees to opt out of working on the British American Tobacco contract. There is no doubt they exhibited moral courage to come and see me and a good amount of emotional intelligence in showing me an example of how another company had resolved this dilemma.

Unisys is headquartered in Bluebell Pennsylvania, US and historically has a large number of conservative Quaker shareholders. After reflecting on all our stakeholder's viewpoints, our values and culture, I advised the salesperson and sales manager that I would not be giving approval to bid as this did not align with our culture or values. There is no doubt in my mind this was an unpopular decision with the sales team who felt sure if they could have secured my approval and then gone to the US level of approval, the margin would outweigh their view of the client's business.

The next week when my leader returned to work, the salesperson took the proposal to him and my decision was overturned. The bid then went to the US for further approval. The US executive team rejected the bid for the same reasons I had, a lack of alignment with values and culture. This embedded unit of analysis shows I had the *moral courage* to stand up, perhaps my leader exhibited more emotional intelligence in knowing that the US would reject the bid and he did not need to take the blame. He allowed the sales team to do what they wanted and to take the fall directly but removed himself as the obstacle. However, if the US had approved the deal, he would then have had to live with that outcome.

Later, in IBM (2) British American Tobacco would reappear and is discussed as one of the embedded units of analysis.

Reflection 10: Navigating the Global Financial Crisis (2008).

When the GFC hit in 2008, we were in uncharted waters. We had seen recessions and the *dot.com boom* and bust had occurred, but this now threatened most parts of the world. At the time I was responsible for all our client relationships across Asia Pacific.

The strategy we followed was what I would call an offensive strategy. I described to my team of senior client executives that we should take an approach of asking each client what they needed to do and how we could help, regardless of what the contract said. I described that we needed to do this so that we could understand if they needed to cut costs, then we could react in a planned and controlled manner to take cost out of our business rather than being blindsided and going into freefall. The best way to keep the team safe was to be in control of what was happening, even if its unpleasant.

As a US company, our parent company was very distracted so our approach did not receive any attention until we got to the end of the year and made our numbers. The next year we exceeded our targets. We had shown we could flex and change to meet our clients' needs and in so doing protected as best we could our workforce. We were rewarded as every client due to renew in the next two years, did so. We also secured their spend on discretionary projects in a lot of cases as we had

earned the right to have our clients trust we would do the right thing. It was an extraordinary effort and the Australian Institute of Management wrote up the approach which is in Appendix 2: '*Strategic Engagement*'.

This supports my value to protect the vulnerable, our clients as well as our people by trying to optimise the outcome for both. Other service providers took a different approach of enforcing contracts and almost threatening clients and that did not of course go well as people do not like to feel captive. It was a transformational approach to look past the immediate chaos and try to navigate to the future and the conversations were most definitely authentic with clients and always with good intent to assist them.

To add some more dimensions to what was occurring at the time, a few months before the GFC hit, the position for the ANZ CEO came up and I was encouraged to apply by the Director of HR. I looked at the structure and reflected on the amount of work we had done to date to remove cost and be competitive since I joined in 2005 and decided to make a different recommendation. I quietly walked across our campus with the HR Director and said I thought the position could be eliminated and talked through a structure I thought would work. He took away the recommendation, discussed it with the other senior executives and my recommendation was accepted.

There was one residual duty that was held by the previous CEO as Chair of the Unisys Superannuation Committee and our HR Director asked if I would take that responsibility. I agreed and then one month later the GFC hit and the Superannuation

sector was hit hard as share prices plummeted. A month after that I signed the first ever letter back to the US Parent company to say our fund was not able to comply with its objective to make a return of CPI+3%. I felt a strong need to be true to my value of being *present and accountable* for the Superannuation Fund including a small number of employees still in the defined benefit scheme. The fall in value of the fund meant that on two occasions I needed to ask the US to release real money to top up the defined benefit scheme after recommendations from the Auditor.

I felt a strong sense of obligation to our employees to lead through this as well and ensure that we recovered at least as fast as the markets did if not better. I used the situation to learn a tremendous amount about the working of our Superannuation Provider Mercer and how they made decisions. Through working together, we created new governance models, processes and timeframes for Mercer to make decisions on Fund Manager performance that Mercer could take to other clients demonstrating more value during the GFC. For me it was an intense period and I demonstrated my value to *learn, change and grow* by rolling up my sleeves and getting into the detail with Mercer.

It was a pleasure to receive the very warm and heartfelt thanks from their local and global CEO at a lunch with all their corporate clients. In adversity, there was great personal growth and I chaired the Committee for 8 years until I left in 2005 at which time, I had overseen both the fall and the recovery of our employee's superannuation fund to the very best of my ability.

This embedded unit of analysis is used to demonstrate my leadership style of being both *transformational and authentic* with our clients and my core values of being *present and accountable* as well as *learn, change and grow*.

Reflection 11: Language of Leadership Course.

The Language of Leadership course was designed by SDI Communications in the US and completed by the Unisys global executive team for IT Services, approximately 40 people in one-week blocks at four different locations around the world. The course was based on authentic leadership and it drew us together as a team in an immensely powerful way. As a result of the course, we developed a specific language where we knew what this language stood for and the expectations it created of each other. For example, we all knew what an unreasonable request was and what we should do when a colleague made one. The course had a profound effect on me and I went on to share it internally with another colleague of mine from New Zealand with the consent of SDI.

Throughout the course, the instructors told powerful stories, many were personal and this resonated with my need to be authentic. I had not seen this display of authenticity and vulnerability before in a course and it was completely engaging. I saw that being vulnerable could create strong bonds with other people. This was the start of my identification with authentic leadership and I became much more interested in the power of storytelling to convey this authenticity. This links to my value to be

present and accountable as if I am not, I cannot be authentic. If I am distracted, then I cannot show up as truly myself.

As well as the personal insights into how and why I developed into the person I am today, there were several insights and behavioural changes that I learned and which have served me well in business and life, and which I share with others in formal and informal coaching. Each of the learnings is listed below along with my notes from the course on what each means to me and all is as relevant today as it was 15 years ago when I wrote them down.

- 1. We know extraordinarily little and by far the largest body of knowledge is what we do not know.*

I stopped feeling inadequate for not knowing and stopped trying to prove how much I did know and committed to a paradigm of lifelong learning.

- 2. There are very few facts in life but lots of opinions.*

I stopped trying to win arguments based on opinions and endeavoured to respect different realities and perspectives people have and I just let them be.

- 3. Listening with good intent*

I recognise that the act of listening does not mean I agree or disagree with someone and I do not need to occupy my thoughts with a response. I will listen to a point of view, not adding or subtracting from it and be able to recreate it.

4. Be your word

I recognise integrity is as much about what you do not say as what you do say and ensure that I say what is needed for others to have my complete view. I am my values and I take a stand on my values.

5. Enrolment not compliance

I am a leader that people voluntarily enrol to follow as I communicate a compelling and authentic vision.

6. Create the future and step into it.

As a leader-coach I take a stand on what is possible in the future. I recognise that a spectator lives in the past and comments on what has happened, a player is in the present doing things and a coach is declaring what it is possible.

7. Make unreasonable requests

I make unreasonable requests and I am often rewarded. I always do what I can to fulfil other's unreasonable requests.

8. Promises can be broken

I always make promises with good intent and have learned that if I need to break or revoke a promise, I do so with integrity. I apologise, acknowledge the impact and do what is possible to make good. If I act with integrity in revoking or breaking a promise, integrity can be maintained.

9. Something can be over but not complete.

I identify what needs to occur to be complete and once done, reflect that is it now done. If I remain incomplete, the past will continue to intrude on the present and shape my actions

The course was aimed at transforming the business through the senior leaders, and it is no surprise that it resonated well with my style. *Create the future and step into it* was the mantra for the course and resonated well with my transformational and visionary styles. I use this phrase often including in the DBL program as I view this as transformational and I am creating the future and I will step into it.

The value of lifelong learning and coaching others is prominent in my leadership paradigm. Kant (cited in Feiser J, 2017 p. 8) agreed with Pundorf that we have duties to ourselves and others to continue to develop our skills and to keep commitments to do what we said. This embedded unit of analysis is used to show how I developed my authentic leadership and the link to storytelling as well as my value of *learn, change and grow* through a commitment to lifelong learning.

Psychometric Tool 1: Emotional Intelligence Assessment (2008).

Emotional Intelligence concepts.

The results of an Emotional Intelligence assessment undertaken whilst working at Unisys are analysed and in particular the commentary that supports values and leadership style. Emotional intelligence is defined and the linkages between transformational leadership and higher levels of emotional intelligence are discussed below.

Definitions of emotional intelligence are: 'Emotional intelligence (EI) refers to the ability to perceive, control, and evaluate emotions. Some researchers suggest that

emotional intelligence can be learned and strengthened, while others claim it is an inborn characteristic' (Cherry 2020, para 1). Emotional Intelligence is 'the ability to perceive and express emotion, assimilate emotion in thought, understand and reason with emotion, and regulate emotion in the self and others' (Mayer, Salovey, & Caruso 2000, p. 396). Emotional Intelligence is the ability to read and understand others in a social environment and to detect reactions and use this knowledge to influence others through emotional regulation and control (Prati et al 2003, p. 21)

Businesses have recognised the need for both employees and leaders to react to different situations and both change management and social effectiveness skills have emerged as being key. (Prati et al 2003, p. 29) This is accentuated by the need for a lot of work to be performed in teams, and team members with high emotional intelligence perform better, communicate more effectively and empathise with others which results in strong relationships. (Prati et al 2003, p. 30)

George (2000) thought that to be an effective leader you need to be aware of your own emotional state as well as the impact on others, and that this will affect the quality of the relationship between the leader and other team members. A leader must be able to accurately predict the emotional reaction to an action they take which in turn allows the leader to modify behaviour to create the best reaction, and that a leader who is emotionally intelligent recognises that their emotion can positively or negatively affect others. (George 2000, p. 1028)

Transformational leaders exhibit higher degrees of self-awareness as described by emotional intelligence. (Sosik & Megarian 1999, p. 368) Idealised influence or

charisma refers to the setting and adherence to standards of behaviour and interaction, and a leader with high emotional intelligence understands the norms and behaviours that are acceptable in an organisation, adheres to them and inspires others to do so.

(Sosik & Megarian 1999 p. 368, Riggio 1998) According to Sosik and Megarian (1999) transformational leaders exhibit four key behaviours related to higher levels of emotional intelligence. These are idealised influence or charisma through setting high standards, determination and vision; inspirational motivation challenging followers to higher levels of performance; intellectual stimulation to promote creativity and innovation and individualised consideration to develop and mentor followers. (Sosik & Megarian 1999, p. 370)

Charisma can be defined as being well developed social and emotional skills. (Riggio 1998, p. 1) 'Charisma is the special quality some people possess that allows them to relate to and inspire others at a deep emotional level.' (Riggio 1998, p. 1) Charismatic people attract others around them and are both influential and inspirational and are proficient and effective communicators who use their emotional expression to inspire others and push them into action. (Riggio 1998, p. 3)

Emotionally intelligent leaders will motivate others and provide the collective inspiration to perform above what individuals may have thought possible, which aligns with transformational leadership, and the use of stories, inspirational speeches and rituals provide inspiration for others to achieve and conform to the organisation's norms. (Sosik & Megarian 1999, p. 371) The leader must have a high level of emotional intelligence to correctly assess the reactions of team members and to derive

the best outcome and where there is conflict between team members, an emotionally intelligent leader resolves these and establishes or re-establishes trust and cooperation in the team (Sosik & Megarian 1999, p. 372 ; George 2000, p. 1039).

Charisma is a product of emotional interaction between charismatic leaders and their followers and a transformational leader will develop a sense of moral obligation in team members which is a result of the leader's charismatic authority and abilities which comes from the leader's high level of emotional intelligence.

(Wasielewski 1985, p. 1) An emotionally intelligent leader uses charisma to transform the team and this is often accompanied using powerful emotions in relaying ideas.

(Riggio et al 2002, p. 5) An emotionally intelligent leader was found to use charismatic authority and transformational influence to positively improve the team's performance. (Prati et al 2003, p. 29)

Assessment results.

Of the 34 surveys sent out, 25 responses were received providing a statistically good sample size and response rate. It is possible to identify the immediate manager responses who rated familiarity with me as high and provided many comments which was immensely helpful and aligned with his commitment to help me develop as a leader.

It is also possible to identify the matrix manager response which was far less comprehensive and reflective of a more distant relationship and he rated familiarity as low/moderate. Of a total of 9 direct reports, 8 responded and there is high agreement

in the results from direct reports, peers and others. Of the peer group invited, 5 out of 9 invitees responded and of the *other* group, 9 out of 13 people responded.

The comments under the graphs reflect the phrase given by the assessment tool and the bold indicates where this behaviour is considered a strength. The number in parentheses is the score for how other people see me. Comments are included as quotes so as to convey what people had observed. Where the comment is positive it is in normal case and where it is an area of concern, it is italicised. At the end, I will summarise how this embedded unit of analysis supported my values and leadership styles in the current PCLP.

All results are either above or extremely close to the target and support the research that transformational leaders display high levels of emotional intelligence.

Self-Awareness Dimension

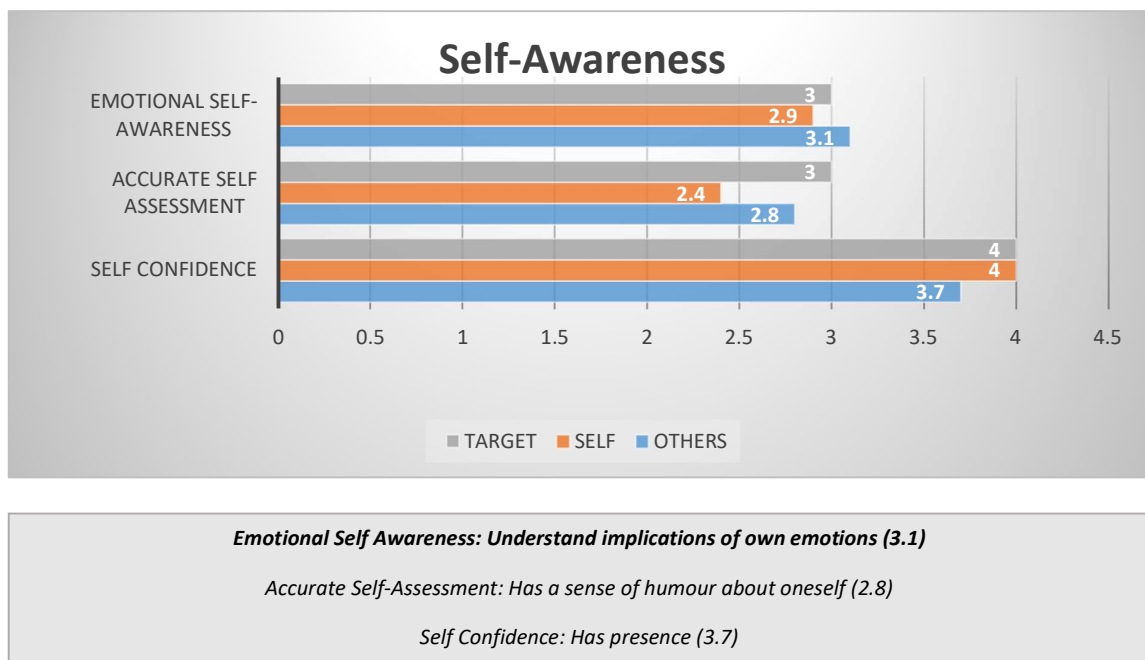


Figure 12: Emotional Intelligence Self Awareness Scores. (Source:

Emotional Intelligence Competency Inventory, p32)

Manager: ‘Lee is capable of taking on challenging assignments – business turnarounds, tough customer work outs, tough organisational reworking. She is proud of her mettle and savvy approach – justifiably so. This means given a tough assignment, Lee gets on with it – she does not question whether she can do it – she assembles a team of people she can rely on and gets on with the task’ (Emotional Competency Inventory 2008, p. 32).

Direct Report: ‘She is conscientious, hardworking and committed and willingly assumes the full responsibilities of her position... She is a very good judge of people and a good manager of people and these particularly give her the ability to meld often diverse groups of people into an effective team – and lead them well’ (Emotional Competency Inventory 2008, p. 33).

Direct Report: ‘Lee has a strong presence with both customers and staff. She demonstrates and carries a confidence which allows her to present with conviction and knowledge. Lee is a strong supporter of people and development and while she has high expectations, she will do what is

necessary to make/help others succeed' (Emotional Competency Inventory 2008, p. 32).

Other: 'Lee is personable and confident which makes her a strong leader and someone people want to listen to. Lee knows her domain and is able to communicate clearly and in an engaging way' (Emotional Competency Inventory 2008, p.34).

Self-Management Dimension.

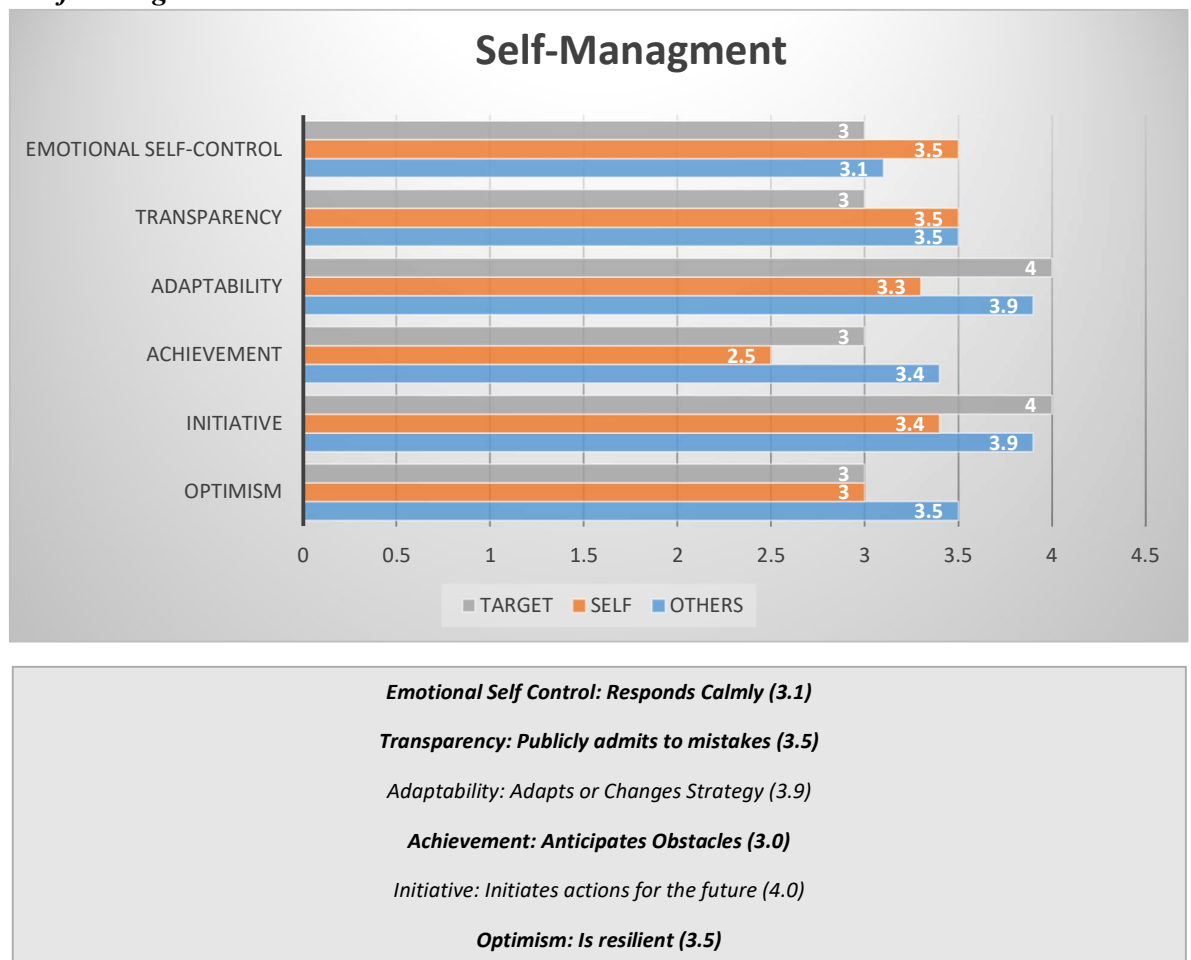


Figure 13: Emotional Intelligence Self-Management. (Source: Emotional Intelligence Competency Inventory, p32)

The results for self-awareness are relatively high, and the comments by my manager and direct reports point to my transformational leadership style. The links between high levels of self-awareness and transformational leadership were discussed previously.

Manager: ‘She has a reputation of being methodical and logical.... She has spent a lot of effort on getting the emotional buy in of stakeholders by generating trust without being manipulative. This has resulted in many people being “won over” where previously they had doubts’ (Emotional Competency Inventory 2008, p. 32).

Direct Report: ‘She has a fast mind, possesses very good analytical skills and is imbued with a good (deal) of common sense and pragmatism that serves her well, particularly in terms of resolving complex issues and reaching sound judgements’ (Emotional Competency Inventory 2008, p. 33).

Other: ‘Commitment and Resilience. Lee continues to believe in success even in challenging times’ (Emotional Competency Inventory 2008, p. 32) .

Direct Report: ‘She can appear to be reserved and somewhat shy but once you get to know her you quickly realise how personable she is and that she has very good interpersonal and communication skills which she uses effectively in all situations’ (Emotional Competency Inventory 2008, p. 33).

Social Awareness Dimension.

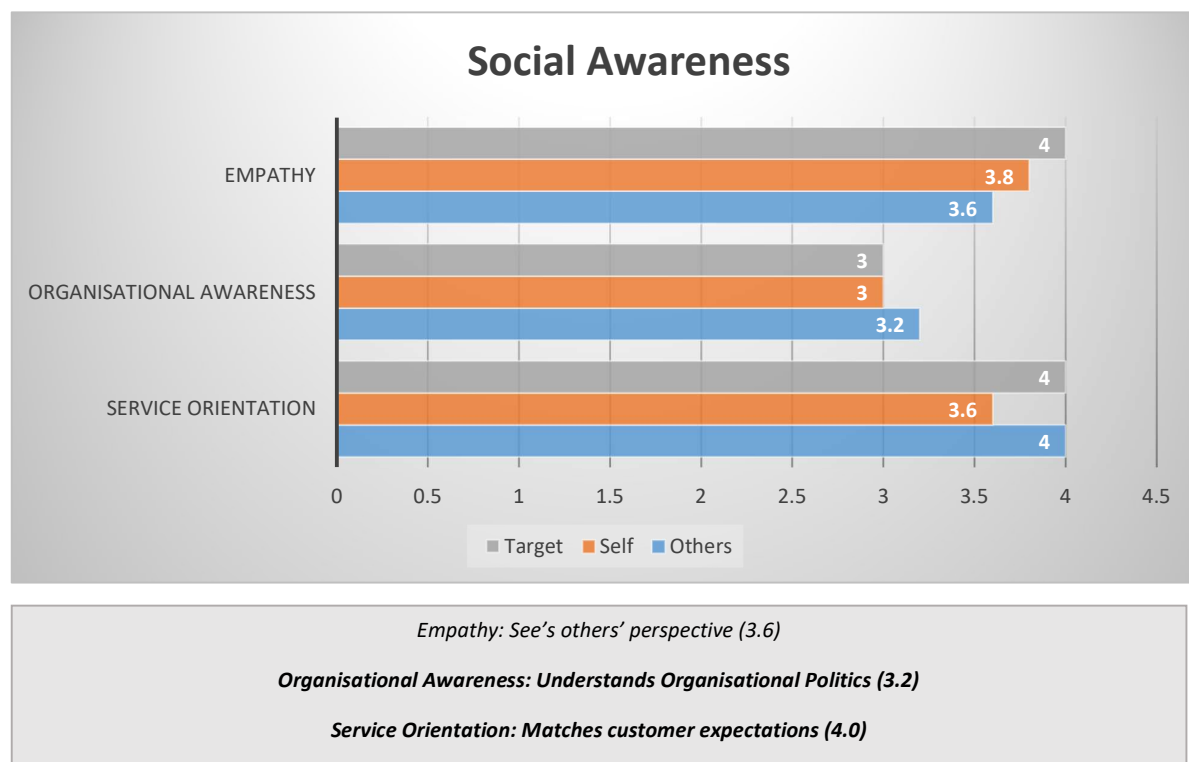


Figure 14: Emotional Intelligence Social Awareness Scores. (Source: Emotional Intelligence Competency Inventory, p34)

Other: 'Lee's key strengths are her moral fibre, her clear and strategic thinking, her empathy and openness and her diplomacy. She does what she believes is right within a given set of circumstances, and this is respected though her proposals are sometimes not popular' (Emotional Competency Inventory 2008, p. 34).

Manager: 'There are people outside the business that have their doubts. Lee needs to quietly work away at those doubts (confronting them would be counter-productive) by being seen in more customer sales situations (presentations and the like). She is doing more of this and the "tom toms" are telling the story – all very positive' (Emotional Competency Inventory 2008, p. 35).

Direct Report: *'I think many of her challenges have been addressed, but the perception of being a harsh and non-engaging person, while not true, possibly still exists within the business. I think Lee's ability to manage down and across is unquestionably strong at the moment and her ability to manage upwards to some key stakeholders is the challenge' (Emotional Competency Inventory 2008, p. 35).*

Peers: *'Struggles to build relationships and play the political environment with the "boys club" i.e.: those that do not display the principles of diversity. This may have limited her upward career trajectory' (Emotional Competency Inventory 2008, p. 35).*

Other: *'She has to increase her visibility inside and outside the organisation. She is a natural leader with the prized common touch, and with the correct exposure will be able to gain the credit that is due to her and widen her circle of supporters. However, she has to tread carefully to avoid political snares' (Emotional Competency Inventory 2008, p. 37).*

The comments in this part of the report are particularly interesting as they contain a few warning messages about non-supporters from my manager, direct report, peers and others. After a period of business transformation, not everyone was a supporter and while the people responding to the survey see this differently, they are definitely pointing out more work is needed to win others over. As a transformational leader, I believe I did move too fast for the culture and this is reflected in the comments made indicating that not everyone came on the journey with me. This was a lesson I took on board and ensured in the future that my pace of transformation was more aligned with organisational culture whilst still being challenging.

Relationship Management Dimension.

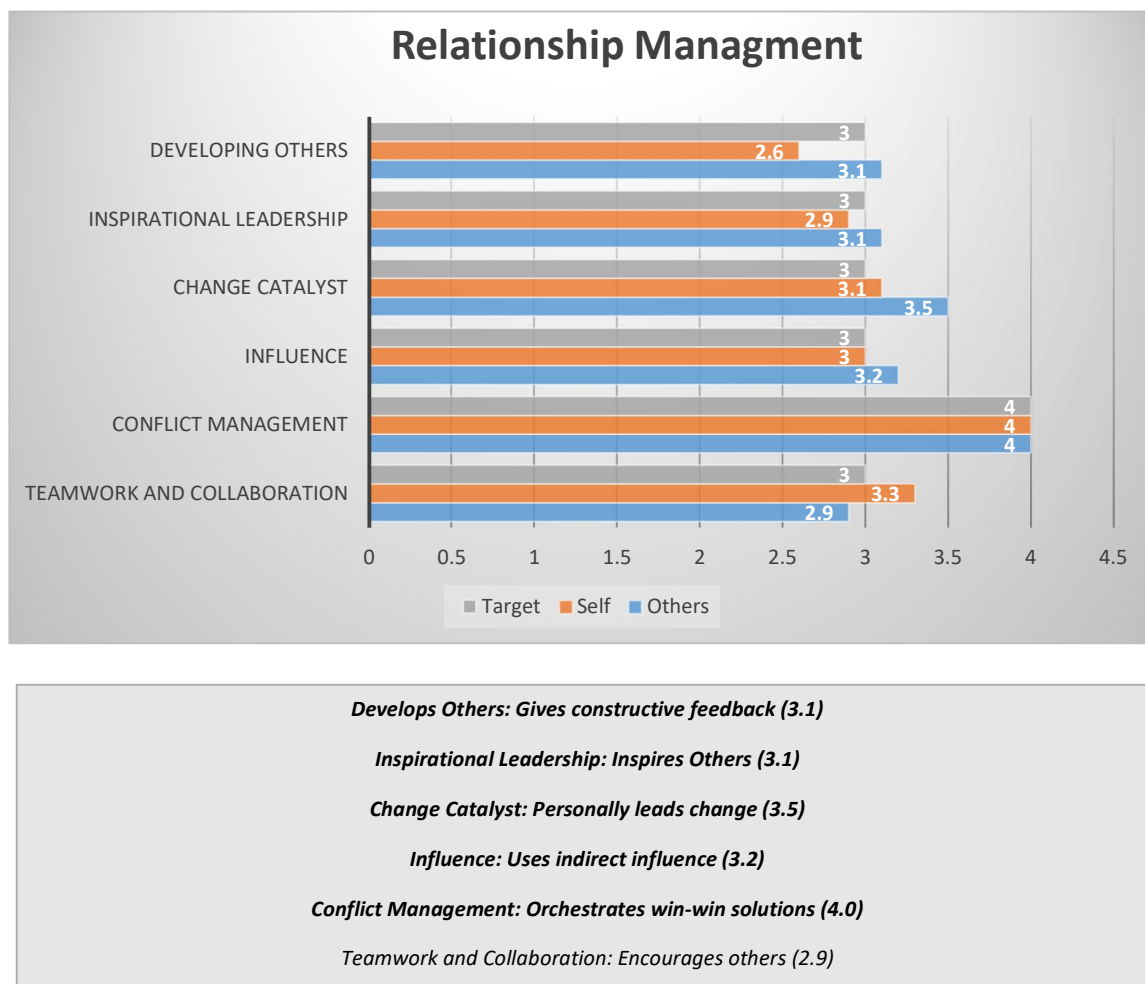


Figure 15: Emotional Intelligence Relationship Management Scores.

(Source: Emotional Intelligence Competency Inventory, p34)

Direct Report: ‘Strong values and ethics are evident in dealing with people and in resolving conflict. High focus on outcomes. Change agent that looks for alternatives to drive desired outcome’ (Emotional Competency Inventory 2008, p. 33).

Peer: ‘ In-depth industry knowledge assists when tackling business issues. Highly ethical, never tempted to take the easy route. A change agent that will take the lead on initiatives. Builds strong levels of trust and loyalty with a diverse group’ (Emotional Competency Inventory 2008, p. 34).

Direct Report: ‘Generally knows when to step in and assist – good example shown in Defence bid when costing situation became very difficult – showed great leadership and tenacity in driving an outcome from the team... Very professional and adept when dealing with the customer’ (Emotional Competency Inventory 2008, p. 33).

Direct Report: ‘Lee’s approach gives her team confidence to move forward and follow her lead/direction’ (Emotional Competency Inventory 2008, p. 33).

Peer: ‘Can be a little black and white and quickly forms judgements on people, views once formed take a long while to change’ (Emotional Competency Inventory 2008, p. 35).

Other: ‘Connecting with Lee at a personal level can be hard work, with Lee it seems to be arm’s length’ (Emotional Competency Inventory 2008, p. 36).

Other: ‘Lee’s approachability and supportive side may not be widely known by many outside of her immediate reports and peers’ (Emotional Competency Inventory 2008, p. 37).

From the comments above there is recognition of some servant leader behaviours by a direct report to step in and assist when the team needs this to be successful as well as transformational leadership to drive to an outcome. A direct report points to the team being confident in my leadership as well as recognising my desire to lead with values and ethics. Similar to the comments for Social Awareness, the negative comments reflect that sometimes as a transformational leader I may be pushing too hard and that I had recognised people outside my business were stakeholders and were not necessarily supporters or understood the necessity of the change I was driving.

Case 4: Transfield/Broadspectrum P/L

Context.

Broadspectrum, formerly Transfield P/L, an Australian company with a proud and rich heritage of building and supporting large scale infrastructure. Founded in the post-war era, it specialised in engineering and infrastructure and had tried to change in more recent times to offer services such as facility management. Most notable was the contract to provide Facility Management services to the Australian Federal Government on Nauru and Manus Island at the Refugee Detention Centres. It was the sub-contract for security services that would do significant reputational damage to the company as cases came out of inappropriate behaviour as well as the general population's dislike for offshore detention and the global attention on Human Rights violations.

I joined Transfield just before it was renamed Broadspectrum, which came about when the original founders and owners of Transfield Services, who were major sponsors for the Arts, wished to distance themselves from the contract with the Australian Federal Government as they were very distressed when the Sydney Arts Festival no longer wanted the family's patronage due to the Transfield name being muddled. This was the first sign of significant issues with the way the public viewed the company.

Shortly after this, a hostile takeover bid was made by Spanish based Ferrovial Ltd. who had a year earlier made a friendly bid which was not transacted. No one had

expected this and the Board was quite firm that the bid was too low and undervalued the company.

Everything changed on April 26, 2016, when the PNG government ruled that the use of Manus Island and Nauru as detention centres by the Australian Federal Government was illegal. (ABC News 2016) The Board met immediately and after careful consideration decided that the value of the company was now significantly lower and advised the shareholders to sell. The Ferrovial offer was now considered good value given the contract with the Australian Federal Government was at significant risk of termination.

It is speculation as to whether Ferrovial reacted too slowly to withdraw or revise the offer but once the major shareholders agreed, the stock went into a trading halt. Once the acquisition was complete, Ferrovial disengaged from the Australian Federal Government contract and then after a few tough years, sold off most of the business to Ventia in 2020.

From the time Ferrovial took over, my work was not on their version of the strategy map. All but one of the Broadspectrum executives would leave the business by the end of the year. The Board, however, did everything possible to look after all staff ensuring that short, medium and long-term bonuses were paid out either immediately as cash instead of shares or as a retention bonus in September 2016.

There are two embedded units of analysis here.

- The first is how I used my time after the hostile takeover to do something useful for the company and for myself until I was able to leave and receive my retention bonus. It aligns to my value of learn, grow and change and shows that even at this dismal time, transformational leadership and vision was still important.
- The second is the results of the pre-employment assessment which has some rich commentary that supports both my current leadership paradigm and a prediction of my behaviours(s) that reflects my values.

Reflection 12: The Hostile Takeover.

The role I had in Broadspectrum was a strategic one to commercialise back office services so that these could be offered to clients complementary to other services e.g.: handling all their hiring, payroll, training and accreditations, workplace health and safety etc. This was a strategy a key competitor had taken in the UK and it had worked well.

Ferrovial acquired Broadspectrum purely to expand its infrastructure business and the work I was doing was not strategic to them. However, the Board has moved quickly and my role was secure until the end of year and financially it made sense to stay and be paid the retention bonus.

I decided to refocus on what would be useful and enduring for the organisation as well as what would be useful for my skills going forward. This led to extensive research in what was a new topic at the time called Robotic Process Automation or

RPA. This enabled companies to automate back office functions using software which reduced their costs, removed errors and rework and improved speed. (Astani et al, 2020) Being so new I reached out globally to anyone who would talk to me about their experiences in implementing RPA as well as a growing number of vendors trying to capitalise on its future promise of being highly profitable.

After engaging a local consultant, we developed a business case and secured funding. We analysed the likely processes to automate and spent a huge amount of time and energy on stakeholder management, education and communication. Before I left, I had spoken and attended most of the conferences on RPA in Australia and reinvented myself as someone to know in this space. The consulting company I worked with grew from 2 people to just over 40 and the role I was able to play was being an advocate and reference for the company.

This demonstrates my *transformational leadership style*, even in the face of my role coming to an end and my value to *learn, change and grow* for the next challenge. The alternative of just biding time is incredibly frustrating to me and I was able to leave knowing we had done something worthwhile for both the company and my skills.

Psychometric Tool 2:GPI Assessment Report (2015).

This assessment was completed for Transfield P/L as a pre-employment instrument to assess the likelihood that I would be a good fit for the role. The assessment was based on the Global Personality Inventory developed by Schmit,

Kihm and Robie in 2009. According to this information on the website (<https://ptc.bps.org.uk/test-review/global-personality-inventory>) , the Global Personality Index is used mainly for professional employees at middle or senior leadership roles and is used for selection, development and feedback purposes in mainly multi-national companies looking at cross cultural dynamics as well. It seeks to find derailing factors and my very strong views on ethics was identified as a potential derailing factor and this led me to take definite and positive steps to manage this, firstly by identifying my red values and taking steps to moderate these.

In summary, the report stated I should be an 85% fit for the role and that the expectation is that I would have a high level of business and corporate acumen, be self-confident, exhibit professional diplomacy and be sensitive to organisational politics. I should exhibit an understanding of corporate priorities, values and norms of behaviour and adapt my style for optimal influence. Comments regarding creating a vision, leading change and charisma are all consistent with a *transformational leadership style*. Detailed comments from the report are included in Appendix 3.

Similar to Myers-Briggs, GPI is an assessment based on personality traits which may not translate to behaviours. I have considered the comments and correlated with the Emotional Intelligence Inventory (2008) and in doing so, it is important to note that the Emotional Intelligence Inventory (2008) comments are based on the *actual perceptions* of people whereas the GPI Assessment Report (2015) is based on *anticipated behaviours* based on a series of traits. However, it was useful to see the alignment as part of pattern matching and triangulation to support my values and

leadership style. A summary of the comments is below categorised into the four areas of Emotional Intelligence and italics are used to highlight potential areas of concern.

Self-Awareness.

‘There is a note of caution that Leanne has potential for creating conflict by confronting those who in her judgement have failed to behave to an accepted code of professional behaviour’ (Assessment Report 2015, p. 8).

‘However, there is potential for Leanne to commit herself and others to an exhaustive workload, and to push others beyond their comfort level incurring diminishing returns on effort. An area of concern is Leanne’s need to maintain a good impression of her abilities with key decision makers and influential stakeholders. Being keenly astute, she shows a keen awareness of perception and its role in shaping future opportunities. Leanne should be cautious she is not perceived to offer a false impression of her abilities or downplay improvement opportunities or avoid seeking guidance and correction’ (Assessment Report 2015, p. 5).

Self-Management

‘She is likely to be a charismatic leader who will bring a considerable amount of energy, focus and commitment to any role to which she is assigned...Leanne should excel in an environment where it is essential to anticipate and respond to a wide variety of industry, market and workplace changes, including shifting the thinking of the organisation to a desired future state’ (Assessment Report 2015, p. 8).

‘Her ability to quickly scan unfamiliar and highly technical information is likely to be perceived as a clear strength, as would her ability to share complex ideas and information to different audiences with relative ease’ (Assessment Report 2015, p. 4).

‘Leanne’s strong personal drive, optimism, initiative and adaptability is expected to be invaluable in the seeking out and identification of opportunities to challenge conventional wisdoms in respect of developing a commercialisation approach’ (Assessment Report 2015, p. 3).

Social Awareness.

‘We expect Leanne to display a high level of business and corporate acumen, exhibiting confidence and professional diplomacy, while effectively relating to people at all levels internally and externally. She should demonstrate sensitivity to organisational and political sensitivities, understand corporate priorities, cultural norms and the unwritten rules of success, and adapt her

personal approach and optimal influence through her insight into different people's attitudes about power and politics' (Assessment Report 2015, p. 4).

'Given her strong sense of obligation and in considering right and wrong in making decisions, Leanne should be cautious she does not appear too pedantic towards others who see her as overly legalistic and unrealistically inflexible when approaching ambiguous circumstances. While usually at ease interacting with others with diverse backgrounds, Leanne may take exception and be very direct, to the point of being confrontational, with those she believes are failing to operate within an acceptable code of conduct. There is potential for this behaviour to undermine her overall effectiveness as she may appear to lose her objectivity in evaluating others' behaviours' (Assessment Report 2015, p. 3).

'She is expected to align her efforts to achieving the best possible outcomes for the team and she is likely to hold others to the same high standards of collaboration. She has very clear expectations about professional behaviour and business ethics and is likely to confront those who in her opinion are acting in ways that de-emphasize the importance of professional standards or who tend to disregard rules and norms that may prevent them from achieving goals. Leanne should be cautious she does not allow her sense of business propriety to cloud her judgement when evaluating the actions and motives of others' (Assessment Report 2015, p. 8).

Relationship Management.

'In her dealings with others, Leanne is expected to be well-respected for maintaining personal credibility and in meeting high ethical standards. She acts in ways that are congruent with her stated opinions, is honest and forthright with people, works through interpersonal conflicts to ensure problems are addressed and relationships strengthened, and when confronted with ethical dilemmas, to act in a way that reflects the relevant law, policy and procedures, organisational values and personal standards' (Assessment Report 2015, p. 4).

Case 5: Leidos P/L Australia

Context

After I left Broadspectrum, I received a call from a colleague about an interim role in Canberra working for Leidos. The role was perfect for me and I could see I would get enormous satisfaction as the commercial lead for a large contract and securing new business with the Australian Department of Defence. Despite that it involved commuting to Canberra each week, starting on July 17th in the worst of winter and the initial term was only 6 months. I accepted and commenced the next week with Leidos. This was the start of getting my company Partners for the Future operational.

Leidos is a company with its roots in the biomedical services. Leidos acquired the IT services part of Lockheed Martin and as a result, several contracts with the Australian Federal Government including the US1B Defence contract. I enjoyed every day working with the client and working to strengthen the relationship between Defence and Leidos. Most of all, I enjoyed leading my team to coach them on commercial leadership rather than just contract management

It is a time of give back in a broad sense both on the client side and the service provider side. It gives me a way of passing on what I have learned whilst exhibiting my values. After several contract extensions, I left at the end of August 2018. I was satisfied that I had done my role well and most importantly built a team that was self-sustaining.

Psychometric Tool 3: Myers-Briggs Type Indicator (Step II).

Carl Jung first proposed Personality Theory in 1947 based on his belief that the human psyche consisted of ego, personal unconscious and collective unconscious and later Isabel Myers and Katherine Briggs would create the Myers-Briggs personality assessments. (McGuiness 2004, p. 3) Personality or trait theory recognises that people have preferences which are natural gifts rather than skills but they do not necessarily determine behaviour and over a lifetime, personality type develops because of engagement in the world around us. (McGuiness 2004, p. 3)

This is an important observation as my initial assessment at the start of my career in IBM in the late 1980s was INTJ and in this assessment it is ENTJ and I acknowledge the change and the impact both business and life has had on this. My observation is that as I explored extraversion behaviours, I found they worked for me and felt rewarding and have adopted the extraversion traits as the way I want to be.

As there are no free form comments by others such as in the Emotional Intelligence Assessment, the commentary about the meaning of the ratings has been taken from the Interpretive Report provided to me with my results which was developed by Quenk and Kummerow. (2017) I have triangulated with the GPI assessment (2015) and the Emotional Intelligence Inventory (2008) in the comments. The full details of the assessment in included in Appendix 4.

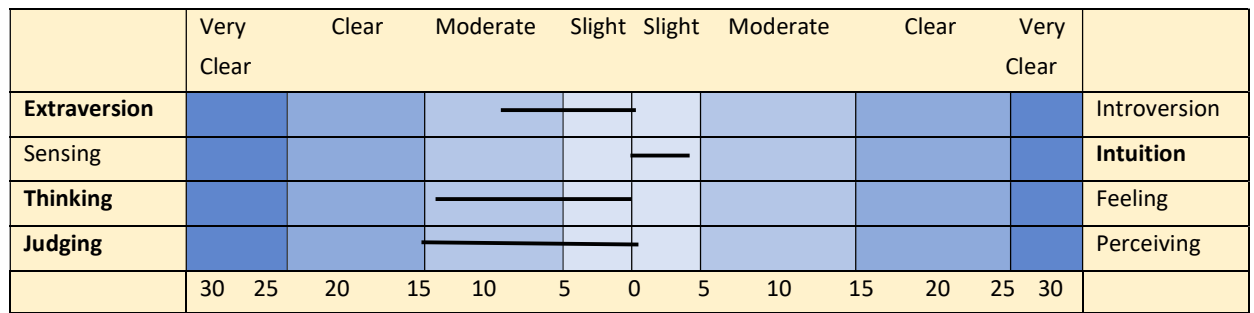


Figure 16: Myers-Briggs Type Indicator 2017. (Source: Myers-Briggs

Assessment 2017)

‘ENTJs typically are logical, analytical and objectively critical. They like long-range planning and strategic thinking and prefer to be in charge....they are impatient with confusion and inefficiency, and they can be tough-minded when they see these problems get in the way...They like to come to quick decisions about how to proceed and then actively lead others forward. Systems and principles are important....if they change their methods, they need to change their principles first. They value logic and consistency. People can count on them to take charge and make sure things are done competently’ (Quenk & Kummerow 2017, p. 3).

This correlates with the comments in the GPI assessment (2015) under self-management where the comment was made that I should ‘excel in an environment where it is essential to anticipate and respond to a wide variety of industry, market and workplace changes, including shifting the thinking of the organisation to a desired future state’ (GPI assessment Report 2015, p. 8). This can be further triangulated with the results of the Emotional Intelligence tool and the comments made such as ‘She has a reputation of being methodical and logical’ (Emotional Competency Inventory 2008, p. 32) and ‘She has a fast mind, possesses good analytical skills....particularly in terms of resolving complex issues and reaching sound judgements’ (Emotional Competency Inventory 2008, p. 33).

Comments from the Emotional Intelligence Inventory (2008) further support my principles and ensuring people feel they can count on me: ‘Strong values and ethics are evident in dealing with people and in resolving conflict. High focus on outcomes. Change agent that looks for alternative to drive desired outcome’ (Emotional Competency Inventory 2008, p. 33), and ‘showed great leadership and tenacity in driving an outcome from the team’ (Emotional Competency Inventory 2008, p. 33), and ‘Lee’s approach gives her team confidence to move forward and follow her lead’ (Emotional Competency Inventory 2008, p. 33).

With consideration to the **Extraversion**/Introversion scale, the following characteristics in the Interpretive Report (Quenk & Kummerow 2017, p. 5), are those that align with other embedded units of analysis such as my personal reflections and the Emotional Intelligence Inventory (2008) and the GPI Assessment Report (2015) comments.

- Sometimes can appear outgoing and at other times reserved
- May find personal relationships uncomfortably intense
- It may depend on the context as to how comfortable they are with strangers
- Seen by others to be cheerful, warm and humorous.
- Appear even tempered and rarely over or under express yourself
- Prefer to learn by reading
- Value some quiet time and personal privacy and easily distracted by noise

There is a relatively small preference for **intuition** over sensing (4 out of a possible 30) and the following comments from the Interpretive Report (Quenk & Kummerow 2017, p. 6), concur with both personal reflection and commentary in the Emotional Intelligence Inventory (2008) and GPI Assessment Report (2015):

- Consider context and inter relationships important
- May be pragmatic and efficient and use common sense
- May use metaphors to explain view
- Know how to take things apart and put them back together
- Make mental leaps and enjoy brainstorming and reads between the lines
- Like acquiring new knowledge for the sake of it and enjoy the role of scholar and thinker
- Future oriented

There is a stronger preference for **thinking** over feeling (14/30) and most pronounced is the 5/5 result for logical which sits opposite empathy and points to why I have to work hard on an *outward display* of empathy and ensuring people can read me correctly. The Interpretive Report (Quenk & Kummerow 2017, p. 7) gives some more depth in the comments below and concur with commentary in the Emotional Intelligence Inventory (2008) and the GPI Assessment Report (2015). It is in these facets where issues arise with behaviours in my leadership paradigm, and where my focus and commitment to monitor and adjusting behaviours is heightened.

The bolded traits have been identified as significant issues:

- Logical analysis and hard data are best for decision making
- Views situations analytically and assess the pros and cons
- Does not impose opinions on others and accepts all view equally
- **If an important value is compromised, may become confrontational (GPI Assessment Report 2015 p. 3, p. 8; Emotional Competency Inventory 2008, pp. 34-35; Reflection 6: *Leaving EDS*)**
- Participative management style
- Does not promote their work over others and is quite often modest
- Can be consuming as to what they think yet still seen as fair and approachable
- Outcome focused and result oriented
- **May be seen as cold and not paying enough attention to people's emotions (Emotional Competency Inventory 2008 p. 33, p. 35, p. 37; GPI Assessment Report 2015, p. 3, p. 8)**

My logical approach leads to efficiency, however this can be perceived as not paying attention to people's feelings or being unempathetic. This is why I have a conscious focus on developing positive transactional leadership to acknowledge others as well as being authentic and sharing stories which allows me to show empathy without being too emotional.

Lastly there is a strong preference for **judging** over perceiving and this facet is rated the highest at 15/30 with both *planful* and *scheduled* scoring the maximum score of 5/5. The high emergent score (4/5) is at odds with these but reflects that I am not

interested in the detail but rather will gravitate to the vision even if I do not know all the steps to get there. This is consistent with comments from the Emotional Competency Inventory (2008, p. 33) and the GPI Assessment Report (2015, p. 3). The following comments from the Interpretive Report (Quenk & Kummerow 2017, p. 8) concur with both personal reflection and commentary in the Emotional Intelligence Inventory (2008) and the GPI Assessment Report (2015).

- Superstructure of efficiency
- Enjoy forward looking and planning
- Focus on the big picture rather than the steps to get there
- Has confidence to move forward and trust they will know what is right when they get there
- Do not like surprises or diversions, comfortable with routines
- Find the pressure of a deadline motivating as is moderate pressure
- Schedule both work and life activities and can appear predictable
- Controls own time and makes long range plans especially for leisure

Areas of concern for teamwork for ENTJs.

Hirsh et al (2016) note several areas to watch and improve for ENTJs when working in teams. I have reflected on these and the feedback contained in the reports and assessments, I have identified areas of concern that need to be addressed as part of my development as a leader. All the suggested actions below are not my natural way of being and conscious intervention and effort.

Using the categories identified by Hirsh et al (2016, pp. 44-45), I have developed the following reflections and actions:

Communication: I can be overly critical and need to be more accommodating of others and allow for all possibilities to be discussed. (Hirsh et al 2016, p. 44)

Team Culture: I can irritate others by acting as if everything should have been completed yesterday and overlooking other's needs for appreciation. I can be more effective by treating an objective as a goal and using personal relationships to achieve this. (Hirsh et al 2016, p. 44)

Leadership: I can be very demanding to achieve results and overlook people's needs for recognition to get a task done. I am frustrated by a lack of commitment or indecisiveness and can be more effective by coaching others to develop talents to improve team performance. (Hirsh et al 2016, p. 44)

Change: I can annoy others by pushing too hard for change and once achieved I lose interest in the maintenance phase. I do not like status quo roles and I can be more effective by taking time to assess if change is necessary and if not, allow someone else to lead who works well with the status quo. (Hirsh et al 2016, p. 45)

Problem Solving/Conflict Resolution: I can irritate others by failing to consider key details when creating a solution and being too results focused rather than process focused. I can improve by checking that the solution is practical and realistic and has considered all input. (Hirsh et al 2016, p. 45)

Stress: I can be very goal oriented and want results on time as promised, dealing with problems as they arise. I can annoy others by being overly confident and being

impatient and expect others to behave logically and predictably. I need to spend more time gathering views and pace the change. (Hirsh et al 2016, p. 45)

Case 6: IBM (2)

Context

It has been a challenging time to return to IBM after a 19-year break and finding a company that I struggle to recognise. IBM used to be exceptionally people focused when I joined in 1986 and the mantra was *respect for the individual* which I did not hear once in the 18 months I was there the second time. While the paternalistic approach did need to change and this happened in the 1990s, this is not a culture I recognise. Whilst it is not for me to say it is right or wrong and many people are seemingly happy to be in IBM, I am most decidedly uncomfortable with the lack of authenticity.

After two weeks in the company I coined the phrase in my head *IBM Hunger Games* based on a series of dystopian books commencing with the ‘*The Hunger Games*’ by Suzanne Collins (2008), which were subsequently made into movies, that had young people compete against each other until only one survived. It was apparent to me that far from looking after each other, the culture and the measurement system actively sought to have people compete against each other especially at the partner and associate partner levels. Through many years of rounds of redundancies there were the survivors who were like deer in the headlights, looking over their shoulders for when their turn may come. It also appeared to me that IBM was so overly and

unnecessarily complex, that long time IBMers had developed a *currency* whose value was based on being able to navigate and get things done in IBM.

The organisation I found was very transactional to the point of this being quite over whelming for my leadership style which is predominantly transformational. The enormous amount of time spent on cadence in a highly matrixed organisation on daily and weekly metrics, all of which were drawn on different days so reconciliation was difficult and required someone with the *IBM currency* to correlate it, as well as regular rounds of redundancies was quite disheartening.

There is no doubt in my mind that IBM does not allow me to lead the way I want to and more significantly constantly challenges my red values to be fair, equal and respectful and to protect the vulnerable. Although my time with IBM has been short from Feb 2019 to July 2020, it is not where I want to continue to work and I have recently returned to my own business and will work with Leidos again from Sept 2020. There are two embedded units of analysis specific to IBM, the first being the test to my leadership paradigm and the second on British American Tobacco.

Reflection 13: A test to my leadership paradigm

I take full ownership for my personal contingent leadership paradigm and with considerably more reflection, I developed the leadership paradigm that I found the environment in IBM was pulling me towards. Once committed to paper and understood, it became clearer to me that there is misalignment and that I would need to choose to continue to be unhappy, adapt as it seems others have or to leave.

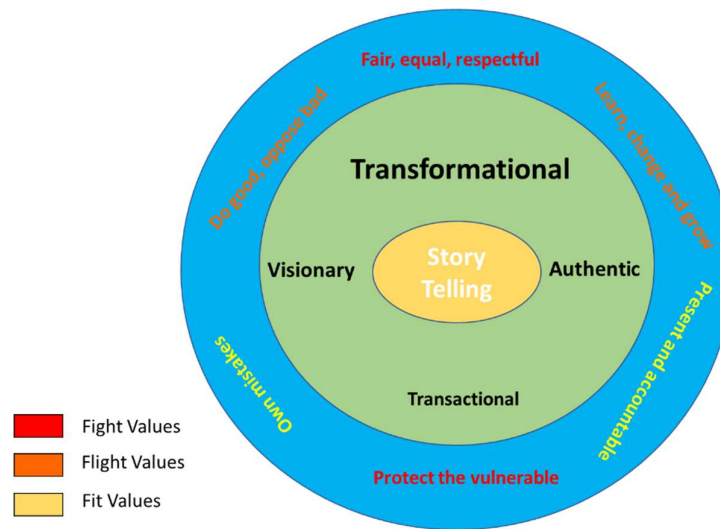


Figure 17: My Personal Contingent Leadership Paradigm(PCLP) at commencement of DBL Program. (Source: Author)

The personal contingent leadership paradigm that I feel I would need to move to in IBM to be successful is transactional leadership and it is my choice that I do not wish to move in this direction and I fully acknowledge that there are leaders who can and do work in this model successfully. Transactional leadership can be adequate, effective and get results.(Bass 1999, p. 10) The elongation into an oval is to accentuate that my red values are being tested every day and hence accentuated, which

becomes exhausting. The IBM(2) culture is firmly future looking and I did not find any meaningful learning from the past evident and storytelling was superficial. The misalignment may well be with my values and also as McGuiness (2004) describes with my personality development and how that reflects in my behaviours.

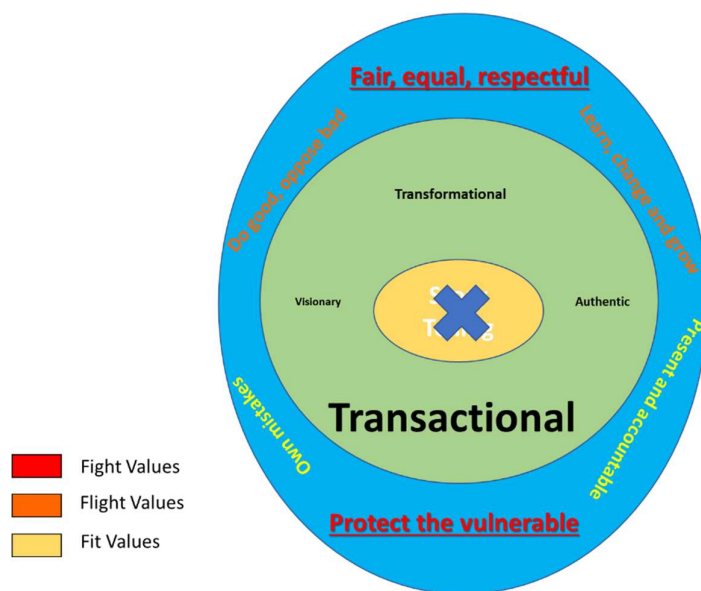


Figure 18:IBM Personal *Contingent* Leadership Paradigm(PCLP). (Source: Author)

In March 2020, two weeks before COVID-19 became fully understood and material, I was advised my business and that of my colleague would be put together and I should consider applying for the new position. I reflected on my *IBM Hunger Games* analogy and called my colleague and said I would not apply and he should apply with my full support.

It was at this time I reflected and built the personal contingent leadership model that IBM was pulling me towards and this gave me great context as to why I could not apply for this job *or any other job in IBM* as I was encouraged to do so. I questioned my rationality with this decision as we are in COVID-19 times, high unemployment and little certainty about the future but I stayed true to my values.

Instead I worked out my notice period to the best of my ability and left at the end of July 2020 preferring to return to work in my own company and contracting in Canberra which I will commence on Sept 7, 2020.

McGuiness (2004) identified four stages of development for each personality type with the Myers-Briggs framework, these being Childhood (6-12 years), Adolescence (13-20 years), Early adulthood (20-35 years) and midlife (35-55 years). It is useful to compare the early adulthood of IBM(1), with the Midlife IBM(2) world as McGuiness described it. In early adulthood an ENTJ 'turns their attention to the outer world of reality, facts, details and sensory experience....ENTJs will now be more comfortable living in the present...and many will tend to focus their attention on achieving goals and obtaining recognition for their effort. There will be great emphasis at this time on achievement at work as they develop their professional skills' (McGuiness 2004, p. 25). On reflection and looking at my career achievements during 1986-2000 (pp. 83-85) this was certainly true and there was a focus on the all the material displays that came with success.

In midlife development, McGuiness (2004) observes: 'Feeling emerges so ENTJs spend more time reflecting and will consider things they value....become more

accepting of people who are different from themselves and more aware of feeling compassion towards others. They may find that they experience emotions that at time overwhelm them and feel very much out of control...this does pass as they become more comfortable with their deeper feelings and values. ENTJs look for ways to contribute to helping people or perhaps serving the community. They will still make their base decisions on logic but will now consider the impact their decisions may have on others. It must feel right' (McGuinness 2004, p.25) This analysis by McGuinness (2004) has provided me with valuable insight and context around my decisions and direction.

My Aspirational PCLP moves to replace transformational leadership with servant leadership and this will develop over time. When I found that my current PCLP would not work in IBM(2) successfully, my reflections took me in a new direction. The work I have done with our graduates, listening to their hopes and dreams, seeing how incredibly smart and talented they are and learning that I need to allow them grow into the future and trust them to do so. My role is to coach and guide others and to use my stories of success and failure in the coaching process. The future is theirs and my role is to co-create with them.

I would like to see my red values be front and centre in what I do and how I lead rather than something that is tested and I need to fight to preserve. I understand much more what I would like to achieve in my next chapter of leadership, although I learned this in a way I never anticipated and with a great deal of personal disappointment.

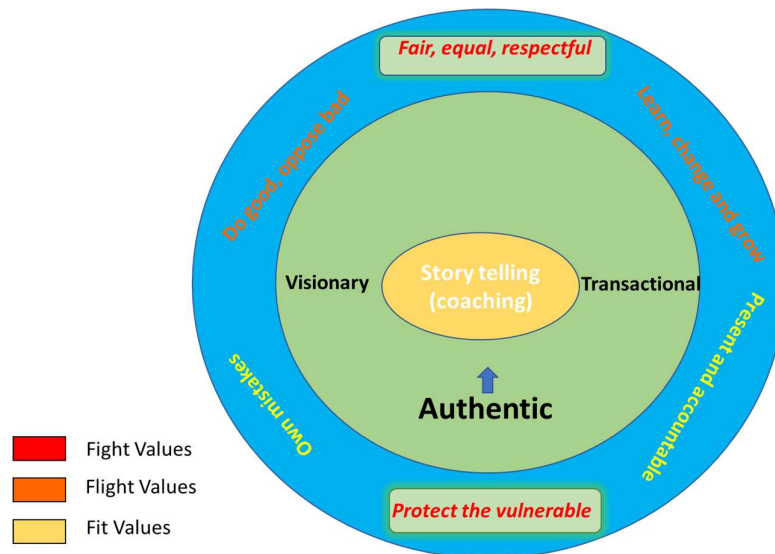


Figure 19: My Aspirational PCLP (Source: Author)

Reflection 14: British American Tobacco as a client.

In early 2020, IBM chose to renew a contract with British American Tobacco which raised questions in my mind as to why IBM would do this when Unisys did not. I decided that I needed to be true to my values and leadership paradigm and respectfully seek an answer to this question from the senior leader in the US who had published this news in his regular communication. I carefully researched and constructed an email, with good intent, to understand how IBM made this decision and how this aligned with IBM's core values. I have followed up several times for an

interview, but unfortunately the answer has been there has not been available time for an interview.

The email and research paper is included in Appendix 5. In this case, silence in itself is informative. This is a culture of good news and future looking and reflecting on previous events and decisions does not align with the ambition IBM has.

Reflection 15: Results of the Followership Self-Assessment.

A tool was developed to assess followership style as a companion to his book *Courageous Followers* by Ira Chaleef and is available online from Berrett Koehler Publishers. This survey was completed to assess what my followership style is and what I need to do to develop further. Assessment is made on two dimensions around how supportive you are for your leader and how likely you are to challenge the leader. The full assessment results and internet site link are in Appendix 6.

My ratings were 48/50 for support and 46/50 for challenge placing me firmly in the partner quadrant which is the strongest quadrant for a courageous follower. This is consistent with feedback I have received where I am very supportive of my leaders and I will question their decisions with good intent if I believe there is a better way to do things or there are risks in the current approach that need to be addressed. The assessment cautions that the results should be validated with others and this is done comparing the results to the embedded units of analysis in this critique.

The Followership Styles Self-Assessment(2020) shows my rating is very high on both support and challenge which reflects my willingness to challenge

rather than what percentage of time I engage in challenging. The strongest partner will spend more time supporting than challenging leaders and the ideal is not a 50 percent support and 50 percent challenge, but rather 80-90% support and 10-20% challenge. (Followship Styles Self-Assessment 2020, *Cautions*) This is an area of focus for me when considered with the feedback that my ethical stance can be very strong and could potentially damage relationships. (GPI Assessment Report 2015, p. 3,p. 8) A tendency to be to black and white and taking a strong position was noted in the Emotional Competency Inventory. (2008, p. 35)

This is consistent with my observation and reflection that my red values need tempering to ensure that I am *thoughtfully* responding rather than exhibiting a reflex action. My way of being can be to take the moral high ground which leads to exhibiting moral courage but a more effective way could be to act in a way that offers alternative ways to get to an outcome which may or may not include acting in an intelligently disobedient way.

► Followership Style Graph

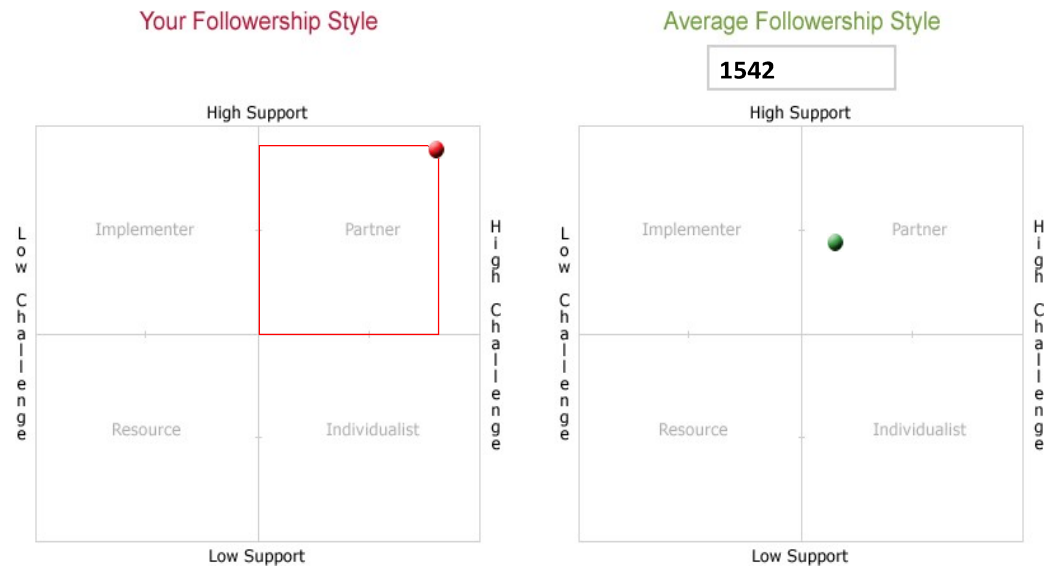


Figure 20: Followership Styles Self-Assessment (2020)

The attitudes of the Partner Style identified by the Followership Styles Self-Assessment (2020) are a strong sense of purpose and focus on what needs to be achieved and acting in a complementary manner to the leader. According to the Followership Styles Self-Assessment report, the Partner will take calculated risks and hold themselves and others accountable for outcomes, focus on developing good productive relationships and confront difficult issues when needed.

As a Partner style, according to the Followership Styles Self-Assessment (2020), I understand the distinctions between my role and my leader's role, especially regarding formal authority but I feel equally accountable for the objectives we have to achieve and hold myself to a level of accountability as if we were equal

partners. Further, the Followership Styles Self-Assessment(2020) states I will support my leader and the team's mission and goals, and this enables me to be heard when I do challenge a decision or direction, as people will trust that *I am acting with good intent*.

Survey 1: Results of Open Survey

Voicing Values and Intelligent Disobedience in Organizations using Artificial Intelligence (AI).

A survey was constructed using subscription-based software, Survey Monkey to collect, collate and present the results. The survey consisted of an ethics and consent statement which users had to respond to in order to proceed. There were then 12 main questions, some of which included options for comments followed by 5 demographic questions. The full output from the survey in in Appendix 7.

A total of 14 responses were collected from people within the business sector. The survey was issued via Linked-In to contacts within my social network. Of the 14 responses, 5 indicated they would be prepared to participate in an interview. The data collected is a combination of quantitative and qualitative data.

Demographic questions for the 14 responses are included in Appendix 7 of the Leadership Portfolio (Questions 13-17) and are summarised here:

- 21% aged 35-44 years old, 71% aged 45-54 years old and 7% aged 55-64 years old.

- 50% male, 42% female and 7% preferred not to answer.
- 42% had a degree, 30% a higher degree, 28% high school education or other.
- 64% worked in large commercial, 14% in medium sized organisations , 14% in government departments and 7% in the not for profit sector.
- 43% were executives, 50% in management roles and 7% in non-management roles.

The purpose of the survey was to understand how familiar respondents were with AI, and whether they saw examples of mistakes using AI in their organisation and whether people took a stand against unethical AI. As intelligent disobedience is one way to address this, their understanding and views on application were tested as well as the need for education. The demographics show a good representation across business with a smaller growth from government and the not for the profit sector.

Summary of Responses to each question (Q1-17)

Question 1: Permissions

All respondents gave permission for their responses to be used and be published and half asked for no identifying information to be included.

Question 2: Intelligent Disobedience concept

Respondents were asked to read a definition of Intelligent Disobedience and its origin and purpose in potentially mitigating intended or unintended uses of AI that test ethical boundaries. Of the respondents, 35.7% said they were very or somewhat

familiar with the concept of Intelligent Disobedience and the remaining 64.3% were either not so familiar or not familiar at all.

Comments: Two-thirds of respondents were not aware of intelligent disobedience which may represent an opportunity for training to enable this is organisation for both individual performers and leaders.

Question 3: AI technology familiarity.

Respondents were asked to rate their familiarity with AI technologies. Of the respondents, 70% said they were extremely familiar, very familiar and 30% somewhat familiar with AI technologies and 0% were either not so familiar or not familiar at all.

Comments: the respondents have a reasonably good understanding of AI which is useful for the purposes of the survey.

Question 4: Organisation and AI.

Respondents were asked to what degree their organisation understands the future implications of AI and unintended consequences on what they do. Of the respondents, 64% said they thought their organisation understood a moderate, a lot or a great deal while 36% said their organisations only understood a little or nothing at all.

Comments: It is a concern that one third of organisations do not understand AI as well as the ethical implications of AI and there is a gap in understanding that may need to be addressed reasonably quickly. The three questions that all non-technical people

should be able to answer about AI: ‘How does it work, what is it good at and what should it never do’ (Martinho-Truswell 2018, para. 6,7,8)

Question 5: Organisation and Ethics in AI.

Respondents were asked to what extent their organisation considers ethics before deploying AI technologies. Of the respondents, 72% said either a great deal or a moderate amount, 28% said a little and 0% said none at all.

Comments: It appears all organisations consider ethics and an area to explore will be whether this is within a general business ethical framework or whether something specific has been done for AI. Given employees have stated they believe AI is worthy of specific attention, it will be of interest to see if companies are responding in this manner.

Question 6: Mistakes and AI.

Respondents were asked whether their organisation had made mistakes deploying AI and later removed from use and to make comments if applicable. 21% said mistakes had been made, 26% said no mistakes were made and 50% said they did not know.

Comments: It will be of interest to explore where mistakes were made and how these were identified and action taken. It is of interest that 50% of respondents are unaware if there were mistakes at all and it may this may mean there is less transparency and learning from mistakes.

Question 7: Employees taking a stand.

Respondents were asked if employees had ever taken a stand against the use of AI and 100% answered no.

Comments: Given we are now seeing multiple cases of employees taking a stand, as discussed in the literature review earlier, it is of interest as to why we are not seeing this in the survey response and why this might be the case.

Question 8: Consequences of intelligent disobedience.

Respondents were asked if there would be negative consequences if they acted in an intelligently disobedient way about an AI project and 28.5% believed there would be and 71.5% believed this was unlikely or very unlikely.

Comments: One third of respondents thought there may be a negative impact may affect the likelihood that people will speak up when needed and while the sample size is small, this was a finding in the semi-structured interviews and needs to be considered in how we lead our organisations and how this applies to speaking up against the unethical use of AI.

Question 9: Learning and Development.

Respondents were asked if employees should through the organisation's learning and development programs be encouraged to act intelligently disobedient if they were concerned with an AI development. 93% of respondents said they definitely or probably should while 7% said they definitely should not.

Comments: Given the high percentage of 93% saying they should and only one respondent rating as definitely should not, it is possible this question was misread and this cannot be determined.

Question 10: Satisfaction with organisation's response to AI.

Respondents were asked how satisfied are you that your organisation could resolve multiple points of view on the ethical use of AI and 57.14% were very satisfied or satisfied this was the case while 28.6% were neither satisfied nor dissatisfied and 14.3% were dissatisfied.

Comments: Almost half of the respondents did not have a positive view that this could be resolved and this will be worth exploring as to ways these opinions can co-exist in an organisation.

Question 11: Ethics in the future.

Respondents were asked if they thought resolving ethical concerns regarding AI would be easier or harder in the future and 57.15% thought they would while 14.3% thought there would be no change and 28.57% thought it would be harder.

Comments: There is a significant divergence of views here with only half believing it will be easier and this is worth exploring as to whether there are ways, we can make it easier to resolve these issues. It is important with such divergence that we teach Ethics and AI so that our leaders and employees know how to approach these situations in the future.

Question 12: Future Research.

Respondents were asked if they had examples of where employees had taken an intelligently disobedient stand if they would be willing to share in a detailed interview of which 3 responded they would and 11 said they either did not have an example or would not participate.

Comments: Interviews will be offered to discuss cases in detail to ascertain what lessons may be of interest and transferable to other situations.

Interviews 1: Semi-structured Interview Results.

. The insights provided by the semi-structured interviews are broad and several are beyond what I can action as a leader and refer to issues such as governments and regulators created new laws. The Leadership Practice Guidelines will address what I am able to do so within the context of a business leader.

Interview design and process.

Candidates were identified to interview for my research who understood and had experience with AI technology and business from my extended network. A brief description of the interviewee population is summarised below:

Total of 8 people interviewed: estimated age group 35-60.

Industry sectors (most recent) and tagging for results:

- 1 Australian Banking/ Board Member (respondent A)
- 2 global large companies in technology (respondents B and C)
- 2 Australian small technology company (respondents D and E)
- 1 Australian distribution and logistics company (respondent F)
- 1 global aero-space company/ Board Member (respondent G)
- 1 self-employed technology and management consultant(ret) (respondent H).

The purpose of the interview and the research was explained to each interviewee. It was stressed that this was an exploratory process and that we would follow the direction they took the interview and that my questions were a guide and not prescriptive.

I shared with the interviewees a collation of recent press that pertained to employees taking a stand against what they perceived was an unethical use of AI in the company they worked for so that they would understand the research area. This is very similar to Chapter 2, *Review of recently reported cases of employees taking a stands against AI* (pp. 24-33) of the Leadership Critique although I have included later examples around Black Lives Matters and Facial Recognition for the purpose of the Leadership Critique that had not occurred at the time of the interviews.

The interview guide (Appendix 9) was also shared and it was apparent in the interviews that each person had given considerable thought to the questions and the direction they wanted to go in the interview. In several cases there was a great deal of animation and enthusiasm that AI and ethics were extremely important to the future of business and leadership. All respondents signed the consent form before being interviewed. All transcripts were created as drafts, sent to the respondent who could choose to change or add to their response before finalising. A tabular summary categorising the raw interview results is included in Appendix 10 which identifies the comments in more granularity and attributes a code (A-H) to respondents. In my analysis, I draw out 6 themes and suggestions on actions are included in the leadership practice guidelines.

Leximancer Analysis

The interviews in digital form were analysed using a text analytics tool called Leximancer.

Leximancer takes text input and creates concepts as well as mapping relationships between the concepts and presents this visually. The tool allows the users traceability between the concepts, relationships and the original text. Leximancer creates an interactive map and through this enables users to quantify conceptual data. (Leximancer User Guide 4.5 pp. 3-11)

Leximancer creates a set of seed words and as the software ingests more data, it continues to learn and update the seed words and eventually forms a thesaurus for each concept. The objective is to discover clusters of words that form a concept and maximise the relevance of other words in the document. (Leximancer User Guide 4.5 pp. 12-13)

The visual map of concepts is grouped together as themes and only the top 50 concepts are displayed. Concepts that often appear together in the text, appear clustered together on the map. The themes are heat-mapped to indicate importance with red being the hottest and blue the coolest. (Leximancer User Guide 4.5 pp. 14-20)

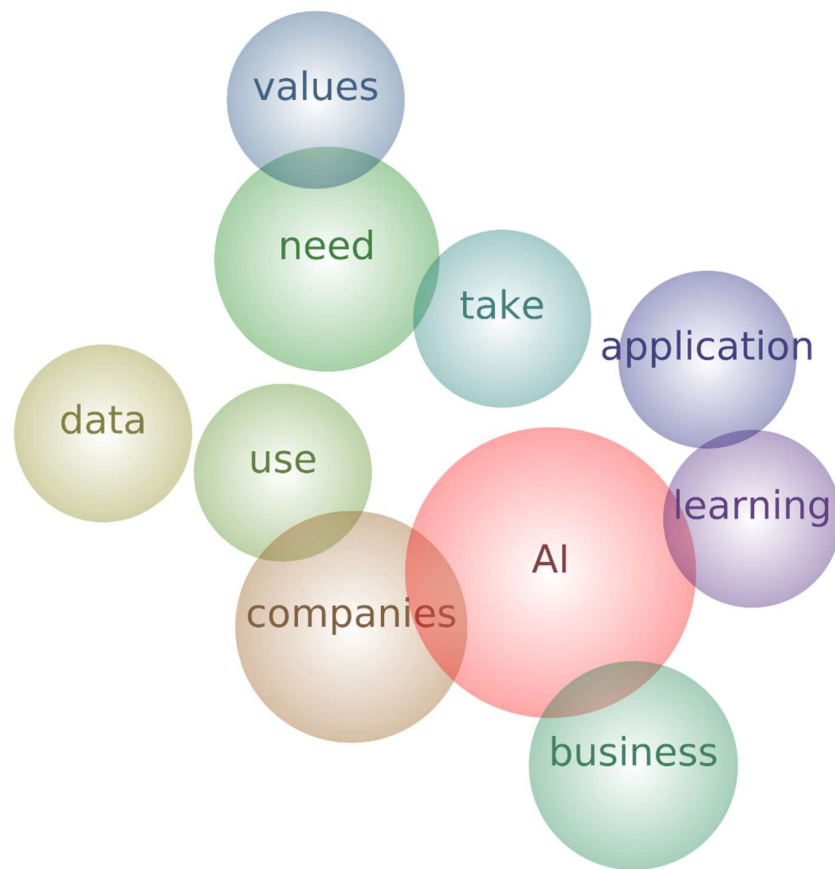


Figure 21: Leximancer Generated Themes.

The themes are not surprisingly and the most recognised them is around Artificial Intelligence followed by companies or businesses, data and how it is used and the application of AI and the need for learning or education and these six generated themes link broadly to the six findings from the interviews.

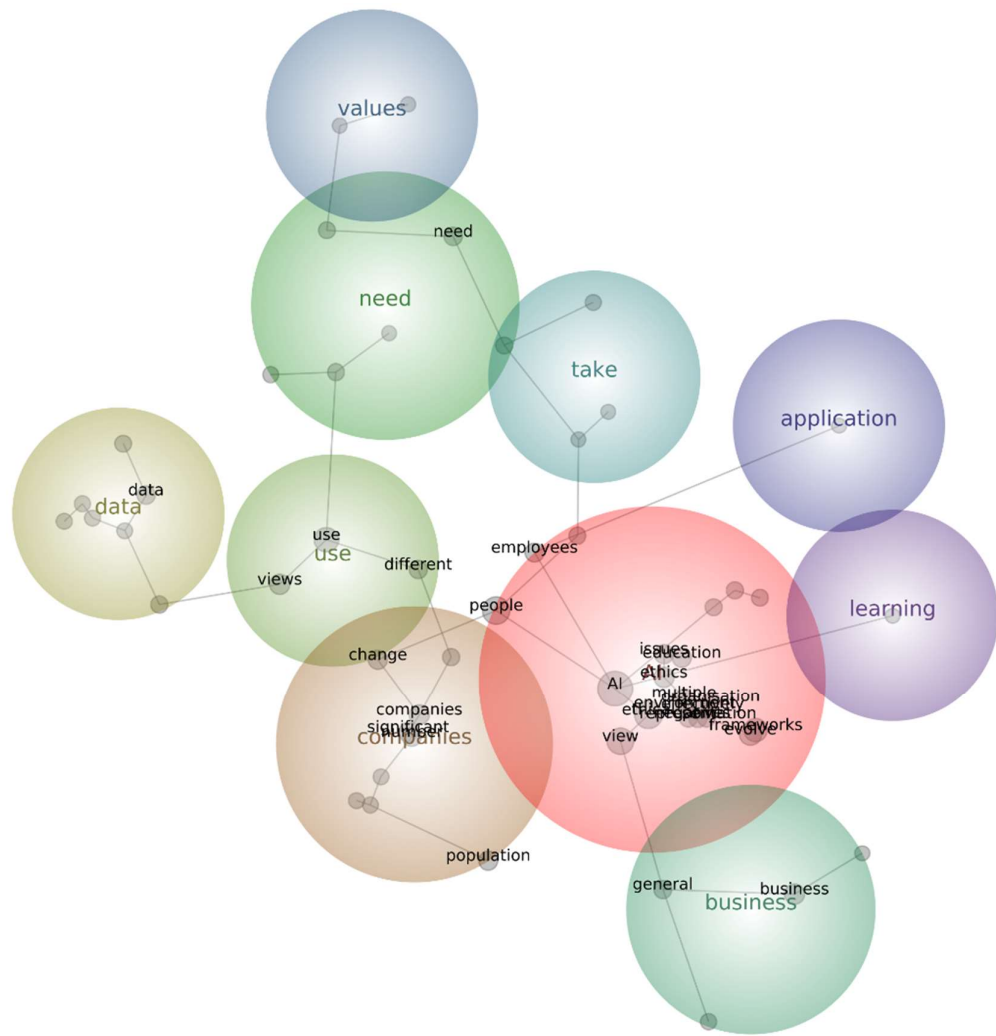


Figure 22: Leximancer Generated Primary Concepts.

The Leximancer Generated Primary Concepts shows the linkages between the various themes and can be insightful to track common themes. Some of these linkages for example between AI, companies and use and data will be seen in the qualitative analysis that follows.

Key findings from the semi-structured interviews .

Finding 1: The general population's understanding and education of AI needs improvement. (Respondents A,B,C,DE,F,G,H)

All interviewees agreed that the general population has extremely limited knowledge of AI and their source of knowledge was driven by the media who were themselves often poorly informed. All interviewees stated that the hype needs to be addressed, such as the general point of view that AI is for surveillance or drones for war and more practical applications used as examples.

- Education should be tangible and accessible and based on common everyday applications such as SIRI and type ahead text so as to demystify the technology. An approach such as how Brian Cox has made science and math accessible could be used through multiple channels such as the podcasts, articles, blogs, TV shows etc.
- Use real stories of what is a good application of AI and what is not to connect with the public and make it real.
- Start in primary school with ethics training and expand in high school to critical thinking. The benefit of this should be interesting conversations at home where parents are educated by their children in reverse.
- We need to debate whether AI should exist at all and recognise just because we can, does not mean we should. We need to educate and debate different viewpoints and listen to each other.

- The conversation should be led by those who are knowledgeable and unbiased and this is our universities and a diverse group of academics. The media is concerned with hype, our businesses are not trusted and the government is not informed.

Finding 2: Australia lags other countries and we need to educate our business

leaders on the ethical use of AI. (Respondents: A,B, C,D,E,F,G)

Other OECD countries and their businesses are adopting AI much faster and in more meaningful ways than Australia. Australia has low complexity in its economy and its industries which is allowing Australian businesses to lag and be complacent.

- Our business leaders starting at the Board need education in a diverse set of ethical frameworks reflecting cultural differences and on how AI is applied in their industry.
- Our Boards need to accept accountability for their company's use of AI and include this on their agenda. The business strategy presented by the CEO and the senior leadership team must demonstrate both an ethical and strategic view of AI.
- Government and Regulators must understand both the ethical framework they are applying and the principles of AI and create a legal framework for businesses to comply with. They should lead the global collaboration on this to form a governing body and global standards.
- Technology companies who have customers using their platforms cannot absolve themselves from the data being misused by saying they do not own the

data and only provide the platform. Governance needs to address how to prevent the misuse of data by their clients.

- We need global thought leadership on the ethics of data gathering as the exploitation of data for insights is being led by China. We are losing top talent from the West to China as a result and we do not have access to the rich *data asset* that China does. We must have critical debate on privacy and security at a global level and understand the trade-offs to be made.

***Finding 3: Create diverse teams to remove bias and improve ethical design
(A,C,D,E,F,G)***

We should approach the grey areas intentionally and not avoid them or skate around them. Different perspectives will pick up unconscious bias, which is not necessarily right or wrong, it is a different point of view. Bias exists in our data and this represents risk to our businesses and the population through flawed machine learning based decisions.

A diverse team should represent as much as reasonably possible all aspects of the population with attention paid to representation of different ethical viewpoints represented by various groups.

- Create diverse teams from across our business or external to assess:
 - A proposed solution and whether it should exist at all.
 - Whether the proposed solution fits the values of the company.
 - Whether the solution proposed is considered an ethical use of AI.

- Validate the results of all machine learning tools and seek to remove bias.

Finding 4: Choose who you do business with, who you work for and if you do take a stand, then do so in numbers. (A,C,D,E,F,G)

In smaller businesses there is a choice whether to take a project and continue to provide everyone jobs or take a stand against a project and then potentially everyone is out of work. This is most evident when working in China where not taking a project will mean most likely that we will not be asked again.

Most people do not live by their ethics when there is a personal consequence. People are too busy, are apathetic or do not see the consequences as worth speaking out about. Those that will take a stand are probably less than 1% of employees. If someone does take a stand, the stakes can be high and the person may lose friends, their job or worse such as interment and death in some countries. Taking a stand is a risk laden action and needs considerable care.

- Be clear on core values with stakeholders including employees and when they see something counter, have a way for them to *effectively* speak up.
- Businesses should be more critical and selective in who they do business with and you cannot absolve yourself from understanding how your technology may be mis-used. Ensure project documentations, contracts and SOWs protect against unintended use or misuse to the fullest extent possible.

- If you take a stand in a large business today go in numbers and stay together and use the media to stay safe.
- We need to encourage our people to develop critical reasoning and engage in debate. Provide context and understanding to allow this to happen, for example, what new jobs could be created as a result of automation and AI.
- Be clear with your people that they may need to choose if they can work in a company or not – it may not be possible to co-exist if there is a clash of values over the application of AI.

Finding 5: Whose Ethics? Co-existence of multiple points of view (Respondents: A,B,C,F,G,H)

Ethics is a spectrum rather than a definitive right or wrong and multiple points of view can and should exist if we are to understand the spectrum on views on AI. Our businesses nearly always only consider a western view of ethics and we need to include other cultures and religions to be inclusive if we are to build global AI technologies.

AI encodes only one decision as being right, so whose decision is right and what ethical framework was used to decide this? For example, who should die in the code of an autonomous vehicle – the driver or the pedestrian, a woman or a man?

Whose ethics?

Everyone has a point of view but we should not force our views on others. *Do no harm* is easy to understand but *do what is right* is much harder to define and its contextual to the culture and context.

- Build a diverse team to assess, design and create applications that can span different cultural and ethical points of view.
- Resolving *Whose ethics?* will be a much larger governance issue for global companies which requires Board oversight.

Finding 6: Governance Structures (Respondents: A,C,D,E,F,G,H)

Transparency is key when developing AI solutions from the concept through design and deployment and all AI decisions must be traceable. Governance needs to be in place to ensure AI solutions are developed ethically and that when people need a voice, they have somewhere productive to go.

- Consider a structure that could be similar to a Works Council or Union where employees can be represented in the concept phase for AI projects and the governance of the project lifecycle.
- A Governance structure could include approving projects to meet ethical guidelines, suggesting changes based on what the Council has learned from other projects internally or externally.
- Consider external membership of the Council to improve diversity of views and experience.

- Recreate what small businesses can do in large business – a skunkworks approach where robust discussions can take place without fear of consequences.
- Consider the adaptation of Edward de Bono’s six hats to review an AI project through different lenses but in a structured way.
- Embed governance back at the business development stage, well before a project has been approved.

Chapter 5 covered twenty embedded units of analysis that have been used to justify my starting PCLP with the results of the surveys and the semi-structured interviews being of most use to inform the construction of my aspirational PCLP.

Chapter 6: Future Personal Contingent Leadership Paradigm (PLCP).

This Chapter considers the evolution of my current PCLP to what my future or aspirational PCLP as shown below. The key change is the shift from transformational to servant leadership which still includes authenticity and positive transactional leadership. Storytelling is at the heart of my leadership, reflecting my strong desire to teach and coach others.

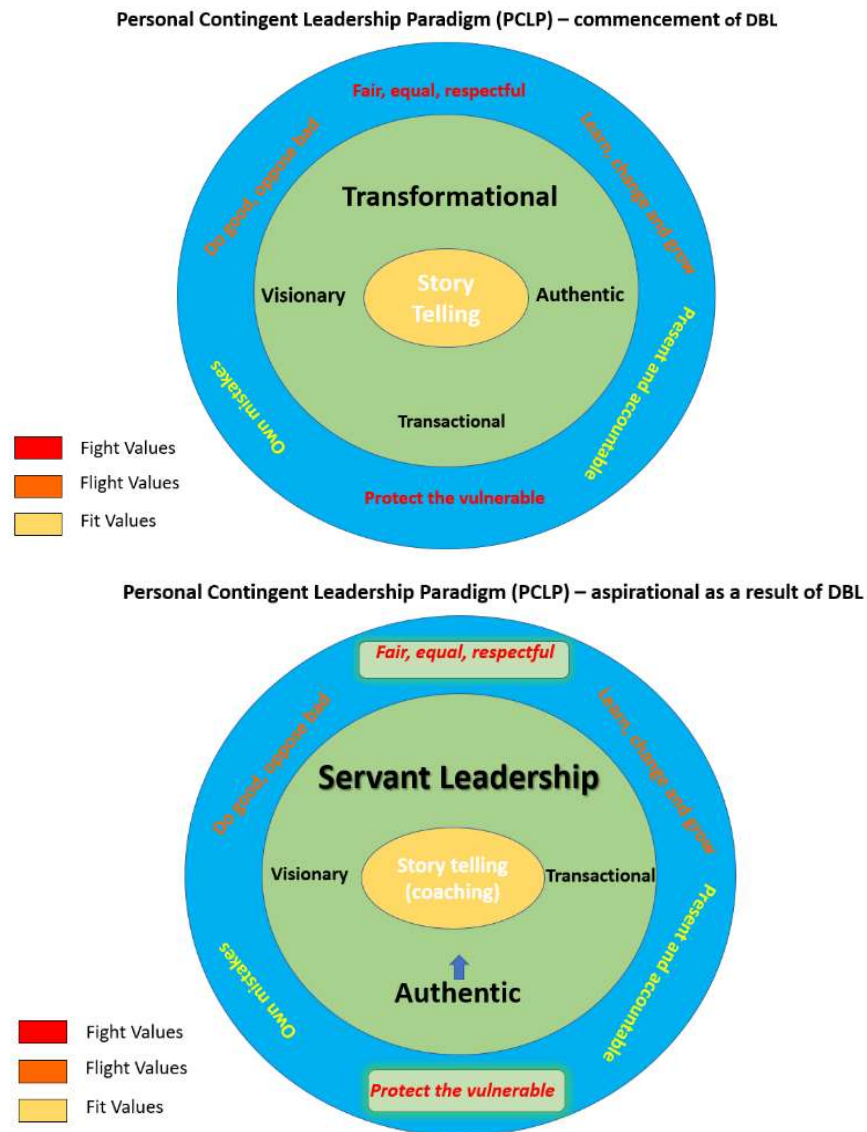


Figure 23: Current and Future Personal Contingent Leadership

Servant leadership is present in some of our most successful companies who recognise the importance of putting their people first and ahead of profit and servant leaders exhibit characteristics such as a sense of community and collaboration, authenticity and shared values and innovation driven by the people. (Schwantes 2017, para. 3) Emotional exchange is shown be an immensely powerful way within servant leadership to engage people and inspire them towards success and companies using a servant leadership model enjoy higher employee engagement and trust, less turnover and are frequently cited in articles about the best companies to work for. (Schwantes 2017, para. 4)

In my PCLP, servant leadership means my role is to serve my people and one of the most important ways to do this is to coach and mentor people and share the experience I have built over three decades along with the many stories of success and failure to help them grow and fulfil their aspirations. Servant leadership draws on my authenticity and accentuates how I like to lead in business. Using stories where I have acted with moral courage or acted in an intelligently disobedient helps to coach others how to practically apply these models. To complement my personal experience, I draw on stories from other businesses where I have found examples of intelligent disobedience and courageous followship such as the ones included in this Leadership Critique.

I am acutely aware that context matters and an organisational environment that is conducive to my aspirational leadership style is important. My role as both a leader and follower, allows me to model behaviour in both roles, and the use of intelligent

disobedience and courageous followership have far reaching benefits within business. There is significant research to show that people can and do live different lives inside an organisation and outside an organisation and even longitudinally where they may participate in wrongdoing within one setting but have not done so before or after that situation. (Zimbardo 2007, Browne et al 1995) My leadership paradigm seeks to have my business and personal lives aligned from a values and behaviour perspective.

Reardon (2017) stated that advanced technologies such as artificial intelligence rely on codes and algorithms and while very sophisticated and compelling to create action, they do not help us to critically think and understand what the right thing is to do. These technologies are far superior to do specialised tasks that humans cannot do with the same speed and accuracy, but they do not offer the freedom to contest decisions and create true revelatory meaning and for this we need stories that help us critically think about what we are doing and the morality of our actions. (Reardon 2017)

In 2020, with a vastly different sort of challenge, COVID-19, we are in the process of creating a *new normal* way of working and this has allowed me to lead how I most like by protecting vulnerable people, coaching, listening, inspiring and enabling people towards a new future.

This Chapter has explored my aspirational of future PCLP that has resulted from the research I have undertaken.

Chapter 7: Leadership Practice Guidelines

This Chapter explores the Leadership Practice guidelines that I have developed as a result of my research and that will assist me to reach my aspirational PCLP.

My journey to complete this Leadership Critique has been challenging, rewarding, inspiring and provided both a sense of completion as well as the desire to do more research. It has allowed me to identify and confront my persistent worries and how I might mitigate these in my aspirational PCLP at a time when AI is creating more opportunities for people to use technology in both profoundly good ways as well as in ways that could hurt many people especially those who are more vulnerable in our world. This Chapter describes the key Leadership practices I have identified as a result of this research which will be implemented in the Aspirational PCLP.

It is also necessary to adapt some of the research into the world we find ourselves in with COVID-19. Many pieces of research rely on people being physically together either all or part of the time and this is now not possible and may never return in the future. As I develop the Leadership Practices, I do so with this *new normal* in mind. The following are the Leadership Practice guidelines that have been developed as a result of my research question which is:

How should my Personal Contingent Leadership Paradigm evolve to lead in businesses to encourage, inspire and facilitate the ethical use of AI? Throughout the research I have explored the following propositions:

- How and why do some people make the choice to do the wrong thing even when there is an alternative not to, and others choose the right thing? (Literature Review)
- How can we create businesses that encourage people to make the right choice when using AI? (Open Survey and Semi-Structured Interviews)
- How could we allow people to take a stand against the unethical deployment of AI most effectively? (Open Survey and Semi-Structured Interviews)

Leadership Practice Guideline 1: Create the best environment for people

The first of my Leadership Practice Guidelines addresses my persistent worry about why good people will do the wrong thing even whether given a choice not to and by extension, whether I would as well. The literature review showed that environmental or situational factors were fundamental to the context where people, including myself could choose to do the wrong thing even when there was an option to do otherwise. (Brown et al 1995, Chaleef 2015, Chaleef & Thomas 2017, Louibond 1979, McLeod 2007, Zimbardo 2007)

Zimbardo concluded that it is *systems* which enable situations to occur as they provide the institutional authority, support and resources necessary for a poor environment and the authority and institutionalised permission to behave in a certain manner which in turn can validate actions that would in another setting be unlawful or immoral. (Zimbardo 2007, p. 226) The use of craft ethics where a profession can

endorse such behaviours was pertinent as IT and technology companies are known for their acronyms and the language distances many people from understanding and people can fall into an agentic way. (Browne et al 1995, p. 23)

Key Leadership Practices:

- Teach people in a positive and tactful way that we are conditioned to obey and that we want to encourage critical reasoning and debate and at times this will be uncomfortable. Encourage people that this will lead to better outcomes and when we achieve them, reflect and celebrate success.
- Practice the coaching maxim that *the standard you walk past is the standard you accept* including with customers and other external parties.
- Ensure people are clear on their roles and the roles of others, their responsibilities and accountabilities and there is no ambiguity. Resolve and remove any unclear boundaries or expectations.
- If there is deference to authority, ensure the person understands that I am part of the team and encourage them to speak up and challenge me as that will get better outcomes for the team.
- Ensure our environment is viewed as a safe environment to raise issues, be heard and have these issues addressed. Embed challenge time into our team meetings and project reviews.
- Recognise and be alert to the propensity for situations to enter *a slippery slope* and address issues at the start.

Leadership Practice Guideline 2: Educate, communicate and share stories on ethics and AI

The need to educate the public at large as well as our businesses was commented on numerous times in the semi-structured interviews as well as in the literature review. (Ammanath, Janis & Hupfer 2018; Davenport & Foutty 2018; Davenport & Katyal 2018) My role as an industry executive externally can be impactful through industry groups, conferences, customer events and through sharing my knowledge and experience in articles, papers and presentations. Using examples of what has worked and what has not is important to build our collective knowledge. Storytelling was recognised as a powerful way to teach and create cultural change. (Sole & Wilson 1999; Barker & Gower 2010; Soin & Scheytt 2006)

Key leadership practices are:

- Increase my sharing of knowledge and experience in industry forums, conferences, papers and leverage social media to disseminate information around AI and its uses and the importance of AI and Ethics.
- Continue to grow my knowledge and experience in the ethical use of AI by engaging with my counterparts in business and industry groups.
- Use stories of successes and failures to powerfully communicate with others and create cultural change.
- Dispel the myth the technology is value neutral and create the mindset to question whether an AI application should even exist as a first step.

- Embed an ethical approach to AI in the qualification stage of a project and into the design phase. Allow for *challenge time* in project schedules for critical debate about the ethical design of the application and its use of data.
- Engage in teaching in academic programs to share, coach and guide future leaders.
- Engage in future research regarding ethics and AI in business.
- Coach people to be courageous followers and that this is a safe place to practice these skills.
- Ensure people understand there are options to raise issues effectively and that Intelligent Disobedience is one of many approaches that can be used at the right time.
- Remember the Ed Rescorla story and tell it often. He never gave up, found compromises where required, acted as a courageous follower up to the Board level and only when he needed to practice Intelligent Disobedience, did he do so. He saved over 3000 lives with this one act of Intelligent Disobedience.

Leadership Practice Guideline 3: Diversity of our teams that engage in AI projects.

The literature review (Ammanath, Janis & Hupfer 2018; Beard and Longstaff 2020; AI HELG 2019, Next Steps) and the semi-structured interviews identified the need to have a diverse team involved in AI projects. The purpose of driving diversity is to have as many different ethical viewpoints as possible to reflect the global community we live in.

Key leadership practices are:

- Ensure project teams are as diverse as possible and that we can explicitly and transparently show we have formed such teams. If gaps are found, they need to be addressed.
- Put in place a requirement that projects have *challenge time* built in recognising that different businesses may need a different approach that resonates with their culture.
- Teach teams different ethical models as put forward by Beard and Longstaff (2020) and counter a Western ethics only approach.
- Coach teams on how to work in a critical reasoning model and that this is a *safe* environment to do so
- Role-model the behaviour of working in a *challenge model* to coach others on the how to do this

Leadership Practice Guideline 4: Governance led by an AI Ethics Council.

In several of the interviews, it was suggested we have a governing body for the deployment of AI technologies and this is a necessary consideration for three key reasons: the lack of legislation, the relative newness of AI technologies and the rapid pace in the development in AI globally often from countries with varying views on privacy, security and human rights. (Respondents A,C,D,E,F, G) This was supported in the literature review by employees of Google requesting such a body be formed which was diverse and included employee representation. (O'Donovan 2018, para. 3) and

recommendations from other papers. (Ammanath, Janis & Hupfer 2018; Beard & Longstaff 2020; Davenport & Kaytal 2018; Simonite 2018b)

My proposal is to form an *AI Ethics Council* staffed by a diverse set of employees and leaders, to create governance grounded in what has been learned to date both in our work and more broadly in the industry. Such a council could help address the issues of holding engineers accountable for their designs and allow them a positive and supportive environment to be challenged so that collectively the team achieves more than it would have without the assistance.

It is recognised that the first step will be to gain approval for this proposal, however, the development of the business case to do so may be of use to others and once developed, could be shared in a white paper.

Key leadership practices are:

1. Educate the executive team and Board on the need for governance over the ethical use of AI within our business and projects.
2. Create the *business case* for the formation of the AI Ethics Council which may include financial assumptions as well as intangibles such as reputation, social responsibility, employee engagement etc.
3. Gain agreement to create the terms of reference and charter for the AI Ethics Council.
4. Create a profile for the Chair for the AI Ethics Council and the individual members. Propose a process for members to be nominated and how diversity will be addressed using internal and external members.

5. Participate in the AI Ethics Council in a meaningful way, potentially as the Chair to establish the Council and the governance to make it successful.

Leadership Practice Guideline 5: Servant Leadership, co-creating the future and reverse mentoring.

Moving to a servant leadership style means I am achieving my outcomes through others achieving theirs and I need to step back to create the space for them to step up. Explicit conversations are important so that people know the model I am seeking to achieve and that it is a safe environment where I will support and coach them. Servant leadership still allows my transformational leadership to be present but enables me to achieve this through others achieving their objectives. Servant leadership draws on my desire to give back to others especially through coaching and mentoring, and to use my knowledge to prepare them for the future and whatever challenges that holds through building resilience and a commitment to lifelong learning.

Key leadership practices are:

1. Before key presentations, discussions or meetings hold a coaching sessions with the person or team to work through in a safe environment what could go right and what could go wrong.
2. Reflect and debrief afterwards so that we form learnings from what worked or did not work and take new lessons on board and share these with the team as appropriate. Stories will be created from these experiences.

3. Coaching is as much *in the moment* as possible, or as close to the event as possible. I am explicit in my coaching and it is always done with good intent and is delineated from performance feedback.
4. Let people know that I have their backs. This is one of my key phrases and people know exactly what I mean. I am there to support them and I will not let them trip or fail if it is within my power to do otherwise.
5. Let my people know I would like them to have my back and be courageous followers and coach me in better ways of working. In particular, look to our younger people to reverse mentor so that I understand their point of view and what they would like to see in *their* business in the future.

My leadership practice guideline ensure that I practice essentially all of what James (2008, pp. 236-9) created in his eight *Be* rules within the context of business rather than a military setting. In concluding the Chapter, I would like to share my adaptation of the eight *Be* rules:

1. Be with your people – experience what they do and be there for them in an authentic, empathetic and caring way. Allow them the time to raise their concerns and fears in a safe environment. Have regular scheduled catchups but more importantly a culture of *phone, message, IM or Whatsapp me anytime* and genuinely mean it. In COVID-19 times understand their unique challenges working remotely, home-schooling, living in smaller communities with higher unemployment and help people wherever I can to adjust, cope and have hope.
2. Be seen – walk the floors and be in common areas where people engage with informally. In COVID-19 times this is more difficult and adapted to be *ad hoc*

check-in calls, messages, IM or Whatsapp which is dependent on the person's choice of communication method. Hold weekly team sessions where we often have a drink, play an online game and talk about the world including what is concerning people.

3. Be involved – have meaningful and authentic conversations and talk with everyone. Share stories that give people insight to me as a person and listen to their stories so we get to know each other on a human level.
4. Be bold – make the hard calls regarding ethics and morals and acknowledge that Ethics and AI *is intentionally entering the grey area*. Just as the ethics of *Just War* is not complete, neither can we say the ethical framework for AI is anywhere near complete. It may never be complete, just as the ethics of war evolves with new types of warfare, the ethics of AI will continue to evolve as well.
5. Be passionate – show enthusiasm and create excitement for our work and the potential good it can bring. Share stories across the business of what we have achieved and what is possible in the future.
6. Be fun – create the environment people want to be here. Introduce more *mentor walks* and *kitchen storms* to humanise the workplace and allow people to share more of what they are thinking or concerned about.
7. Be energetic - sharing my routine of 10km runs and bootcamps which gives me considerable reflection time and sharing more about what I do outside work as well as my infectious enthusiasm for my work.
8. Be clear – people need and deserve clarity in their work and what is expected.

This Chapter has explored what my Leadership Practices should be as a result of my research and may also be of use to others as they consider how to adapt their PCLP in businesses seeking to use AI ethically.

Chapter 8: Concluding Remarks.

Contribution to Leadership Practice.

This Chapter completes the Leadership Critique with concluding remarks, limitations for this research and opportunities for future research.

It was identified that the issues regarding the adoption of AI technologies in our businesses and governments today are significant and will continue to be so as the technology develops. Issues fell into three broad areas of legislation lagging the development and implementation of AI in our businesses, businesses putting profits ahead of ethical considerations around the use of AI and the speed at which the technology is developing and our ability to develop ethical frameworks at the same rate.

Recognising that as people, our way of being is to be obedient is fundamental to understanding the risk our behaviour poses at this point in time and we have precedents where the misuse of data in history has cost many millions of lives and we cannot allow AI technologies to make this faster, easier, more accessible and most significantly, *we must not remove humans from these decisions.*

The illustration of cases where employees have taken a stand against their employers is critical to understand the ground swell in the next generation. This research seeks to find ways to intervene much earlier that may give more effective options to create change without the need to resort to whistle-blowing and public stands.

We should embed an ethical thought process into the way we do business and create our proposals, designs, teams and governance. The use of *challenge time* in projects, the creation of an AI Ethics Committee and teaching techniques such as courageous followership and intelligent disobedience are all aimed to intervene much earlier enabling an organisation to adjust course whilst maintaining integrity in their relationships with employees and customers.

Many companies have well developed statements regarding the values and ethics of the company and these are a necessary guiding beacon. The gap identified in this research is that these are not adapted to the new world of AI

The ethical framework of a business needs to be developed and operationalised which requires leadership practices to adapt and change to be effective through the application of the actions recommended in Leadership Practice Guidelines. Drawing out the need and the ways to *operationalise* ethics into businesses using AI technologies is my key leadership contribution. The Leadership Practices (1-4) are not unique to me and could be adopted by other business leaders.

As I complete this draft, I am in conversation with two companies who are acutely aware of the need to address AI and Ethics in their business models and this presents opportunities for me to develop further my own business and put into practice what I am proposing.

Limitations of Research and Future Research Opportunities.

This leadership critique followed case study research, which is qualitative and complemented by some quantitative data from psychometric tools. It is inherently

biased as I am the researcher and involved in the cases. This is mitigated by the use of the psychometric tools and the substantive 360-degree feedback. It is also not possible to look at all cases within 30+ years of experience and those selected are done so by myself as the researcher and while the sample size is significant with 20 embedded units of analysis, it is not exhaustive. I recognise my own limitations as a person and that my memory is not perfect and reflects my own view of reality.

The Open Survey was limited to my Linked-In network which whilst that network is large, it consists mainly of businesspeople and the response rate was low considering the size of the network. The semi-structured interviews were only conducted with those who were in business and understood AI.

Future research opportunities exist to look at the cases where employees have taken a stand against their employers as more emerge, and look for what practices are most effective. It would be insightful to research cases that are not in Western countries and cultures to look for similarities and differences in how ethical frameworks are applied, such as the Chinese Authorities not supporting gene-editing by Dr He Jianku. (Smith & Mitchell 2018, para. 2) As governance structures emerge in business and government, learning what is most effective will be important research to share.

The work of Beard and Longstaff (2020) from the Ethics Centre pointed to a significant opportunity to research cross cultural ethical frameworks underpinning globally deployed technologies such as autonomous vehicles. How ethical frameworks should evolve as we move from narrow AI to general AI applications is another

possible area of research as general AI gets closer to the imitation of humans. AI is already used in many military applications and an area of potential research is to bring together the ethics of *Just War* and ethical use of AI.

In summary, this Chapter has considered the contributions made by this Leadership Critique through leadership practices as well as the limitations of this research and identified there are significant opportunities for more research to be undertaken.

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